

Evaluation of the Programme for the Endorsement of Forest Certification (PEFC™) scheme using the Framework for benchmarking and recognition of certification schemes relevant to the scope of SBP certification

Sustainable Biomass Program

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In the case of inconsistency between translations, the official English language version shall always take precedence.

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Introduction

This document serves as the final report that presents the findings obtained from the evaluation conducted for the benchmarking and recognition of the PEFC™ certification scheme, utilising the “Framework for benchmarking and recognition of certification schemes relevant to the scope of SBP certification.” The conclusions of this document are based on the evaluation delivered by an independent organisation, Indufor Oy. The primary objective of this evaluation is to assess the equivalency of the PEFC certification scheme requirements with the requirements of SBP Standard 1: Feedstock Compliance.

The results of the evaluation are summarised in a tabular format, providing a concise overview. For a more comprehensive understanding, the complete evaluation is included as an annex to this document.

The evaluation is structured into two distinct parts. The first part focuses on assessing the operational requirements of the certification scheme itself, while the second part examines the performance requirements for Certificate Holders. This division allows for a comprehensive analysis of both the overall framework and the specific requirements for the entities certified under PEFC.

The detailed evaluation in the annex provides an in-depth equivalence evaluation. The comprehensive evaluation is published to not only present the findings but also to provide guidance to Biomass Producers. Specifically, it assists them in designing effective Risk Management Measures (RMMs) for indicators that have been identified as having “PARTIAL” equivalence. By referring to the full evaluation, Biomass Producers can gain insights on how to address these specific indicators and ensure robust management of the identified risks.

Summary of the evaluation

For the *Certification Scheme Operational Requirements*, the requirements of PEFC are equivalent to those of SBP. *Processing residues feedstocks* carrying a valid PEFC claim can be considered as *SBP-compliant feedstocks*.

In terms of *Certificate Holder Performance Requirements*, the requirements of PEFC cover a significant number of the requirements of SBP Standard 1 – 31 indicators are fully met, five are partially met and six are not met.

Table 1: Summary of the PEFC evaluation

			Outcome of the evaluation
Certification Requirements	Scheme	Operational	Equivalent
Certificate Requirements	Holder	Performance	
		YES	31
		PARTIAL	5
		NO	6

Certification Scheme Operational Requirements

Table 2 presents a summary of the assessment findings, while a comprehensive analysis is detailed in Annex 1. The evaluation ultimately determined that the requirements of PEFC are equivalent to those of SBP.

Table 2: Certification Scheme Operational Requirements

#	Operational requirements	Y/N
Standard setting requirements		
1	The scheme shall have documented procedures for standard setting which are publicly available.	YES
2	Documented procedures for standard-setting shall be reviewed regularly, taking into account comments from stakeholders.	YES
3	The scheme owner shall announce the standard-setting process in advance and communicate to stakeholders the standard scope, process timeline and point of contact for further communication.	YES
4	At the start of the standard-setting process, the scheme owner shall carry out a stakeholder mapping to list stakeholders with relevance to the standard.	YES
5	Participation in bodies making decisions on the content of the standard shall be open to all stakeholders and constituted by a balance of stakeholders.	YES
6	Standard-setting shall include a public consultation process which is open to all stakeholders and the results of which are publicly communicated.	YES
7	Decision-making on the contents of the standard shall strive for consensus.	YES
8	The approved standard shall be freely and publicly available.	YES
9	The scheme owner shall review the standard regularly for continued relevance and effectiveness and, if deemed necessary, initiate a standard revision process.	YES
10	The scheme owner shall maintain a public feedback mechanism regarding the standard contents, and the received feedback shall be considered in the standard review process.	YES
11	The scheme owner shall keep records documenting the standard-setting process and make them available to stakeholders upon request.	YES
12	The scheme owner shall have a publicly documented complaint resolution mechanism for complaints related to the standard-setting process.	YES

#	Operational requirements	Y/N
Accreditation requirements		
13	Certification Bodies (CBs) shall operate scheme certification following the requirements of ISO 17065:2012 Conformity assessment – Requirements for bodies certifying products, processes and services or ISO 17021-1:2015 Conformity assessment – Requirements for Requirements for bodies providing audit and certification of management schemes or corresponding scheme specific accreditation standards (e.g. FSC 20 001 4-0 General requirement for FSC accredited certification bodies).	YES
14	Accreditation bodies shall comply with the current version of ISO 17011 standard.	YES
15	The scope of accreditation (to SFM and CoC certifications) shall cover the scope of certification (certified activity and geography). For traders and end users, the accreditation scope for CoC is sufficient for CB.	YES
16	The CB shall be impartial and shall not have any conflict of interest with the client.	YES
17	The CB shall have access to appropriate human resources.	YES
18	The CB shall ensure that auditors and technical experts maintain confidentiality and impartiality.	YES
19	The CB shall ensure that auditors and technical experts possess the necessary competence, knowledge, and skills for conducting evaluations.	YES
20	The competence of the CB and auditors shall be periodically evaluated.	YES
21	The CB shall have a procedure outlining the conditions for subcontracting.	YES
22	The CB shall have procedures for audit planning and appointment of evaluation teams.	YES
23	The CB shall carry out a surveillance evaluation once per calendar year.	YES
24	The CB shall enforce corrective actions within specified time limits.	YES
25	The CB shall ensure that the entity responsible for certification decisions is impartial and possesses the competence to evaluate audit outcomes.	YES
26	The individuals involved in certification decision-making shall not have participated in the evaluation process.	YES
27	The CB shall document all identified non-conformances in the evaluation report and classify them as minor or major.	YES
28	The CB shall provide a public summary report. Applies to forest management audits.	YES
29	The CB shall have procedures for stakeholder communication during audits.	YES
30	The CB shall have procedures for the timely resolution of complaints and appeals.	YES

#	Operational requirements	Y/N
Chain of custody requirements		
31	Organisational commitment to meeting the certification requirements shall be required, along with the provision of adequate resources, documentation, and / or reporting.	YES
32	Compliance with applicable laws, rules, and regulations shall be required, and responsible business practices shall be encouraged.	YES
33	Adequate self-monitoring practices shall be in place.	YES
34	Personnel competence shall be ensured through adequate measures.	YES
35	Stakeholder engagement shall be encouraged, for example, through an outlined complaint process.	YES
36	Requirements for identifying and controlling non-conformities in products and / or claims shall be in place, and activities following the detection of non-conformity shall be defined.	YES
37	Conditions for outsourcing activities related to certified products shall be outlined.	YES
38	Feedstock sourcing and categorisation shall be defined.	YES
39	Certified and non-certified mixes shall be clearly defined, and separation shall be required when appropriate.	YES
40	Rules for traceability in the Chain of Custody are established.	YES
41	Chain of custody models shall be defined. These methods shall facilitate the tracking of quantities of inputs and outputs.	YES
42	If a mass balance approach is employed, it shall be clearly defined, legitimate, and transparent.	YES
43	Allowable claims and labels shall be defined with sufficient information. These claims and labels shall be appropriate, considering the Chain of Custody models being applied.	YES
44	To ensure the credibility of mixed claims, the scheme shall have procedures in place to verify that non-certified feedstock originates from controlled sources.	YES

Certificate Holder Performance Requirements

Table 3 presents a summary of the assessment findings, while a comprehensive analysis is detailed in Annex 2. The evaluation ultimately determined that the requirements of PEFC cover a significant number of SBP Standard 1 – Feedstock compliance requirements. 31 SBP indicators are addressed by equivalent PEFC indicators, five are partially and six are not covered by PEFC.

Table 3: Certificate Holder Performance Requirements

#	Performance requirements	Y/N/P
Principle 1 – Feedstock is legally sourced		
Criterion 1.1 – Operators and operations are legal		
1	Indicator 1.1.1 The system shall have documented procedures for standard setting which are publicly available.	YES
2	Indicator 1.1.2 Operations related to feedstock sourcing and biomass production shall comply with all existing applicable laws and regulations.	YES
3	Indicator 1.1.3 Feedstock shall be legally harvested, supplied and produced, including in compliance with CITES, EUTR and other applicable legal trade requirements.	YES
4	Indicator 1.1.4 Payments for harvest rights and feedstock, including duties, relevant royalties and taxes related to timber harvesting shall be complete and up-to-date.	PARTIAL
5	Indicator 1.1.5 There shall be adequate protection of the Supply Base from unauthorised and illegal activities, such as illegal logging, mining, and encroachment.	YES
Principle 2 – Feedstock sourcing does not harm the environment		
Criterion 2.1 – Biodiversity is maintained or enhanced		
6	Indicator 2.1.1 Key species, habitats, ecosystems, and areas of high conservation value (HCV) pertaining to biodiversity in the Supply Base shall be identified.	PARTIAL
7	Indicator 2.1.2 Threats to and impacts on the identified key species, habitats, ecosystems, and areas of high conservation value (HCV) pertaining to biodiversity in the Supply Base shall be identified and evaluated.	PARTIAL
8	Indicator 2.1.3 Key species, habitats, ecosystems, and areas of high conservation value (HCV) pertaining to biodiversity in the Supply Base shall be maintained or enhanced.	YES

#	Performance requirements	Y/N/P
Criterion 2.2 – Ecosystem productivity, functions, and services are maintained or enhanced		
9	Indicator 2.2.1 Feedstock shall not be sourced from land that had one of the following statuses in January 2008 and no longer has that status due to land conversion: a. Forests b. Wetlands c. Peatlands d. Highly biodiverse grasslands.	NO
10	Indicator 2.2.2 Ecosystems, their health, vitality, functions and services in the Supply Base shall be maintained or enhanced.	YES
11	Indicator 2.2.3 Soil quality in the Supply Base shall be maintained or enhanced.	YES
12	Indicator 2.2.4 Where the removal of harvest forest residues and / or stumps occurs, this shall not lead to irreversible negative impacts to the ecosystem.	YES
13	Indicator 2.2.5 Quality and quantity of ground water, surface water and water downstream shall be maintained or enhanced.	YES
14	Indicator 2.2.6 Air emissions shall comply with national legislation or in the absence of national legislation with industry best practice.	YES
15	Indicator 2.2.7 Pesticides shall only be used as part of an Integrated Pest Management (IPM) plan in compliance with national legislation, chemical safety data sheets and industry best practice. Banned pesticides shall not be used.	YES
16	Indicator 2.2.8 Waste shall be disposed of in an environmentally appropriate manner.	YES
17	Indicator 2.2.9 Harvesting levels shall be justified as to how they can be sustained with reference to inventory and growth data for the Supply Base.	YES
18	Indicator 2.2.10 Harvested areas shall be regenerated.	YES
19	Indicator 2.2.11 The impacts of natural processes such as fires, pests and diseases shall be managed.	YES
20	Indicator 2.2.12 Genetically modified trees shall not be used.	YES

Principle 3 – Feedstock is only sourced from Supply Bases where the forest carbon stock is stable or increasing in the long term

Criterion 3.1 – Feedstock sourcing is consistent with international requirements for land use, land-use change and forestry (LULUCF) emissions

21 Indicator 3.1.1 LULUCF emissions shall be accounted for through one of the following routes:

NO

Route A

Feedstock may be sourced from a country of origin which is party to the Paris Agreement, and which has submitted a Nationally Determined Contribution to the United Nations Framework Convention on Climate Change (UNFCCC) covering carbon emissions and removals from agriculture, forestry and land use which ensure the changes in carbon stock associated with biomass harvest are counted towards the country's commitment to reduce or limit greenhouse gas emissions, or

Route B

Feedstock may be sourced from a country of origin which is party to the Paris Agreement and has national or sub-national laws in place (developed in accordance with Article 5 of the Paris Agreement and applicable in the area of harvest), to conserve and enhance carbon stocks and sinks, and provided there is evidence that reported LULUCF-sector emissions do not exceed removals, or

Route C

Feedstock may be sourced from a Supply Base where an assessment demonstrates that both the carbon stock is stable, and the forests' capacity to act as a carbon sink is stable or increasing over the long term.

Criterion 3.2 – Carbon stocks in the forest area of the Supply Base are stable or increasing in the long term

22 Indicator 3.2.1 All feedstock sourcing shall be consistent with either of these two options:

NO

Option A

Feedstock may be sourced from Supply Bases where an assessment of the Supply Base shows that the forest carbon stocks are stable or increasing, or

Option B

Feedstock may be sourced, if the assessment shows that the forest carbon stocks are declining in the Supply Base, provided that the decline is due to natural processes (fire, pests, etc.), and sourcing of feedstock has the aim to recover feedstock that would otherwise be lost or to assist regeneration.

