PEFC CHAIN OF CUSTODY CERTIFICATION

THE KEY TO SELLING CERTIFIED PRODUCTS

Please note:
This brochure does not yet cover modifications to the 2013 PEFC Chain of Custody standard (PEFC 2002:2013). An updated version is forthcoming.
PEFC, the Programme for the Endorsement of Forest Certification, is an international non-profit, non-governmental organization dedicated to promoting sustainable forest management through independent third-party certification. It works throughout the forest supply chain to promote good practice in the forest and to ensure that timber and non-timber forest products are sourced with respect for the highest ecological, social and ethical standards.

PEFC is an umbrella organization that endorses national forest certification systems developed collaboratively by all interested stakeholders and tailored to local priorities and conditions. Each national forest certification system undergoes rigorous third party assessment against PEFC’s unique Sustainability Benchmarks. These Benchmarks are based on broad consensus by society, expressed in globally respected international and intergovernmental processes and guidelines for the promotion of sustainable forest management. The Benchmark criteria are regularly revised through multi-stakeholder processes to take account of new scientific knowledge, societal change, evolving expectations and to incorporate the latest best practices.

Today, PEFC has recognized certification systems in over 30 countries. Together these account for over 240 million hectares of certified forests, making PEFC the world's largest forest certification system.

It is the certification system of choice for hundreds of thousands of small forest owners including family and community-owned forests.

PEFC-certified materials deliver proof of sustainability and are therefore requested by numerous public and private procurement policies worldwide.
This publication does not comprehensively cover the requirements with which companies seeking Chain of Custody certification need to demonstrate compliance. Requirements that companies need to comply with are outlined in *Chain of Custody of Forest-Based Products – Requirements (PEFC ST 2002:2010)* for Chain of Custody certification, and the *PEFC Logo Usage Rules (PEFC ST 2001:2008 v2)* for logo use.

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Sustainable forest management, while crucial in maintaining the valuable services forests provide, does not in itself establish the link from the forest to the market. In order to give assurances that wood and wood-based products can be traced back to sustainably managed forests, PEFC promotes Chain of Custody certification.

PEFC Chain of Custody certification enables companies to identify and control their PEFC-certified material. It is a prerequisite for use of the PEFC logo and labels to promote products in the marketplace.

PEFC Chain of Custody certification can be used to demonstrate compliance with private and public procurement policies and guidelines that increasingly specify PEFC as proof of origin.

This publication is intended to help companies familiarize themselves with the most essential elements of PEFC Chain of Custody certification and requirements for using the PEFC logo and labels.

It offers those involved in the implementation of PEFC Chain of Custody processes within companies an introduction to the key concepts and explains the various items covered in:

- Chain of Custody of Forest-Based Products – Requirements (PEFC ST 2002:2010)
- Chain of Custody of Forest-Based Products – Guidance for Use (PEFC GD 2001:2011, Issue 1)
- PEFC Logo Usage Rules (PEFC ST 2001:2008 v2)

PEFC standards, guidances, and rules, as well as a wide range of additional materials, are available on the PEFC website at www.pefc.org.
Chain of Custody certification is a mechanism for tracking-certified material from the forest to the final product. It is essential for:

- companies to implement and demonstrate responsible sourcing; and
- consumers to make responsible purchasing decisions

For a product to qualify for certification, all entities along the supply chain must be PEFC Chain of Custody certified. Only then are companies eligible to use the PEFC label on products and in product marketing to highlight responsible sourcing of raw materials.

ADVANTAGES OF CHAIN OF CUSTODY CERTIFICATION

As demand grows for products from sustainably managed forests, business interest in Chain of Custody certification along the timber value chain is increasing. PEFC Chain of Custody certification offers several important benefits:

- **Access to markets** – provides companies with access to markets for environmentally responsible products.

- **Risk management** – includes social requirements to protect the fundamental rights of workers along the supply chain. PEFC is the first international system to do this.

- **Availability and choice** – two-thirds of the world’s certified forest area - more than 240 million hectares - is PEFC-certified.

- **Compliance with legislation prohibiting illegal harvesting and trade** – PEFC’s Due Diligence System (DDS) excludes wood from conversions, illegal and other controversial sources.

