

cpet

Central Point of Expertise on Timber

Evaluation of Category A Evidence

Obsolète

Assessment Results
Programme for the
Endorsement of Forest
Certification Schemes

September 2005

This document is provided for historical reference. A more recent report is now available

PEFC 2005

Executive Summary

Date of Current Assessment: September 2005

Date of Previous Assessment: October 2004

Anticipated Date of Next Assessment: 2006

Current Status

Meets requirements for legality.

Meets requirements for sustainability, provided products contain 70% or more material from certified forests.

Changes from last assessment

Now meets requirements for sustainability.

Obsolete

1. Introduction

The UK Government's procurement policy on timber and timber products was announced in July 2000¹. This policy requires all Government departments and their agencies to actively seek to buy timber products from legal and sustainable sources. In 2003 the Government issued a model contract specification for the supply of timber and timber products that required timber to come from legal sources. The model contract also included a variant specification for timber from sustainable sources.

A key requirement of the contract and variant specification is that suppliers must be able to provide evidence to the Government that the wood or wood products they supply are from legal and, if promised by the supplier, sustainable sources. A number of ways were identified for achieving this. One of the most straightforward is to supply products from certified sources², provided that the certification scheme involved delivers the Government's requirements for legality or sustainability. As there are a number of different timber certification schemes available, the Government recognised that it needed a framework for assessing which ones deliver its timber policy, incorporating the requirements contained in the new contract and variant specifications.

Therefore, a study was carried out through the Central Point of Expertise in Timber (CPET) to review the contract and variant specifications and to assess the five certification schemes identified by procurement staff as the most commonly encountered in the UK wood supply chain to establish which of them deliver UK Government requirements for legal and sustainable timber. These five schemes were:

- The Canadian Standards Association scheme (CSA), which is applicable in Canada.
- The Forest Stewardship Council system (FSC), which is international in scope.
- The Malaysian Timber Certification Council scheme (MTCC), which is applicable in Malaysia.
- The Programme for the Endorsement of Forest Certification schemes (PEFC), which is international in scope.
- The Sustainable Forestry Initiative (SFI), which is applicable in the US and Canada.

The results of this study were released through the report *Assessment of Five Forest Certification Schemes, CPET Phase 1 Final Report*, in November 2004. This announced that of the five forest certification schemes assessed against Government contract requirements only two (FSC and CSA) gave assurance of legal and sustainable timber sources. The other three (PEFC, SFI and MTCC) assured legal sources.

¹ http://www.press.dtlr.gov.uk/pns/DisplayPN.cgi?pn_id=2000_0516

² It is important to note that the UK Government has no intention of requiring suppliers to supply only certified products. It is simply one of the ways in which evidence of legality or sustainability can be delivered. Any other adequate form of evidence will be equally acceptable.

Following changes to the PEFC certification scheme, in October 2004 and April 2005, PEFC requested that the scheme should be submitted for re-assessment against the UK Government requirements.

2. The methodology for assessing schemes

2.1 Methodology

The assessment was carried out against the criteria set out in *UK Government Timber Procurement Policy: Criteria for Assessing Certification Schemes, 15 September 2004*.

The assessment was made based on publicly available documentation from the scheme. For each criterion, relevant scheme requirements were identified together with a note of whether these constituted inadequate, partial or full compliance with the criterion. The assessment focussed on changes made to the scheme subsequent to, and in response to, the initial assessment in November 2004.

The draft assessment findings were then sent to the scheme with an invitation to review the findings and, wherever appropriate, to provide further information or comment on the draft findings.

Comments, together with additional information, was submitted by the scheme and discussions were held to clarify particular issues. The draft assessment findings were reviewed on the basis of this additional input and proposed changes to the re-assessment findings were drafted. These proposed changes, together with all of the comments submitted by the scheme, were sent for internal Government review. Based on all the input received from this process, the findings were then finalised, and submitted to DEFRA. Following acceptance by DEFRA, the completed re-assessment findings were sent to the scheme.

