



PEFC - Promoting Sustainable Forest Management

PEFC Council

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Mr Bob Andrew
Principal Procurement Advisor
Department for Environment, Food and Rural Affairs
Floor 5E
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12th January 2006

Dear Bob

PEFCC submission of evidence to CPET relating to CPET Criteria 2.4, 2.5 and 1.3.3

As you will recall, the PEFC Council gave an undertaking to supply Defra with information on member scheme compliance with the changes to PEFC Council documentation relating to CPET criteria 2.4, 2.5 and 1.3.3.

Although the PEFC Council has not been formally asked by CPET to submit information as part of the CPET review of PEFC member scheme compliance, I feel that Defra and CPET should have access to our internal review which was conducted for the PEFC Council Board of Directors as part of PEFC's monitoring process.

You will see from the report that one scheme, namely the Swiss Q-label did not meet the requirements and so has been suspended until sufficient evidence is supplied demonstrating compliance, and this has been accepted by the PEFC Council.

I do hope that the report will be useful to the CPET review of PEFC member scheme compliance, and I'd be happy to answer any queries you might have.

Kind regards

Yours sincerely

Ben Gunneberg
PEFC Council Secretary General

Cc Ruth Nussbaum – ProForest Director (by email)
Henri Plauche Gillon – PEFC Council Chairman (by email)

Enc – *PEFC Council report on the implementation of the changes (January 2006)*

PEFC Council report on the implementation of the changes to Annex 6 concerning public consultation during the certification audit and public availability of the certification report and standard setting procedures

January 2006

Part A: Changes to Annex 6 relating to CPET criterion 2.4 and 2.5

Introduction

In April 2005, a PEFC Council Extraordinary General Assembly vote approved the following changes to Annex 6, chapter 4 (Certification and Accreditation Procedures):

“The audit evidence to determine the conformity with the forest management standard shall include relevant information from external parties (e.g. government agencies, community groups, conservations organizations, etc.) as appropriate.

A summary of the certification report, including a summary of findings on the auditee’s conformity with the forest management standard, written by the certification body, shall be made available to the public by the auditee or in accordance with any applicable requirements defined by the respective forest certification scheme.”

Annex 6, chapter 6 (*Temporary provisions*) also requires that these new requirements have to be implemented at all levels within six months, i.e. by 11 October 2005.

The PEFC Council Board of Directors decided at its in April 2005 meeting to monitor the implementation of the changes by the PEFC endorsed schemes in order to ensure the full compliance with the new requirements in Annex 6, as part of its commitment to ensure PEFC remains in the “legal and sustainable” category of the UK Government Procurement Policy (CEPT / DEFRA).

The report on the compliance of PEFC endorsed schemes was considered at the Board of Directors meeting held on 27 October 2005 and in the case of the Australian scheme again on 15 December 2005.

Scope of the assessment:

The assessment of compliance covers 22 forest certification schemes already endorsed by the PEFC Council.

The assessment has been carried by the PEFC Council secretariat based on the information and evidence provided by the relevant national governing bodies. Lack of information provided by the national governing bodies has been considered as non-compliance with the PEFC Council requirements.

The result of the survey:

- 21 forest certification schemes (*Australia, Austria, Belgium, Brazil, Canada (CSA), Chile, Czech Republic, Denmark, Finland, France, Germany, Italy, Latvia, Luxembourg, Norway, Portugal, Slovakia, Spain, Sweden, UK, USA - SFI*) comply with the requirement for the public consultation in the certification process,
- 21 forest certification schemes (*Australia, Austria, Belgium, Brazil, Canada (CSA), Czech Republic, Chile, Denmark, Finland, France, Germany, Italy, Latvia, Luxembourg, Norway, Portugal, Slovakia, Spain, Sweden, UK, USA - SFI*) comply with the requirement for the public availability of certification report summary,
- 1 forest certification scheme (*Switzerland*) does not comply with the requirement for the public consultation in the certification process based on information and evidence received,
- 1 forest certification scheme (*Switzerland*) does not comply with the requirement for the public availability of certification report summary based on information and evidence received,

Actions taken by the Board of Directors:

Switzerland

The Board of Directors decided at its meeting held on 27 October 2005:

to suspend the endorsement of the Swiss Q-label certification scheme as not complying with the PEFC Council requirement for public consultation in the certification audit and public availability of certification reports summary (Annex 6, chapter 4) until sufficient evidence has been submitted to the Board of Directors that the compliance has been achieved and the Board approves it.

Detailed assessment of the national schemes

1. Australia

The PEFC Council Board of Directors decided on 27 November 2005:

- 1) To suspend automatically the endorsement of the AFS scheme if sufficient evidence on compliance with the new requirements of Annex 6 chapter 4 has not been submitted by 15th December 2005 and been approved as meeting the said requirements by the Executive Committee.
- 2) To authorise the Executive Committee to assess the evidence submitted and decide on compliance with the requirements of Annex 6 chapter 4.