#	Performance requirements	Y/N/P
23	Indicator 3.2.2 Primary feedstock shall not be sourced from forest areas where site productivity is low and, according to local definitions or norms, the areas are classified as low-productive or difficult to regenerate.	NO
24	Indicator 3.2.3 Primary feedstock shall not be sourced from forest areas in the Supply Base which, according to local definitions or norms, are classified as having combined attributes of high carbon stocks and high conservation value (HCV).	NO

Criterion 3.3 – Feedstock sourcing shall not compete with wood sourcing for long-lived wood products

25	Indicator 3.3.1 Feedstock sourcing shall be in compliance with the principles of cascading use, high quality stem wood shall not be used as feedstock if it is in substantial demand for long-lived products in the Supply Base.	PARTIAL
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Principle 4 – Feedstock sourcing benefits people and communities

Criterion 4.1 – Decent working conditions are provided, and labour rights are safeguarded

26	Indicator 4.1.1 Freedom of association and the right to collective bargaining shall be respected in the workplace	YES
27	Indicator 4.1.2 Forced or compulsory labour shall not be used.	YES
28	Indicator 4.1.3 Child labour shall not be used.	YES
29	Indicator 4.1.4 Workers shall not be discriminated in hiring, remuneration, access to training, promotion, termination or retirement.	YES
30	Indicator 4.1.5 Wages paid to workers shall meet or exceed the legal minimum wage or where there is no statutory minimum wage industry norms shall be met or exceeded.	YES
31	Indicator 4.1.6 Working hours shall comply with legal requirements.	YES
32	Indicator 4.1.7 Workers shall have access to health care provisions, sickness benefits, retirement benefits, invalidity benefits, death benefits, and workers' compensation.	NO
33	Indicator 4.1.8 Training shall be provided for all workers to allow them to implement the conditions set out in all elements of the SBP Standards relevant to their responsibilities.	YES
34	Indicator 4.1.9 Mechanisms shall be in place for resolving grievances and disputes in the workplace.	YES

#	Performance requirements	Y/N/P
35	Indicator 4.1.10 Safeguards shall be put in place to protect the health and safety of workers by developing, communicating and implementing policies and procedures.	YES
Criterion 4.2 – Feedstock sourcing benefits communities		
36	Indicator 4.2.1 Negative social and community impacts shall be identified and avoided.	YES
37	Indicator 4.2.2 Feedstock sourcing shall positively contribute to the local economy, including employment.	PARTIAL
38	Indicator 4.2.3 Food, water supply or high conservation values (HCV) that are essential for the fulfilment of basic needs of communities shall be maintained or enhanced.	YES
39	Indicator 4.2.4 Legal, customary, and traditional tenure and use rights of Indigenous Peoples and local communities related to the Supply Base shall be identified, documented, and respected.	YES
40	Indicator 4.2.5 Mechanisms shall be in place for resolving grievances and disputes relating to tenure and use rights of the forest and other land management practices.	YES
41	Indicator 4.2.6 Where Indigenous Peoples' rights are identified in the Supply Base, and Free Prior and Informed Consent (FPIC) has not been achieved for the proposed and planned activities, a consultation and, if required, accommodation process shall be put in place.	YES
42	Indicator 4.2.7 Designated cultural heritage sites shall be preserved.	YES

Annex 1 – Certification Scheme Operational Requirements

#	Operational requirements	Requirement of the assessed system	Y / N	Conclusions
1	The scheme shall have documented procedures for standard-setting which are publicly available.	<p>PEFC ST 1001:2017:</p> <p>5.1.1 The standardizing body shall have written procedures for standard-setting activities describing: ...</p> <p>5.1.2 The standardizing body shall make its standard-setting procedures publicly available and shall review its standard-setting procedures regularly. The review shall consider feedback from stakeholders.</p>	YES	The PEFC ST 1001:2017 places requirements that correspond with those of the benchmark.
2	Documented procedures for standard-setting shall be reviewed regularly, taking into account comments from stakeholders.	<p>PEFC ST 1001:2017:</p> <p>5.1.2 The standardizing body shall make its standard-setting procedures publicly available and shall review its standard-setting procedures regularly. The review shall consider feedback from stakeholders.</p>	YES	The PEFC ST 1001:2017 places requirements that correspond with those of the benchmark.
3	The Standardising Body (SB) shall announce the standard-setting process in advance and communicate to stakeholders the standard scope, process timeline and point of contact for further communication.	<p>PEFC ST 1001:2017:</p> <p>5.3.2 The standardizing body shall establish at least one contact point for enquiries, complaints and appeals relating to its standard-setting activities. The contact point shall be easy to access and readily available.</p> <p>6.1.1 For the creation of a new standard, the standardizing body shall develop a proposal including:</p> <ul style="list-style-type: none"> a) the scope of the standard, ... e) a description of the stages of standard development and their expected timetable. <p>6.3.1 The standardizing body shall make a public announcement of the start of the standard-setting process and include an invitation to stakeholders to participate in the process. The announcement shall be made in a timely manner through suitable media, as appropriate, to give stakeholders an opportunity for meaningful contributions. The announcement and invitation shall include:</p> <ul style="list-style-type: none"> a) overview of the standard-setting process, b) access to the proposal for the standard (refer to 6.1), c) information about opportunities for stakeholders to participate in the process, ... 	YES	The PEFC ST 1001:2017 places requirements that correspond with those of the benchmark.

Annex 1 – Certification Scheme Performance Requirements continued

#	Operational requirements	Requirement of the assessed system	Y / N	Conclusions
4	At the start of the standard-setting process, the SB shall carry out a stakeholder mapping to list stakeholders with relevance to the standard.	<p>PEFC ST 1001:2017:</p> <p>6.2.1 The standardizing body shall identify stakeholders relevant to the objectives and scope of the standard-setting activities by means of a stakeholder identification mapping exercise. It shall define which stakeholder groups are relevant to the subject matter and why. For each stakeholder group the standardizing body shall identify the likely key issues, key stakeholders, and which means of communication would be best to reach them.</p>	YES	The PEFC ST 1001:2017 places requirements that correspond with those of the benchmark.
5	Participation in bodies making decisions on the content of the standard shall be open to all stakeholders and constituted by a balance of stakeholders.	<p>PEFC ST 1001:2017:</p> <p>6.3.1 ... The announcement and invitation shall include: ...</p> <p>d) requests to stakeholders to nominate their representative(s) or themselves to the working group (refer to 6.4). The request to disadvantaged stakeholders and key stakeholders shall be made in a manner that ensures that the information reaches intended recipients and in a format that is easy to understand, ...</p> <p>6.4.1 The standardizing body shall establish a permanent or temporary working group or adjust the composition of an already existing working group based on nominations it received. Acceptance and refusal of nominations shall be justified in relation to the requirements for balanced representation of the working group, considerations of an appropriate gender balance, relevance of the organisation, an individual's competence, an individual's relevant experience and resources available for standard-setting.</p> <p>6.4.2 The working group shall:</p> <p>a) have balanced representation and decision-making by stakeholder categories, relevant to the subject matter and geographical scope of the standard, where no single concerned stakeholder group can dominate, nor be dominated in the process, and</p> <p>b) include stakeholders with expertise relevant to the subject matter of the standard, those that affected by the standard, and those that can influence implementation of the standard. The affected stakeholders shall be represented in an appropriate proportion among participants.</p> <p>6.4.3 In order to achieve balanced representation, the standardizing body shall strive to have all identified stakeholder groups (refer to 6.2) represented. The standardizing body shall set targets for the participation of key stakeholders and proactively seek their participation by using outreach such as (but not limited to) personal emails, phone calls, meeting invitations, etc.</p>	YES	The PEFC ST 1001:2017 does not explicitly state that the participation in the working group shall be open to all stakeholders, but this condition is practically fulfilled by the requirements set to the working group composition and the nomination process.

Annex 1 – Certification Scheme Performance Requirements continued

#	Operational requirements	Requirement of the assessed system	Y / N	Conclusions
6	Standard-setting shall include a public consultation process which is open to all stakeholders and the results of which are publicly communicated.	<p>PEFC ST 1001:2017:</p> <p>6.5.1 The standardizing body shall organise public consultation on the enquiry draft and shall ensure that: ...</p> <p>g) a synopsis of feedback is compiled for each material issue, including the outcome of considering the issue. The synopsis is made publicly available (e.g. on a website) and is sent to each stakeholder / party that gave feedback.</p> <p>6.5.2 For new standards the standardizing body shall organise a second round of public consultation lasting at least 30 days.</p>	YES	The PEFC ST 1001:2017 places requirements that correspond with those of the benchmark.
7	Decision-making on the contents of the standard shall strive for consensus.	<p>PEFC ST 1001:2017:</p> <p>6.4.5 The decision of the working group to recommend the final draft for formal approval shall be taken on the basis of consensus. In order to determine whether there is any sustained opposition, the working group can utilize the following methods: ...</p> <p>7.1 The standardising body shall approve the standard(s) / normative document(s) formally when there is evidence of consensus among the working group.</p>	YES	The PEFC ST 1001:2017 places requirements that correspond with those of the benchmark.
8	The approved standard shall be freely and publicly available.	<p>PEFC ST 1001:2017:</p> <p>7.2.1 The formally approved standard(s) / normative document(s) shall be published and made publicly available at no cost within 14 days of approval, or as otherwise defined by the standardizing body.</p>	YES	The PEFC ST 1001:2017 places requirements that correspond with those of the benchmark.
9	The SB shall review the standard regularly for continued relevance and effectiveness and, if deemed necessary, initiate a standard revision process.	<p>PEFC ST 1001:2017:</p> <p>8.1 The standard(s) / normative document(s) shall be reviewed at intervals that do not exceed a five-year period. The review shall be based on consideration of feedback received during the standard's implementation and a gap analysis. If necessary, a stakeholder consultation shall be organised to obtain further feedback and input.</p> <p>8.3.1 At the start of a review, the standardizing body shall evaluate the standard against appropriate PEFC International standards, national laws and regulations, and other relevant standards to identify potential gaps in the standard.</p> <p>8.5.1 Based on the feedback received during the period of a standard's implementation, the outcome of the gap analysis and the consultations, the standardizing body shall decide whether to reaffirm the standard or whether a revision of the standard is necessary.</p>	YES	The PEFC ST 1001:2017 places requirements that correspond with those of the benchmark.

Annex 1 – Certification Scheme Performance Requirements continued

#	Operational requirements	Requirement of the assessed system	Y / N	Conclusions
10	The SB shall maintain a public feedback mechanism regarding the standard contents, and the received feedback shall be considered in the standard review process.	<p>PEFC ST 1001:2017:</p> <p>8.1 The standard(s) / normative document(s) shall be reviewed at intervals that do not exceed a five-year period. The review shall be based on consideration of feedback received during the standard's implementation and a gap analysis. If necessary, a stakeholder consultation shall be organised to obtain further feedback and input.</p> <p>8.2.1 The standardizing body shall establish and maintain a permanent mechanism for collecting and recording feedback on a standard. This mechanism shall be accessible on the website of the standardizing body and / or PEFC National Governing Body with clear directions for providing feedback.</p>	YES	The PEFC ST 1001:2017 places requirements that correspond with those of the benchmark.
11	The SB shall keep records documenting the standard-setting process and make them available to stakeholders upon request.	<p>PEFC ST 1001:2017:</p> <p>5.2.1 The standardizing body shall keep documented information relevant to the standard-setting and review process. Evidence of compliance with the requirements of this standard and the standardizing body's own procedures includes: ...</p> <p>5.2.2 Documented information shall be kept until completion of the next review or revision of the standard to which they refer. Otherwise, the documented information must be kept for a minimum of five years after publication of the standard.</p> <p>5.2.3 Documented information shall be available to interested parties upon request.</p>	YES	The PEFC ST 1001:2017 places requirements that correspond with those of the benchmark.
12	The SB shall have a publicly documented complaint resolution mechanism for complaints related to the standard-setting process.	<p>PEFC ST 1001:2017:</p> <p>5.3.1 The standardizing body shall establish procedure(s) for dealing with any substantial and process complaints and appeals relating to its standard-setting activities. It must make procedure(s) accessible to stakeholders. ...</p>	YES	The PEFC ST 1001:2017 places requirements that correspond with those of the benchmark.
13	The SB shall have a publicly documented complaint resolution mechanism for complaints related to the standard-setting process.	<p>PEFC ST 1001:2017:</p> <p>5.3.1 The standardizing body shall establish procedure(s) for dealing with any substantial and process complaints and appeals relating to its standard-setting activities. It must make procedure(s) accessible to stakeholders. ...</p>	YES	The PEFC ST 1001:2017 places requirements that correspond with those of the benchmark.