- **A clear and transparent message** – the PEFC logo and label on a product communicates to customers in a clear, concise and transparent manner that timber and wood-based products have been sourced responsibly.

- **Business leadership on sustainability** – businesses acquire a competitive advantage over other suppliers in the value chain.

- **Traceability** – assurances that the certified material in the final product originates in PEFC-certified forests managed with due respect for environmental, economic and social standards.

**THE BASICS OF CHAIN OF CUSTODY CERTIFICATION**

**Benefits for businesses**

**BASIC CHAIN OF CUSTODY MODEL**

- **THE SUPPLIER** - An entity from which the organization receives the claims made through the delivery documentation.

- **THE ORGANIZATION** - An entity making the PEFC claim and which can identify the supplier and the customer.

- **THE CUSTOMER** - An entity receiving the claim made by the organization.
PEFC Chain of Custody requirements define the wood and wood-based material that can be used in the manufacture of certified products, based on their origin. Only forest-based material delivered as PEFC-certified with a formal PEFC claim from PEFC certificate holders (Sustainable Forest Management and Chain of Custody certificates) and recycled material can be considered ‘PEFC-certified’ material.

The amount of PEFC-certified material contained in a product, however, may vary. Companies along the supply chain must communicate the percentage of certified material in a product through the formal claim x% PEFC-certified.

Other information that must be communicated along the supply chain includes at a minimum:

1. supplier identification
2. customer identification
3. product identification
4. quantity of delivery
5. date of delivery
6. formal claim x% PEFC-certified
7. proof of certification

Companies can only recognize material as certified if this information is provided and is in conformity with certification requirements.

Claims made by suppliers concerning their PEFC certification status must be confirmed, for example through a copy of the Chain of Custody certificate. PEFC recommends consulting publicly available registers such as the official PEFC Information System (http://info.pefc.org) to verify claims about certification status.


Further guidance is available in PEFC GD 2001:20011, Issue 1, pages 9-12.
PEFC DUE DILIGENCE SYSTEM (DDS)

Companies that mix certified material with uncertified material (see page 7) are required to implement the PEFC Due Diligence System to minimize the risk of uncertified content in certified products originating from controversial sources.

The PEFC DDS consists of:

1) a supplier self-declaration;
2) risk assessment; and, if any supplies are considered ‘high-risk’,
3) assessment of high-risk supplies, e.g. through third party verification programmes.

These three levels are set to ensure that products from controversial sources do not mix with PEFC-certified material.

**Controversial Sources**

Include forests in which management activities:

- do not comply with local, national or international legislation, in particular in the following areas:
  - forestry operations and harvesting, including *conversion of forests to other uses*
  - management of areas with designated *high environmental and cultural values*
  - protected and endangered species, including those included on the *CITES* lists
  - *health and labour conditions of forest workers*
  - *indigenous peoples’ property, tenure and use rights*
  - payment of taxes and royalties
- utilize *genetically modified organisms*
- convert forests to other *vegetation type*, including conversion of primary forests to forest plantations

PEFC is working to ensure that the PEFC Chain of Custody standard and the Due Diligence System meet all the different, emerging legislative requirements governing international timber trade, such as the European Union Timber Regulation (EUTR) and the U.S. Lacey Act.

Companies may employ the physical separation and/or the percentage-based method to account for PEFC-certified material within their production processes, depending on their material flows, marketing needs, and customer demands.

**PHYSICAL SEPARATION METHOD**

Applies to companies that separate certified material from non-certified material. This method can be implemented even when suppliers use the percentage-based method.

Three methods of separation can be used to avoid certified material and products being mixed with uncertified content:

**Reference:** PEFC ST 2002:2010, Chapters 4.1; 4.3

- **Location**: specific areas on site are exclusively reserved for taking delivery, producing, packaging and shipping of certified products. These areas are physically identified on-site (panels, signage on the ground, etc.).

- **Time**: certified products are received, produced, packaged and shipped during a specific time period when only certified material is being processed.

- **Identification**: certified products are clearly identified and separated from other products (use of logo, colour code, etc.).

Companies may utilize any or all of the three available options.