On 13 December 2005 Australian Forestry Standard Limited (AFS Ltd.) submitted the revised and approved JAS-ANZ Procedure No. 26 as evidence of AFS Ltd. being in compliance with the new requirements of Annex 6 chapter 4. AFS Ltd. also submitted a report on the compatibility of JAZ-ANS Procedures No. 26 with the selected PEFC Council requirements prepared by Savcor – Indufor Oy, which concludes overall conformity.

a) public consultation in the certification audit

JAS-ANZ Procedure No. 26, chapter G.3.3.3:

“The objectives of the stage 1 audit are to provide a focus for planning the stage 2 audit by gaining an understanding of the forest management system in the context of the site specific aspects and impacts of the organization's operational activities, policy and objectives. This is done by reviewing the extent to which:

d) the management system has identified relevant stakeholder groups and all key forest values to be managed”

JAS-ANZ Procedure No. 26, chapter G.3.3.5:

“The certification body shall obtain at least the following information during the stage 1 audit: g) identify relevant stakeholders that may need to be consulted with during the stage 2 assessment;”

JAS-ANZ Procedure No. 26, chapter G.3.3.14:

“To do this, the stage 2 audit shall focus on the organisation’s: d) consultation with relevant stakeholders identified by the organisation on the management of DFA”

JAS-ANZ Procedure No. 26, chapter G.3.3.15:

“In order to provide increased confidence that organizations consistently establish and maintain procedures to identify and evaluate environmental, social and economic aspects and their associated impacts, certification bodies shall consider the following factors during the stage 2 audit: c) it is for the organization to identify relevant stakeholders, consult with and resolve issues raised by relevant stakeholders;”

JAS-ANZ Procedure No. 26, chapter G.3.3.16:

“The certification body shall establish whether the procedures employed in the analysis of significance are sound and properly implemented. It shall verify that the environmental aspect and associated impacts which is identified as being significant is managed within the system. Depending on the situation, this may entail combinations of the following: ... but shall include: e) consultation with a sample of relevant stakeholders on the management of the DFA”

JAS-ANZ Procedure No. 26, chapter G.3.6.3 requires that:

“...At each surveillance, the certification body should check the following and interview the responsible management: ... but shall include i) consultation with a sample of relevant stakeholders on the management of the DFA.”

JAS-ANZ Procedure No. 26, chapter G.3.6.7 requires that:

“The audit methodology for reassessments shall be the same as for stage 2 audits.”

Conforms

b) availability of certification report summary

JAS-ANZ Procedure No. 26, chapter 3.1.1.2 requires that:

“The certification body shall require that an organisation: i) make the summary report provided at 3.4.1e) publicly available”

JAS-ANZ Procedure No. 26, chapter 3.4.1 e) requires that:

“the report shall contain as a minimum: 6) a summary of the audit results that the forest manager will make publicly available to relevant stakeholders;”

JAS-ANZ Procedure No. 26, chapter 3.6.3 requires that:

“...At each surveillance, the certification body should check the following and interview the responsible management: ... but shall include... j) publication by the organization of the summary report under 3.4.1 e).”

JAS-ANZ Procedure No. 26, chapter G.3.6.7 requires that:

“The audit methodology for reassessments shall be the same as for stage 2 audits.”

Conforms

The PEFC Council **recognises** the JAS-ANZ Procedures No. 26, which is a part of Australian Forest Certification Scheme, as meeting the new Annex 6 requirements for public consultation in the certification audit and public availability of the certification report summary.

Documentation available:

- JAS-ANZ Procedure No. 26
- Savcor – Indufor Oy: Report – review of selected JAS-ANZ Accreditation Provisions for AFS Certification in View of PEFC Compliance

2. Austria

a) public consultation in the certification audit

Chapters 5.3.5.2 and 6.2.2.2 of the Austrian Forest Certification Scheme – System Description (October 2005 version) include:

“The audit evidence to determine the conformity with the forest management standard shall include relevant information from external parties (e. g. government agencies, community groups, conservations organizations, etc.) as appropriate.”

Conforms

b) availability of certification report summary

Chapter 5.3.9 and 6.2.6 of the Austrian Forest Certification Scheme - System Description include:

“Further summaries of the results should be made available to the public to ensure that this information can be accessed by customers and other interested parties. These summaries will be sent to PEFC Austria by the certification organisations”

Conforms

Board of Directors decision

The Board of Directors **notes the compliance** of the Austrian Forest Certification Scheme with the PEFC Council requirements for public consultation in the certification audit and public availability of the certification report of Annex 6, chapter 4.

Documentation available:

- Austrian Forest Certification Scheme - System Description (version October 2005)

3. Belgium

a) public consultation in the certification audit

Appendix 10 to the Belgian Forest Certification Scheme: Additional Requirements related to Competent Bodies states that:

“The audit evidence to determine the conformity with the forest management standard shall include relevant information from external parties (e.g. government agencies, community groups, conservations organizations, etc.) as appropriate.”