Annex 1 – Certification Scheme Performance Requirements continued

#	Operational requirements	Requirement of the assessed system	Y / N	Conclusions
13	<p>CBs shall operate scheme certification following the requirements of ISO 17065:2012 Conformity assessment – Requirements for bodies certifying products, processes and services or ISO 17021-1:2015 Conformity assessment – Requirements for Requirements for bodies providing audit and certification of management schemes or corresponding scheme specific accreditation standards (e.g. FSC 20 001 4-0 General requirement for FSC accredited certification bodies).</p>	<p>Annex 6, 4 Certification procedures: applied certification procedures for forest management certification or chain of custody certification against a scheme specific chain of custody standard.</p> <p>5 Accreditation: The certification body carrying out forest management certification (or chain of custody certification against a scheme specific chain of custody standard) shall be accredited based on 17021(1) or ISO 17065...</p> <p>PEFC ST 2003, Appendix 1: The certification body operating the PEFC recognised chain of custody certification shall be notified by the PEFC Council or other PEFC authorised body for the specific country in which it operates. The PEFC notification requires that the certification body shall have a valid accreditation recognised by the PEFC Council.</p> <p>Appendix 2: The PEFC Council requires that chain of custody certification shall be carried out by certification bodies who are accredited by accreditation bodies that are signatories of the Multilateral Recognition Arrangement (MLA) for product certification of IAF or IAF's Regional Accreditation Groups...</p>	YES	<p>PEFC Annex 6 defines PEFC Council accreditation requirements for CBs conducting FM certification.</p> <p>National PEFC forest certification systems may have additional requirements.</p> <p>PEFC ST 2003:2020 is an international standard that specifies the requirements for CBs conducting certification evaluations against PEFC chain of custody standard (PEFC ST 2002:2020).</p> <p>PEFC system requires that CBs shall have accreditation in accordance to either ISO 17021-1 standard in FM certification and ISO 17065 standard in CoC certification.</p> <p>Both standards set comprehensive accreditation requirements.</p>
14	<p>Accreditation bodies shall comply with the current version of ISO 17011 standard.</p>	<p>Annex 6, 5 Accreditation: Accreditation bodies shall be a member of the International Accreditation Forum (IAF) or a member of IAF's special recognition regional groups and implement procedures described in ISO / IEC 17011:2017 and other documents recognised by the above organisations.</p> <p>PEFC ST 2003 Appendix 2: ...chain of custody certification shall be carried out by CBs who are accredited by accreditation bodies that are signatories of the Multilateral Recognition Arrangement (MLA) of IAF (International Accreditation Forum) or IAF's Regional Accreditation Groups</p>	YES	<p>Only accredited CBs may issue PEFC certificates.</p>

Annex 1 – Certification Scheme Performance Requirements continued

#	Operational requirements	Requirement of the assessed system	Y / N	Conclusions
14	continued	<p>IAF MLA: Each Accreditation Body that is a signatory to the IAF MLA commits to:</p> <ul style="list-style-type: none"> – Maintain conformity with the current version of ISO / IEC 17011 Conformity assessment – General requirements for bodies providing assessment and accreditation of conformity assessment bodies and supplementary requirements documents. – Recognise the competence and impartiality of accreditations of conformity assessment bodies by all other members of the MLA (https://iaf.nu/en/evaluation-process/ (Jan 31, 2023). 	YES	Only accredited CBs may issue PEFC certificates.
15	<p>The scope of accreditation (to SFM and CoC certifications) shall cover the scope of certification (certified activity and geography)</p> <p>For traders and end users, the accreditation scope for CoC is sufficient for CB.</p>	<p>Annex 6, 5 Accreditation: The certification body carrying out forest management certification... shall be accredited... and the relevant forest management or chain of custody standard(s) / scheme shall be covered by the accreditation scope</p> <p>PEFC ST 2003 Appendix 2: The scope of the accreditation shall explicitly cover PEFC ST 2002, Chain of Custody of Forest and Tree Based Products – Requirements and PEFC ST 2001, PEFC Trademarks Rules – Requirements in its valid version as presented at the PEFC website www.pefc.org. The scope of accreditation shall also explicitly state ISO / IEC 17065, PEFC ST 2003 and other requirements against which the certification body has been assessed.</p>	YES	<p>In accreditation of FM and CoC certification bodies, the accreditation scope shall cover the relevant national or international standards.</p> <p>National FM standards are applicable in defined geographies.</p> <p>Accreditation to PEFC CoC certification may be valid internationally.</p>
16	CB shall be impartial and shall not have any conflict of interest with the client.	<p>Annex 6, 3.1 Competence of CBs: PEFC certifications shall be carried out by impartial, independent third parties that cannot be involved in the standard setting process as governing or decision making bodies, or in the forest management and are independent of the certified entity.</p> <p>ISO 17021-1: 5.2 Management of impartiality. 5.2.1 Conformity assessment activities shall be undertaken impartially. The certification body shall be responsible for the impartiality of its conformity assessment activities</p> <p>ISO 17065 4.2. Management of impartiality, 4.2.1 Certification activities shall be undertaken impartially, 5.2 Mechanisms for safeguarding impartiality.</p>	YES	The ISO accreditation standards require that CBs have procedures that ensure adequate and competent human resources in certification.
17	The Certification Body (CB) shall have access to appropriate human resources.	<p>ISO 17021-1, 7.1.1 The CB shall have processes to ensure that personnel have appropriate knowledge and skills relevant to the types of management systems... and geographic areas in which it operates.</p> <p>ISO 17021-1, 7.2.1 The CB shall have sufficient, competent personnel for managing and supporting the type and range of audit programmes and other certification work performed.</p>	YES	The ISO accreditation standards require that CBs have procedures that ensure adequate and competent human resources in certification.

Annex 1 – Certification Scheme Performance Requirements continued

#	Operational requirements	Requirement of the assessed system	Y / N	Conclusions
17 continued		<p>ISO 17021-1, 7.2.2 The CB shall employ, or have access to, a sufficient number of auditors, including audit team leaders, and technical experts to cover all of its activities and to handle the volume of audit work performed</p> <p>ISO 17065, 6 Resource requirements: 6.1.1.1 The CB shall employ, or have access to, a sufficient number of personnel to cover its operations related to the certification schemes and to the applicable standards and other normative documents.</p>	YES	The ISO accreditation standards require that CBs have procedures that ensure adequate and competent human resources in certification.
18	<p>The CB shall ensure that auditors and technical experts maintain confidentiality and impartiality.</p>	<p>Annex 6, 3.2 Auditors: Certification bodies have the responsibility to use competent auditors that have adequate technical know-how on the certification process and issues related to forest management or chain of custody certification respectively. The auditors shall fulfil general criteria for quality and environmental management systems auditors as defined in ISO 19 011. Additional qualification requirements for auditors carrying out forest management or chain of custody audits against a scheme specific standard should be defined by the respective national forest certification scheme. The certification body can fulfil the technical competence defined for auditors by the presence of a technical expert(s) The compliance of auditors with the above requirements is verified by an accreditation as described in chapter 5.</p> <p>ISO 17021-1: 5.2 Management of impartiality, 5.2.12 All certification body personnel, either internal or external, or committees, who could influence the certification activities, shall act impartially and shall not allow commercial, financial or other pressures to compromise impartiality</p> <p>ISO 17065, 6 Resource requirements: 6.1.1.2 The personnel shall be competent for the functions they perform...</p> <p>6.1.1.3 The personnel, including any committee members, personnel of external bodies, or personnel acting on the certification body’s behalf, shall keep confidential all information obtained or created during the performance of the certification activities, except as required by law of by the certification scheme.</p> <p>4.5 Confidentiality: 4.5.1 CB shall be responsible ...for the management of all information obtained or created during the performance of certification activities.</p>	YES	The ISO accreditation standards along with PEFC Annex require comprehensive measures to ensure impartiality of CBs and auditors.

Annex 1 – Certification Scheme Performance Requirements continued

#	Operational requirements	Requirement of the assessed system	Y / N	Conclusions
18	continued	<p>4.5.3 Information from client, obtained from other sources than the client... shall be treated as confidential</p> <p>5.2.1 CB shall have mechanisms for safeguarding impartiality...</p>	YES	The ISO accreditation standards along with PEFC Annex require comprehensive measures to ensure impartiality of CBs and auditors.
19	The CB shall ensure that auditors and technical experts possess the necessary competence, knowledge, and skills for conducting evaluations.	<p>Annex 6, 3.1 Competence of CBs: ...</p> <ul style="list-style-type: none"> – 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. – The certification body carrying out chain of custody certification shall have the technical competence in forest based product procurement and processing, material flows in different stages of processing and trading. – The certification body shall have a good understanding of the national PEFC system against which it carries out forest or chain of custody certification. <p>Compliance of the certification body with the above requirements shall be verified by an accreditation as described in chapter 5.</p> <p>ISO 17021-1, 7.1.2 The certification body shall have a process for determining the competence criteria for personnel involved in the management and performance of audits and other certification activities. Competence criteria shall be determined with regard to the requirements of each type of management system standard or specification, for each technical area, and for each function in the certification process. The output of the process shall be the documented criteria of required knowledge and skills necessary to effectively perform audit and certification tasks to be fulfilled to achieve the intended results.</p> <p>7.1.4 The certification body shall have access to the necessary technical expertise for advice...</p> <p>7.2.6 The certification body shall ensure that auditors (and, where needed, technical experts) are knowledgeable of its audit processes, certification requirements and other relevant requirements.</p> <p>ISO 17065, 6 Resource requirements: 6.1.2 Management of competence for personnel involved in the certification process: procedures for management of competence, records,</p>	YES	The ISO accreditation standards along with PEFC requirements, demand that CBs have procedures that ensure adequate and competent human resources in certification.

Annex 1 – Certification Scheme Performance Requirements continued

#	Operational requirements	Requirement of the assessed system	Y / N	Conclusions
19 continued		<p>7.3. Application review: ...7.3.3 the certification body shall ensure it has the competence and capability for all the certification activities it is required to undertake, and it shall maintain a record of the justification for the decision to undertake certification.</p> <p>PEFC ST 2003, 6.1.2.3 ...CB shall ensure that auditor has performed a minimum of 5 external audits in CoC, ISO 9001 /14001 in forest / tree based sectors per year...</p> <p>6.1.2.5 Table specifies qualification requirements for auditors and reviewers / certification decision makers</p> <ul style="list-style-type: none"> – Knowledge corresponding at least a secondary education related to the sector – Three year working experience in the sector / in conformity assessments <p>PEFC training and training in ISO 19011, refresh training every two years.</p>	YES	The ISO accreditation standards along with PEFC requirements, demand that CBs have procedures that ensure adequate and competent human resources in certification.
20	<p>The competence of the CB and auditors shall be periodically evaluated.</p>	<p>ISO 17021-1 7.2.11 The certification body shall periodically evaluate the performance of each auditor on-site. The frequency of on-site evaluations shall be based on need determined from all monitoring information available.</p> <p>ISO 17065, 6 Resource requirements: 6.1.2 Management of competence for personnel involved in the certification process:</p> <p>6.1.2.1 ...The procedures shall require CB to a) determine the criteria for competence of personnel for each function, ... e) monitor the performance of the personnel.</p> <p>PEFC ST 2003, Competencies: 6.1.1.2.6.3 The certification body shall maintain evidence of annual monitoring of chain of custody auditors.</p> <p>6.1.2 Management of competence...6.1.2.1 CB shall ensure that qualified reviewers, certification decision makers and auditors, every two calendar years, have participated in ...training.</p>	YES	The ISO standard and the PEFC ST 2003 require regular monitoring of the competence of CB and auditors.

Annex 1 – Certification Scheme Performance Requirements continued

#	Operational requirements	Requirement of the assessed system	Y / N	Conclusions
Subcontracting				
21	<p>The CB shall have a procedure outlining the conditions for subcontracting.</p>	<p>ISO 17021-1, 5.2.8 The certification body shall not outsource audits to a management system consultancy organisation, as this poses an unacceptable threat to the impartiality of the certification body...</p> <p>7.5.1 The certification body shall have a process in which it describes the conditions under which outsourcing (which is subcontracting to another organisation to provide part of the certification activities on behalf of the certification body) may take place. The certification body shall have a legally enforceable agreement covering the arrangements, including confidentiality and conflicts of interests, with each body that provides outsourced services.</p> <p>7.5.2 Decisions for granting, refusing, maintaining of certification, expanding or reducing the scope of certification, renewing, suspending or restoring, or withdrawing of certification shall not be outsourced.</p> <p>ISO 17065, 6 Resource requirements: 6.1.2 Management of competence for personnel involved in the certification process:</p> <p>6.2.2 External resources (outsourcing): ... The certification body shall outsource evaluation activities only to bodies that meet the applicable requirements of the relevant International Standards and as specified by the certification scheme, of other documents... for management system auditing, it shall meet the applicable requirements of ISO / IEC 17021....</p> <p>6.2.3 The certification body shall have a legally binding contract with the body that provides the outsourced service, including provisions for confidentiality and conflict of interest...</p>	YES	<p>The ISO standards require that CBs have procedures for outsourcing their activities. The standards give additional detailed requirements for the procedures. In general, CBs may not outsource the decision making on certification. In management system certification CBs may not outsource audits to a management system consultant.</p>
22	<p>The CB shall have procedures for audit planning and appointment of evaluation teams.</p>	<p>Annex 6, 4 Certification procedures: The certification body shall have established internal procedures for ...certification</p> <p>ISO 17021-1, 9.1.3.1 An audit programme for the full certification cycle shall be developed...</p> <p>ISO 17065, 7 Evaluation: 7.4.1 CB shall have a plan for the evaluation activities to allow for the necessary arrangements to be managed. 7.4.2 assign personnel, 7.4.3 ... necessary information,</p> <p>PEFC ST 2003: 7.4.1 CB shall have procedures to ensure that an audit plan is established for each audit...</p>	YES	<p>All the referred ISO standards and PEFC documents require preparation of a detailed audit plan.</p>

Annex 1 – Certification Scheme Performance Requirements continued

#	Operational requirements	Requirement of the assessed system	Y / N	Conclusions
22	continued	7.4.3 ...procedures for selecting and appointing the audit team... 7.4.5 ... CB shall conduct audit following the relevant guidance provided in ISO 19011:2018...In general, audits (initial, surveillance and recertification) shall be conducted on-site, except when 7.4.6 (no physical possession) or 7.9.2 (listed exceptions) apply.	YES	All the referred ISO standards and PEFC documents require preparation of a detailed audit plan.
23	The CB shall carry out a surveillance evaluation once per calendar year.	Annex 6 , 4 Certification procedures: The maximum period for surveillance audits is one year and maximum period for reassessment audit is five years for both forest management and chain of custody certifications. ISO 17021-1 , 9.1.3.3 Surveillance audits shall be conducted at least once a calendar year, except in recertification years. The date of the first surveillance audit following initial certification shall not be more than 12 months from the certification decision date. ISO 17065 7.9 Surveillance: 7.9.1 If surveillance is required by the certification scheme, or as specified in 7.9.3 or 7.9.4, the certification body shall initiate surveillance of the product(s) covered by the certification decision in accordance with the certification scheme. 7.9.4 When continuing use of a certification mark is authorized for a process or service, surveillance shall be established and shall include periodic surveillance activities to ensure ongoing validity of the demonstration of fulfilment of process or service requirements. PEFC ST 2003 , 7.9.1 Surveillance audits shall be carried out annually (12 months +/- 3months)	YES	The ISO standards, along with the PEFC accreditation rules for CBs conducting FM and CoC certification, require yearly surveillance audits. The exact time limits range from 9 months to 15 months.
24	The CB shall enforce corrective actions within specified time limits.	ISO 17021-1 , 9.4.7.2 The closing meeting shall also include the following elements where the degree of detail shall be consistent with the familiarity of the client with the audit process: d) the timeframe for the client to present a plan for correction and corrective action for any nonconformities identified during the audit; 9.4.9 Cause analysis of nonconformities. The CB shall require the client to analyse the cause and describe the specific correction and corrective actions taken, or planned to be taken, to eliminate detected nonconformities, within a defined time. 9.5.3.2 If the CB is not able to verify the implementation of corrections and corrective actions of any major nonconformity within 6 months after the last day of stage 2, the certification body shall conduct another stage 2 prior to recommending certification.	YES	The ISO standards require that CBs list nonconformities and require corrective actions within a given period. ISO 17021-1 does not give specific timeframes for corrective actions but requires that CB defines them to the client.

