

<i>Guidelines</i> PEFC Council Minimum Requirements Checklist	Revised on 31 January 2008	GL 2/2008
---	----------------------------	------------------

PEFC Council Minimum Requirements Checklist

TABLE OF CONTENTS

OBJECTIVE	2
SCOPE	2
PART I:	MINIMUM REQUIREMENTS CHECKLIST FOR STANDARD SETTING PROCESS (ANNEX 2).....	3
1	SCOPE.....	3
2	CHECKLIST.....	3
3	APPLICATION DOCUMENTATION.....	7
PART II:	MINIMUM REQUIREMENTS CHECKLIST FOR CERTIFICATION SCHEMES AND THEIR IMPLEMENTATION (ANNEX 3)	9
1	SCOPE.....	9
2	CHECKLIST.....	9
PART III:	MINIMUM REQUIREMENTS CHECKLIST FOR SCHEME COMPLIANCE WITH PEOLG (ANNEX 3, CHAPTER 4.2).....	14
1	SCOPE.....	14
2	CHECKLIST.....	14
PART IV:	MINIMUM REQUIREMENTS CHECKLIST FOR SCHEME COMPLIANCE WITH ATO / ITTO PCI (ANNEX 3, CHAPTER 4.3).....	16
1	SCOPE.....	16
2	CHECKLIST.....	16
PART V:	MINIMUM REQUIREMENTS CHECKLIST FOR SCHEME COMPLIANCE WITH ITTO GUIDELINES (ANNEX 3, CHAPTER 4.4)	18
3	SCOPE.....	18
PART VI:	MINIMUM REQUIREMENTS CHECKLIST FOR SCHEME SPECIFIC CHAIN OF CUSTODY STANDARDS (ANNEX 4).....	24
1	SCOPE.....	24
2	CHECKLIST.....	24
PART VII:	MINIMUM REQUIREMENTS CHECKLIST FOR CERTIFICATION AND ACCREDITATION PROCEDURES (ANNEX 6).....	27
1	SCOPE.....	27
2	CHECKLIST.....	27

OBJECTIVE

The objectives of this guideline are (i) to assist bodies, which develop or revise their forest certification schemes and preparation of an application for PEFC Council endorsement, and (ii) to facilitate the assessment of the compliance of a national or sub-national forest certification scheme against the PEFC Council requirements carried out by the PEFC Council as a part of its endorsement and mutual recognition process (*Annex 7 Endorsement and Mutual Recognition of National Schemes and their Revision*).

SCOPE

These guidelines cover the PEFC Council minimum requirements, which shall be met by national and sub-national schemes and standards applying for PEFC Council endorsement and mutual recognition as per chapter 4, Annex 7 (*Endorsement and Mutual Recognition of National Schemes and their Revision*), and are a part of the application for the PEFC Council endorsement and mutual recognition as defined by chapter 5, Annex 7 (*Endorsement and Mutual Recognition of National Schemes and their Revision*).

These guidelines were adopted by the PEFC Council Board of Directors on 2 April 2003 and revised on 27 January 2005, 28 April 2005, 26 January 2006 26 January 2007 and 31 January 2008.

PART I: MINIMUM REQUIREMENTS CHECKLIST FOR STANDARD SETTING PROCESS (ANNEX 2)

1 SCOPE

Part I covers the requirements for the standard setting process defined in Annex 2 of the PEFC Council Technical Document (*Rules for Standard Setting*).

2 CHECKLIST

No.	Question	Reference to PEFC Council doc.	Assess. basis*	YES /NO*	Reference to application documents
Standard setting for forest certification					
1	Has the development of the certification standards been independent from the certification and accreditation process? [*1]	Annex 2, 3.2	Doc.		
			Process		
2	Has the standard setting process been carried out at national and/or sub-national levels?	Annex 2, 3.3	Doc.		
			Process		
3.	Has the standard setting process been co-ordinated by the PEFC National Governing Body? [*1]	Annex 2, 3.3	Doc.		
			Process		
4.	Has the certification standard been drafted to be applied at individual and/or group and/or regional level?	Annex 2, 3.3			
5.	Has the development of certification criteria been initiated by national forest owners' organisations or national forestry sector organisations having support of the major forest owners' organisations in that country? [*1]	Annex 2, 3.4.1			
6.	Have all relevant interested parties representing the different aspects of sustainable forest management been invited to participate in the standard setting process and a created Forum? [*1]	Annex 2, 3.4.1	Doc.		
			Process		
7.	Do consensus-building procedures of the Forum provide for balanced representation of interest categories? [*2]	Annex 2, 3.4.1	Doc.		
			Process		
8.	Have the views of all relevant interested parties been documented and considered in an open and transparent way? [*3]	Annex 2, 3.4.1	Doc.		
			Process		

No.	Question	Reference to PEFC Council doc.	Assess. basis*	YES /NO*	Reference to application documents
9.	Has the formal approval of standards been based on evidence of consensus? [^{*3}]	Annex 2, 3.4.1	Doc.		
			Process		
10.	Does the implementation of the consensus based approach comply with Guideline GL 5/2006	GL 5/2006	Doc.		
			Process		
11.	Has the Forum defined its own written procedures which have been made available to interest parties upon request? [^{*2}]	Annex 2, 3.4.1	Doc.		
			Process		
12.	Do the written procedures for standard setting contain an appeal mechanism for impartial handling of any substantive and procedural complaints? [^{*2}]	Annex2, 3.4.1	Doc.		
			Process		
13.	Has the start of the standard setting process been communicated to the public? [^{*3}]	Annex 2, 3.4.2	Doc.		
			Process		
14.	Has the information on the development process been distributed and discussed? [^{*3}]	Annex 2, 3.4.2	Doc.		
			Process		
15.	Has the final draft standard been available to all interested parties, e.g. by posting it on the Internet? [^{*3}]	Annex 2, 3.4.2	Doc.		
			Process		
16.	Has the final draft standard been sent out for formal national consultation process? [^{*3}]	Annex 2, 3.4.3	Doc.		
			Process		
17.	Have views of interested parties been discussed? [^{*3}]	Annex 2, 3.4.3	Doc.		
			Process		
18.	Has the Forum given general information on the changes made as a result of a consultation process? [^{*3}]	Annex 2, 3.4.3	Doc.		
			Process		
19.	Had the consultation been at least 60 days? [^{*3}]	Annex 2, 3.4.3	Doc.		
			Process		
Standards for chain of custody certification (only if the scheme includes a scheme specific C-o-C standard)					
20.	Has the development of certification standards been independent from the certification and accreditation process? [^{*4}]	Annex 2, 4.1	Doc.		
			Process		
21.	Has the process of development of national or sub-national chain of custody requirements been supported by the PEFC National Governing Body? [^{*4}]	Annex 2, 4.2.1			

