

Guidelines PEFC Council Minimum Requirements Checklist	Revised on 4 February 2010	GL 2/2010
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PEFC COUNCIL MINIMUM REQUIREMENTS CHECKLIST

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.	YES	Appendix 8
			Process	YES	See Development report
2	Has the standard setting process been carried out at national and/or sub-national levels?	Annex 2, 3.3	Doc.	YES	Appendix 8, at national level
			Process	YES	See Development report
3.	Has the standard setting process been co-ordinated by the PEFC National Governing Body? [*1]	Annex 2, 3.3	Doc.	YES	Appendix 8
			Process	YES	See Development report
4.	Has the certification standard been drafted to be applied at individual and/or group and/or regional level?	Annex 2, 3.3		YES	Appendix 8; System description, Ch. 2.6
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		YES	Appendix 8
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.	YES	Appendix 8
			Process	YES	See Development report
7.	Do consensus-building procedures of the Forum provide for balanced representation of interest categories? [*2]	Annex 2, 3.4.1	Doc.	YES	Appendix 8
			Process	YES	See Development report

No.	Question	Reference to PEFC Council doc.	Assess. basis*	YES /NO*	Reference to application documents
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.	YES	Appendix 8
			Process	YES	See Development report
9.	Has the formal approval of standards been based on evidence of consensus? [*3]	Annex 2, 3.4.1	Doc.	YES	Appendix 8
			Process	YES	See Development report
10.	Does the implementation of the consensus based approach comply with Guideline GL 5/2006	GL 5/2006	Doc.	YES	Appendix 8; Appendix 6 - Statutes
			Process	YES	See Development report
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.	YES	Appendix 8
			Process	YES	See Development report
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.	YES	Appendix 8; Appendix 6 – Statutes; Appendix 9 – Procedure of Arbitration
			Process		No complaints received
13.	Has the start of the standard setting process been communicated to the public? [*3]	Annex 2, 3.4.2	Doc.	YES	Appendix 8
			Process	YES	See Development report
14.	Has the information on the development process been distributed and discussed? [*3]	Annex 2, 3.4.2	Doc.	YES	Appendix 8
			Process	YES	See Development report
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.	YES	Appendix 8
			Process	YES	See Development report
16.	Has the final draft standard been sent out for formal national consultation process? [*3]	Annex 2, 3.4.3	Doc.	YES	Appendix 8
			Process	YES	See Development report
17.	Have views of interested parties been discussed? [*3]	Annex 2, 3.4.3	Doc.	YES	Appendix 8
			Process	YES	See Development report
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.	YES	Appendix 8
			Process	YES	See Development report
19.	Had the consultation been at least 60 days? [*3]	Annex 2, 3.4.3	Doc.	YES	Appendix 8
			Process	YES	See Development report
Standards for chain of custody certification (only if the scheme includes a scheme specific C-o-C standard)					
No scheme specific C-o-C standard but adoption of International C-o-C standard as Normative document Appendix 4 (refer to System Description, Ch. 2.4)					
Pilot testing					
Not relevant because this was the 2 nd revision of the Austrian PEFC scheme without any major changes					

No.	Question	Reference to PEFC Council doc.	Assess. basis*	YES /NO*	Reference to application documents
which would have made a pilot testing necessary.					
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.	YES	Appendix 8; System description Ch. 2.1 and 2.5.2
			Process	YES	The Austrian PEFC scheme was re-endorsed in October 2006
38.	Does the scheme documentation indicate which organisation is responsible to initiate the revision work?	Annex 2, 6.1		YES	Appendix 8
39.	Has the revision procedures been participatory, fair and transparent? [*8]	Annex 2, 6.1		YES	Appendix 8; System description Ch. 2.5.2; Development Report
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		YES	Appendix 8; System description Ch. 2.1 and 2.2; Development Report
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		YES	