PEFC strongly encourages companies to opt for the physical separation method wherever possible.
PERCENTAGE-BASED METHOD

Applies to companies that mix certified material with non-certified material. The percentage of certified raw material must be known, and non-certified material must not originate from controversial sources (see page 5).

Percentage Calculation

The percentage-based method requires companies to know and account for the percentage of certified material procured. This certification percentage is calculated separately for each product or product group, based on the following formula:

\[
\text{Certified percentage (PC)} = \frac{\text{Volume of certified material (Vc)}}{\text{Volume of certified material (Vc)} + \text{Volume of other material (Vo)}} \times 100
\]

The percentage of certified material can be calculated in two ways:

- The simple percentage method is recommended for companies procuring PEFC-certified material for specific production processes. It essentially reflects the percentage of certified material physically included in the specific product for which the percentage is calculated.

  Example: A printing company procures 80,000 sheets of PEFC-certified paper and 20,000 sheets of uncertified paper. In total, the 100,000 sheets of paper may be considered 80% certified.

  \[
  \frac{80,000}{80,000 + 20,000} \times 100 = 80
  \]

- The rolling percentage method uses the volume of certified material procured in the past to calculate a consistent percentage of certified material over a longer future period of time.

  Example: A pulp mill procures 19,000, 5,000, and 12,000 tonnes of PEFC-certified pulp over a three-month period (total: 36,000 tonnes), and 25,000, 36,000, and 26,000 tonnes of non-certified pulp over the same period (total: 87,000 tonnes). In the following month, the pulp procured (and the subsequent paper sold) may be considered 29% certified.

  \[
  \frac{36,000}{36,000 + 87,000} \times 100 = 29
  \]
Percentage Distribution

PEFC Chain of Custody certification offers companies two methods to distribute the certification percentage to products sold:

• The **average percentage** method calculates the average percentage of certified material that is included in a product group.

  *Example: If the percentage of certified material is calculated at 80% certified, all products included in the product group can be sold as 80% PEFC-certified.*

• The **volume credit** method allows companies to keep ‘volume credits’ for products that can be sold as certified. This requires companies to establish a ‘credit account’ into which ‘volume credits’ are credited based on certified material procured, and subtracted if material is sold as certified.

  *Example: A company procures pulp with a certification percentage of 33.3% and produces 12 tonnes of paper. It can sell 4 tonnes of paper as 100% PEFC-certified, or apply the volume credit to be able to sell e.g. 5 tonnes as 80% PEFC-certified [4/0.8=5]*

### Defining product groups

In order to implement the percentage-based method, companies need to define the different product groups. Product groups are a line of products for which PEFC Chain of Custody certification is obtained. Products within a product group are manufactured using the same input materials and at the same production site.

*Reference: PEFC ST 2002:2010, Chapters 5.3; 5.4*
MANAGEMENT SYSTEM
Aligning internal procedures

Management system requirements relate to companies’ internal procedures and are designed to ensure correct implementation and maintenance of Chain of Custody process(es).

Companies are required to:

• appoint a member of management with overall responsibility for the Chain of Custody
• ensure that all employers involved in implementation and maintenance of the Chain of Custody are competent and receive training and education as necessary
• keep documented procedures for all stages in the Chain of Custody
• maintain records of their Chains of Custody to provide evidence of conformity
• conduct internal audits of their Chains of Custody at least once a year and implement corrective and preventive measures if required
• establish complaints procedures

CHAIN OF CUSTODY AND SUBCONTRACTING

Companies may subcontract activities. In such cases, they need to obtain written agreements that their own materials or products are physically separated from other products and materials. Companies are fully responsible for the compliance of subcontracted activities with Chain of Custody requirements.

Examples:

A printing house outsources the finishing of printed material.
A carpenter outsources the painting of furniture.

Reference: PEFC ST 2002:2010, Chapter 6
Further guidance is available in PEFC GD 2001:20011, Issue 1, page 21.
PEFC is the world’s first forest certification system that requires companies to comply with social, health and safety requirements based on the ILO Declaration on Fundamental Principles and Rights at Work (1998).

These requirements provide an additional layer of confidence to consumers and buyers that elementary rights of workers in companies along the supply chain have been respected.