Annex 1 – Certification Scheme Performance Requirements continued

#	Operational requirements	Requirement of the assessed system	Y / N	Conclusions
24	continued	<p>ISO 17065, 7 Evaluation: 7.4.6 The CB shall inform the client of all nonconformities</p> <p>PEFC ST 2003: 7.6.4 Major and minor nonconformities identified in the audits shall result in corrective action(s) by the client organisation resolving the nonconformities. The corrective action plan, including a timeframe, shall be reviewed and accepted by the certification body.</p> <p>The time period for completion of the corrective action(s) for major nonconformities identified in surveillance audits and their verification by the certification body shall follow the rules of the certification body but not exceed three months. Corrective action(s) for minor nonconformities identified during recertification and surveillance audits shall be verified no later than during the next audit.</p>	YES	<p>The ISO standards require that CBs list nonconformities and require corrective actions within a given period.</p> <p>ISO 17021-1 does not give specific timeframes for corrective actions but requires that CB defines them to the client.</p>
25	The CB shall ensure that the entity responsible for certification decisions is impartial and possesses the competence to evaluate audit outcomes.	<p>ISO 17021-1 9.5.1.1 The certification body shall ensure that the persons or committees that make the decisions for granting or refusing certification, expanding or reducing the scope of certification, suspending or restoring certification, withdrawing certification or renewing certification are different from those who carried out the audits. The individual(s) appointed to conduct the certification decision shall have appropriate competence.</p> <p>ISO 17065 7.5. Review: 7.5.1 The certification body shall assign at least one person to review all information and results related to the evaluation. The review shall be carried out by person(s) who have not been involved in the evaluation process.</p> <p>7.6 Certification decision: 7.6.2 The certification body shall assign at least one person to make the certification decision based on all information related to the evaluation, its review, and any other relevant information. The certification decision shall be carried out by a person or group of persons...that has not been involved in the process for evaluation (see 7.4).</p> <p>NOTE The review and the certification decision can be completed concurrently by the same person or group of persons.</p> <p>4.2 Management of impartiality</p> <p>7.11 Termination, reduction, suspension or withdrawal of certification</p>	YES	The ISO standards require that the decision on a certificate is done by a person / group that has not been involved in the audit and that has the competence to the task.
26	The individuals involved in certification decision-making shall not have participated in the evaluation process.	See ISO 17021-1 9.5.1.1 and ISO 17065, 7.6 above	YES	

Annex 1 – Certification Scheme Performance Requirements continued

#	Operational requirements	Requirement of the assessed system	Y / N	Conclusions
Records and reporting				
27	The CB shall document all identified non-conformances in the evaluation report and classify them as minor or major.	<p>ISO 17021-1, 9.4.6 Under the responsibility of the audit team leader and prior to the closing meeting, the audit team shall: a) review the audit findings, and any other appropriate information obtained during the audit, against the audit objectives and audit criteria and classify the nonconformities;</p> <p>9.4.5.1 Audit findings summarizing conformity and detailing nonconformity shall be identified, classified and recorded...</p> <p>ISO 17065: 7.4.9 The results of all evaluation activities shall be documented prior to review.</p> <p>7.7.1 The certification body shall provide the client with formal certification documentation that clearly conveys or permits identification of the following.</p> <p>7.12 The certification body shall retain records to demonstrate that all certification process requirements (those in this International Standard and those of the certification scheme) have been effectively fulfilled.</p> <p>7.12.2 The certification body shall keep records confidential.</p>	YES	The ISO standards require listing and classification of nonconformities in the audit report.
28	The CB shall provide a public summary report. Applies to forest management audits.	<p>Annex 6, 4 Certification procedures: 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.</p> <p>Compliance of the certification body's procedures with the above requirements shall be verified by accreditation according to chapter 5.</p>	YES	The ISO standards require that the decision on the issuance of a certificate shall be public. PEFC rules for CBs conducting forest management go beyond this and demand for publishing of the audit report by auditee or other party designated by it.
29	The CB shall have procedures for stakeholder communication during audits.	<p>Annex 6, 4: 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 organisations, etc.) as appropriate.</p> <p>ISO 17021-1 8.1 Public information, 8.1.1 The certification body shall maintain e) processes for handling requests for information, complaints and appeals.</p>	YES	PEFC standard requires that CBs collect information from external parties.

Annex 1 – Certification Scheme Performance Requirements continued

#	Operational requirements	Requirement of the assessed system	Y / N	Conclusions
30	The CB shall have procedures for the timely resolution of complaints and appeals.	<p>ISO 17021-1, 9.7.1 9.7.1 The certification body shall have a documented process to receive, evaluate and make decisions on appeals.</p> <p>ISO 17065 7.13 Complaints and appeals: 7.13.1 CB shall have documented process to receive, evaluate and make decisions on complaints and appeals...</p> <p>PEFC ST 2003 7.13 adds CB shall notify PEFC Council within 30 days of ... complaints against client organisations...</p> <p>7.13.2 CB shall provide PEFC Council and corresponding PEFC National Governing Body with summary reports for resolved complaints and appeals against PEFC certified client organisation...</p>	YES	The ISO standards require that CBs have procedures to address complaints and appeals related to certification process.
31	Organisational commitment to meeting the certification requirements shall be required, along with the provision of adequate resources, documentation, and / or reporting.	<p>PEFC ST 2002:2020:</p> <p>4.2.1 The organisation shall establish written documented procedures for its PEFC chain of custody. The documented procedures shall include at least the following elements:</p> <ul style="list-style-type: none"> – responsibilities and authorities relating to the PEFC chain of custody – description of the raw material flow within the production / trading process(es), including definition of product groups – procedures for PEFC chain of custody process(es) covering all requirements of this standard, including: <ul style="list-style-type: none"> - identification of material categories - physical separation of PEFC-certified material, PEFC-controlled sources material and other material - definition of product groups, calculation of certified content, management of credit accounts, transfer to outputs (for organisations applying percentage or credit method) - sale / transfer of products and PEFC claims, including documentation in which PEFC claims are made, and other on- and off-product trademark use - record keeping - internal audits and non-conformity control - the Due Diligence System - complaints resolution - outsourcing 		The PEFC ST 2002:2020 places requirements that correspond with those of the benchmark.

Annex 1 – Certification Scheme Performance Requirements continued

#	Chain of custody requirements	Requirement of the assessed system	Y / N	Conclusions
31	continued	<p>4.3.1.1 The organisation's management shall define and document its commitment to implement and maintain the chain of custody requirements in accordance with this standard. The organisation's commitment shall be made available to the organisation's personnel, suppliers, customers, and other interested parties.</p> <p>4.4.1 To provide evidence of conformity with the requirements of this standard, the organisation shall establish and maintain at least the following records relating to the product groups covered by its PEFC chain of custody:</p> <p>a) Records of all suppliers of input material delivered with a PEFC claim, including evidence of the suppliers' PEFC certified status. Note: Evidence can be a print-out from the PEFC website.</p> <p>b) Records of all input material, including PEFC claims and documents associated to the delivery of the input material, and for recycled input material, information demonstrating that the definition of recycled material is met.</p> <p>c) Records of calculation of the certified content, transfer of the percentage to output products and management of the credit account, as applicable.</p> <p>d) Records of all products sold/transferred, including PEFC claims and documents associated to the delivery of the output products.</p> <p>e) Records of the Due Diligence System, including records of risk assessments and significant risk supplies management, as applicable.</p> <p>f) Records of internal audits, periodic chain of custody review, non-conformities and corrective actions.</p> <p>g) Records on complaints and their resolution.</p> <p>4.5.2 The organisation shall identify, provide and maintain the infrastructure and technical facilities needed for effective implementation and maintenance of its PEFC chain of custody with the requirements of this standard.</p>	YES	The PEFC ST 2002:2020 places requirements that correspond with those of the benchmark.
32	Compliance with applicable laws, rules, and regulations shall be required, and responsible business practices shall be encouraged.	<p>PEFC ST 2002:2020:</p> <p>4.10.1 The organisation shall demonstrate its commitment to comply with the social, health and safety requirements defined in this standard.</p> <p>4.10.2 The organisation shall demonstrate that:</p> <p>a) workers are not prevented from associating freely, choosing their representatives and bargaining collectively with their employer</p>	YES	The PEFC ST 2002:2020 places requirements that correspond with those of the benchmark.

Annex 1 – Certification Scheme Performance Requirements continued

#	Chain of custody requirements	Requirement of the assessed system	Y / N	Conclusions
32	continued	<p>b) forced labour is not used</p> <p>c) workers, who are under the minimum legal age, the age of 15, or the compulsory school attendance age, whichever is higher, are not used</p> <p>d) workers are not denied equal employment opportunities and treatment</p> <p>e) working conditions do not endanger safety or health</p> <p>Appendix 1, 1.1 In order to help ensure that activities conducted by the organisation under the scope of this standard conform to all applicable timber legality legislation, including trade and customs laws, and to minimise the risk that the procured material originates in controversial sources, the organisation shall operate a Due Diligence System (DDS), in accordance with the following elements of this standard ...</p> <p>Appendix 1, 1.4 The organisation procuring raw material originating from species listed in Appendix I to III of CITES shall comply with applicable legislation relating to CITES.</p>	YES	The PEFC ST 2002:2020 places requirements that correspond with those of the benchmark.
33	Adequate self-monitoring practices shall be in place.	<p>PEFC ST 2002:2020:</p> <p>4.6.1 The organisation shall conduct internal audits at least annually, and prior to the initial certification audit, covering its compliance with all requirements of this standard applicable to the organisation, including activities covered by outsourcing, and establish corrective and preventive measures if required.</p> <p>Note: Informative guidance for performing internal audits is given in ISO 19011.</p> <p>4.6.2 The organisation's management shall review the result of the internal audit and the organisation's PEFC chain of custody at least annually.</p>	YES	The PEFC ST 2002:2020 places requirements that correspond with those of the benchmark.
34	Personnel competence shall be ensured through adequate measures.	<p>PEFC ST 2002:2020:</p> <p>4.5.1 The organisation shall ensure and demonstrate that all personnel performing activities affecting the implementation and maintenance of its PEFC chain of custody are competent on the basis of appropriate training, education, skills and experience.</p>	YES	The PEFC ST 2002:2020 places requirements that correspond with those of the benchmark.

Annex 1 – Certification Scheme Performance Requirements continued

#	Chain of custody requirements	Requirement of the assessed system	Y / N	Conclusions
35	Stakeholder engagement shall be encouraged for example through an outlined complaint process.	<p>PEFC ST 2002:2020:</p> <p>4.7.1 The organisation shall establish procedures for dealing with complaints from suppliers, customers and other parties relating to its chain of custody, reflecting the requirements of 4.7.2.</p> <p>4.7.2 Upon receipt of a complaint in writing, the organisation shall:</p> <ul style="list-style-type: none"> a) formally acknowledge the complaint to the complainant within ten workdays b) gather and verify all necessary information to evaluate and validate the complaint and make a decision on the complaint c) formally communicate the decision on the complaint and of the complaint handling process to the complainant d) ensure that appropriate corrective and preventive actions are taken, if necessary 	YES	The PEFC ST 2002:2020 places requirements that correspond with those of the benchmark.
36	Requirements for identifying and controlling non-conformities in products and / or claims shall be in place, and activities following the detection of non-conformity shall be defined.	<p>PEFC ST 2002:2020:</p> <p>4.8.1 When a nonconformity with the requirements of this standard is identified through internal or external auditing, the organisation shall:</p> <ul style="list-style-type: none"> a) react to the nonconformity and, as applicable: <ul style="list-style-type: none"> a. take action to control and correct it b. address the consequences b) evaluate the need for action to eliminate the causes of the nonconformity, in order that it does not recur or occur elsewhere, by: <ul style="list-style-type: none"> a. reviewing the nonconformity b. determining the causes of the nonconformity c. determining if similar nonconformities exist, or could potentially occur c) implement any action needed d) review the effectiveness of any corrective action taken e) make changes to the management system, if necessary <p>4.8.2 Corrective action shall be appropriate to the effects of the nonconformities encountered.</p> <p>4.8.3 The organisation shall retain documented information as evidence of:</p> <ul style="list-style-type: none"> a) the nature of the nonconformities and any subsequent actions taken b) the results of any corrective action 	YES	The PEFC ST 2002:2020 places requirements that correspond with those of the benchmark.