Conforms

b) availability of certification report summary

Appendix 10 to the Belgian Forest Certification Scheme: Additional Requirements related to Competent Bodies states that:

“The Certification Body shall write a summary of the certification report, including a summary of findings on the auditee’s conformity with the forest management standard.”

“The mandators shall:

- *validate the summary of the certification report,*
- *make it available to the public (e.g. Publication on the Website)”*

Conforms

Board of Directors decision

The Board of Directors **notes the compliance** of the Belgian Forest Certification Scheme with the PEFC Council requirements for public consultation in the certification audit and public availability of the certification report of Annex 6, chapter 4.

Documentation available:

- Appendix 10 to the Belgian Forest Certification Scheme: Additional Requirements related to Competent Bodies

4. Brazil

a) public consultation in the certification audit

Chapter 9.4.3 of the Criteria for the Accreditation of a Forest Management Certification Body in Accordance with NBR 14789 and/or 15789

“After the review of the application for certification, the OCF shall establish a previous consultation and advertisement mechanism to the parties concerned with the certification process that must comprise:

- a) elaboration of a list of the regional, national and, when applicable, international concerned parties pointed by the organization and OCF;*
- b) previous consultation to the concerned parties about the certification process, involving, at least, the parties described in the list mentioned in item a) and establishing a time period, not under 30 days, for comments;*
- c) procedure establishment for certification process clarification and treatment for demands coming from the previous consultation.*

Conforms

b) availability of certification report summary

Annex C to the Criteria for the Accreditation of a Forest Management Certification Body in Accordance with NBR 14789 and/or 15789

“As one of the instruments used to promote transparency in the certification process to society, the OCF shall make the summary report of the organization's forest management audit available to the public and inform the interested parties about it”

Conforms

Board of Directors decision

The Board of Directors **notes the compliance** of the CERFLOR Brazil Forest Certification Scheme with the PEFC Council requirements for public consultation in the certification audit and public availability of the certification report of Annex 6, chapter 4.

Documentation available:

- NIT DICOR No. 053 Criteria for the Accreditation of a Forest Management Certification Body in Accordance with NBR 14789 and/or 15789

5. CSA Canada

a) public consultation in the certification audit

Z809-02: Sustainable Forest Management: Requirements and Guidance includes in chapter 5.2 that

“The organization shall

a) openly seek representation from a broad range of interested parties, including DFA-related workers, and invite them to participate in developing the public participation process;

b) provide interested parties with relevant background information.”

CSA scheme refers to Guide 66 (section 5.3) and the IAF Guidance on the application of Guide 66 (5.3.18) which outline the objectives of the audit (e.g. adheres to their own policies, procedures, objectives). In order to collect the objective evidence to substantiate these requirements the audit team must consult with the public - the public advisory groups hold the validation that a company has implemented and is living up to the requirements of section 5 of the Z809 standard. Collecting the objective evidence from the source is the basis of independent auditing and is the established practice in Canada for auditing to Z809.

Conforms

b) availability of certification report summary

Z809-02: Sustainable Forest Management: Requirements and Guidance in chapter 7.4.3.1

“The organization shall

e) make the results of independent certification and surveillance audit reports publicly available”.

Conforms

Board of Directors decision

The Board of Directors **notes the compliance** of the CSA Forest Certification Scheme with the PEFC Council requirements for public consultation in the certification audit and public availability of the certification report of Annex 6, chapter 4.

Documentation available:

- Z809-02: Sustainable Forest Management: Requirements and Guidance
- CSA scheme application for the PEFC endorsement

6. Chile

a) public consultation in the certification audit

The Certfor Chile System Manual (October 2005), chapter 8 requires that:

“Once a contract has been signed between an applicant and the certification body, chosen by the applicant, the certification body designates the audit team. Both parties then agree on a date for the stakeholders and enquire about the final audit. At least thirty days before the final audit begins, a public consultation process has to be initiated.

The public consultation process is carried out by the certification body, in charge to contact all the stakeholders and enquiry about the applicant. A public consultation form and a public consultation summary form have been defined. The public consultation report shall be included in the future public certification audit report.”

Conforms

b) availability of certification report summary

The Certfor Chile System Manual (October 2005), chapter 8 requires that:

“When the audit report has been submitted to the peer review and its suitability has been evaluated, the certification body will inform CertforChile about the positive certification decision. The certification body will send a public version of the audit report1, including a summary of the comments obtained from the stakeholders consultation process. This report will be published by CertforChile in its website (www.certfor.org) and will be able for any person who wants to consult it.

Certification bodies may also publish the certification reports, by the means they consider convenient.”

Conforms

Board of Directors decision

The Board of Directors **notes the compliance** of the Certfor Chile Forest Certification Scheme with the PEFC Council requirements for public consultation in the certification audit and public availability of the certification report of Annex 6, chapter 4.