Companies need to demonstrate that:
- workers are not prevented from associating freely
- the use of forced labour is not permitted
- workers younger than the minimum legal age, the age of 15, or compulsory school attendance age (whichever is higher) are not employed
- workers are not denied equal employment opportunities and treatment
- working conditions do not endanger safety or health

Reference: PEFC ST 2002:2010, Appendix 4
As one size does not always fit all, PEFC Chain of Custody certification makes special provisions for two particular situations. Project certification allows for the certification of specific projects, whilst multisite certification is intended for companies with multiple sites as well as groups of small independent businesses.

PROJECT CHAIN OF CUSTODY CERTIFICATION

While PEFC Chain of Custody certification is well suited for the on-going and continuous production or trade of certified products, it is not always the most efficient option in short-term contexts involving numerous suppliers of certified material, such as in the construction or shipbuilding industries.

More and more building standards call for PEFC certification within their codes, or award extra credits for PEFC certification. However for contractors to comply with such standards or take advantage of extra credits can be a challenge. PEFC Project Chain of Custody certification recognizes that not all parties involved in time- and site-specific projects such as construction are necessarily certified or have their own Chain of Custody certification.

Contractors working on a Project Chain of Custody-certified project are covered as project members and are not required to obtain Chain of Custody certification themselves. A controlling entity, for example the general contractor, is responsible for the overall management and control of the Project Chain of Custody and its correct implementation.

As with the regular Chain of Custody, meticulous records must be maintained on all aspects of the wood and forest-based products received on site, and employees involved in the project must be competent and receive training as necessary.


Further guidance is available in PEFC GD 2001:20011, Issue 1, Section 2.

See also PEFC Project Chain of Certification: One project, One Message.

MULTISITE/PRODUCER GROUP CERTIFICATION

Implementation of PEFC Chain of Custody certification can be challenging for companies with multiple sites as well as for small independent businesses.

Under multisite certification, multiple branches or franchises can be covered by one single Chain of Custody certificate, provided that the sites involved are linked through common ownership, management or other organizational links. Multisite certification also applies to groups of independent legal enterprises (‘producer group’) with individual companies employing less than 50 people and with an annual turnover of less than 9 million Swiss Francs (or equivalent).

In both cases, overall responsibility for the correct implementation and maintenance of Chain of Custody requirements rests with a central office, and all participating sites are mutually responsible for compliance.

LOGO AND LABELLING
A focus on marketing and communications

PEFC TRADEMARK
The PEFC logo and the initials ‘PEFC’ are the exclusive property of the PEFC Council and are internationally registered trademarks. Therefore, any use that:

• implies that PEFC participates in, supports, or is responsible for an activity by a certified entity outside the scope of its certification
• could result in erroneous interpretation or understanding of the entity’s operations with respect to its PEFC certifications, or diminished credibility of PEFC

is not permitted, and PEFC reserves the right to terminate the Logo Use Contract in such cases.

The use of the PEFC trademarks without authorization may lead to legal action.

THIRD-PARTY INVOLVEMENT IN THE USE OF THE LABEL
Licensees are fully responsible for compliance with the Logo Usage Contract.

This also applies if a third-party is involved in the use of the logo (e.g. designers, product advertisements in external media, etc.).

The use of the PEFC logo and labels, while optional, is strongly recommended as an effective means to communicate the certification status of a product.

Companies wishing to use the PEFC logo and labels on certified products need to obtain a PEFC Logo Usage License.

PEFC differentiates between three labels: the PEFC-Certified and the PEFC-Recycled labels for on-product use, and the Promoting Sustainable Forest Management label for off-product use.

The on-product label indicates that the product contains a minimum of 70% certified material from PEFC-certified forest (PEFC-Certified label only) and/or recycled sources, as well as wood from controlled sources that have been assessed by the PEFC Due Diligence System (see page 5).

Off-product label PEFC logo

Off-product use (Promoting Sustainable Forest Management label) allows companies and organizations to highlight their commitment to PEFC certification without making any statement about certified content in products. It includes use in/on:

• annual, CSR, sustainability reports; brochures; other written materials
• information displays; posters in stores; at trade fairs; etc.
• advertisements and flyers
• websites

Any use of the PEFC logo and label must comply with PEFC’s Logo Usage Rules – Requirements. More information can be found in the PEFC Logo Use Toolkit.