No.	Question	Reference to PEFC Council doc.	Assess. basis*	YES /NO*	Reference to application documents
22.	Have all relevant interested parties representing different aspects of sustainable forest management, wood procurement, processing and retailing been invited to participate in the standard setting process? [*4]	Annex 2, 4.2.1	Doc.		
			Process		
23.	Do consensus-building procedures of the Forum provide for balance representation of interest categories? [*6]	Annex 2, 4.2.1	Doc.		
			Process		
24.	Have the views of all relevant interested parties been documented and considered in an open and transparent way? [*5]	Annex 2, 4.2.1, 4.2.3	Doc.		
			Process		
25.	Has the formal approval of standards been based on evidence of consensus? [*5]	Annex 2, 4.2.1	Doc.		
			Process		
26.	Does the implementation of the consensus based approach comply with Guideline GL 5/2006	GL 5/2006	Doc.		
			Process		
27.	Has the Forum defined its own written procedures which have been made available to interest parties upon request? [*6]	Annex 2, 4.2.1	Doc.		
			Process		
28.	Do the written procedures for standard setting contain an appeal mechanism for impartial handling of any substantive and procedural complaints? [*6]	Annex 2, 4.2.1	Doc.		
			Process		
29.	Has the start of the standard setting process been communicated to the public? [*5]	Annex 2, 4.2.2	Doc.		
			Process		
30.	Has the information on the development process been distributed and discussed? [*5]	Annex 2, 4.2.2	Doc.		
			Process		
31.	Has the final draft standard been available to all interested parties, e.g. by posting it on the Internet? [*5]	Annex 2, 4.2.2	Doc.		
			Process		
32.	Has the final draft standard been sent out for a formal national consultation process? [*5]	Annex 2, 4.2.3	Doc.		
			Process		
33.	Has the Forum given general information on the changes made as a result of a consultation process? [*5]	Annex 2, 4.2.3	Doc.		
			Process		
34.	Had the consultation period been at least 60 days long? [*5]	Annex 2, 4.2.3	Doc.		
			Process		

No.	Question	Reference to PEFC Council doc.	Assess. basis*	YES /NO*	Reference to application documents
Pilot testing					
35.	Have the first results on the testing of the final drafts for national/sub-national forest certification standards and their implementation arrangements been available prior to submission of the scheme for the PEFC Council endorsement and mutual recognition? [*7]	Annex 2, 5	Doc.		
			Process		
36.	Has appropriate action been taken to incorporate improvements and recommendations prior to submission of the scheme for the PEFC Council endorsement and mutual recognition process? [*7]	Annex 2, 5	Doc.		
			Process		
Review of standards					
37.	Have the standards on forest and chain of custody certifications been reviewed at least every 5 years or is it foreseen to review these standards at least every 5 years?	Annex 2, 6.1	Doc.		
			Process		
38.	Does the scheme documentation indicate which organisation is responsible to initiate the revision work?	Annex 2, 6.1			
39.	Has the revision procedures been participatory, fair and transparent? [*8]	Annex 2, 6.1			
40.	Has the PEFC National Governing Body appropriately considered the revisions of the general PEFC requirements for standard setting and implementation in the national standards? [*8]	Annex 2, 6.2			
41.	Has the PEFC National Governing Body indicated to the PEFC Council the appropriate considerations of the revisions induced by the PEFC Council in national standards? [*8]	Annex 2, 6.2			

3 APPLICATION DOCUMENTATION

The application for the endorsement and mutual recognition as defined in Chapter 5 of Annex 7 (*Endorsement and Mutual Recognition of National Schemes and their Revision*) shall include information which enables the assessment of the applicant scheme's compliance with the PEFC Council requirements.

The application documentation should identify and make reference to other detailed documentation such as minutes, internal procedures and rules, reports, etc. which do not need to create a part of the application documentation.

Asses. basis* The standard setting is assessed against the PEFC Council requirements in two stages (i) compliance of written standard setting procedures (Doc.) and (ii) compliance of the standard setting process itself (Process).

YES/NO* If the answer to any question is no, the application documentation shall indicate for each element why and what alternative measures have been taken to address the element in question.

[*1] Includes a description of an organisation responsible for co-ordination and decision making in the forest management standard setting process; details on organisations and/or individuals who participated and/or who were invited to participate in the standard setting process including their status (forest owners, industry, E-NGO, etc.); creation of a Forum and representation of different stakeholders.

Questions: 1, 3, 5, 6

[*2] Includes information on written procedures for forest management standard setting process adopted by the Forum

Questions: 7, 11, 12

[*3] Includes a description of the forest management standard setting process including measures for ensuring transparency and credibility of the standard setting process; details on meetings and other events; public availability of draft documents; consultation process and time periods.

Questions: 8, 9, 13, 14, 15, 16, 17, 18, 19

[*4] Includes a description of a organisation responsible for co-ordination and decision making of the chain of custody standard setting process, details on organisations and/or individuals who participated and/or who were invited to participate in the standard setting process including their status (forest owners, industry, E-NGO, etc.); creation of a Forum and representation of different stakeholders.

Questions: 20, 21, 22

[*5] Includes a description of the chain of custody standard setting process including measures for ensuring transparency and credibility of the standard setting process; details on meetings and other events; public availability of draft documents; consultation process and time periods.

Questions: 24, 25, 29, 30, 31, 32, 33, 34

[*6] Includes information on written procedures for chain of custody standard setting process adopted by the Forum.