Documentation available:

- The Certfor Chile System Manual (October 2004)

7. Czech Republic

a) public consultation in the certification audit

Corrigendum 1 to CFCS 1003:2000 (Guidelines for Forest Management Auditing within the Czech Forest Certification System) includes additional text to chapter 10 of CFCS 1003:2000:

“Audit includes also assessment of information of other external sources (e.g. public bodies, civic associations, non-governmental ecological organisations, etc.) if they are available and relevant owing to the audit scope. A certification body makes decisions on applicability and relevance of such information.”

Conforms

b) availability of certification report summary

Corrigendum 1 to CFCS 1003:2000 (Guidelines for Forest Management Auditing within the Czech Forest Certification System) includes additional text to chapter 10 of CFCS 1003:2000:

Summary final report elaborated by a certification body is available to the public at the premises of an applicant for regional certification.

Conforms

Board of Directors decision

The Board of Directors **notes the compliance** of the Czech Forest Certification Scheme with the PEFC Council requirements for public consultation in the certification audit and public availability of the certification report of Annex 6, chapter 4.

Documentation available:

- Corrigendum 1 to CFCS 1003:2000 (Guidelines for Forest Management Auditing within the Czech Forest Certification System)

8. Denmark

a) public consultation in the certification audit

The Danish PEFC Certification Scheme for Sustainable Forest Management (revision 2), chapter 4, bullet point c includes:

“The assessment of the property/industry/umbrella organisation produces the following:

- the audit team shall in their assessment include relevant information from external parties as appropriate. “

Conforms

b) Availability of certification report summary

The Danish PEFC Certification Scheme for Sustainable Forest Management (revision 2), chapter 4, bullet point c includes:

“The assessment of the property/industry/umbrella organisation produces the following:

- An executive summary containing important results shall be made available to the public.”

Conforms

Board of Directors decision

The Board of Directors **notes the compliance** of the Danish Forest Certification Scheme with the PEFC Council requirements for public consultation in the certification audit and public availability of the certification report of Annex 6, chapter 4.

Documentation available:

- The Danish PEFC Certification Scheme for Sustainable Forest Management (revision 2)

9. Finland

a) public consultation in the certification audit

FFCS 1004:2005 Qualification criteria for auditors and certification bodies, and certifying procedures, chapter 7.2.1 states that:

“The audit evidence to determine the conformity with the forest management standard shall include relevant information from external parties (e.g. government agencies, community groups, conservations organizations, etc.) as appropriate.”

Conforms

b) availability of certification report summary

FFCS 1004:2005 Qualification criteria for auditors and certification bodies, and certifying procedures, chapter 7.2.1 states that:

“A summary of the certification report, including a summary of findings on the auditee’s conformity with the forest management standard, written by the certification body, shall be made available to the public by the Finnish Forest Certification Council.”

Conforms

For both requirements FFCS requires that:

“The requirements for public consultation and public availability of the certification report’s summary shall be implemented at all operational levels within six months of the official adoption of this document. For certificates, which have been issued before the adoption of these requirements by national forest certification schemes, these requirements shall be implemented by the next surveillance audit.”

FFCS report on the compliance with the PEFC requirements also provides statements of two certification bodies operating under FFCS:

SFS-Inspecta Certification Oy / lead auditor Mr. Olli Eeronheimo (6 October 2005): *“The regional Certification Committees provide us with written statements from regional environment centres, the Plant Production Inspection Centre (KTTK), the Sami Parliament (Lapland only) as well as the relevant trade unions and employers’ organisations on the relevant forest certification criteria. In addition we visit the regional environment centres during the certification audit and in surveillance audits. We also visit the Reindeer Herders’ Association annually and some Reindeer Herding Cooperatives during the certification period (for reindeer herding area only). We follow the newsletters of environmental NGOs and take up the relevant issues during the audits with relevant organisations. In case we receive expressions of concern from organisations or individuals, these will be dealt with during the audits as well.”*

DNV Certification Oy/Ab / lead auditor Mr. Rolf Arnkil (10 October 2005): *“Among other organisations we visit Regional Environment Centres to get their views. As part of our audit process we visit also Regional Nature Conservation Districts, which form a regional network of the Finnish Association for Nature Conservation (FANC). The regional Forest Certification Committees have a duty to inform us about critics they*

possibly have received. It is our practise to take into account all the material that is delivered to us by stakeholders from outside of the forest certification group. At the moment we have no auditees in Lapland/Sami area”

Board of Directors decision

The Board of Directors **notes the compliance** of the Finnish Forest Certification Scheme with the PEFC Council requirements for public consultation in the certification audit and public availability of the certification report of Annex 6, chapter 4.