Annex 1 – Certification Scheme Performance Requirements continued

#	Chain of custody requirements	Requirement of the assessed system	Y / N	Conclusions
37	Conditions for outsourcing activities related to certified products shall be outlined.	<p>PEFC ST 2002:2020:</p> <p>4.9.1 The organisation may outsource activities covered by its PEFC chain of custody to another entity.</p> <p>4.9.2 Through all stages of outsourcing the organisation shall be responsible for ensuring that all outsourced activities meet the requirements of this standard, including management system requirements. The organisation shall have a written agreement with all entities to whom activities have been outsourced, ensuring that:</p> <p>a) The material / products covered by the organisation’s PEFC chain of custody are physically separated from other material or products.</p> <p>b) The organisation has access to the entity’s site(s) for internal and external auditing of outsourced activities for conformity with the requirements of this standard.</p> <p>Note 1: A template for an outsourcing agreement can be obtained from the PEFC Council and PEFC authorised bodies.</p> <p>Note 2: Internal audits of outsourced activities should be conducted at least annually and before the outsourced activity starts.</p>	YES	The PEFC ST 2002:2020 places requirements that correspond with those of the benchmark.
38	Feedstock sourcing and categorisation shall be defined.	<p>PEFC ST 2002:2020:</p> <p>3.24 PEFC certified material [definition]: Material category for:</p> <p>a) Forest and tree based material delivered by a supplier covered by a PEFC recognised certificate, with the PEFC claim “x% PEFC certified”, or delivered by a supplier covered by a PEFC recognised certificate against a forest management standard that is endorsed by PEFC with another PEFC endorsed system claim. ...</p> <p>b) Recycled material (not delivered with the PEFC claim “x% PEFC certified”).</p> <p>3.28 PEFC controlled sources [definition]: Material category covering forest and tree based material for which an organisation has determined through its Due Diligence System that there is “negligible risk” that the material is from controversial sources.</p> <p>Note: “PEFC controlled sources” is also the PEFC claim that may be used for material from this material category.</p>	YES	The PEFC ST 2002:2020 places requirements that correspond with those of the benchmark.

Annex 1 – Certification Scheme Performance Requirements continued

# Chain of custody requirements	Requirement of the assessed system	Y / N	Conclusions
38 continued	<p>5.1.1 For each delivery of material used as input for a PEFC product group the organisation shall obtain documentation with the following information from the supplier:</p> <ul style="list-style-type: none"> a) supplier identification b) product identification c) quantity of products d) delivery identification based on date of delivery, delivery period, or accounting period <p>For inputs with a PEFC claim the document shall also include:</p> <ul style="list-style-type: none"> e) the organisation's name as the PEFC customer of the delivery f) the applicable PEFC claim specifically for each claimed product covered by the documentation g) the certificate number of the supplier's PEFC recognised certificate ... <p>5.1.2.1 For all inputs delivered with a PEFC claim the organisation shall verify that the supplier is covered by a PEFC recognised certificate on the PEFC website.</p> <p>5.1.2.2 For each delivery of material used as input for a PEFC product group the organisation shall classify the material category of the procured material.</p> <p>6.1.4 The organisation shall only use PEFC certified material and PEFC controlled sources material as input for PEFC product groups.</p>	YES	The PEFC ST 2002:2020 places requirements that correspond with those of the benchmark.
39 Certified and non-certified mixes shall be defined, and separation shall be required when appropriate.	<p>PEFC ST 2002:2020:</p> <p>4.9.2 Through all stages of outsourcing the organisation shall be responsible for ensuring that all outsourced activities meet the requirements of this standard, including management system requirements. The organisation shall have a written agreement with all entities to whom activities have been outsourced, ensuring that:</p> <ul style="list-style-type: none"> a) The material / products covered by the organisation's PEFC chain of custody are physically separated from other material or products. ... <p>6.1.1 There are three methods to implement the PEFC chain of custody, namely the physical separation method, the percentage method and the credit method. Depending on the nature of material flows and processes, the organisation shall choose the appropriate method.</p>	YES	The PEFC ST 2002:2020 places requirements that correspond with those of the benchmark.

Annex 1 – Certification Scheme Performance Requirements continued

#	Chain of custody requirements	Requirement of the assessed system	Y / N	Conclusions
39	continued	<p>6.1.4 The organisation shall only use PEFC certified material and PEFC controlled sources material as input for PEFC product groups.</p> <p>6.2.1 The organisation applying the physical separation method shall ensure that material with different material categories and different certified content are kept separate or clearly identifiable at all stages of the production or trading process.</p> <p>Note: Physical separation can be achieved by any means ensuring that material category and certified content can be identified, for example, through separate storage, marking, distinguishing product characteristics or production time.</p>	YES	The PEFC ST 2002:2020 places requirements that correspond with those of the benchmark.
40	Rules for traceability in the Chain of Custody are established.	<p>PEFC ST 2002:2020:</p> <p>4.2.1 The organisation shall establish written documented procedures for its PEFC chain of custody. The documented procedures shall include at least the following elements: ...</p> <p>c) procedures for PEFC chain of custody process(es) covering all requirements of this standard, including: ...</p> <p>vi) internal audits and non-conformity control</p> <p>4.4.1 To provide evidence of conformity with the requirements of this standard, the organisation shall establish and maintain at least the following records relating to the product groups covered by its PEFC chain of custody:</p> <p>a) Records of all suppliers of input material delivered with a PEFC claim, including evidence of the suppliers' PEFC certified status.</p> <p>Note: Evidence can be a print-out from the PEFC website.</p> <p>b) Records of all input material, including PEFC claims and documents associated to the delivery of the input material, and for recycled input material, information demonstrating that the definition of recycled material is met.</p> <p>c) Records of calculation of the certified content, transfer of the percentage to output products and management of the credit account, as applicable.</p> <p>d) Records of all products sold / transferred, including PEFC claims and documents associated to the delivery of the output products.</p> <p>e) Records of the Due Diligence System, including records of risk assessments and significant risk supplies management, as applicable.</p> <p>f) Records of internal audits, periodic chain of custody review, non-conformities and corrective actions.</p> <p>g) Records on complaints and their resolution.</p>	YES	The PEFC ST 2002:2020 places requirements that correspond with those of the benchmark.

Annex 1 – Certification Scheme Performance Requirements continued

# Chain of custody requirements	Requirement of the assessed system	Y / N	Conclusions
40 continued	<p>4.6.1 The organisation shall conduct internal audits at least annually, and prior to the initial certification audit, covering its compliance with all requirements of this standard applicable to the organisation, including activities covered by outsourcing, and establish corrective and preventive measures if required.</p> <p>Note: Informative guidance for performing internal audits is given in ISO 19011.</p> <p>4.6.2 The organisation's management shall review the result of the internal audit and the organisation's PEFC chain of custody at least annually.</p> <p>4.9.2 Through all stages of outsourcing the organisation shall be responsible for ensuring that all outsourced activities meet the requirements of this standard, including management system requirements. The organisation shall have a written agreement with all entities to whom activities have been outsourced, ensuring that:</p> <p>a) The material / products covered by the organisation's PEFC chain of custody are physically separated from other material or products.</p> <p>b) The organisation has access to the entity's site(s) for internal and external auditing of outsourced activities for conformity with the requirements of this standard. ...</p> <p>Note 2: Internal audits of outsourced activities should be conducted at least annually and before the outsourced activity starts.</p> <p>Appendix 1, 5.2.1 The organisation shall require, from all suppliers of "significant risk" supplies, detailed information on the whole supply chain and forest area(s) of the supply's origin.</p> <p>Appendix 1, 5.3.1 The organisation's verification programme shall include on-site inspections of suppliers delivering "significant risk" supplies. The on-site inspections can be carried out by the organisation itself (second party inspection) or by a third party on behalf of the organisation. The organisation may substitute the on-site inspection with documentation review where the documentation provides sufficient confidence in the material origin in non-controversial sources.</p>	YES	The PEFC ST 2002:2020 places requirements that correspond with those of the benchmark.

Annex 1 – Certification Scheme Performance Requirements continued

#	Chain of custody requirements	Requirement of the assessed system	Y / N	Conclusions
41	Chain of custody models shall be defined. These methods shall facilitate the tracking of quantities of inputs and outputs.	<p>PEFC ST 2002:2020:</p> <p>6.1.1 There are three methods to implement the PEFC chain of custody, namely the physical separation method, the percentage method and the credit method. Depending on the nature of material flows and processes, the organisation shall choose the appropriate method.</p> <p>6.1.2 The organisation shall implement the chosen chain of custody method(s) of this standard for specific PEFC product groups.</p> <p>6.1.3 PEFC product groups shall be established for products with equivalent input material, with the same measurement unit or units that can be converted into a single measurement unit.</p> <p>6.1.4 The organisation shall only use PEFC certified material and PEFC controlled sources material as input for PEFC product groups.</p> <p>Physical separation method is defined in the requirements 6.2.1-6.2.2.1.</p> <p>Percentage method is defined in the requirements 6.3.1-6.3.5.</p> <p>Credit method is defined in the requirements 6.4.1-6.4.8.</p>	YES	The PEFC ST 2002:2020 places requirements that correspond with those of the benchmark.
42	If a mass balance approach is employed, it shall be clearly defined, legitimate, and transparent.	<p>PEFC ST 2002:2020:</p> <p>6.4.1 The credit method may be implemented to transfer credits gained from the input of PEFC certified material to PEFC controlled sources material within the same PEFC product group.</p> <p>6.4.2 The organisation shall create and manage a credit account for credits gained from input of PEFC certified material. The credits shall be calculated in a single measurement unit. It may be required to define conversion factor(s) for the conversion of the measurement unit(s) of the input components to the output products.</p> <p>6.4.3 The total quantity of credits accumulated in the credit account shall not exceed the sum of credits entered into the credit account during the last 24 months. The 24-month maximum period may be extended, where the organisation can demonstrate that the average production period of the product in question is longer than 24 months.</p> <p>6.4.4 The organisation shall apply the credit method for a single claim. The organisation receiving a delivery of material with a PEFC claim and a claim against another certification system, shall either use it as a combined credit covering both claims or shall only use one of the received claims for calculating the volume credits.</p>	YES	The PEFC ST 2002:2020 places requirements that correspond with those of the benchmark.

Annex 1 – Certification Scheme Performance Requirements continued

# Chain of custody requirements	Requirement of the assessed system	Y / N	Conclusions
42 continued	<p>6.4.5 The organisation shall calculate the credits using either:</p> <p>a) certified content and volume of output products (clause 6.4.8) or</p> <p>b) input material and input-to-output ratio (clause 6.4.7)</p> <p>6.4.6 The organisation applying the credit method shall calculate the credits by multiplying the volume of output products of the claim period with the certified content for the relevant claim period.</p> <p>6.4.7 The organisation that can demonstrate a verifiable ratio between the input material and output products, may calculate the credits directly from input of PEFC certified material by multiplying the volume of PEFC certified material input with the input-to-output ratio.</p> <p>6.4.8 The organisation shall distribute the credits from the credit account to the output products covered by the credit account. The credits shall be distributed to the output products in a way that the certified products will be considered as either having 100% certified content or as having less than 100% certified content and meeting the organisation's own threshold. The result of the volume of output products multiplied by the certified content of the output products shall be equal to the distributed credits withdrawn from the credit account.</p>	YES	The PEFC ST 2002:2020 places requirements that correspond with those of the benchmark.
<p>43 Allowable claims and labels shall be defined with sufficient information. These claims and labels shall be appropriate, considering the Chain of Custody models being applied.</p>	<p>PEFC ST 2002:2020:</p> <p>3.27 PEFC claim [definition]: Organisation's declaration on material / products, stated in sales and delivery documentation, namely the claims "x% PEFC certified" and "PEFC controlled sources".</p> <p>Note 1: In order to highlight PEFC certified material that has never been mixed with PEFC controlled sources material, organisations implementing the physical separation method may use the wording "100% PEFC Origin" instead of "100% PEFC certified" for PEFC certified material that was delivered by a supplier that is a forest owner / manager covered by a PEFC recognised certificate issued against a PEFC endorsed forest management standard with the claim "100% PEFC certified" or with another PEFC endorsed system claim, and for PEFC certified material that was already delivered with the claim "100% PEFC Origin". Organisations receiving material with such a claim "100% PEFC Origin" and implementing the percentage method or credit method consider this as being the PEFC claim "100% PEFC certified".</p> <p>Note 2: A list of PEFC accepted abbreviations and translations of PEFC claims is available on the PEFC website.</p>	YES	The PEFC ST 2002:2020 and the PEFC ST 2001:2020 place requirements that correspond with those of the benchmark.