Are you ready to get certified? PEFC Chain of Custody certificates are issued by independent certification bodies. These certification bodies must be recognized by PEFC. PEFC itself does not issue certificates.

The certification body will carry out an on-site audit of your company. During the audit, the certification body will check that you have correctly implemented the PEFC Chain of Custody requirements.

If your business meets the requirements of the PEFC Chain of Custody, the certification body will issue a PEFC Chain of Custody certificate. Once you have obtained your PEFC Chain of Custody certificate, you can apply to use the PEFC logo and label.

Remember to plan your certification carefully – by getting everything ready before the audit, you can help to ensure a smooth and timely assessment.

STEP 1: COMMUNICATE INTERNALLY
Tell your staff what PEFC is and why you are getting involved as you will need their help. You or one of your colleagues will have overall responsibility for implementing and maintaining Chain of Custody for your business. PEFC provides a wide range of brochures, presentations, posters and other material to support you in this effort (see www.pefc.org > Resources).

STEP 2: SET UP THE SYSTEM
Task 1: Align internal procedures
- Management system requirements are designed to ensure correct implementation and maintenance of Chain of Custody processes (see page 10).
- Sourcing requirements ensure correct communication of certified material through the entire supply chain (see page 4).
- Social, health and safety requirements are an integral part of PEFC Chain of Custody certification (see page 11).

Task 2: Choose certification option
- Individual certification – the most common type of certification, applies to individual companies.
- Multisite/producer group certification – specifically designed for companies with multiple sites as well as for small businesses (see page 12).
- Project certification – specifically designed for short-term projects with numerous contractors, such as construction (see page 12).

Task 3: Select accounting method
- Physical separation method – Applies to companies that separate certified material from uncertified material by time, location, or separation (see page 7).
- Percentage based method – Applies to companies that mix certified material with non-certified material (see pages 8-9).

Task 5: Minimize risk from controversial sources
- PEFC’s Due Diligence System is a required element for all companies utilizing the percentage-based method (see page 11).

MORE INFORMATION
For further information or any questions about PEFC Chain of Custody certification, please contact a PEFC-notified certification body in your country. Contact information for all PEFC notified certification bodies is available at info.pefc.org.
STEP 3: ARRANGE FOR AN AUDIT
Select a certification body of your choice and arrange for a site visit to carry out an audit. The auditor will assess compliance with the PEFC International Chain of Custody Standard. If successful, you will receive your Chain of Custody certificate shortly afterwards. PEFC provides a listing of notified certification bodies (see info.pefc.org).

STEP 4: PROCURE SUSTAINABLY
Put in place a timber procurement policy and give preference to suppliers that can provide you with products originating from sustainably managed forests (see page 18).

STEP 5: COMMUNICATE EXTERNALLY
Demonstrate your commitment to sustainable forest management to customers and consumers by utilizing PEFC’s globally trusted logo and label. Labelling your products is an effective means to communicate that you are PEFC-certified (see page 15).

Additionally, consider further opportunities to disseminate information about your certified status (see bit.ly/communicatePEFC).

STEP 6: MAINTAIN YOUR CERTIFICATE
A PEFC Chain of Custody certificate is valid for a maximum of five years. An annual surveillance audit is required to confirm that your operation continues to comply with Chain of Custody requirements.

A word about costs: costs of PEFC Chain of Custody certification are charged by individual certification bodies – given the competitive nature of the certification business, prices may vary by country and certification body. The annual fee charged by the certification body combines their auditing service fee with PEFC’s Chain of Custody fee. Audit time depends on a number of variables, including company size and complexity of the Chain of Custody. This averages between half a day and two days. In some countries there is an additional charge for a logo use license.
We, the [insert name of organization/business] recognize that:

- forests are essential for human survival and well-being. They are among the most biodiverse and valuable terrestrial ecosystems on the planet. They provide us with food, oxygen, shelter, recreation, and spiritual sustenance; and they contribute to the livelihoods of 1.6 billion people worldwide. The biodiversity of forests - the variety of genes, species, and forest ecosystems - underpins these goods and services, and is the basis for long-term forest health and stability.