Questions: 23, 27, 28

[*7] Includes information on pilot project(s) for the testing of forest management and/or chain of custody standards; scope of the pilot projects; details on organisations/individuals participated in the pilot projects; results of the pilot projects and follow up actions.

Questions: 35, 36

[*8] Includes a description of the process of review and revision of the national standard(s)

Questions: 39, 40, 41

PART II: MINIMUM REQUIREMENTS CHECKLIST FOR CERTIFICATION SCHEMES AND THEIR IMPLEMENTATION (ANNEX 3)

1 SCOPE

Part II covers requirements for certification schemes and their implementation given in Annex 3 of the PEFC Council Technical Document (*Basis for certification schemes and their implementation*).

2 CHECKLIST

No.	Question	Reference to PEFC Council doc.	YES / NO*	Reference to scheme documentation
General requirements for certification criteria				
1	Are the criteria relevant to all types of forests and management systems, which exist in the nation/region they have been elaborated for?	Annex 3, 3.5		
2	Do the criteria clearly express the objectives for forest management that can be unambiguously verified by different auditors?	Annex 3, 3.5		
3	Are management and performance requirements applicable at the level of a forest management unit?	Annex 3, 3.5		
4	Are management and performance requirements applicable optionally also at group and regional levels? [*1]	Annex 3, 3.5		
Laws and regulations				
5	Are the national certification criteria in compliance with national laws programmes and policies?	Annex 3, 3.2, 3.5		
6	Are the references to national laws, programs and policies indicated in the scheme documentation when relevant, e.g., if the requirement of the PEOLG is not addressed in the certification criteria but is included in normative regulations?	Annex 3, 3.5		
7	Does the scheme include the requirement that any apparent violation of the legislation shall be taken into consideration in internal and external audits?	Annex 3, 3.2		
ILO Conventions				
8	Are the Fundamental ILO Conventions ratified by the country and implemented through the legislative framework?	Annex 3, 3.3		
9	Do the national certification criteria address the core elements of those Fundamental ILO Conventions, which have been not ratified by the country?	Annex 3, 3.3		
10	Has the ILO Code of Practise on Safety and Health in Forestry Work been considered in development of national and regional	Annex 3, 3.3		

No.	Question	Reference to PEFC Council doc.	YES / NO*	Reference to scheme documentation
	certification criteria?			
Other international conventions				
11	Are the international conventions relevant to forest management and ratified by the country respected through the legislative framework?	Annex 3, 3.4		
12	Are the requirements agreed upon in the conventions, even if they are not ratified by the country, respected in the certification criteria to the degree that they are covered in PEOLG or other reference documents basis approved by the PEFC Council?	Annex 3, 3.4		
Level of application – general				
13	Are the applicants, the certified areas and participating forest owners/managers/others actors clearly identified in the scheme documentation?	Annex 3, 4.1		
14	Does the scheme documentation require that all actors involved in or operating on the certified area comply with the certification requirements?	Annex 3, 4.1		
15	Does the scheme documentation require that all actors individually certified or participating in regional/group certification are responsible for ensuring that contractors' activities and operations meet the respective forest management criteria?	Annex 3, 4.1		
Level of application – regional certification (only for schemes which include regional certification)				
16	Does the national definition of regional certification comply with the PEFC Council definition?	Annex 3, 4.1, a		
17	Does the forest certification standard include criteria for the regional and also for forest management unit level?	Annex 3, 4.1, a		
18	Does the scheme documentation require that the assessment of the certification criteria defined for the regional level covers the whole region to be certified?	Annex 3, 4.1, a		
19	Does the scheme documentation require that sampling for the assessment of the certification criteria defined for the forest management unit level cover forest owners/managers/other actors participating in the regional certification?	Annex 3, 4.1, a		
20	Does the scheme documentation require that the applicant organisation shall be a legal entity?	Annex 3, 4.1, a		
21	Does the scheme documentation require that the applicant organisation should represent more than 50 % of forest area of the region? <i>(This does not need to be fulfilled by the time of the start of certification – see reference)</i>	Annex 3, 4.1, a		
22	Does the scheme documentation describe the applicant's responsibility to assure the compliance of all participants with the	Annex 3, 4.1, a		

No.	Question	Reference to PEFC Council doc.	YES / NO*	Reference to scheme documentation
	certification requirements?			
23	Does the scheme documentation describe the applicant's responsibility to ensure that credible registers of participants to certification and certified forest area are kept?	Annex 3, 4.1, a		
24	Does the scheme documentation describe the applicant's responsibility to implement rules for regional certification?	Annex 3, 4.1, a		
25	Does the scheme documentation define the responsibilities and authorities of the applicant and participating forest owners/managers for the inclusion of new participants and to inform the certification body thereof?	Annex 3, 4.1, a		
26	Does the scheme documentation define the responsibilities and authorities of the applicant and participating forest owners/managers for the internal control of conformity and follow up corrective and preventive measures?	Annex 3, 4.1, a		
27	Does the scheme documentation describe that forest management certificate is issued to the applicant (certificate holder)?	Annex 3, 4.1, a		
28	Does the scheme documentation describe that participants in regional certification shall receive either a copy of the regional certificate including the appendix (when applicable) listing all participating forest owners or an individual attestation issued by the certification body or the applicant which refers to the main certificate?	Annex 3, 4.1, a		
29	Does the scheme documentation require that forest owners/managers/other actors can participate in the regional certification either by (i) entering into an individually signed commitment, or (ii) based on the majority decision of a forest owner's organisation on behalf of forest owners they represent in the region?	Annex 3, 4.1, a		
30	Does the scheme documentation require that only participating forest owners / managers shall be considered as certified; their area counted as certified area and the forest raw material coming from thereof will be considered as certified raw material?	Annex 3, 4.1, a		
31	Does the scheme documentation describe that forest owners should submit all the forest area under his management in the region for certification? <i>(not obligatory to be met but should be aimed at)</i>	Annex 3, 4.1, a		
Level of application – group certification (only for schemes which include group certification)				
32	Does the national definition for group certification comply with the PEFC Council definition?	Annex 3, 4.1 b		
33	Does the scheme documentation clearly define	Annex 3, 4.1 b		