2.1.1. Information sources

As discussed above, the assessment for each scheme was carried out based on publicly available documentation from the scheme, together with direct discussions with some scheme personnel. ***No assessment of the actual outcome of certification in the forest was made***, as this was not part of the terms of reference for the assessment. Details on the sources are available in Appendix 1.

2.1.2. Scoring system used

For each scheme compliance with the requirements of each criterion was scored on a 3-point scale:

0: Inadequately addressed and not acceptable.

1: Partially addressed.

2: Fully addressed.

As a result of having only three possible scores, the score of 1 applied to a wide range of situations, but this was considered a better option than trying to divide partial compliance into a number of different levels which carries a significant risk of becoming subjective.

To achieve recognition as delivering requirements for legality the scheme must achieve a score of at least 1 for each criterion applicable to legality.

To achieve recognition as delivering requirements for sustainability the scheme must achieve a score of at least 1 for each criterion applicable to sustainability as well as an overall score equal to 75% of the total possible.

Therefore, a score of zero for any criterion prevents a scheme from being recognised for the category.

2.1.3. Addressing products containing certified and uncertified material

All of the certification schemes examined allow mixing of certified and uncertified raw material in certified products. As a result, two types of certified product exist:

- 100% certified products: these products contain only material which originated in certified forests. For these products it is only necessary to assess the control of certified material.
- Mixed source products: these products contain material from a range of sources including certified forests, uncertified forests and recycled. Therefore, it is necessary to assess the control not only of certified material, but also of uncertified and recycled material to establish whether it meets the contract conditions and variant specification.

Therefore, although the bulk of the analysis deals with the control of certified material, it is also necessary to decide what is adequate control of the uncertified material in a mixed source product. This was determined as follows:

Legal compliance: the requirements of the certification scheme must be adequate to ensure that there is a verifiable system in place to check that all uncertified material is from a legal source. It is recognised that this is less rigorous than the requirements for the certified material and provides less of a guarantee that the material is from a legal source. However, it was considered that this was adequate to demonstrate due diligence provided the certification schemes included mechanisms to enforce the requirement.

Sustainable: the Government variant specifications and the criteria used to assess schemes set out rigorous requirements which must be met in the forest in order to ensure that forest management is sustainable. Therefore, if uncertified material is to be considered as coming from sustainable sources, it is necessary to have in place a system which ensures similarly rigorous requirements are met for the uncertified material. In practice, such requirements exist only for certified material and currently are not met by any scheme for uncertified raw material.

3. Results

The full findings, scores and results for the PEFC assessment can be found in Appendix 1.

3.1. Legal

The assessment indicated that the PEFC system is adequate to ensure that certified forests meet UK Government requirements for legal timber. In addition, the requirements for control of uncertified material in mixed source products are adequate to deliver legality. Therefore, all PEFC-certified products deliver UK Government requirements for legality.

3.2. Sustainable

The assessment indicated that the PEFC system is adequate to ensure that certified forests meet UK Government requirements for sustainable timber. In common with all schemes, uncertified material cannot be guaranteed as coming from sustainable sources. Therefore, PEFC-certified products containing 70% or more material from certified forests deliver UK Government requirements for sustainability.

Obsolète

Appendix 1. Full results of the First Re-assessment for PEFC

This appendix contains the full results of the assessment of the PEFC forest certification scheme against the UK Government criteria.

The results are presented in the form of a table with five columns containing the following information:

- **Criteria:** This sets out the UK Government criteria for assessing forest certification schemes which a scheme must meet.
- **Findings:** This contains notes from the assessment process summarising the objective evidence compiled from the scheme documentation to justify the score given. *It should be noted that the text in this column is in the form of notes to summarise the information to be used in making an assessment and may in some cases be ambiguously or imperfectly worded. It was not designed to replace original scheme wording nor to be quoted in isolation.*
- **Score:** This sets out the score given for the degree of compliance with the scheme with each criterion. See Section 2.2.3 for notes on the scoring system used.
- **L:** A tick in this column indicates that the criterion relates to meeting UK Government requirements for legality.
- **S:** A tick in the column indicates that the criterion relates to meeting UK Government requirements for sustainability.