Documentation available:

- FFCS report on the compliance with the PEFC requirements
- FFCS 1004:2005 Qualification criteria for auditors and certification bodies, and certifying procedures

10. France

a) public consultation in the certification audit

The following paragraph has been adopted in Annex 1 (FRENCH SYSTEM FOR SUSTAINABLE FOREST MANAGEMENT CERTIFICATION) paragraph 4.3.1.2 Evaluation process:

“The audit evidence to determine the conformity with the forest management standard shall include relevant information from external parties as appropriate (government agencies, local authorities, community groups, conservations and consumers organisations...)”

Conforms

b) Availability of certification report summary

Another paragraph has been adopted in Annex 1 (FRENCH SYSTEM FOR SUSTAINABLE FOREST MANAGEMENT CERTIFICATION) paragraph 4.3.1.3 Report:

“A summary of the certification report, including a summary of findings on the auditee’s conformity with the forest management standard, written by the certification body, shall be made available to the public by the auditee.”

Conforms

Board of Directors decision

The Board of Directors **notes the compliance** of the French Forest Certification Scheme with the PEFC Council requirements for public consultation in the certification audit and public availability of the certification report of Annex 6, chapter 4.

Documentation available:

- Annex 1 (FRENCH SYSTEM FOR SUSTAINABLE FOREST MANAGEMENT CERTIFICATION)

11. Germany

a) public consultation in the certification audit

The German Forest Certification System – System Description, chapter 7.6.2.1 states that:

“The audit will occur under the following aspects: ...the consideration of relevant information from external parties as appropriate.”

The conformity with the requirement is also stated in the final re-assessment report prepared by Savcor Indufor.

Conforms

b) availability of certification report summary

Appendix IV, chapter 3e) states that:

“The PEFC secretariat will be informed about the details of the examinations on request and will get a copy of the audit report for information and for publication in extracts on the website.”

The conformity with the requirement is also stated in the final re-assessment report prepared by Savcor Indufor.

Conforms

Board of Directors decision

The Board of Directors **notes the compliance** of the German Forest Certification Scheme with the PEFC Council requirements for public consultation in the certification audit and public availability of the certification report of Annex 6, chapter 4.

Documentation available:

- German Forest Certification System – System Description
- Appendix IV to German Forest Certification System – System Description
- Final re-assessment report from Savcor – Indufor

12. Italy

a) public consultation in the certification audit

Addendum to ITA 1003 (rev. 10) CB Accreditation and Auditor Qualification for SFM and CoC states that:

“The audit evidence to determine the conformity with the forest management standard shall include relevant information from external parties (e.g. government agencies, community groups, conservations organizations, etc.) as appropriate.

Conforms

b) availability of certification report summary

Addendum to ITA 1003 (rev. 10) CB Accreditation and Auditor Qualification for SFM and CoC states that:

“A summary of the certification report, including a summary of findings on the auditee’s conformity with the forest management standard, written by the certification body, shall be made available to the public by the auditee”.

Conforms

Board of Directors decision

The Board of Directors **notes the compliance** of the Italian Forest Certification Scheme with the PEFC Council requirements for public consultation in the certification audit and public availability of the certification report of Annex 6, chapter 4.

Documentation available:

- Addendum to ITA 1003 (rev. 10) CB Accreditation and Auditor Qualification for SFM and CoC

13.Latvia

a) public consultation in the certification audit

Chapters 6.2.1 of the Qualification Criteria for Auditors and Certification Bodies, and Certifying Procedures (June 2005 version) includes:

“The audit evidence to determine the conformity with the forest management standard shall include relevant information from external parties (e. g. government agencies, community groups, conservations organizations, etc.) as appropriate.”

Conforms

b) availability of certification report summary

Chapters 6.2.1 of the Qualification Criteria for Auditors and Certification Bodies, and Certifying Procedures (June 2005 version) includes:

“A summary of the certification report, including a summary of findings on the auditee’s conformity with the forest management standard, written by the certification body, shall be made available to the public by PEFC Council of Latvia.”

Conforms

Board of Directors decision

The Board of Directors **notes the compliance** of the Latvian Forest Certification Scheme with the PEFC Council requirements for public consultation in the certification audit and public availability of the certification report of Annex 6, chapter 4.

Documentation available:

- Qualification Criteria for Auditors and Certification Bodies, and Certifying Procedures (version June 2005)

14. Luxembourg

a) public consultation in the certification audit

LFCS 1004:2005, chapter 6: Certification procedure states that:

The audit team designated by the certification body collects evidences on which the conformity with the criteria is evaluated. The audit evidence to determine the conformity with the forest management standard includes relevant information from external parties (e.g. government agencies, community groups, conservation organisations, etc.) as appropriate.

Conforms

b) availability of certification report summary

LFCS 1001:2005, chapter 5.1.2, the regional entity states that:

“(The regional entity has) to make the summary of the certification report, written by the certification body, available to the public.

LFCS 1004:2005, chapter 6: Certification procedure states that:

A summary of the certification report, including a summary of findings on the auditee’s conformity with the forest management standard, is written by the certification body. This summary report is made available to the public by the auditee.