Annex 1 – Certification Scheme Performance Requirements continued

# Chain of custody requirements	Requirement of the assessed system	Y / N	Conclusions
43 continued	<p>3.24 PEFC certified material [definition]: Material category for:</p> <p>a) Forest and tree based material delivered by a supplier covered by a PEFC recognised certificate, with the PEFC claim “x% PEFC certified”, or delivered by a supplier covered by a PEFC recognised certificate against a forest management standard that is endorsed by PEFC with another PEFC endorsed system claim. Note: PEFC endorsed system claims are published online on the PEFC website.</p> <p>b) Recycled material (not delivered with the PEFC claim “x% PEFC certified”).</p> <p>3.28 PEFC controlled sources [definition]: Material category covering forest and tree based material for which an organisation has determined through its Due Diligence System that there is “negligible risk” that the material is from controversial sources. Note: “PEFC controlled sources” is also the PEFC claim that may be used for material from this material category.</p> <p>5.3.1 The use of the PEFC trademarks i.e. PEFC logo and labels, chain of custody claims on-product and PEFC initials, shall be in compliance with PEFC ST 2001, PEFC Trademarks Rules – Requirements.</p> <p>PEFC ST 2001:2020:</p> <p>3.11 PEFC labels [definition]: The PEFC labels comprise the PEFC logo plus additional elements such as the label name, the message, the website and the frame. The additional elements complement the logo providing information about what the PEFC logo stands for. The PEFC logo shall be always used within the PEFC labels. Under certain circumstances described in this document, some elements of the PEFC labels may be omitted in such a way that the final design of the label is the PEFC logo itself, with no additional elements.</p> <p>7.1.2.1.2 The PEFC certified label may be used whenever at least 70% of the forest and tree based material included in the product is PEFC certified material and the content of recycled material is lower than 100%.</p> <p>7.1.2.2.1 The PEFC recycled label shall be used when the product includes only recycled material (see 3.15, definition for recycled material). The label name is “PEFC Recycled” and the label message: “[This product] is from recycled sources”...</p>	YES	The PEFC ST 2002:2020 and the PEFC ST 2001:2020 place requirements that correspond with those of the benchmark.

Annex 1 – Certification Scheme Performance Requirements continued

#	Chain of custody requirements	Requirement of the assessed system	Y / N	Conclusions
44	To ensure the credibility of mixed claims, the scheme shall have procedures in place to verify that non-certified feedstock originates from controlled sources.	<p>PEFC ST 2002:2020:</p> <p>3.7 Controversial sources [definition]: Forest and tree based material sourced from:</p> <p>a) Activities not complying with applicable local, national or international legislation on forest management, including but not limited to forest management practices; nature and environmental protection; protected and endangered species; property, tenure and land-use rights for indigenous peoples, local communities or other affected stakeholders; health, labour and safety issues; anticorruption and the payment of applicable royalties and taxes.</p> <p>b) Activities where the capability of forests to produce a range of wood and non-wood forest products and services on a sustainable basis is not maintained or harvesting levels exceed a rate that can be sustained in the long term.</p> <p>c) Activities where forest management does not contribute to the maintenance, conservation or enhancement of biodiversity on landscape, ecosystem, species or genetic levels.</p> <p>d) Activities where ecologically important forest areas are not identified, protected, conserved or set aside.</p> <p>e) Activities where forest conversions occur, in other than justified circumstances where the conversion:</p> <p>a. is in compliance with national and regional policy and legislation applicable for land use and forest management, and</p> <p>b. does not have negative impacts on ecologically important forest areas, culturally and socially significant areas, or other protected areas, and</p> <p>c. does not destroy areas of significantly high carbon stock, and</p> <p>d. makes a contribution to long-term conservation, economic, and / or social benefits.</p> <p>f) Activities where the spirit of the ILO Declaration on Fundamental Principles and Rights at Work (1998) is not met.</p> <p>g) Activities where the spirit of the United Nations Declaration on the Rights of Indigenous Peoples (2007) is not met.</p> <p>h) Conflict timber.</p> <p>i) Genetically modified trees.</p>	YES	The PEFC ST 2002:2020 places requirements that correspond with those of the benchmark.

Annex 1 – Certification Scheme Performance Requirements continued

# Chain of custody requirements	Requirement of the assessed system	Y / N	Conclusions
44 continued	<p>Note 1 (on 3.7 b, d and e): Not considered “controversial sources” are such activities in short rotation forest plantations with harvesting cycles under 35 years, that are on agricultural land.</p> <p>Note 2 (on 3.7 i): The restriction on the usage of genetically modified trees has been adopted by the PEFC General Assembly based on the Precautionary Principle. Until enough scientific data on genetically modified trees indicates that impacts on human and animal health and the environment are equivalent to, or more positive than, those presented by trees genetically improved by traditional methods, no genetically modified trees will be used.</p> <p>7.1.1 For all material used as input for a PEFC product group, except recycled material, the organisation shall exercise due diligence in line with the PEFC Due Diligence System (DDS) for the avoidance of material from controversial sources laid down in Appendix 1 of this standard. Thereby the organisation shall establish that for material used as input for PEFC product groups there is “negligible risk” that it originates from controversial sources and that it meets the definition of PEFC controlled sources material.</p> <p>7.1.2 For PEFC product groups where only input material used was delivered with a PEFC claim by a supplier covered by a PEFC recognised certificate, an organisation may implement the PEFC DDS by meeting the following requirements:</p> <p>a) In order to enable PEFC certified and uncertified entities further down the supply chain to implement a DDS, the organisation shall, upon request, provide the information specified in Appendix 1, 2.1 for material passed on with a PEFC claim. If the organisation does not possess the requested information, the request shall be passed on to relevant supplier(s) of the organisation (Appendix 1, 2.2).</p> <p>b) Where internal or external substantiated concerns on the origin of input material from controversial sources are raised, the organisation shall follow up on these concerns following Appendix 1, 4.</p> <p>c) The organisation shall define, document and implement a commitment and a procedure, also covering forest and tree based material / products not covered by the organisation’s PEFC chain of custody, ensuring that where it is known to the organisation, or where it has received substantiated concerns, that forest and tree based material / products originates in illegal sources (controversial sources, 3.7a), it shall not be placed on the market until the concern has been resolved in accordance with Appendix 1, 4.</p>	YES	The PEFC ST 2002:2020 places requirements that correspond with those of the benchmark.

Annex 1 – Certification Scheme Performance Requirements continued

# Chain of custody requirements	Requirement of the assessed system	Y / N	Conclusions
44 continued	<p>Appendix 1, 3. Risk assessment:</p> <p>3.1 The organisation shall carry out a risk assessment, assessing the risk of procuring raw material from controversial sources for all input forest and tree based material covered by the organisation’s PEFC chain of custody, with the exception of material / products delivered with a PEFC claim by a supplier with a PEFC recognised certificate, as this material can be considered as having “negligible risk” of originating in controversial sources.</p> <p>Appendix 1, 6. No placement on the market:</p> <p>6.1 Forest and tree based material / products from unknown sources or from controversial sources shall not be included in a PEFC product group.</p> <p>6.2 Where it is known to the organisation that forest and tree based materials / products not covered by the organisation’s PEFC chain of custody originate in illegal sources (controversial sources, 3.7a), it shall not be placed on the market.</p> <p>6.3 Where the organisation has received substantiated concerns that forest and tree based materials / products not covered by the organisation’s PEFC chain of custody originate in illegal sources (controversial sources, 3.7a), it shall not be placed on the market until the concern has been resolved in accordance with clause 4 of this appendix.</p>	YES	The PEFC ST 2002:2020 places requirements that correspond with those of the benchmark.

Annex 2 – Certification Holder Performance Requirements

#	Performance requirements	Requirement of the assessed system	Y/N/P	Conclusions
1	Indicator 1.1.1: Operations related to feedstock sourcing and biomass production shall comply with all applicable and existing laws and regulations.	PEFC ST 1003:2018: 6.3.1.2 The standard requires that the organisation shall comply with applicable local, national and international legislation on forest management, including but not limited to forest management practices; nature and environmental protection; protected and endangered species; property, tenure and land-use rights for indigenous peoples, local communities or other affected stakeholders; health, labour and safety issues; anti-corruption and the payment of applicable royalties and taxes.	YES	The PEFC ST 1003:2018 places requirements that correspond with those of the benchmark.
2	Indicator 1.1.2: Legal ownership of land and resource use rights shall be respected.	PEFC ST 1003:2018: 6.3.2.1 The standard requires that property rights, tree ownership and land tenure arrangements shall be clearly defined, documented and established for the relevant management unit. Likewise, legal, customary and traditional rights related to the forest land shall be clarified, recognised and respected.	YES	The PEFC ST 1003:2018 places requirements that correspond with those of the benchmark.
3	Indicator 1.1.3: Feedstock shall be legally harvested, supplied and produced, including in compliance with CITES, EUTR and other applicable legal trade requirements.	PEFC ST 1003:2018: 6.3.1.2 The standard requires that the organisation shall comply with applicable local, national and international legislation on forest management, including but not limited to forest management practices; nature and environmental protection; protected and endangered species; property, tenure and land-use rights for indigenous peoples, local communities or other affected stakeholders; health, labour and safety issues; anti-corruption and the payment of applicable royalties and taxes.	YES	The PEFC ST 1003:2018 places requirements that correspond with those of the benchmark. CITES and EUTR are within the referred applicable international legislation.
4	Indicator 1.1.4: Payments for harvest rights and feedstock, including duties, relevant royalties and taxes related to timber harvesting shall be complete and up to date.	PEFC ST 1003:2018: 6.3.1.2 The standard requires that the organisation shall comply with applicable local, national and international legislation on forest management, including but not limited to forest management practices; nature and environmental protection; protected and endangered species; property, tenure and land-use rights for indigenous peoples, local communities or other affected stakeholders; health, labour and safety issues; anti-corruption and the payment of applicable royalties and taxes.	PARTIAL	The PEFC ST 1003:2018 requires abiding law regarding payment of applicable royalties and taxes, which is less strict than the SBP1 requirement that explicitly requires that payments shall be complete and up to date.

Annex 2 – Certification Holder Performance Requirements continued

#	Performance requirements	Requirement of the assessed system	Y/N/P	Conclusions
5	<p>Indicator 1.1.5:</p> <p>There shall be adequate protection of the Supply Base from unauthorised and illegal activities, such as illegal logging, mining, and encroachment.</p>	<p>PEFC ST 1003:2018:</p> <p>6.3.1.4 The standard requires that measures shall be implemented to address protection of the forest from unauthorised activities such as illegal logging, illegal land use, illegally initiated fires, and other illegal activities.</p>	YES	The PEFC ST 1003:2018 places requirements that correspond with those of the benchmark.
6	<p>Indicator 2.1.1:</p> <p>Key species, habitats, ecosystems, and areas of high conservation value (HCV) pertaining to biodiversity in the Supply Base shall be identified.</p>	<p>PEFC ST 1003:2018:</p> <p>8.4.2 The standard requires that inventory, mapping and planning of forest resources shall identify, protect, conserve or set aside ecologically important forest areas.</p>	PARTIAL	The PEFC ST 1003:2018 requirement is limited to ecologically important forest areas, i.e., the scope is narrower than that of the performance requirement #6.
7	<p>Indicator 2.1.2:</p> <p>Threats to and impacts on the identified key species, habitats, ecosystems, and areas of high conservation value (HCV) pertaining to biodiversity in the Supply Base shall be identified and evaluated.</p>	<p>PEFC ST 1003:2018:</p> <p>4.3.2 The standard requires that forest management shall comprise the cycle of inventory and planning, implementation, monitoring and evaluation, and shall include an appropriate assessment of the social, environmental and economic impacts of forest management practices. This shall form a basis for a cycle of continuous improvement.</p> <p>6.2.5 The standard requires that management plans specify ways and means to minimise the risk of degradation and damage to forest ecosystems.</p>	PARTIAL	The PEFC ST 1003:2018 requirement on assessing environmental impacts is more general and vaguer, and thus less strict, than the detailed requirements of the benchmark.
8	<p>Indicator 2.1.3:</p> <p>Key species, habitats, ecosystems, and areas of high conservation value (HCV) pertaining to biodiversity in the Supply Base shall be maintained or enhanced.</p>	<p>PEFC ST 1003:2018:</p> <p>8.4.2 The standard requires that inventory, mapping and planning of forest resources shall identify, protect, conserve or set aside ecologically important forest areas.</p> <p>8.4.3 The standard requires that protected, threatened and endangered plant and animal species shall not be exploited for commercial purposes. Where necessary, measures shall be taken for their protection and, where relevant, to increase their population.</p>	YES	The PEFC ST 1003:2018 places requirements that correspond with those of the benchmark.