Source Documents

PEFC Council Technical Document, 29 October 2004.

Annex 1: PEFC Terms and Definitions, 29 October 2004.

Annex 2: Rules for Standard Setting, 29 October 2004.

Annex 3: Basis for Certification Schemes and their Implementation, 29 October 2004.

Annex 4: Chain of Custody of Forest Based Products - Requirements, 29 October 2004.

Annex 5: PEFC Logo Use Rules, 29 October 2004.

Annex 6: Certification and Accreditation Procedures, 11 April 2005.

Annex 7: Endorsement and Mutual Recognition of National Schemes and their Revision, 29 October 2004.

Pan-European Operational Level Guidelines for Sustainable Forest Management.
Annex 2 of the Resolution L2 of the Third Ministerial Conference on the Protection of Forests in Europe, 2-4 June 1998, Lisbon, Portugal.

1. Forest Standards

1.1 Content of standards for legal compliance

Criteria	Findings	Score	L ³	S
1.1.1 The standard requires that the forest owner/manager holds legal use rights to the forest	Adequately addressed by PEOLG Criterion 6.1b which requires that ' <i>Property rights and land tenure arrangements should be clearly defined, documented and established for the relevant forest area. Likewise, legal, customary and traditional rights related to the forest land should be clarified, recognised and respected.</i> '	2	✓	
1.1.2 The standard requires compliance from both the forest management organisation and any contractors with local and national laws and codes of practice including those relevant to: Forest management Environment Labour and welfare Health & safety	Adequately addressed by PEFC Technical Document Clause 4.6 <i>'National certification criteria and certified forest management shall respect the relevant legal requirements ...'</i> Annex 3 Clause 3.2 <i>'National laws, regulations ... shall be respected in forest management and certification. Certification schemes may not contradict legislation and any apparent violations of the legislation shall be taken into consideration in internal and external audits'</i>	2	✓	
1.1.3 The standard requires payment of all relevant royalties and taxes	This is not explicitly addressed in the standard but should be adequately covered by the requirement for legal compliance.	2	✓	
1.1.4 The standard requires compliance with the requirements of CITES.	PEFC Technical Document Clause 4.7 and Annex 3 Clause 3.4 state that ' <i>Other international conventions relevant in forest management and ratified by the country will be respected through the legislative framework... The requirements agreed on in the conventions, even if they are not ratified, will be respected in the certification criteria to the degree they are covered in PEOLG or other reference basis approved by the PEFC Council.</i> ' CITES is then referred to explicitly in each of the above sections. In addition, Annex 4 requires that the ' <i>organisation procuring raw material originating from threatened and endangered species</i>	2	✓	

³ L: required to meet requirements for legal, S: required to meet requirements for sustainable variant

Criteria	Findings	Score	L ³	S
	<i>classified by CITES shall follow all the regulations defined by CITES and other international as well as national legislation' (Clause 3.6.4).'</i>			