Conforms

Board of Directors decision

The Board of Directors **notes the compliance** of the Luxembourg Forest Certification Scheme with the PEFC Council requirements for public consultation in the certification audit and public availability of the certification report of Annex 6, chapter 4.

Documentation available:

- LFCS 1001:2005 Description of the Luxembourg Certification Scheme for Sustainable Forest Management
- LFCS 1004:2005 Requirements fro Qualification of Auditors and Certification Bodies

15. Norway

PEFC Norway has submitted a letter 13 October 2005 which informs about the implementation of changes of Annex 6, chapter 4:

“The Board of PEFC Norway decided on 1 April 2005 to support the change in Annex 6, chapter 4 of the PEFC Council Technical Documents and decided to vote in favour of the changes in the postal ballot in April. The Board at the same time decided unanimously to comply with the new rules and implement them as soon as they were put into force by the PEFC Council. The certification and accreditation bodies in Norway were constantly informed and kept up to date accordingly.”

As an evidence of compliance, the PEFC Norway submitted a letter to Norwegian accreditation body (Norsk Akkreditering) which informs about the changes to certification procedures and asks NA to implement the changes in accordance with the Norwegian forest certification arrangement.

a) public consultation in the certification audit

Conforms

b) availability of certification report summary

Conforms

Board of Directors decision

The Board of Directors **notes the compliance** of the Norwegian Forest Certification Scheme with the PEFC Council requirements for public consultation in the certification audit and public availability of the certification report of Annex 6, chapter 4.

Documentation available:

- Letter from PEFC Norway to the PEFC Council dated on 13 October 2005
- Letter from PEFC Norway to NA (Norsk Akkreditering) and certification bodies of 13 October 2005

16. Portugal

CFFP (PEFC Portugal Governing Body) submitted a Summary Report on the compliance with the changes in Annex 6 and revised CFFP Technical Document No.2003.02.

a) public consultation in the certification audit

CFFP Technical Document No.2003.02 includes the following requirements concerning the public consultation during the certification audit:

Chapter 4.3.2: *“(2) A public consultation of the forest management system is conducted and the views of external parties collected as audit evidences as appropriated”*

Chapter 5: *“In addition to these points the certifying bodies should, as well, have established procedures for:*

- *Organization and structuring of public consultation process, considering that these must be previously planned and prepared, to guaranteeing that relevant information from external parties is included as audit evidence as appropriated;”*

Conforms

b) availability of certification report summary

CFFP Technical Document No.2003.02 includes the following requirements concerning the public availability of the certification report summary:

Chapter 4.1: *“The documentation shall include specific information about the public consultation process which has to be performed during the certification auditing and information about the mandatory requirement by which CFFP is obliged to make available to the public the certifying body summary report of findings on the auditee’s forest management system conformity.”*

Chapter 4.3.5: *“Once a certificate is issued to the applicant a copy must be sent to CFFP secretariat as well the summary report of the forest certification auditing process.”*

Chapter 5 *“In addition to these points the certifying bodies should, as well, have established procedures for:*

- *Information direct to the CFFP about the summary report of the sustainable forest system certification auditing;”*

Conforms

Board of Directors decision

The Board of Directors **notes the compliance** of the Portuguese Forest Certification Scheme with the PEFC Council requirements for public consultation in the certification audit and public availability of the certification report of Annex 6, chapter 4.

Documentation available:

- CFFP Summary Report on the compliance with the Annex 6 requirements
- CFFP Technical Document No.2003.02

17. SFI USA

a) public consultation in the certification audit

SFI Audit Procedures and Qualifications (SFI APQ), chapter 6.2 states that:

“Evidence shall be compiled by examination of operating procedures, study of materials relating to forestry practices, and on-the ground examination of field performance, and through meetings with employees and other third parties (e.g. government agencies, community groups, conservation organisations), as appropriate to determine the conformance with the standard.”

Conformity with the requirement has also been stated in the ITS Global Assessment report (October 2005).

Conforms

b) availability of certification report summary

SFI Audit Procedures and Qualifications (SFI APQ), chapter 8.1 states that:

“A Program participant that wishes to make any public claims or statements about SFI certification, recertification, or surveillance audit shall provide a report to the SFB not less than two weeks before making the report public. The public report will be posted on the SFB website and available for public review.”

Conformity with the requirement has also been stated in the ITS Global Assessment report (October 2005).

Conforms

Board of Directors decision

The Board of Directors **notes the compliance** of the SFI Forest Certification Scheme with the PEFC Council requirements for public consultation in the certification audit and public availability of the certification report of Annex 6, chapter 4.