No.	Question	Reference to PEFC Council doc.	YES / NO*	Reference to scheme documentation
	who the applicant is for group certification?			
34	Does the scheme documentation describe the applicant's responsibility to assure the compliance of all participants with the certification requirements?	Annex 3, 4.1 b		
35	Does the scheme documentation describe the applicant's responsibility to ensure that credible registers are kept of participants to certification and certified forest area?	Annex 3, 4.1 b		
36	Does the scheme documentation describe the applicant's responsibility to implement the rules for group certification?	Annex 3, 4.1 b		
37	Does the scheme documentation require that total forest area participating in group certification is recorded?	Annex 3, 4.1 b		
38	Does the scheme documentation describe that forest owners should submit all the forest area under his management in the catchment area for the group certification? (<i>no obligatory to be met but should be aimed at</i>)	Annex 3, 4.1 b		
39	Does the scheme documentation define the responsibilities and authorities of the applicant and participating forest owners/managers for the inclusion of new participants and to inform the certification body thereof?	Annex 3, 4.1 b		
40	Does the scheme documentation define the responsibilities and authorities of the applicant and participating forest owners/managers for the internal control of conformity and follow up corrective and/or preventive measures?	Annex 3, 4.1 b		
41	Does the scheme documentation describe that the forest management certificate is issued to the applicant (certificate holder)?	Annex 3, 4.1 b		
42	Does the scheme documentation describe that participants in group certification shall receive either a copy of the regional certificate including the appendix (when applicable) listing all participating forest owners or an individual attestation issued by the certification body or the applicant which refers to the main certificate?	Annex 3, 4.1 b		
Level of application – individual certification (only for schemes which include individual certification)				
43	Does the scheme documentation describe that forest owner should submit all the forest area under his management in the catchment area of the certification scheme in the certification? (<i>not obligatory to be met but should be aimed at</i>)	Annex 3, 4.1 c		
Implementation of changes to the scheme				
44	Does the scheme documentation define transition period(s) for implementation of changes to the endorsed scheme in compliance with chapter 5 of Annex 3.	Annex 3, 5		

No.	Question	Reference to PEFC Council doc.	YES / NO*	Reference to scheme documentation
<i>(This is not applicable to the initial endorsement of a scheme)</i>				
Appeals, complaints and dispute procedures				
45	Has the PEFC National Governing Body set up or appointed an impartial and independent dispute settlement body on a permanent basis or does it have written procedures for the establishment of a dispute settlement body on an ad hoc basis?	Annex 3, 6.1		
46	Has the PEFC National Governing Body established and have documented procedures for an independent dispute settlement body, either permanent or ad hoc, that takes care of those complaints arising from forest management or chain of custody scheme implementation that cannot be addressed in the dispute settlement procedures of the relevant certification or accreditation body?	Annex 3, 6.1		
47	Can the dispute settlement body also resolve possible grievances in chain of custody certification that do not exclusively concern an applicant and a certification body?	Annex 3, 6.1		
48	Does the scheme documentation require that the accredited certification body has procedures for dispute settlement for all grievances between the applicant and the certification body?	Annex 3, 6.2		
49	Does the scheme documentation require that the relevant accreditation body, whose accreditation covers the certification, deals with disputes and complaints concerning observance of the accreditation requirements?	Annex 3, 6.2		

* If the answer to any question is no, the application documentation shall indicate for each element why and what alternative measures have been taken to address the element in question.

[*1] This requirement is applicable only when a national scheme includes rules for regional and/or group forest management certification.

PART III: MINIMUM REQUIREMENTS CHECKLIST FOR SCHEME COMPLIANCE WITH PEOLG (ANNEX 3, CHAPTER 4.2)

1 SCOPE

Part III covers requirements for certification criteria (forest management standards) for all schemes except those which are covered by ATO / ITTO PCI and by ITTO process.

2 CHECKLIST

No.	Question	Reference to PEFC Council doc.	YES / NO*	Reference to scheme documentation
Basis for criteria development (only for schemes based on MCPFE)				
1	Are certification criteria used in the national or sub-national scheme based on Pan European Criteria and Indicators for SFM as a common framework?	Annex 3, 3.1.1		
2	Have the Pan European Operational Level Guidelines (PEOLG) formed the reference base when the national and regional criteria were elaborated, amended or revised?	Annex 3, 3.1.2		
Basis for criteria development (only for schemes based on inter-governmental processes other than MCPFE, ATO/ITTO and ITTO)				
3	Are the certification criteria based on the inter-governmental process other than MCPFE, ATO /ITTO and ITTO process (only for countries which participated in this process)?	Annex 3, 3.1.5		
Compatibility with the PEOLG (only for schemes to be assessed against the PEOLG) ^[*1]				
4	Criterion 1: Maintenance and appropriate enhancement of forest and their contribution to global carbon cycle	PEOLG 1.1.a		
5		PEOLG 1.1.b		
6		PEOLG 1.1.c		
7		PEOLG 1.1.d		
8		PEOLG 1.2.a		
9		PEOLG 1.2.b		
10		PEOLG 1.2.c		
11		PEOLG 2.1.a		
12		PEOLG 2.1.b		
13		PEOLG 2.1.c		
14	Criterion 2: Maintenance of forest ecosystem health and vitality	PEOLG 2.2.a		
15		PEOLG 2.2.b		
16		PEOLG 2.2.c		
17		PEOLG 2.2.d		
18	Criterion 3: Maintenance and encouragement of productive functions of forests (wood and non-wood)	PEOLG 3.1.a		
19		PEOLG 3.1.b		
20		PEOLG 3.1.c		
21		PEOLG 3.2.a		
22		PEOLG 3.2.b		
23		PEOLG 3.3.c		