1.2 Content of standards for sustainable variant

Criteria	Findings	Score	L	S
<p>1.2.1 Certification standards must be based on a widely accepted set of international principles and criteria defining sustainable or responsible forest management at the forest management unit level, such as:</p> <ul style="list-style-type: none"> • Intergovernmental processes designed for use at FMU level • ITTO Criteria • FSC P&C 	<p>The Pan-European Operational Level Guidelines (PEOLG), an intergovernmental process designed for use at the FMU level, are the main reference for development of standards in Europe (Technical Document Clause 4.2 and Annex 3 Clause 3.1.2).</p> <p>In addition, the ATO/ITTO principles, criteria and indicators for the sustainable forest management of African tropical forests (ATO/ITTO PCI) is used for countries which are covered by that process (Technical Document Clause 4.3 and Annex 3 Clause 3.1.3).</p> <p>However, for other regions, inter-governmental criteria and indicators that have not been designed for use at FMU level are required to be used as the basis for national certification standards, such as the Montreal Process (Technical Document Clause 4.4 and Annex 3 Clause 3.1.4) and other regional processes (Technical Document Clause 4.5 and Annex 3 Clause 3.1.5). In such cases, the Pan-European Operational Level Guidelines (PEOLG) may be used '<i>as a reference basis in the endorsement and mutual recognition assessments</i>' for national certification standards, although PEOLG is designed for application only to Europe.</p>	1		✓
1.2.2 The standard should be performance-based.	The PEOLG and other intergovernmental processes contain performance criteria.	2		✓
<p>1.2.3 The standard must ensure that harm to ecosystems is minimised. In order to do this the standard should include requirements for:</p> <p>i. Appropriate assessment of impacts and planning to</p>	<p>i. There is no specific single requirement to assess the impacts of forest management, but it is addressed explicitly or implicitly throughout the PEOLG through requirements which require impacts to be minimised.</p> <p>ii. Protection of soil, water and biodiversity is addressed in several places, but in particular protection of soil and water is adequately</p>	2		✓

Criteria	Findings	Score	L	S
<p>minimise impacts;</p> <p>ii. Protection of soil, water and biodiversity;</p> <p>iii. Controlled and appropriate use of chemicals and use of Integrated Pest Management wherever possible.</p> <p>iv. Proper disposal of wastes to minimise any negative impacts.</p>	<p>addressed under criterion 5 and protection of biodiversity is addressed under criterion 4.</p> <p>iii. This is adequately addressed through criterion 2.2c which requires that <i>'The use of pesticides and herbicides should be minimised, taking into account appropriate silvicultural alternatives and other biological measures.'</i></p> <p>Criterion 2.2d requires that <i>'In case fertilisers are used they should be applied in a controlled manner and with due consideration to the environment.'</i></p> <p>Criterion 2.2a requires that <i>'Forest management practices should ... use preventive biological measures wherever and as far as economically feasible to maintain and enhance the health and vitality of forests.'</i></p> <p>iv. Adequately addressed though criterion 2.2b <i>'The spillage of oil through forest management operations or the indiscriminate disposal of waste on forest land should be strictly avoided.'</i></p>			
<p>1.2.4 The standard must ensure that productivity of the forest is maintained. In order to do this the standard should include requirements for:</p> <p>i. Management planning, implementation and implementation of management activities to avoid significant negative impacts on forest productivity.</p> <p>ii. Monitoring which is adequate to check compliance with all requirements, together with review and feedback into planning.</p> <p>iii. Operations and operational procedures which minimise impacts on the range of forest resources and services.</p>	<p>i. Adequately addressed through criterion 1.1c which requires <i>'Management plans or their equivalents, appropriate to the size and use of the forest area, should be elaborated and periodically updated. They should be based on legislation as well as existing land use plans, and adequately cover the forest resources.'</i></p> <p>In addition, for each of the six Pan-European criteria there is a section on specific management planning required.</p> <p>ii. Adequately addressed through criterion 1.1d which requires <i>'Monitoring of the forest resources and evaluation of their management should be periodically performed, and their results should be fed back into the planning process.'</i> and</p> <p>Criterion 2.1b requires period monitoring of the health and vitality of forests including <i>'pests, diseases, overgrazing and overstocking, fire, and damage caused by climatic factors, air pollutants or by forest management operations'</i>.</p> <p>iii. Adequately addressed though Criterion 1.2 which requires safeguarding of the forest</p>	2		✓