Documentation available:

- SFI APQ
- Evaluation report of ITS Global (October 2005)

18. Slovakia

a) public consultation in the certification audit

SFCS 1001:2004: Forest Management Certification: Certification System Description, chapter 6.1.5 states requirements for the report on the State of Forest Management in the Region and requires:

“The report is prepared and consequently approved by the applicant for regional certification. The applicant is obliged to provide information and statements from all involved authorities including bodies of state administration, municipalities, trade unions and nongovernmental organisations in order to facilitate the assessment confirming the conformity of forest management with the criteria and indicators defined in SFCS 1002:2004.

Conforms

b) availability of certification report summary

SFCS 1005:2005 Requirements for Certification Bodies Conducting Forest Certification and Chain of Custody of Wood, chapter 4.1f) states that:

“(Task of the certification bodies include:) f) publication of the summary audit data on the websites of certification body, applicant, National Governing Body of SFCS.”

Conforms

Board of Directors decision

The Board of Directors **notes the compliance** of the Slovak Forest Certification Scheme with the PEFC Council requirements for public consultation in the certification audit and public availability of the certification report of Annex 6, chapter 4.

Documentation available:

- SFCS 1001:2004: Forest Management Certification: Certification System Description
- SFCS 1005:2005 Requirements for Certification Bodies Conducting Forest Certification and Chain of Custody of Wood

19.Spain

a) public consultation in the certification audit

“General Procedure for Implementing the Changes in Annex 6 dated 11.4.2005” states that:

“As from the 11 October 2005, it will be a requirement of the Spanish Forest Certification System that all certified entities, or those currently involved in certifying the Sustainable Forest Management of the timberlands they manage, shall act as custodians of all the remarks, comments or opinions they receive relating to compliance with the Criteria and Indicators set out in UNE standard 162.002 on sustainable Forest Management.

All such remarks, comments or opinions which to be more clearly interpreted need to refer to the criteria or indicators in the above-mentioned UNE standard, shall be made available to the external auditing team to be assessed and considered as part of the independent third party certification process.”

Conforms

b) availability of certification report summary

“General Procedure for Implementing the Changes in Annex 6 dated 11.4.2005” states that:

“Once the audit process has been successfully completed, the audited entity (forest manager) shall publish a Summary of the Certification Report, provided by the certifying entity, to include the main process data, as well as a list of the persons or companies that have made remarks thereto.

Should the auditee entity (forest manager) so wish, he/she may make use of the PEFC España website to publish this Summary of the Certification Report or else send it out to those entities that may request it.”

Conforms

Board of Directors decision

The Board of Directors **notes the compliance** of the Spanish Forest Certification Scheme with the PEFC Council requirements for public consultation in the certification audit and public availability of the certification report of Annex 6, chapter 4.

Documentation available:

- “General Procedure for Implementing the Changes in Annex 6 dated 11.4.2005”

20.Sweden

a) public consultation in the certification audit

Guidance document: Swedish PEFC Guidelines on Freedom of Information includes in chapter:

“The audit evidence to determine the conformity with the forest management standard shall include relevant information from external parties (e.g. government agencies, community groups, conservation organisations etc.) as appropriate“

Conforms

b) availability of certification report summary

Guidance document: Swedish PEFC Guidelines on Freedom of Information includes in chapter 4:

“The certification body shall agree with the certified organization on where the summary is to be published and if the document should be translated into languages other than Swedish. The summary is to be published on the certification body’s website or the organization’s own website and should remain available there for at least one year.”

Conforms

Board of Directors decision

The Board of Directors **notes the compliance** of the Swedish Forest Certification Scheme with the PEFC Council requirements for public consultation in the certification audit and public availability of the certification report of Annex 6, chapter 4.

Documentation available:

- Guidance document: Swedish PEFC Guidelines on Freedom of Information

21.Switzerland

a) public consultation in the certification audit

The Swiss Q-label governing body has not provided any evidence on the compliance of the Swiss Q-label scheme with the requirement for public consultation in the certification audit.

Does not conform

b) availability of certification report summary

The letter from Swiss Q-label governing body of 30 June 2005 states that:

“The Swiss certification system is based on the standards ISO 14024 and EN 45011. IN the basic requirements (Dachreglement) (enclosed), for certifications in the Swiss Q/PEFC-System, we have formulated, that the certification body has to express conformity with the requirements by a “certificate”. This is, following the ISO-rules, the official document for the public. (Following EN 45011, records audit reports of the certification body must be kept confidential.)

With the “certificate” our system is in accordance to the new clause 4 in Annex 6.”

No additional evidence has been submitted.

Does not conform

as neither ISO 14024 nor EN 45011 covers the requirements of Annex 6, chapter 4

Board of Directors decision

The Board of Directors **suspends the endorsement** of the Swiss Q-label certification scheme as not complying with the PEFC Council requirement for public consultation in the certification audit (Annex 6, chapter 4) and public availability of certification reports summary until sufficient evidence has been submitted to the Board of Directors that the compliance has been attained and the Board approves it.