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, 3.6	YES	System Description Appendix 1
2	Do the criteria clearly express the objectives for forest management that can be unambiguously verified by different auditors?	Annex 3, 3.6	YES	Appendix 1 and 2
3	Are management and performance requirements applicable at the level of a forest management unit?	Annex 3, 3.6	YES	Appendix 1 and 2
4	Are management and performance requirements applicable optionally also at group and regional levels? [*1]	Annex 3, 3.6	YES	Appendix 1 and 2
Other requirements for forest management criteria				
5	Does the scheme require that property rights and land tenure arrangements shall be clearly defined, documented and established for the relevant forest area?	Annex 3, 3.5	YES	System Description Ch. 3.1.1.6, 4.1.2.5; Appendix 1; Appendix 10; Appendix 15
6	Does the scheme require the clarification, recognition and respect of legal, customary and traditional rights related to the forest land in compliance with chapter 3.5 of Annex?	Annex 3, 3.5	YES	System Description Ch. 3.1.1.6, 4.1.2.5; Appendix 1; Appendix 10; Appendix 15
7	Does the scheme require that a summary of the forest management plan or its equivalent, which contains information about the forest management measures to be applied, is publicly available, except for confidential business and personal information?	Annex 3, 3.5	YES	System Description Ch. 3.1.1.1, 4.1.2.1, 3.1.1.2 and 4.1.2.2; Appendix 1: 3.4
Laws and regulations				
8	Are the national certification criteria in compliance with national laws programmes and policies?	Annex 3, 3.2, 3.6	YES	System description ch. 2.5.1 Appendix 1: ch. 1 Appendix 2: ch. 1
9	Are the references to national laws, programs	Annex 3, 3.6	YES	Appendix 1: ch.1

No.	Question	Reference to PEFC Council doc.	YES / NO*	Reference to scheme documentation
	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?			Appendix 2: ch.1 Appendix 10: first chapter Appendix 15
10	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	YES	System description ch. 3.1.1.6, 4.1.2.5; Appendix 10 and 15
ILO Conventions				
11	Are the Fundamental ILO Conventions ratified by the country and implemented through the legislative framework?	Annex 3, 3.3	YES	
12	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	YES	All fundamental ILO Conventions ratified by Austria
13	Has the ILO Code of Practise on Safety and Health in Forestry Work been considered in development of national and regional certification criteria?	Annex 3, 3.3	YES	Appendix 2, Ch. 7.4; Ensured by membership of labour unions in PEFC Austria General Assembly (App. 6)
Other international conventions				
14	Are the international conventions relevant to forest management and ratified by the country respected through the legislative framework?	Annex 3, 3.4	YES	System description ch. 2.5.1 App. 1: Ch. 1 App. 2: Ch. 1
15	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	YES	App. 1: Ch. 1 App. 2: Ch. 1
Level of application – general				
16	Are the applicants, the certified areas and participating forest owners/managers/others actors clearly identified in the scheme documentation?	Annex 3, 4.1	YES	System Description: Ch. 2.6.1, 2.6.2, 3.1.1, 3.1.1.1, 3.1.1.5, 3.1.2, 4.1.2;
17	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	YES	System description: Ch. 2.6.2; 3.1.2.1. App. 7; App. 7.1
18	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	YES	System Description, Ch. 3.1.2.1.1
Level of application – regional certification (only for schemes which include regional certification)				
19	Does the national definition of regional certification comply with the PEFC Council definition?	Annex 3, 4.1, a	YES	System description ch. 2.6.1

No.	Question	Reference to PEFC Council doc.	YES / NO*	Reference to scheme documentation
20	Does the forest certification standard include criteria for the regional and also for forest management unit level?	Annex 3, 4.1, a	YES	System description ch. 2.6, 3, 4; Appendix 1
21	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	YES	System description ch. 3.1.1.6; App. 1; App. 10
22	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	YES	System description ch. 3.1.1.6; App. 10
23	Does the scheme documentation require that the applicant organisation shall be a legal entity?	Annex 3, 4.1, a	YES	System description ch. 3.1.1.; App. 10
24	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	YES	System description ch. 2.6.1 and 3.1.1
25	Does the scheme documentation describe the applicant's responsibility to assure the compliance of all participants with the certification requirements?	Annex 3, 4.1, a	YES	System description ch. 3.1.1.1; 3.1.1.4; 3.1.1.6;
26	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	YES	System description ch. 3.1.1.1;
27	Does the scheme documentation describe the applicant's responsibility to implement rules for regional certification?	Annex 3, 4.1, a	YES	System description ch. 3.1.1.1;
28	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	YES	System description ch. 3.1.1.1;
29	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	YES	System description ch. 3.1.1.1; 3.1.1.4
30	Does the scheme documentation describe that forest management certificate is issued to the applicant (certificate holder)?	Annex 3, 4.1, a	YES	System description ch. 3.2.4