Criteria	Findings	Score	L	S
<p>iv. Adequate training of all personnel, both employees and contractors.</p> <p>v. Harvest levels that do not exceed the long-term production capacity of the forest, based on adequate inventory and growth and yield data.</p>	<p>resource by '<i>preferring techniques that minimise direct or indirect damage to forest, soil or water resources</i>'. and</p> <p>Criterion 3.2a which requires that '<i>Forest management practices should be ensured in quality with a view to maintain and improve the forest resources...</i>'</p> <p>In addition, each of the six criteria has a section on guidelines for forest management practice.</p> <p>iv. Adequately addressed through criterion 6.1e which requires that '<i>Forest managers, contractors, employees and forest owners should be provided with sufficient information and encouraged to keep up to date through continuous training in relation to sustainable forest management</i>'.</p> <p>v. Adequately addressed through criterion 3.2c which requires '<i>Harvesting levels of both wood and non-wood forest products should not exceed a rate that can be sustained in the long term</i>' and</p> <p>Criterion 1.2a which requires that '<i>Forest management practices should safeguard the quantity and quality of the forest resources in the medium and long term by balancing harvesting and growth rates...</i>' and</p> <p>Criterion 1.1b which requires adequate inventory and mapping of resources.</p>			
<p>1.2.5 The standard must ensure that forest ecosystem health and vitality is maintained. In order to do this the standard should include requirements for:</p> <p>i. Management planning which aims to maintain and increase the health and vitality of forest ecosystems</p> <p>ii. Management of natural processes, fires, pests and diseases.</p> <p>iii. Adequate protection of</p>	<p>This is adequately addressed through PEOLG Criterion 2 which refers explicitly to the maintenance of forest ecosystem health and vitality.</p> <p>i. Criterion 2.1a '<i>Forest management planning should aim to maintain and increase the health and vitality of forest ecosystems</i>'</p> <p>ii. Criterion 2.1b requires periodic monitoring of pests diseases, fire, pollutants and over-grazing. Criterion 2.2a encourages diversity to maximise natural protection from natural processes.</p> <p>iii. There is no specific requirement to protect the forest from unauthorised activities, but Criterion 2.1c has a general requirement that</p>	2		✓

Criteria	Findings	Score	L	S
the forest from unauthorised activities such as illegal logging, mining and encroachment.	plans should ' <i>specify ways and means to minimise the risk of degradation of and damages to forest ecosystems.</i> '			
<p>1.2.6 The standard must ensure that biodiversity is maintained. In order to do this the standard should include requirements for:</p> <p>i. Implementation of safeguards to protect rare, threatened and endangered species.</p> <p>ii. The conservation/set-aside of key ecosystems or habitats in their natural state.</p> <p>iii. The protection of features and species of outstanding or exceptional value.</p>	<p>Criterion 4 covers the maintenance, conservation and appropriate enhancement of biological diversity in forest ecosystems, but does not completely address the requirements.</p> <p>i. There is a general requirement in Criterion 4.1a that planning should aim to maintain, conserve or enhance species diversity. In addition, a number of requirements in 4.2 relate to protecting rare species, though there is no explicit general requirement that rare, threatened and endangered species must be protected.</p> <p>ii. There is a general requirement in Criterion 4.1a that ecosystem diversity should be maintained or enhanced, while 4.1b requires planning and inventory to consider important ecosystems and habitats.</p> <p>However, although 4.1b recognises a range of key biotopes including '<i>protected, rare, sensitive or representative forest ecosystems such as riparian areas and wetland biotopes, areas containing endemic species and habitats of threatened species, as defined in recognised reference lists, as well as endangered or protected genetic in situ resources</i>' the only specific requirement for protection is Criterion 4.2 I which requires the protection of key biotopes such as water sources, wetlands, rocky outcrops and ravines but is not explicit about other representative ecosystems nor about the need to ensure that the outcome is that biodiversity is maintained.</p> <p>iii. Criterion 4.1b requires the identification of areas of importance for biodiversity, while 5.1 requires identification of areas of significance for their protective functions. Requirements for the protection of such features or species is less explicit.</p>	1		✓