No.	Question	Reference to PEFC Council doc.	YES / NO*	Reference to scheme documentation	
24		PEOLG 3.3.d			
25		PEOLG 4.1.a			
26		PEOLG 4.1.b			
27		PEOLG 4.2.a			
28		PEOLG 4.2.b			
29	Criterion 4: Maintenance, conservation and appropriate enhancement of biological diversity in forest ecosystems	PEOLG 4.2.c			
30		PEOLG 4.2.d			
31		PEOLG 4.2.e			
32		PEOLG 4.2.f			
33		PEOLG 4.2.g			
34		PEOLG 4.2.h			
35		PEOLG 4.2.i			
36		Criterion 5: Maintenance and appropriate enhancement of protective functions in forest management (notably soil and water)	PEOLG 5.1.a		
37			PEOLG 5.1.b		
38	PEOLG 5.2.a				
39	PEOLG 5.2.b				
40		PEOLG 5.2.c			
41	Criterion 6: Maintenance of other socio-economic functions and conditions	PEOLG 6.1.a			
42		PEOLG 6.1.b			
43		PEOLG 6.1.c			
44		PEOLG 6.1.d			
45		PEOLG 6.1.e			
46		PEOLG 6.2.a			
47		PEOLG 6.2.b			
48		PEOLG 6.2.c			

[*1] For the purposes of PEFC assessment and endorsement of national or sub national forest certification schemes the terms “should” used in the PEOLG shall be interpreted as “shall”.

PART IV: MINIMUM REQUIREMENTS CHECKLIST FOR SCHEME COMPLIANCE WITH ATO / ITTO PCI (ANNEX 3, CHAPTER 4.3)

1 SCOPE

Part IV includes requirements for certification criteria (forest management standards) for schemes which are covered by ATO / ITTO PCI.

2 CHECKLIST

No.	Question	Reference to PEFC Council doc.	YES / NO*	Reference to scheme documentation
Basis for criteria development – compatibility with ATO /ITTO PCI – Part 2 (only for schemes based on ATO / ITTO Principles, criteria and indicators for SFM of African tropical forests – ATO /ITTO PCI)				
1	Criterion 2.1: Forest management complies with the national policies and legislation in force in the country where it is implemented, and also with all the international treaties the country has ratified.	Indicator 2.1.1		
2		Indicator 2.1.2		
3	Criterion 2.2: The FMU is managed with well-defined and clearly established objectives compatible with sustainable forest management.	Indicator 2.2.1		
4		Indicator 2.2.2		
5		Indicator 2.2.3		
6		Indicator 2.2.4		
7		Indicator 2.2.5		
8		Indicator 2.2.6		
9		Indicator 2.2.7		
10		Indicator 2.2.8		
11	Criterion 2.3: The sustainable production of timber is ensured both in quantity and quality.	Indicator 2.3.1		
12		Indicator 2.3.2		
13		Indicator 2.3.3		
14		Indicator 2.3.4		
15		Indicator 2.3.5		
16		Indicator 2.3.6		
17	Criterion 2.4: The silvicultural techniques implemented in the FMU are compatible with the objectives of sustainable forest management and are well adapted to the needs of management in the FMU and to the expected production.	Indicator 2.4.1		
18		Indicator 2.4.2		
19		Indicator 2.4.3		
20		Indicator 2.4.4		
21	Criterion 2.5: Within FMU, NTFPs are harvested on a sustainable basis, in consultation with relevant stakeholders.	Indicator 2.5.1		
22		Indicator 2.5.2		
23		Indicator 2.5.3		
24	Criterion 2.6: Forest management is revised periodically, or when necessary due to unforeseen circumstances.	Indicator 2.6.1		
25		Indicator 2.6.2		
26	Criterion 3.1: The sustainable management of the forest resources is based on a dynamic acquisition of knowledge on ecology.	Indicator 3.1.1		
27		Indicator 3.1.2		
28		Indicator 3.1.3		
29		Indicator 3.1.4		

No.	Question	Reference to PEFC Council doc.	YES / NO*	Reference to scheme documentation
30	Criterion 3.2: The impact of harvesting activities on the structure of the forest is minimized.	Indicator 3.2.1		
31		Indicator 3.2.2		
32	Criterion 3.3: The impact of harvesting activities on biodiversity is minimized.	Indicator 3.3.1		
33		Indicator 3.3.2		
34		Indicator 3.3.3		
35		Indicator 3.3.4		
36	Criterion 3.4: The natural regeneration capacity of the forests is ensured.	Indicator 3.4.1		
37		Indicator 3.4.2		
38	Criterion 3.5: The impact of harvesting activities on water, soils and slopes is minimized.	Indicator 3.5.1		
39		Indicator 3.5.2		
40		Indicator 3.5.3		
41	Criterion 4.1: The rights and responsibilities of workers in the FMU and local populations are clearly defined, acknowledged and respected.	Indicator 4.1.1		
42		Indicator 4.1.2		
43		Indicator 4.1.3		
44		Indicator 4.1.4		
45		Indicator 4.1.5		
46	Criterion 4.2: The concessionaire encourages the participation of local populations present in the FMU in the management of forest resources.	Indicator 4.2.1		
47		Indicator 4.2.2		
48		Indicator 4.2.3		
49		Indicator 4.2.4		
50		Indicator 4.2.5		
51	Criterion 4.3: All stakeholders consider the share of benefits derived from forests to be satisfactory.	Indicator 4.3.1		
52		Indicator 4.3.2		
53		Indicator 4.3.3		
54	Criterion 4.4: According to the importance and impact of the forestry operations the concessionaire contributes to improving the health and education of local populations.	Indicator 4.4.1		
55		Indicator 4.4.2		
56		Indicator 4.4.3		
57		Indicator 4.4.4		
58	Do the national criteria address the maintenance, increase and monitoring of forest health and vitality including biotic risks (e.g. fire), if relevant in the nation / region?	Annex 3, 3.1.3		
59	Do the national criteria address the use of fertilizers, if relevant in the nation / region?	Annex 3, 3.1.3		
60	Do the national criteria address the management and prevention of damages caused by animal grazing in forests (domestic and wild animals), if relevant in the nation / region?	Annex 3, 3.1.3		
61	Do the national criteria address the maintenance of adequate quantity and quality of old, dead and decaying trees in forests to safeguard biological diversity?	Annex 3, 3.1.3		

PART V: MINIMUM REQUIREMENTS CHECKLIST FOR SCHEME COMPLIANCE WITH ITTO GUIDELINES (ANNEX 3, CHAPTER 4.4)

3 SCOPE

Part V includes requirements for certification criteria (forest management standards) for forest management of natural tropical forests and planted tropical forests for schemes developed in ITTO member producing countries except those which are covered by ATO / ITTO PCI (as per Part IV).