No.	Question	Reference to PEFC Council doc.	YES / NO*	Reference to scheme documentation
31	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	YES	System description ch. 3.1.2.2 Appendix 7 Appendix 7.1
32	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	YES	System description ch. 2.6.1; 3.1.2.1.1; 3.1.2.1.2; Appendix 7 Appendix 7.1
33	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	YES	System description ch. 2.6.1; 3.1.2.1
34	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	YES	System description ch. 2.6.1; 3.1.2.1
Level of application – group certification (only for schemes which include group certification)				
35	Does the national definition for group certification comply with the PEFC Council definition?	Annex 3, 4.1 b	YES	System description ch. 4.1.1
36	Does the scheme documentation clearly define who the applicant is for group certification?	Annex 3, 4.1 b	YES	System description ch. 4.1.2
37	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	YES	System description ch. 4.1.2.1
38	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	YES	System description ch. 4.1.2.1
39	Does the scheme documentation describe the applicant's responsibility to implement the rules for group certification?	Annex 3, 4.1 b	YES	System description ch. 4.1.2.1, 4.1.2.3
40	Does the scheme documentation require that total forest area participating in group certification is recorded?	Annex 3, 4.1 b	YES	System description ch. 4.1.2.1

No.	Question	Reference to PEFC Council doc.	YES / NO*	Reference to scheme documentation
41	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	YES	System description ch. 4.1.2.1
42	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	YES	System description ch. 4.1.2.1
43	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	YES	System description ch. 4.1.2.1, 4.1.2.5
44	Does the scheme documentation describe that the forest management certificate is issued to the applicant (certificate holder)?	Annex 3, 4.1 b	YES	System description ch. 4.2.4
45	Does the scheme documentation describe that participants in group certification shall receive either a copy of the group 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	YES	System description ch. 4.2.4
Level of application – individual certification (only for schemes which include individual certification)				
46	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	YES	System description ch. 4.1.2.1
Implementation of changes to the scheme				
47	Does the scheme documentation define transition period(s) for implementation of changes to the endorsed scheme in compliance with chapter 5 of Annex 3. <i>(This is not applicable to the initial endorsement of a scheme)</i>	Annex 3, 5	YES	System description ch. 1.3
Appeals, complaints and dispute procedures				
48	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	YES	System description ch. 2.8; App. 6 App. 9

No.	Question	Reference to PEFC Council doc.	YES / NO*	Reference to scheme documentation
49	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	YES	System description ch. 2.8; App. 6 App. 9
50	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	YES	System description ch. 2.8.2
51	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	YES	System description ch. 2.8; 2.8.2;
52	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	YES	System description ch. 2.8.2

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	YES	System description ch. 2.5.1
2	Have the Pan European Operational Level Guidelines (PEOLG) formed the reference base when the national and regional criteria were	Annex 3, 3.1.2	YES	System description ch. 2.5.1