1.3 Standard-setting process

Criteria	Findings	Score	L	S
1.3.1 The standard-setting process should meet the requirements of <i>ISO Guide 59: Code of Good Practice for Standardisation</i> , the <i>ISEAL Code of Good Practice for Setting Social and Environmental Standards</i> or equivalent.	<p>National standard-setting is addressed in the Technical Document Chapter 5 and Annex 2, which both state that standard setting procedures are based on ISO Guide 59.</p> <p>Annex 2 Clause 3.5.1 requires that <i>'The Forum (set up to formulate the standard) shall define its own written procedures based on the consensus principle which governs the methods used for standards development.'</i></p>	2	✓	✓
1.3.2 The standard-setting body must include balanced representation of economic, environmental and social interest categories.	<p>There is a requirement to seek to involve a range of interested parties in the standard-setting process in Annex 2 Clause 3.5.1. This states that</p> <p><i>'The process of development of certification criteria shall be initiated by national forest owners' organisations or national forestry sector organisations having the support of major forest owners' organisations in that country. All relevant interested parties will be invited to participate in this process.</i></p> <p><i>A Forum ... shall be created to which interested parties are invited to participate in the process. The invited parties should represent the different aspects of sustainable forest management and include, e.g. forest owners, forest industry, environmental and social non-governmental organisations, trade unions, retailers and other relevant organisations at national or sub-national level.'</i></p> <p>This requirement also refers to balance in representation by stating that <i>'Participation....should provide for balanced representation of interest categories such as producers, buyers, consumers, etc'.</i></p> <p>However, there is no explicit requirement for balanced representation of economic, environmental and social interest categories.</p>	1		✓
1.3.3 The decision-making process adopted by the standard-setting body should ensure:	<p>Annex 2 Clause 3.5.1 describes the required Forum for standard setting:</p> <ul style="list-style-type: none"> Annex 2 Clause 3.5.1 states that <i>'Formal</i> 	1		✓

<ul style="list-style-type: none"> no individual person or organisation can veto the process; no single interest can dominate the process; no decision can be made in the absence of agreement from the majority of an interest category. 	<p><i>approval of standards shall be based on evidence of consensus</i>'. The adopted definition of consensus (Annex 1) is taken from ISO Guide 2, which requires '<i>the absence of sustained opposition to substantial issues by any important part of the concerned interests</i>' but need not imply unanimity.</p> <ul style="list-style-type: none"> Partially addressed by the requirements for invitations to participate and balance (see section 1.3.2 above). However, there is no requirement to ensure participation of different interest categories, and thereby prevent a single interest from dominating the process. Annex 2 Clause 3.5.1 states that '<i>Formal approval of standards shall be based on evidence of consensus</i>'. Consensus requires '<i>the absence of sustained opposition to substantial issues by any important part of the concerned interests</i>'. 			
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2. Certification

Criteria	Findings	Score	L	S
<p>2.1 Certification is undertaken by an individual or body whose organisation, systems and procedures conform to appropriate ISO guidance or publicly available alternative. This includes:</p> <ul style="list-style-type: none"> ISO Guide 62:1996 General requirements for bodies operating assessment and certification/registration of quality systems ISO Guide 65: 1996 General Requirements for bodies operating product certification systems 	<p>Annex 6 Clause 3.1 requires that</p> <p><i>'Certification bodies considered competent by the PEFC Council to carry out forest and/or chain of custody verification, shall fulfil the following qualifications:</i></p> <ol style="list-style-type: none"> <i>The certification body shall fulfil requirements defined in ISO Guide 62, ISO Guide 66, ISO Guide 65, EC Regulation 761/2001 (EMAS) or other requirements defined by the national accreditation body.</i> <i>The certification body 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.</i> <i>The certification body shall have a good understanding of the national PEFC system against which it carries out forest</i> 	2	✓	✓