Requirements for criteria for forest management of natural tropical forests

No.	Question	Reference to the doc.	YES / NO*	Reference to scheme documentation
Basis for development of criteria for forest management of natural tropical forests – compatibility with ITTO guidelines on the sustainable forest management of natural tropical forests (1992) ^{[*1], [*2], [*3]}				
Policy and legislation				
1	National Forest Inventory	Principle 4		
2		Principle 5		
3	Permanent Forest Estate	Principle 6		
4		Principle 7		
5		Possible action 7		
6		Principle 8		
Forest Management				
7	Forest management - general	Principle 11		
8	Planning	Principle 12		
9	Static and dynamic inventory	Principle 13		
10		Possible action 10		
11		Possible action 11		
12	Setting of management objectives	Principle 14		
13		Principle 15		
14	Choice for silvicultural concept	Principle 16		
15		Possible action 12		
16	Yield regulation, Annual Allowable Cut	Principle 17		
17		Possible action 13		
18		Possible action 14		
19	Management inventory and mapping	Principle 18		
20		Possible action 15		
21	Preparation of working plans	Principle 19		
22		Possible action 16		
23	Environmental Impact assessment	Principle 20		
24		Possible action 17		
25		Possible action 18		
26	Harvesting (general)	Principle 21		
27	Pre-harvest prescriptions	Principle 22		
28		Possible action 19		
29	Roads	Principle 23		
30		Possible action 20		
31	Extraction	Principle 24		
32		Possible action 21		
33	Post-harvest management	Principle 25		

No.	Question	Reference to the doc.	YES / NO*	Reference to scheme documentation
34		Possible action 22		
35	Protection – control of access	Principle 26		
36		Possible action 23		
37	Protection - fire	Principle 27		
38		Possible action 24		
39	Protection - chemicals	Principle 28		
40		Possible action 25		
41	Salvage permits	Principle 32		
42		Possible action 28		
43		Possible action 29		
44	Monitoring and research (including yield control and silviculture)	Principle 33		
45		Possible action 30		
46		Possible action 31		
47		Possible action 32		
48		Possible action 33		
Socio-economic aspects				
49	Socio-economic and financial aspects (general)	Principle 34		
50	Relations with local populations	Principle 35		
51		Principle 36		
52		Possible action 34		
53	Economics, incentives, taxation	Principle 37		
54		PA35		
55		Principle 38		
56		Principle 39		
57		Principle 40		
58		Principle 41		
59		Possible action 36		
Basis for development of criteria for forest management of natural tropical forests – compatibility with ITTO guidelines on the conservation of biological diversity in tropical production forests (1993) [*1], [*2], [*3]				
Promoting the role of sustainably managed production forests in conserving biodiversity at the landscape level				
60	Conservation of biodiversity at landscape level	Principle 4		
61		Rec. action 5		
62		Principle 5		
63		Rec. action 6		
64		Principle 6		
65		Rec. action 7		
Considerations for the conservation of biodiversity at the management unit level in production forests				
66	Planning – choice of silvicultural concept	Principle 7		
67		Rec. action 8		
68		Rec. action 9		
69		Rec. action 10		
70	Planning – yield regulation, annual allowable cut and rotation time	Principle 8		
71		Rec. action 11		
72		Principle 9		
73		Rec. action 12		

74	Planning –management inventory and mapping	Principle 10		
75		Rec. action 13		
76		Principle 11		
77		Rec. action 14		
78		Rec. action 15		
79	Extraction	Principle 12		
80		Rec. action 14		
81		Rec. action 17		
82	Implementation	Principle 13		
83		Rec. action 19		
84	Research and monitoring	Principle 14		
85		Rec. action 20		
Additional PEFC requirements for forest management of natural tropical forests ^[*4]				
86	PEOLG	2.1a		
87		2.2a		
88		3.2d		
89		6.1a		
90		6.1e		
91		6.2b		

Requirements for criteria for forest management of tropical planted forests

No.	Question	Reference to the doc.	YES / NO*	Reference to scheme documentation
Basis for development of criteria for forest management of planted tropical forests – compatibility with ITTO guidelines for the establishment and sustainable management of planted forests (1993) [*1], [*2], [*3]				
Policy and legislation				
92	Permanent forest estate	Principle 10		
93		Principle 11		
94		Rec. action 8		
95		Principle 12		
96		Principle 13		
97		Rec. action 9		
98		Principle 15		
Feasibility assessment				
99	Environmental considerations	Rec. action 13		
100		Rec. action 14		
101		Rec. action 15		
102		Rec. action 16		
103		Rec. action 17		
104	Socio-economic considerations	Rec. action 18		
105		Rec. action 19		
106		Rec. action 20		
107	Institutional considerations	Principle 24		
108		Principle 25		
109		Rec. action 21		
110				
Planted forest establishment				
111	Management plan preparation – the importance of management planning	Rec. action 22		
112		Rec. action 23		
113		Principle 27		
114	Management plan preparation – Soil and site considerations	Rec. action 25		
115		Rec. action 26		
116		Rec. action 27		
117		Rec. action 28		
118		Rec. action 29		
119		Rec. action 30		
120		Rec. action 31		
121	Management plan preparation – research needs	Rec. action 32		
122	Choice of site, tree species and planting material	Rec. action 33		
123		Rec. action 33		
124		Rec. action 35		
125		Rec. action 36		
126	Roads and site protection	Rec. action 37		
127		Rec. action 38		
128		Rec. action 39		
129	Site preparation	Rec. action 40		
130		Rec. action 41		
131	Approach to planting	Rec. action 42		
132	Fertilisation	Rec. action 43		
133		Rec. action 44		
134		Rec. action 45		