No.	Question	Reference to PEFC Council doc.	YES / NO*	Reference to scheme documentation	
	elaborated, amended or revised?				
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		Not applicable	
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	YES	App. 1: 1.1.a – d; 3.4a App. 2: 2.1	
5		PEOLG 1.1.b	YES	App. 1: 3.4.a, 3.4.b App. 2: 4.4	
6		PEOLG 1.1.c	YES	App. 1: 3.4.a, 3.4.b App. 2: 4.4	
7		PEOLG 1.1.d	YES	App. 1: 3.4.a, 3.4.b App. 2: 4.4	
8		PEOLG 1.2.a	YES	App. 1: 1.1.a – d; 1.2.a, 1.2.b; 1.3.a; 2.3.c App. 2: 2.2; 3.3.3	
9		PEOLG 1.2.b	YES	App. 1: 1.2.a, 1.2.b, 1.3.a App. 2: 2.1	
10		PEOLG 1.2.c	YES	App. 1: 1.1.e App. 2: 2.1	
11		Criterion 2: Maintenance of forest ecosystem health and vitality	PEOLG 2.1.a	YES	App. 1: 2.3.d; 3.4.a App. 2: 3.1; 3.2; 4.4; 4.5
12			PEOLG 2.1.b	YES	App. 1: 3.4.b; 2.3.a – c; 2.1.a, 2.1.b; 2.2.a App. 2: 3.1; 3.2; 3.3
13			PEOLG 2.1.c	YES	App. 1: 3.4.a App. 2: 4.4
14	PEOLG 2.2.a		YES	App. 1: 3.5.c; 4.3.a; 4.1.b App. 2: 3.3.3; 4.5.1; 5.3	
15	PEOLG 2.2.b		YES	App. 1: 2.3.a; 3.5.a; 3.5.b App. 2: 3.3.3; 4.5.1; 4.5.2; 5.1.1	
16	PEOLG 2.2.c		YES	App. 1: 2.3.d App. 2: 3.1; 3.2; 3.3.3	
17	PEOLG 2.2.d		YES	App. 1: 2.3.d App. 2: 3.1; 3.2	
18	Criterion 3: Maintenance and encouragement of productive functions of forests (wood and non-wood)	PEOLG 3.1.a	YES	App. 1: 3.4.a App. 2: 4.1; 4.2; 4.3; 4.4	
19		PEOLG 3.1.b	YES	App. 1: 3.4.a; 3.3.a, 6.1.e App. 2: 4.4	
20		PEOLG 3.1.c	YES	App. 1: 3.4.a; 6.5.a – c App. 2: 4.4; 7.5	
21		PEOLG 3.2.a	YES	App. 1: 6.3.a, 6.3.b; 3.1.a App. 2: 4.5, 7.3	
22		PEOLG 3.2.b	YES	App. 1: 3.5.a – c; 2.3.c App. 2: 3.3; 4.5.2; 5.1.1	

No.	Question	Reference to PEFC Council doc.	YES / NO*	Reference to scheme documentation
23		PEOLG 3.2.c	YES	App. 1: 3.1.a; 3.2.a, 3.2.b; 3.3.a App. 2: 4.2; 4.3
24		PEOLG 3.2.d	YES	App. 1: 3.5.d App. 2: 4.5.4
25	Criterion 4: Maintenance, conservation and appropriate enhancement of biological diversity in forest ecosystems	PEOLG 4.1.a	YES	App. 1: 3.4.a; 4.4.a; 4.4.b; 4.3.a App. 2: 4.4, 5.3, 5.4
26		PEOLG 4.1.b	YES	App. 1: 3.4.a, 3.4.b, 4.4.a, 4.4.b, 4.2.a, 4.3.a App. 2: 4.4, 5.2, 5.3, 5.4
27		PEOLG 4.2.a	YES	App. 1: 3.5.c; 4.1.b App. 2: 4.5.1, 5.1.1
28		PEOLG 4.2.b	YES	App. 1: 4.3.a, 4.1.c, 4.1.d App. 2: 4.5.1; 5.1.1
29		PEOLG 4.2.c	YES	App. 1: 4.1.a, 4.1.d, 4.1.f – i App. 2: 5.1.4
30		PEOLG 4.2.d	YES	App. 1: 3.5.a App. 2: 4.5.3
31		PEOLG 4.2.e	YES	App. 1: 4.1.a – k; 2.3.c App. 2: 3.3.3; 4.5.3; 5.1
32		PEOLG 4.2.f	YES	App. 1: 3.5.d; 4.1.g; 4.1.h App. 2: 4.5.4
33		PEOLG 4.2.g	YES	App. 1: 4.1.k App. 2: 4.5.5
34		PEOLG 4.2.h	YES	App. 1: 4.1.e, 4.1.i App. 2: 5.1.3; 5.1.4
35		PEOLG 4.2.i	YES	App. 1: 4.4.b App. 2: 5.1.4
36	Criterion 5: Maintenance and appropriate enhancement of protective functions in forest management (notably soil and water)	PEOLG 5.1.a	YES	App. 1: 3.4.a; 5.1.a, 5.1.b; 5.2.a, 5.3.a App. 2: 4.4, 6.1, 6.2
37		PEOLG 5.1.b	YES	App. 1: 3.4.b; 5.1.a, 5.1.b; 5.2.a; 5.3.a App. 2: 6.1; 6.2; 6.3
38		PEOLG 5.2.a	YES	App. 1: 3.5.b; 5.1.a; 5.1.b; 5.3.a App. 2: 4.5.5; 6.1; 6.2; 6.3
39		PEOLG 5.2.b	YES	App. 1: 2.3.d; 5.2.a App. 2: 3.3.3; 6.1; 6.2; 6.3
40		PEOLG 5.2.c	YES	App. 1: 3.5.d App. 2: 4.5.4
41	Criterion 6: Maintenance of other socio-economic functions and conditions	PEOLG 6.1.a	YES	App. 1: 3.4.a; 6.1.b – e App. 2: 4.4; 7.1
42		PEOLG 6.1.b	YES	App. 1: 1.1.b; 6.1.a App. 2: 4.4; 7.1
43		PEOLG 6.1.c	YES	App. 1: 6.2.a – c App. 2: 7.2
44		PEOLG 6.1.d	YES	App. 1: 6.6.a, 6.6.b App. 2: 7.6