Criteria	Findings	Score	L	S
<ul style="list-style-type: none"> ISO Guide 66: 1999 General requirements for bodies operating assessment and certification/registration of environmental management systems (EMS) or equivalent. 	<p>...certification.</p>			
<p>2.2 Certification is undertaken by an individual or body which is accredited to evaluate against forest management standards.</p>	<p>Annex 6 Clause 3.1 requires that:</p> <p><i>Compliance of the certification body with the above requirements shall be verified by an accreditation as described in (Annex 6) chapter 5.</i></p> <p>Annex 6 Chapter 5 states:</p> <p><i>The two following options are recognised by the PEFC Council:</i></p> <p>a) <i>A certification body carrying out forest management ... certification shall have accreditation from a national accreditation body that covers forest management certification as a specified field of operation.</i></p> <p>b) <i>A certification body carrying out forest management ... certification as a part of the QMS (ISO 9001:2000), EMS (ISO 14001) or EMAS certification shall have accreditation from a national accreditation body that covers QMS, EMS or EMAS accreditation in that specific sector.'</i></p> <p>However, Chapter 5 goes on to state:</p> <p><i>'With effect from this General Assembly certification bodies which carry out forest ...certification shall fully meet the accreditation requirements within four years of the first certification carried out according to the relevant national scheme.'</i></p> <p>In the interim, certification bodies are accredited for ISO 9000, 14001 or EMAS including work in the forestry sector. While providing the security of a general accreditation, this approval nevertheless only relates to the assessment of compliance with the respective ISO standard for a forest operation, rather than compliance with a forest</p>	1	✓	✓

Criteria	Findings	Score	L	S
	management standard. Annex 6 Chapter 5 also states that any conformance with accreditation requirements can be the subject of a temporary exemption.			
2.3 The certification audit must include assessment of systems and documentation together with verification of outcomes in the forest adequate to ensure that both system and performance requirements in the standard are being met.	This is not addressed specifically in Annex 6 Chapter 4. However, the required compliance with ISO guidance should provide an adequate basis.	2	✓	✓
2.4 The certification audit must include sufficient consultation with external stakeholders to ensure that all relevant issues are identified relating to compliance with the requirements of the standard.	Adequately addressed by Annex 6 Chapter 4, which states that ' <i>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</i> '.	2		✓
2.5 A summary of the results of the certification audit (excluding confidential information) is publicly available to interested parties.	Adequately addressed by Annex 6 Chapter 4, which states that ' <i>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</i> '.	2		✓
2.6 There is an accessible and functioning mechanism for dealing with complaints and disputes which is open to any interested party.	Appeals, complaints and dispute procedures relating to national certification schemes are covered in Annex 3 Chapter 5. Resolution of disputes relating to certification decisions are covered in Annex 3 Clause 5.2 which refers to the dispute resolution mechanisms required for certification bodies and accreditation bodies. In addition, Annex 3 Clause 5.1 requires the PEFC National Governing Body to set up or have procedures for setting up a dispute resolution body to deal with any dispute which cannot be resolved by the	2	✓	✓

Criteria	Findings	Score	L	S
	<p>certification or accreditation body.</p> <p>These provisions are also outlined in the PEFC Technical Document Chapter 10.</p>			

3. Accreditation

Criteria	Findings	Score	L	S
3.1 Accreditation must be undertaken by a national or international body whose organisation, systems and procedures conform to ISO Guide 61: 1996 General Requirements for Assessment and Accreditation of Certification Bodies or equivalent.	<p>Adequately addressed by Annex 6 Chapter 5, which states that:</p> <p><i>'Accreditation bodies shall be a part of the European co-operation for Accreditation (EA) and/or the International Accreditation Forum (IAF) umbrella and implement procedures described in ISO Guide 61 and other documents recognised by the above organisation'.</i></p>	2	✓	✓