- promoting ways to use forest biodiversity in a sustainable way, and with clear social and economic benefits for the poor, is important.

- forest certification provides evidence of sustainable forest management, yet at present, less than 10% of the world’s forests are certified. Mainstreaming forest certification systems (such as PEFC and FSC) will assist in promoting sustainable forest management.

As a user of timber and wood-based products, [insert name of organization/business] recognizes that it has a responsibility to current and future generations and will therefore strive to promote sustainable forest management. By demanding products from sustainably managed forests, we aim to stimulate the improvement of forest management and discourage unsustainable management practices.

We, [insert name of organization/business], will give preference to suppliers who can demonstrate that their products originate from sustainably managed forests.

We consider it important that the origin of our wood-based products can be demonstrated through credible, independent Chain of Custody certification based on international standards and norms.

In this context, we recognize credible third-party certification systems accepted by government procurement policies and guidelines, such as the UK Central Point of Expertise of Timber or the EU Green Public Procurement criteria, as evidence of responsible and sustainable sourcing. These include the Programme for the Endorsement of Forest Certification (PEFC) and the Forest Stewardship Council (FSC), the two largest forest certification systems globally.

Signature: [insert name of person responsible]

Date & place:

Sample Procurement Policy available for download at: bit.ly/sample-proc-policy
WHAT MAKES PEFC UNIQUE?
Why companies opt for PEFC certification

As the largest forest certification system globally, PEFC remains the certification system of choice for small, non-industrial private forests, with hundreds of thousands of family-owned forests certified as in compliance with PEFC’s Sustainability Benchmarks.

To date, over 10,000 companies have achieved PEFC Chain of Custody certification, offering tens of thousands of PEFC-certified products globally.

With alternative forest and Chain of Custody certification systems available, there are good reasons why so many people opt for PEFC.

UPHOLDS HIGHEST STANDARDS WITHOUT EXCEPTION

- Requires compliance with all fundamental ILO Conventions in forest management since 2001, setting new benchmarks for social issues
- Is tailored to the specific needs of family and community-owned forests, with lasting contributions to livelihoods and rural development
- Offers well-established processes for group certification, thereby offering access to certification and the marketplace for certified products from locally controlled forestry
- Sets the highest standards for forest certification aligned with the majority of the world’s governments, including
  - Maintaining or enhancing biodiversity
  - Protecting ecologically important forest area
  - Prohibiting forest conversions and excluding certification of plantations established by conversions
- Prohibiting use of the most hazardous chemicals and GMOs, and minimizing the use of pesticides
- Protecting workers’ rights and welfare, and encouraging local employment – recognizing the principle of free, prior and informed consent (FPIC), the UN Declaration on Indigenous Peoples’ Rights, and ILO Convention 169 on Indigenous and Tribal Peoples
- Respecting property and land tenure rights as well as customary and traditional rights – provisions for consultation with local people and stakeholders
- Abiding by applicable laws
- Safeguarding the basic rights of workers

- Includes social, health and safety requirements in Chain of Custody certification.

LEVEL OF STAKEHOLDER ENGAGEMENT EQUALLY HIGH FOR ALL STANDARDS

- Strictly separates standard-setting, certification and accreditation to ensure complete independence and impartiality
- Requires all national standards to be independently developed with participation open to all interested parties
- Recognizes the importance of the nine major groups as defined by Agenda 21 (Commission on Sustainable Development (CSD) Major Groups) of the UN Conference on Environment and Development (UNCED) as the stakeholder groups involved in or concerned by forest management

- Requires that all standards undergo public consultation at national and international levels and third-party assessment
- Demands and implements regular revisions of national certification systems

BUILDS ON INTERGOVERNMENTAL AGREEMENTS & GLOBALLY RECOGNIZED PROCESSES

- Builds its understanding of sustainable forest management on broad societal consensus as expressed in international and intergovernmental processes
- Supports the implementation of governmental agreements through a voluntary, market-based mechanism
- Follows globally accepted ISO Guidelines for certification and accreditation