Annex 2 – Certification Holder Performance Requirements continued

#	Performance requirements	Requirement of the assessed system	Y/N/P	Conclusions
9	<p>Indicator 2.2.1:</p> <p>Feedstock shall not be sourced from land that had one of the following statuses in January 2008 and no longer has that status due to land conversion:</p> <ul style="list-style-type: none"> a. Forests; b. Wetlands; c. Peatlands; d. Highly biodiverse grasslands 	<p>PEFC ST 1003:2018:</p> <p>8.1.4 The standard requires that forest conversion shall not occur unless in justified circumstances ...</p> <p>8.1.5 The standard requires that afforestation of ecologically important non-forest ecosystems shall not occur unless in justified circumstances ...</p> <p>8.1.6 The standard requires that if conversion of severely degraded forests to forest plantations is being considered, it must add economic, ecological, social and / or cultural value. Precondition of adding such value are circumstances ...</p>	NO	The PEFC ST 1003:2018 does not directly address conversion of wetlands and peatlands. Also, the PEFC ST 1003:2018 does not look backwards in time regarding its non-conversion requirements.
10	<p>Indicator 2.2.2:</p> <p>Ecosystems, their health, vitality, functions and services in the Supply Base shall be maintained or enhanced.</p>	<p>PEFC ST 1003:2018:</p> <p>8.2.1 The standard requires that health and vitality of forest ecosystems shall be maintained or enhanced and degraded forest ecosystems shall be rehabilitated wherever and as far as economically feasible, by making best use of natural structures and processes and using preventive biological measures.</p> <p>8.3.1 The standard requires that the capability of forests to produce a range of wood and non-wood forest products and services on a sustainable basis shall be maintained.</p> <p>8.5.1 The standard requires that protective functions of forests for society, such as their potential role in erosion control, flood prevention, water purification, climate regulation, carbon sequestration and other regulating or supporting ecosystem services shall be maintained or enhanced.</p>	YES	The PEFC ST 1003:2018 places requirements that correspond with those of the benchmark.
11	<p>Indicator 2.2.3:</p> <p>Soil quality in the Supply Base shall be maintained or enhanced.</p>	<p>PEFC ST 1003:2018:</p> <p>8.2.4 The standard requires that appropriate forest management practices such as reforestation and afforestation with tree species and provenances that are suited to the site conditions or the use of tending, harvesting and transport techniques that minimise tree and / or soil damages shall be applied.</p> <p>8.3.3 The standard requires that management, harvesting and regeneration operations shall be carried out at a time, and in a way, that does not reduce the productive capacity of the site, for example by avoiding damage to soil and retained stands and trees.</p>	YES	The PEFC ST 1003:2018 requires avoiding soil damage, and establishes requirements to ensure that various management activities do not decrease soil productivity and health.

Annex 2 – Certification Holder Performance Requirements continued

#	Performance requirements	Requirement of the assessed system	Y/N/P	Conclusions
11	continued	<p>8.5.3 The standard requires that special care shall be given to forestry operations on sensitive soils and erosion-prone areas as well as in areas where operations might lead to excessive erosion of soil into watercourses. Techniques applied and the machinery used shall be suitable for such areas. Special measures shall be taken to minimise the pressure of animal populations on these areas.</p> <p>8.5.5 The standard requires that construction of roads, bridges and other infrastructure shall be carried out in a manner that minimises bare soil exposure, avoids the introduction of soil into watercourses and preserves the natural level and function of water courses and river beds. Proper road drainage facilities shall be installed and maintained.</p>	YES	The PEFC ST 1003:2018 requires avoiding soil damage, and establishes requirements to ensure that various management activities do not decrease soil productivity and health.
12	<p>Indicator 2.2.4:</p> <p>Where the removal of harvest forest residues and / or stumps occurs, this shall not lead to irreversible negative impacts to the ecosystem.</p>	<p>PEFC ST 1003:2018:</p> <p>8.1.2 The standard requires that the quantity and quality of the forest resources and the capacity of the forest to store and sequester carbon shall be safeguarded in the medium and long term by balancing harvesting and growth rates, using appropriate silvicultural measures and preferring techniques that minimise adverse impacts on forest resources.</p>	YES	While the PEFC ST 1003:2018 does not explicitly address removal of harvest residues or stumps, it requires that the applied measures and techniques do not negatively affect the quantity and quality of forest resources in the long term.
13	<p>Indicator 2.2.5:</p> <p>Quality and quantity of ground water, surface water and water downstream shall be maintained or enhanced.</p>	<p>PEFC ST 1003:2018:</p> <p>8.5.4 The standard requires that special care shall be given to forestry operations in forest areas with water protection functions to avoid adverse effects on the quality and quantity of water resources. Inappropriate use of chemicals or other harmful substances or inappropriate silvicultural practices influencing water quality in a harmful way shall be avoided. Downstream water balance and water quality shall not be significantly affected by the operations.</p>	YES	The PEFC ST 1003:2018 places requirements that correspond with those of the benchmark. Groundwater is interpreted as being within the scope of water resources.
14	<p>Indicator 2.2.6:</p> <p>Air emissions shall comply with national legislation or in the absence of national legislation with industry best practice.</p>	<p>PEFC ST 1003:2018:</p> <p>6.3.1.2 The standard requires that the organisation shall comply with applicable local, national and international legislation on forest management, including but not limited to forest management practices; nature and environmental protection; protected and endangered species; property, tenure and land-use rights for indigenous peoples, local communities or other affected stakeholders; health, labour and safety issues; anti-corruption and the payment of applicable royalties and taxes.</p> <p>8.1.3 The standard requires that climate positive practices in management operations, such as greenhouse gas emission reductions and efficient use of resources shall be encouraged.</p>	YES	The PEFC ST 1003:2018 places requirements that reflect those of the benchmark.

Annex 2 – Certification Holder Performance Requirements continued

#	Performance requirements	Requirement of the assessed system	Y / N / P	Conclusions
15	<p>Indicator 2.2.7:</p> <p>Pesticides shall only be used as part of an Integrated Pest Management (IPM) plan in compliance with national legislation, chemical safety data sheets and industry best practice. Banned pesticides shall not be used.</p>	<p>PEFC ST 1003:2018:</p> <p>8.2.6 The standard requires that integrated pest management, appropriate silviculture alternatives and other biological measures shall be preferred to minimise the use of pesticides.</p> <p>8.2.8 The standard requires that the WHO Class 1A and 1B pesticides and other highly toxic pesticides shall be prohibited, except where no other viable alternative is available. Any exception to the usage of WHO Class 1A and 1B pesticides shall be defined in the national / regional standard.</p> <p>8.2.9 The standard requires that pesticides, such as chlorinated hydrocarbons whose derivatives remain biologically active and accumulate in the food chain beyond their intended use, and any pesticides banned by international agreement, shall be prohibited.</p>	YES	The PEFC ST 1003:2018 places requirements that correspond with those of the benchmark.
16	<p>Indicator 2.2.8:</p> <p>Waste shall be disposed of in an environmentally appropriate manner.</p>	<p>PEFC ST 1003:2018:</p> <p>8.2.5 The standard requires that the indiscriminate disposal of waste on forest land shall be strictly avoided. Non-organic waste and litter shall be collected, stored in designated areas and removed in an environmentally-responsible manner. The spillage of oil or fuel during forest management operations shall be prevented. Emergency procedures for the minimisation of risk of environmental harm arising from the accidental spillage shall be in place.</p>	YES	The PEFC ST 1003:2018 places requirements that correspond with those of the benchmark.
17	<p>Indicator 2.2.9:</p> <p>Harvesting levels shall be justified as to how they can be sustained with reference to inventory and growth data for the Supply Base.</p>	<p>PEFC ST 1003:2018:</p> <p>4.3.2 The standard requires that forest management shall comprise the cycle of inventory and planning, implementation, monitoring and evaluation, and shall include an appropriate assessment of the social, environmental and economic impacts of forest management practices. This shall form a basis for a cycle of continuous improvement.</p> <p>6.2.3 The standard requires that management plans shall include at least a description of the current forest management unit, long-term objectives, and the average annual allowable cut, including its justification.</p> <p>8.1.2 The standard requires that the quantity and quality of the forest resources and the capacity of the forest to store and sequester carbon shall be safeguarded in the medium and long term by balancing harvesting and growth rates, using appropriate silvicultural measures and preferring techniques that minimise adverse impacts on forest resources.</p>	YES	The PEFC ST 1003:2018 requirements practically necessitate setting sustainable harvesting levels that are based on forest monitoring data.

Annex 2 – Certification Holder Performance Requirements continued

#	Performance requirements	Requirement of the assessed system	Y/N/P	Conclusions
17	continued	<p>8.3.4 The standard requires that harvesting levels of both wood and non-wood forest products shall not exceed a rate that can be sustained in the long term, and optimum use shall be made of the harvested products.</p> <p>9.1.1 The standard requires that monitoring of forest resources and evaluation of their management, including ecological, social and economic effects, shall be periodically performed, and results fed back into the planning process.</p>	YES	The PEFC ST 1003:2018 requirements practically necessitate setting sustainable harvesting levels that are based on forest monitoring data.
18	<p>Indicator 2.2.10:</p> <p>Harvested areas shall be regenerated.</p>	<p>PEFC ST 1003:2018:</p> <p>8.4.4 The standard requires that successful regeneration shall be ensured through natural regeneration or planting that is adequate to ensure the quantity and quality of the forest resources.</p>	YES	The PEFC ST 1003:2018 places requirements that correspond with those of the benchmark.
19	<p>Indicator 2.2.11:</p> <p>The impacts of natural processes such as fires, pests and diseases shall be managed.</p>	<p>PEFC ST 1003:2018:</p> <p>8.1.2 The standard requires that the quantity and quality of the forest resources and the capacity of the forest to store and sequester carbon shall be safeguarded in the medium and long term by balancing harvesting and growth rates, using appropriate silvicultural measures and preferring techniques that minimise adverse impacts on forest resources.</p> <p>8.2.1 The standard requires that health and vitality of forest ecosystems shall be maintained or enhanced and degraded forest ecosystems shall be rehabilitated wherever and as far as economically feasible, by making best use of natural structures and processes and using preventive biological measures.</p> <p>9.1.2 The standard requires that health and vitality of forests shall be periodically monitored, especially key biotic and abiotic factors that potentially affect health and vitality of forest ecosystems, such as pests, diseases, overgrazing and overstocking, fire, and damage caused by climatic factors, air pollutants or by forest management operations.</p>	YES	The requirements set by the PEFC ST 1003:2018 practically necessitate management of the impacts of natural processes.
20	<p>Indicator 2.2.12:</p> <p>Genetically modified trees shall not be used.</p>	<p>PEFC ST 1003:2018:</p> <p>8.4.7 The standard requires that genetically-modified trees shall not be used.</p>	YES	The PEFC ST 1003:2018 has the same requirement as the benchmark.

Annex 2 – Certification Holder Performance Requirements continued

#	Performance requirements	Requirement of the assessed system	Y/N/P	Conclusions
<p>21 Indicator 3.1.1:</p> <p>LULUCF emissions shall be accounted for through one of the following routes:</p> <p>Route A: Feedstock may be sourced from a country of origin which is party to the Paris Agreement, and which has submitted a Nationally Determined Contribution to the United Nations Framework Convention on Climate Change (UNFCCC) covering carbon emissions and removals from agriculture, forestry and land use which ensure the changes in carbon stock associated with biomass harvest are counted towards the country's commitment to reduce or limit greenhouse gas emissions, or</p> <p>Route B: Feedstock may be sourced from a country of origin which is party to the Paris Agreement and has national or sub-national laws in place (developed in accordance with Article 5 of the Paris Agreement and applicable in the area of harvest), to conserve and enhance carbon stocks and sinks, and provided there is evidence that reported LULUCF-sector emissions do not exceed removals, or</p>	<p>PEFC ST 1003:2018:</p> <p>8.1.2 The standard requires that the quantity and quality of the forest resources and the capacity of the forest to store and sequester carbon shall be safeguarded in the medium and long term by balancing harvesting and growth rates, using appropriate silvicultural measures and preferring techniques that minimise adverse impacts on forest resources.</p> <p>8.3.4 The standard requires that harvesting levels of both wood and non-wood forest products shall not exceed a rate that can be sustained in the long term, and optimum use shall be made of the harvested products.</p> <p>8.5.1 The standard requires that protective functions of forests for society, such as their potential role in erosion control, flood prevention, water purification, climate regulation, carbon sequestration and other regulating or supporting ecosystem services shall be maintained or enhanced.</p> <p>9.1.1 The standard requires that monitoring of forest resources and evaluation of their management, including ecological, social and economic effects, shall be periodically performed, and results fed back into the planning process.</p>	<p>NO</p>	<p>The requirements included in Routes A and B are outside the scope of the PEFC ST 1003:2018.</p> <p>While some of the requirements set by the PEFC ST 1003:2018 relate to the requirements of the indicator Forest Management Unite level certification, such as the PEFC do not provide information on carbon stocks at the level of the Supply Base.</p>	