No.	Question	Reference to PEFC Council doc.	YES / NO*	Reference to scheme documentation
45		PEOLG 6.1.e	YES	App. 1: 3.4.a; 6.3.a – c App. 2: 7.3
46		PEOLG 6.2.a	YES	App. 1 (Part II): 6.1.b App. 2: 7.1 Bullet 1 & 4; 7.3 Bullet 3;
47		PEOLG 6.2.b	YES	App. 1: 6.4.a, 6.4.b App. 2: 7.4
48		PEOLG 6.2.c	YES	App. 1: 3.4.b; 6.5.a – c App. 2: 7.5

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

Not applicable

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

Not applicable

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

Not applicable

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	YES	Appendix 12
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	YES	Appendix 12
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	YES	Appendix 12
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	YES	Appendix 12
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	YES	Appendix 12
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	YES	Appendix 12
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	YES	Appendix 12
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	YES	Appendix 12
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	YES	Appendix 12
Certification procedures				

No.	Question	Reference to PEFC Council doc.	YES / NO*	Reference to scheme documentation
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	YES	Appendix 12
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	YES	Appendix 12 (ISO Guide 65)
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	YES	Appendix 12
13.	Does the scheme documentation require that applied auditing procedures shall fulfil or be compatible with the requirements of ISO 19011?	Annex 6, 4	YES	Appendix 12
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	YES	Appendix 12
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	YES	Appendix 12
16.	Does a maximum period for surveillance audits defined by the scheme documentation not exceed more than one year?	Annex 6, 4	YES	Appendix 12; System Description Ch. 3.2.2, 4.2.2,
17.	Does a maximum period for assessment audit not exceed five years for both forest management and chain of custody certifications?	Annex 6, 4	YES	Appendix 12; System Description Ch. 3.2.3, 4.2.3
18.	Does the scheme documentation include requirements for public availability of certification report summaries?	Annex 6, 4	YES	System Description Ch. 3.1.1.1, 4.1.2.1
19.	Does the scheme documentation include requirements for usage of information from external parties as the audit evidence?	Annex 6, 4	YES	System Description Ch. 3.2.1.3, 4.2.1.3
20.	Does the scheme documentation include additional requirements for certification procedures? [³¹]	Annex 6, 4	YES	System Description Ch. 3.2.1.3, 4.2.1.3
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	Annex 6, 5	YES	Appendix 12

No.	Question	Reference to PEFC Council doc.	YES / NO*	Reference to scheme documentation
	accreditation body?			
22.	Does the scheme documentation require that an accredited certificate shall bear an accreditation symbol of the relevant accreditation body?	Annex 6, 5	YES	Appendix 12
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	YES	Appendix 12
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	YES	Appendix 12
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	YES	Appendix 12
26.	Does the scheme documentation include a mechanism for PEFC notification of certification bodies?	Annex 6, 6	YES	Appendix 12; Appendix 13
27.	Are the procedures for PEFC notification of certification bodies non-discriminatory?	Annex 6, 6	YES	Appendix 13

* 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