No.	Question	Reference to the doc.	YES / NO*	Reference to scheme documentation
135	Tending and weed control	Rec. action 46		
136	Pest control and disease management	Rec. action 47		
137		Rec. action 48		
138		Rec. action 49		
139		Rec. action 50		
140		Rec. action 51		
Planted forest establishment				
141	Institutional considerations	Rec. action 53		
142		Rec. action 54		
143	Social considerations	Rec. action 55		
144	Economic considerations	Rec. action 56		
145		Rec. action 57		
146		Rec. action 58		
147	Integrated resource inventories	Rec. action 59		
148		Rec. action 60		
149		Rec. action 61		
150		Rec. action 62		
151	Timber production	Rec. action 63		
152		Rec. action 64		
153	Restoration and maintenance of soil fertility	Rec. action 65		
154		Rec. action 66		
155	Tending operations and weed control	Rec. action 67		
156	Thinning and pruning	Rec. action 68		
157	Roading	Rec. action 69		
158		Rec. action 70		
159	Forest protection – control of access	Rec. action 71		
160	Protection from fire	Rec. action 72		
161	Pest disease and fire management	Rec. action 73		
162		Rec. action 74		
163	Harvesting and planning of the subsequent rotation	Rec. action 75		
Additional PEFC requirements for forest management of natural tropical forests ^[*4] .				
164	PEOLG	2.2b		
165		4.2f		
166		4.2i		
167		6.1a		

[*1] For the purposes of the PEFC assessment and endorsement process, the provisions of the ITTO guidelines shall be interpreted as normative and obligatory (Annex 3 of the PEFC Technical Document, chapter 3.1.4).

[*2] The Checklist and thus the PEFC assessment and endorsement process do not include those provisions of the ITTO guidelines which are only designed for the governments (e.g. a provision to establish an effective legislation). For the purposes of the PEFC assessment and endorsement those provisions of the ITTO guidelines which are applicable to both, the governments and forest owners / managers will be interpreted as for their intended application relevant to the forest owners / managers.

[*3] The terms “Principles”, “Possible actions”, “Rec. actions” (Recommended actions) used in the column “Reference to the doc.” and their numbering have been taken from and corresponds with the respective ITTO guidelines.

[*4] For the purposes of PEFC assessment and endorsement of national or sub national forest certification schemes the terms “should” used in the PEOLG shall be interpreted as “shall”.

PART VI: MINIMUM REQUIREMENTS CHECKLIST FOR SCHEME SPECIFIC CHAIN OF CUSTODY STANDARDS (ANNEX 4)

1 SCOPE

Part III covers requirements for chain of custody of wood certification given in chapter 4.2 of Annex 3 (*Basis for Certification Schemes and their implementation*) and Annex 4 (*Chain of Custody of Forest Based Products - Requirements*) and is used for the assessment of scheme specific chain of custody standards.

2 CHECKLIST

No.	Question	Reference to PEFC Council doc.	YES / NO*	Reference to application documents
Requirements for chain of custody process – physical separation method				
1.	Does the national C-o-C standard require identification and verification of the category of origin for all procured products in compliance with chapter 2.2.1 and 2.2.2?	Annex 4, 2.2.1, 2.2.2		
2.	Does the national C-o-C standard require separation of the certified raw material in compliance with chapter 2.3?	Annex 4, 2.3		
3.	Does the national C-o-C standard require information delivered to customer at the point of sale of certified products in compliance with chapter 2.4.1 and 2.4.2?	Annex 4, 2.4.1, 2.4.2		
4.	Does the national standard require that usage of the logo or label shall be carried out according to the terms and conditions of the logo / label copyright owner?	Annex 4, 2.4.3		
Requirements for the chain of custody process – percentage based methods				
5.	Does the national standard require that the requirements for C-o-C process shall be implemented for the production batch defined in compliance with chapters 3.1.1 and 3.1.2?	Annex 4, 3.1.1, 3.1.2		
6.	Does the national C-o-C standard require identification and verification of the category of origin for all procured products in compliance with chapter 3.2.1 and 3.2.2?	Annex 4, 3.2.1, 3.2.2		
7.	Does the national standard include a calculation formula for the certification percentage, which is compatible with the formula of chapter 3.3?	Annex 4, 3.3		
8.	Does the national standard include an average percentage method in compliance with chapter 3.4.1?	Annex 4, 3.4.1		
9.	Does the national standard include a volume credit method in compliance with chapter 3.4.2?	Annex 4, 3.4.2		

No.	Question	Reference to PEFC Council doc.	YES / NO*	Reference to application documents
10.	Does the national C-o-C standard require information delivered to customer at the point of sale of certified products in compliance with chapter 3.5.1 and 3.5.2?	Annex 4, 3.5.1, 3.5.2		
11.	Does the national standard require that usage of the logo or label shall be carried out according to the terms and conditions of the logo / label copyright owner?	Annex 4, 3.5.3		
12.	Does the national standard include measures to ensure that the certified products do not include raw material from controversial sources in compliance with chapter 3.6 and Appendix 7 to Annex 4?	Annex 4, 3.6; Appendix 7		
Minimum management system requirements				
13.	Does the national standard require management responsibilities for the organisation's top management in compliance with chapter 4.2.1?	Annex 4, 4.2.1		
14.	Does the national standard include requirements for responsibilities and authorities for C-o-C in compliance with chapter 4.2.2?	Annex 4, 4.2.2		
15.	Does the national standard include requirements for documented procedures in compliance with chapter 4.3?	Annex 4, 4.3		
16.	Does the national standard include requirements for record keeping in compliance with chapter 4.4?	Annex 4, 4.4		
17.	Does the national standard include requirements for human resources management and technical facilities in compliance with chapter 4.5?	Annex 4, 4.5		
18.	Does the national standard include requirements for inspection and control in compliance with chapter 4.6?	Annex 4, 4.6		
PEFC specification for the origin for the purposes of PEFC label and declaration				
19.	Does the national standard include definition of certified raw material, neutral and other raw material (for the purposes of PEFC claims / labelling) in compliance with Appendix 1?	Annex 4, Appendix 1		
Implementation of chain of custody in multi-site organisation (only for standards which include rules for multi-site or group certification)				
20.	Does the national standard include requirements for function and responsibilities of the central office in compliance with Appendix 4?	Annex 4, Appendix 4		
21.	Does the national standard include requirements for function and responsibilities of the central office in compliance with Appendix 4?	Annex 4, Appendix 4		