Annex 2 – Certification Holder Performance Requirements continued

#	Performance requirements	Requirement of the assessed system	Y / N / P	Conclusions
<p>21 continued</p> <p>Route C: Feedstock may be sourced from a Supply Base where an assessment demonstrates that both the carbon stock is stable, and the forests' capacity to act as a carbon sink is stable or increasing over the long term.</p>		NO	<p>The requirements included in Routes A and B are outside the scope of the PEFC ST 1003:2018.</p> <p>While some of the requirements set by the PEFC ST 1003:2018 relate to the requirements of the indicator Forest Management Unite level certification, such as the PEFC do not provide information on carbon stocks at the level of the Supply Base.</p>	
<p>22 Indicator 3.2.1:</p> <p>All feedstock sourcing shall be consistent with either of these two options:</p> <p>Option A: Feedstock may be sourced from Supply Bases where an assessment of the Supply Base shows that the forest carbon stocks are stable or increasing, or</p> <p>Option B: Feedstock may be sourced, if the assessment shows that the forest carbon stocks are declining in the Supply Base, provided that the decline is due to natural processes (fire, pests etc.) and sourcing of feedstock that would otherwise be lost or to assist regeneration.</p>	<p>PEFC ST 1003:2018:</p> <p>8.1.2 The standard requires that the quantity and quality of the forest resources and the capacity of the forest to store and sequester carbon shall be safeguarded in the medium and long term by balancing harvesting and growth rates, using appropriate silvicultural measures and preferring techniques that minimise adverse impacts on forest resources.</p> <p>8.3.4 The standard requires that harvesting levels of both wood and non-wood forest products shall not exceed a rate that can be sustained in the long term, and optimum use shall be made of the harvested products.</p> <p>8.5.1 The standard requires that protective functions of forests for society, such as their potential role in erosion control, flood prevention, water purification, climate regulation, carbon sequestration and other regulating or supporting ecosystem services shall be maintained or enhanced.</p> <p>9.1.1 The standard requires that monitoring of forest resources and evaluation of their management, including ecological, social and economic effects, shall be periodically performed, and results fed back into the planning process.</p>	NO	<p>While some of the requirements set by the PEFC ST 1003:2018 relate to the requirements of the indicator Forest Management Unite level certification, such as the PEFC do not provide information on carbon stocks at the level of the Supply Base.</p>	

Annex 2 – Certification Holder Performance Requirements continued

#	Performance requirements	Requirement of the assessed system	Y/N/P	Conclusions
23	<p>Indicator 3.2.2:</p> <p>Primary feedstock shall not be sourced from forest areas where site productivity is low and according to local definitions or norms, the areas are classified as low-productive or difficult to regenerate.</p>	<p>PEFC ST 1003:2018:</p> <p>8.1.2 The standard requires that the quantity and quality of the forest resources and the capacity of the forest to store and sequester carbon shall be safeguarded in the medium and long term by balancing harvesting and growth rates, using appropriate silvicultural measures and preferring techniques that minimise adverse impacts on forest resources.</p>	NO	While the PEFC ST 1003:2018 requires that the quantity and quality of forest resources is secured in the long term, it does not set limitations to harvesting of low-productive sites.
24	<p>Indicator 3.2.3:</p> <p>Primary feedstock shall not be sourced from forest areas in the Supply Base which according to local definitions or norms, are classified as having combined attributes of high carbon stocks and high conservation value (HCV).</p>	<p>PEFC ST 1003:2018:</p> <p>8.4.2 The standard requires that inventory, mapping and planning of forest resources shall identify, protect, conserve or set aside ecologically important forest areas.</p>	NO	The PEFC ST 1003:2018 conservation requirement concerns ecologically important forest areas, which do not correspond with the high carbon stock and HCV areas referred to by the benchmark. Additionally PEFC standard does not include requirements preventing harvesting in high carbon stock areas.
25	<p>Indicator 3.3.1:</p> <p>Feedstock sourcing shall be in compliance with the principles of cascading use, high quality stem wood shall not be used as feedstock if it is in substantial demand for long lived products in the supply base.</p>	<p>PEFC ST 1003:2018:</p> <p>8.3.4 The standard requires that harvesting levels of both wood and non-wood forest products shall not exceed a rate that can be sustained in the long term, and optimum use shall be made of the harvested products.</p>	PARTIAL	The PEFC ST 1003:2018 places some requirements that relate to the SBP indicator. The standard can affect optimum use of harvested products mainly through harvesting methods.
26	<p>Indicator 4.1.1:</p> <p>Freedom of association and the right to collective bargaining shall be respected in the workplace.</p>	<p>PEFC ST 1003:2018:</p> <p>6.3.3.1 The standard requires that forest practices and operations shall comply with fundamental ILO conventions.</p>	YES	ILO C087 and C098 concern freedom of association and collective bargaining.
27	<p>Indicator 4.1.2:</p> <p>Forced or compulsory labour shall not be used.</p>	<p>PEFC ST 1003:2018:</p> <p>6.3.3.1 The standard requires that forest practices and operations shall comply with fundamental ILO conventions.</p>	YES	ILO C029 and C105 forbid forced labour.

Annex 2 – Certification Holder Performance Requirements continued

#	Performance requirements	Requirement of the assessed system	Y/N/P	Conclusions
28	Indicator 4.1.3: Child labour shall not be used.	PEFC ST 1003:2018: 6.3.3.1 The standard requires that forest practices and operations shall comply with fundamental ILO conventions.	YES	ILO C138 and C182 forbid child labour.
29	Indicator 4.1.4: Workers shall not be discriminated in hiring, remuneration, access to training, promotion, termination or retirement.	PEFC ST 1003:2018: 6.3.3.1 The standard requires that forest practices and operations shall comply with fundamental ILO conventions. 6.3.4.4 The standard requires that the organisation is committed to equal opportunities, non-discrimination and freedom from workplace harassment. Gender equality shall be promoted.	YES	ILO C100 and C111 concern equality and discrimination. These topics are also specifically addressed by the PEFC ST1003:2018.
30	Indicator 4.1.5: Wages paid to workers shall meet or exceed the legal minimum wage or where there is no statutory minimum wage industry norms shall be met or exceeded.	PEFC ST 1003:2018: 6.3.4.3 The standard requires that wages of local and migrant forest workers as well as of contractors and other operators operating in PEFC-certified areas shall meet or exceed at least legal, industry minimum standards or, where applicable, collective bargaining agreements.	YES	The PEFC ST 1003:2018 places requirements that correspond with those of the benchmark.
31	Indicator 4.1.6: Working hours shall comply with legal requirements.	PEFC ST 1003:2018: 6.3.4.2 The standard requires that working conditions shall be safe, and guidance and training in safe working practices shall be provided to all those assigned to a task in forest operations. Working hours and leave shall comply with national laws or applicable collective agreements.	YES	The PEFC ST 1003:2018 places requirements that correspond with those of the benchmark.
32	Indicator 4.1.7: Workers shall have access to health care provisions, sickness benefits, retirement benefits, invalidity benefits, death benefits, and workers' compensation.	–	NO	The PEFC ST 1003:2018 does not place requirements that would correspond with those of the benchmark.

Annex 2 – Certification Holder Performance Requirements continued

#	Performance requirements	Requirement of the assessed system	Y/N/P	Conclusions
33	<p>Indicator 4.1.8:</p> <p>Training shall be provided for all workers to allow them to implement the conditions set out in all elements of the SBP Standards relevant to their responsibilities.</p>	<p>PEFC ST 1003:2018:</p> <p>6.3.4.2 The standard requires that working conditions shall be safe, and guidance and training in safe working practices shall be provided to all those assigned to a task in forest operations. Working hours and leave shall comply with national laws or applicable collective agreements.</p> <p>7.2.1 The standard requires that forest managers, contractors, employees and forest owners shall be provided with sufficient information and kept up-to-date through continuous training in relation to sustainable forest management, as a precondition for all management planning and practices described in this benchmark.</p>	YES	The PEFC ST 1003:2018 places requirements that correspond with those of the benchmark.
34	<p>Indicator 4.1.9:</p> <p>Mechanisms shall be in place for resolving grievances and disputes in the workplace.</p>	<p>PEFC ST 1003:2018:</p> <p>7.4.1 The standard requires that appropriate mechanisms are in place for resolving complaints and disputes relating to forest management operations, land use rights and work conditions.</p>	YES	The PEFC ST 1003:2018 places requirements that correspond with those of the benchmark.
35	<p>Indicator 4.1.10:</p> <p>Safeguards shall be put in place to protect the health and safety of workers by developing, communicating and implementing policies and procedures.</p>	<p>PEFC ST 1003:2018:</p> <p>6.3.4.1 The standard requires that forest operations shall be planned, organised and performed in a manner that enables health and accident risks to be identified and all reasonable measures to be applied to protect workers from work-related risks. Workers shall be informed about the risks involved with their work and about preventive measures.</p>	YES	The PEFC ST 1003:2018 places requirements that correspond with those of the benchmark.
36	<p>Indicator 4.2.1:</p> <p>Negative social and community impacts shall be identified and avoided.</p>	<p>PEFC ST 1003:2018:</p> <p>7.3.1 The standard requires that effective communication and consultation with local communities, indigenous peoples and other stakeholders relating to sustainable forest management shall be provided.</p> <p>8.1.1 The standard requires that management shall aim to maintain or increase forests and their ecosystem services and maintain or enhance the economic, ecological, cultural and social values of forest resources.</p> <p>8.6.4 The standard requires that management shall promote the long-term health and well-being of communities within or adjacent to the forest management area, where appropriate supported by engagement with local communities and indigenous peoples.</p>	YES	The PEFC ST 1003:2018 places requirements that correspond with those of the benchmark.

Annex 2 – Certification Holder Performance Requirements continued

#	Performance requirements	Requirement of the assessed system	Y/N/P	Conclusions
37	Indicator 4.2.2: Feedstock sourcing shall positively contribute to the local economy, including employment.	PEFC ST 1003:2018: 8.6.6 The standard requires that management shall give due regard to the role of forestry in local economies. Special consideration shall be given to new opportunities for training and employment of local people, including indigenous peoples.	PARTIAL	The PEFC ST 1003:2018 requires forest management to consider the local economy but does not explicitly require positive contribution to it.
38	Indicator 4.2.3: Food, water supply or high conservation values (HCV) that are essential for the fulfilment of basic needs of communities shall be maintained or enhanced.	PEFC ST 1003:2018: 8.1.1 The standard requires that management shall aim to maintain or increase forests and their ecosystem services and maintain or enhance the economic, ecological, cultural and social values of forest resources. 8.5.1 The standard requires that protective functions of forests for society, such as their potential role in erosion control, flood prevention, water purification, climate regulation, carbon sequestration and other regulating or supporting ecosystem services shall be maintained or enhanced.	YES	The PEFC ST 1003:2018 places requirements that correspond with those of the benchmark.
39	Indicator 4.2.4: Legal, customary, and traditional tenure and use rights of Indigenous People and local communities related to the Supply Base shall be identified, documented, and respected.	PEFC ST 1003:2018: 6.3.2.2 The standard requires that forest practices and operations shall be conducted in recognition of the established framework of legal, customary and traditional rights such as outlined in ILO 169 and the UN Declaration on the Rights of Indigenous Peoples, which shall not be infringed upon without the free, prior and informed consent of the holders of the rights, including the provision of compensation where applicable. Where the extent of rights is not yet resolved, or is in dispute, there are processes for just and fair resolution. In such cases forest managers shall, in the interim, provide meaningful opportunities for parties to be engaged in forest management decisions whilst respecting the processes and roles and responsibilities laid out in the policies and laws where the certification takes place.	YES	The PEFC ST 1003:2018 requirements regarding respecting indigenous peoples' rights practically necessitates that these rights are identified and documented.
40	Indicator 4.2.5: Mechanisms shall be in place for resolving grievances and disputes, relating to tenure and use rights of the forest and other land management practices.	PEFC ST 1003:2018: 7.4.1 The standard requires that appropriate mechanisms are in place for resolving complaints and disputes relating to forest management operations, land use rights and work conditions.	YES	The PEFC ST 1003:2018 places requirements that correspond with those of the benchmark.

Annex 2 – Certification Holder Performance Requirements continued

#	Performance requirements	Requirement of the assessed system	Y/N/P	Conclusions
41	<p>Indicator 4.2.6:</p> <p>Where Indigenous Peoples' rights are identified in the Supply Base, and and Free Prior and Informed Consent (FPIC) has not been achieved for the proposed and planned activities, a consultation and, if required, accommodation process shall be put in place.</p>	<p>PEFC ST 1003:2018:</p> <p>6.3.2.2 The standard requires that forest practices and operations shall be conducted in recognition of the established framework of legal, customary and traditional rights such as outlined in ILO 169 and the UN Declaration on the Rights of Indigenous Peoples, which shall not be infringed upon without the free, prior and informed consent of the holders of the rights, including the provision of compensation where applicable. Where the extent of rights is not yet resolved, or is in dispute, there are processes for just and fair resolution. In such cases forest managers shall, in the interim, provide meaningful opportunities for parties to be engaged in forest management decisions whilst respecting the processes and roles and responsibilities laid out in the policies and laws where the certification takes place.</p>	YES	The PEFC ST 1003:2018 places requirements that correspond with those of the benchmark.
42	<p>Indicator 4.2.7:</p> <p>Designated cultural heritage sites shall be preserved.</p>	<p>PEFC ST 1003:2018:</p> <p>8.6.3 The standard requires that sites with recognised specific historical, cultural or spiritual significance and areas fundamental to meeting the needs of indigenous peoples and local communities (e.g. health, subsistence) shall be protected or managed in a way that takes due regard of the significance of the site.</p>	YES	The PEFC ST 1003:2018 places requirements that correspond with those of the benchmark.