Documentation available:

- A letter from Swiss Q-label governing body of 30 June 2005

22.UK

c) public consultation in the certification audit

UK Certification Scheme for Sustainable Forest Management, Chapter 7.2 Stakeholder Consultation states that:

*“As part of the UKCSSFM’s commitment to accountability to, and participation by the UK forestry community and other legitimate stakeholders, an integral part of the UKCSSFM’s forest management certification process is **stakeholder** consultation.*

In UK Forestry, public “stakeholder” consultation is a process already widely engaged in by forest owners and managers as a condition of entry into UK Government forestry incentive schemes such as the Woodland Grant and Scottish Forestry Grant schemes. IN the context of forest management certification under the UKCSSFM, stakeholder consultation is thus a natural extension of the type of consultation already embarked upon by many woodland owners/managers as an integral part of normal forest management practice.

A requirement for stakeholder consultation is explicitly stated within the UK Woodland Assurance Standard (ref. Part 7 Consultation Para 7.1.1.) and is thus the direct responsibility of the certification applicant. Under the UKCSSFM, it will thus be the responsibility of the certification body – as part of the main certification assessment – to verify that an appropriate level of stakeholder consultation has been carried out by the auditee in accordance with the certification standard. The assessment will include verification that the auditee has provided an opportunity for, and where appropriate has taken account of, inputs from stakeholders with regard to the applicant’s forest management. The certification body may initiate and take account of additional input from stakeholders during the course of the assessment where it deems appropriate.”

Conforms

d) availability of certification report summary

UK Certification Scheme for Sustainable Forest Management, Chapter 7.3 Public Summary Report states that:

*“A guiding principle of the UKCSSFM is to provide transparency of both the scheme and the certification process to help to underpin consumer confidence in certification as a whole. Accordingly, PEFC UK Ltd will require those certification bodies registered to participate in the Scheme to produce a “Public Summary Report”. This will take the form of an executive summary of the Certification Report, containing key information and the results of the main assessment **except for material that is in commercial confidence**. The Public Summary Report will be made publicly available by both PEFC UK Ltd and the relevant certification body.”*

Conforms

Board of Directors decision

The Board of Directors **notes the compliance** of the UK Certification Scheme for Sustainable Forest Management with the PEFC Council requirements for public consultation in the certification audit and public availability of the certification report of Annex 6, chapter 4.

Documentation available:

- UK Certification Scheme for Sustainable Forest Management document

Part B: Changes to Standard Setting Procedures (October 2004) relating to CPET Criterion 1.3.3

Introduction

The General Assembly in October 2004 decided to amend the PEFC requirements for standards setting (Annex 2) which allowed PEFC Council to receive a scoring of 1 out of 2 for CPET criterion 1.3.3.

These requirements have to be implemented in all standard setting processes after October 2004 and assessment of compliance is a part of PEFC's endorsement process.

Schemes endorsed after October 2004

Since October 2004 the PEFC Council has endorsed six schemes, namely CSA, Portugal, Luxembourg, Slovak, Cerflor Brazil and SFI forest certification schemes. Decision on the endorsement of those schemes has been made by the PEFC General Assembly based on the assessment carried out by an independent consultant, which scope also covered PEFC Council requirements for standard setting (Annex 2). Full evaluation reports on those schemes providing evidence on the scheme compliance are publicly available at the PEFC Council official website (www.pefc.org).

Schemes endorsed before October 2004

Schemes which have been endorsed by the PEFC Council before October 2004 are currently in different stages of the five years cycle of the development, approval, implementation/usage and revision of forest management standards. The PEFC Council requirements for standard setting process have to be applied in the forest management standards revision process and assessment of compliance with those requirements is a part of a scheme re-endorsement process, which follows the revision process.

- scheme already re-endorsed

Since October 2004 the Finnish Forest Certification Scheme and the German Forest Certification Scheme have been re-endorsed. Full evaluation reports on the Finnish and German schemes are publicly available at the PEFC Council official website (www.pefc.org).

As both Finnish standard revision process as well as the submission of the application for the PEFC re-endorsement had taken place before October 2004 (March 2004), the new requirements for standard setting have been taken into consideration during the assessment but could not create basis for the PEFC decision making process. Full evaluation reports on the Finnish scheme is publicly available at the PEFC Council official website.

- schemes undergoing the re-endorsement process

Swedish, Austrian and Norwegian schemes are currently undergoing the assessment carried out by independent consultants. The October 2004 requirements for standard setting (Annex 2) are covered by the scope of the assessment and the PEFC Council

decision will be done based on the evidence of compliance with the evaluation report and PEFC regulations.

- **all PEFC schemes**

In addition to the schemes currently undergoing the PEFC endorsement process, the PEFC Council has, outside its mandatory requirements and procedures, strongly encouraged all PEFC endorsed schemes to immediately adopt or revise their standard setting procedures and to make them publicly available as their commitment to follow the current PEFC requirements for standard setting (Annex 2) when the revision of their forest management standards takes place.