PEFC specification of the origin for the purposes of PEFC label and declarations covering recycled raw material (only for standards which allow claims to be made on recycled raw material)				
22.	Does the national standard include definition of certified raw material, neutral and other raw material for certified and recycled raw material (for the purposes of PEFC claims / labelling) in compliance with Appendix 6?	Annex 4, Appendix 6		
PEFC specification of the origin for the purposes of PEFC label and declarations on non wood forest products (only for standards which are applicable to non wood forest products)				
23.	Does the national standard include definition of certified raw material, neutral and other raw material for non wood forest products (for the purposes of PEFC claims / labelling) in compliance with Appendix 8?	Annex 4, Appendix 8		

PART VII: MINIMUM REQUIREMENTS CHECKLIST FOR CERTIFICATION AND ACCREDITATION PROCEDURES (ANNEX 6)

1 SCOPE

This document covers requirements for certification and accreditation procedures given in Annex 6 to the PEFC Council Technical Document (*Certification and accreditation procedures*).

2 CHECKLIST

No.	Question	Reference to PEFC Council doc.	YES / NO*	Reference to scheme documentation
Certification Bodies				
1.	Does the scheme documentation require that certification shall be carried out by impartial, independent third parties that cannot be involved in the standard setting process as governing or decision making body, or in the forest management and are independent of the certified entity?	Annex 6, 3.1		
2.	Does the scheme documentation require that certification body for forest management certification or chain of custody certification against a scheme specific chain of custody standard shall fulfil requirements defined in ISO 17021 or ISO Guide 65?	Annex 6, 3.1		
3.	Does the scheme documentation require that certification body chain of custody certification against Annex 4 shall fulfil requirements defined in ISO Guide 65?	Annex 6, 3.1		
4.	Does the scheme documentation require that certification bodies carrying out forest certification shall have the technical competence in forest management on its economic, social and environmental impacts, and on the forest certification criteria?	Annex 6, 3.1		
5.	Does the scheme documentation require that certification bodies carrying out C-o-C certifications shall have technical competence in forest based products procurement and processing and material flows in different stages of processing and trading?	Annex 6, 3.1		
6.	Does the scheme documentation require that certification bodies shall have a good understanding of the national PEFC system against which they carry out forest management or C-o-C certifications?	Annex 6, 3.1		

No.	Question	Reference to PEFC Council doc.	YES / NO*	Reference to scheme documentation
7.	Does the scheme documentation require that certification bodies have the responsibility to use competent auditors and who have adequate technical know-how on the certification process and issues related to forest management or chain of custody certification?	Annex 6, 3.2		
8.	Does the scheme documentation require that the auditors must fulfil the general criteria of ISO 19011 for Quality Management Systems auditors or for Environmental Management Systems auditors?	Annex 6, 3.2		
9.	Does the scheme documentation include additional qualification requirements for auditors carrying out forest management or chain of custody audits? [*1]	Annex 6, 3.2		
Certification procedures				
10.	Does the scheme documentation require that certification bodies shall have established internal procedures for forest management and/or chain of custody certification?	Annex 6, 4		
11.	Does the scheme documentation require that applied certification procedures for forest management certification or chain of custody certification against a scheme specific chain of custody standard shall fulfil or be compatible with the requirements defined in ISO 17021 or ISO Guide 65?	Annex 6, 4		
12.	Does the scheme documentation require that applied certification procedures for chain of custody certification against Annex 4 shall fulfil or be compatible with the requirements defined in ISO Guide 65?	Annex 6, 4		
13.	Does the scheme documentation require that applied auditing procedures shall fulfil or be compatible with the requirements of ISO 19011?	Annex 6, 4		
14.	Does the scheme documentation require that certification body shall inform the relevant PEFC National Governing Body about all issued forest management and chain of custody certificates and changes concerning the validity and scope of these certificates?	Annex 6, 4		
15.	Does the scheme documentation require that certification body shall carry out controls of PEFC logo usage if the certified entity is a PEFC logo user?	Annex 6, 4		
16.	Does a maximum period for surveillance audits defined by the scheme documentation not exceed more than one year?	Annex 6, 4		
17	Does a maximum period for assessment audit not exceed five years for both forest	Annex 6, 4		

No.	Question	Reference to PEFC Council doc.	YES / NO*	Reference to scheme documentation
	management and chain of custody certifications?			
18.	Does the scheme documentation include requirements for public availability of certification report summaries?	Annex 6, 4		
19.	Does the scheme documentation include requirements for usage of information from external parties as the audit evidence?	Annex 6, 4		
20.	Does the scheme documentation include additional requirements for certification procedures? [^{*1}]	Annex 6, 4		
Accreditation procedures				
21.	Does the scheme documentation require that certification bodies carrying out forest management and/or chain of custody certification shall be accredited by a national accreditation body?	Annex 6, 5		
22.	Does the scheme documentation require that an accredited certificate shall bear an accreditation symbol of the relevant accreditation body?	Annex 6, 5		
23.	Does the scheme documentation require that the accreditation shall be issued by an accreditation body which is a part of the International Accreditation Forum (IAF) umbrella or a member of IAF's special recognition regional groups and which implement procedures described in ISO 17011 and other documents recognised by the above mentioned organisations?	Annex 6, 5		
24.	Does the scheme documentation require that certification body undertake forest management or/and chain of custody certification against a scheme specific chain of custody standard as "accredited certification" based on ISO 17021 or ISO Guide 65 and the relevant forest management or chain of custody standard(s) shall be covered by the accreditation scope?	Annex 6, 5		
25.	Does the scheme documentation require that certification body undertake chain of custody certification against Annex 4 as "accredited certification" based on ISO Guide 65?	Annex 6, 5		
26.	Does the scheme documentation include a mechanism for PEFC notification of certification bodies?	Annex 6, 6		
27.	Are the procedures for PEFC notification of certification bodies non-discriminatory?	Annex 6, 6		

* If the answer to any question is no, the application documentation shall indicate for each element why and what alternative measures have been taken to address the element in question.

[*1] This is not an obligatory requirement