4. Chain of custody

4.1 Criteria for all products

Criteria	Findings	Score	L	S
4.1.1 Assessment of chain of custody must be undertaken by a certification body or auditor operating in accordance with ISO Guide 65 or equivalent and accredited by an accreditation body operating in accordance with ISO Guide 61 or equivalent.	<p>Certification:</p> <p>Annex 6 Clause 3.1: <i>'Certification bodies considered competent by the PEFC Council to carry out forest and/or chain of custody verification, shall fulfil the following qualifications ... The certification body shall fulfil the requirements defined in ISO Guide 62, ISO Guide 66, ISO Guide 65, EC Regulation 761/2001 (EMAS) or other requirements defined by a national accreditation body.'</i></p> <p>Accreditation:</p> <p>Annex 6 Chapter 5: <i>Certification bodies....shall be accredited by a national accreditation body. Accreditation bodies shall be part of the European co-operation for Accreditation (EA) and/or the International Accreditation Forum (IAF) umbrella and implement procedures described in ISO Guide 61 and other documents</i></p>	2	✓	✓

Criteria	Findings	Score	L	S
	<i>recognised by the above organisation.</i>			
4.1.2 There must be a certified chain of custody in place from the forest of origin to the final product.	Annex 2 Chapter 4 sets out the development process for national chain of custody standards. Annex 4 sets out the requirements for chain of custody in detail and provides a generic standard. Two main approaches to chain of custody are permitted, consisting of physical separation and percentage-based methods.	2	✓	✓
4.1.3 There is a clearly defined mechanism for controlling all claims made about the certified nature of products which ensures that claims are clear and accurate and that action is taken to prevent any false or misleading claims.	Control of the use of the PEFC logo is covered in detail in Annex 5.	2	✓	✓

4.2 Criteria for certified and non-certified mixed products

Criteria	Findings	Score	L	S
4.2.1 If recycled material is used there must be a verifiable system in place to ensure that recycled material is from the following categories: <ul style="list-style-type: none"> • Pre-consumer recycled wood and wood fibre or industrial by-products but excluding sawmill co-products • Post-consumer recycled wood and wood fibre • Drift wood 	Annex 4 Appendix 1 contains a definition of neutral raw material, for the purposes of calculating certified content in the percentage-based approach to chain of custody. The definition includes ' <i>Recycled wood and recycled fibres (post-consumer wood and fibres) and reclaimed pre-consumer by-products from processes in manufacture where these are not traceable to virgin wood sources according to the chain of custody rules</i> ' However, there is no requirement for a system to verify that recycled material is from the specified categories.	1	✓	✓

Criteria	Findings	Score	L	S
4.2.2 If mixing of certified and uncertified material is permitted then there must be a verifiable system in place which ensures that all uncertified material used is from legal sources to meet the contract requirements for legal timber.	<p>Annex 4 Clause 3.6.1 requires that:</p> <p>‘The organisation shall establish adequate measures to ensure that the certified products do not include raw material from controversial sources.’</p> <p>Clause 3.6.2 requires that all suppliers of forest based raw material that is uncertified sign a self-declaration, as a part of their contract, that the supplied raw material does not originate from a controversial source, and Clause 3.6.3 requires that a sampling programme of second or third party verification is established to check self-declarations, based on risk evaluation.</p> <p>Controversial sources are defined in Annex 4 Clause 1.3.4 as ‘<i>illegal or unauthorised harvesting.</i>’</p>	2	✓	
4.2.3 If mixing of certified and uncertified material is permitted then there must be a verifiable system in place which ensures that all uncertified material used is from sustainable sources to meet the variant specification requirements for sustainable timber.	There is no requirement for a verifiable system to ensure that the forests of origin of all uncertified material meet the requirements of sections 2.1.3 – 2.1.6 above.	0		✓