

**NATIONAL VOLUNTARY FOREST CERTIFICATION SYSTEM STANDARD**

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**GROUP FOREST MANAGEMENT. REQUIREMENTS  
(Second edition)**



**Association National Voluntary Forest Certification System**

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## Contents

Introduction.....	IV
1 Scope.....	1
2 Normative References .....	1
3 Terms and Definitions .....	1
4 General Requirements.....	4
4.1 Structure of the group forest organisation and the factors affecting it.....	4
4.2 Understanding the needs and expectations of affected stakeholders.....	5
4.3 Determining the scope of the group management system.....	5
4.4 Group management system.....	6
5 Leadership .....	6
5.1 Organisational roles, responsibilities and powers .....	6
5.2 Commitment and policy .....	9
6 Planning.....	9
7 Support .....	9
8 Operation .....	10
9 Performance Evaluation.....	11
9.1 Monitoring, measurement, analysis and evaluation .....	11
9.2 Internal Audit.....	11
9.3 Selection of participants in the internal audit programme .....	12
9.4 Management review.....	14
10 Improvement.....	14
10.1 Nonconformity and corrective action.....	14
10.2 Continual improvement.....	15
Appendix A Assessment Criteria during Internal Audit.....	16
Appendix B Determination Criteria of the Participant's Risk Level for Sampling .....	17

## **Introduction**

Association National Voluntary Forest Certification System (hereinafter referred to as the Association NVFCS) is the governing body of National Voluntary Forest Certification System (NVFCS).

This document is a part of NVFCS in accordance with the PEFC framework requirements.

Ukraine has a significant share of communal forests, concentrated mainly over small areas. Also, the current forest legislation allows private ownership of forests over a limited area. Legal capacity of human resources owning/managing such small forestries is limited and hinders forest certification.

Operation of public forestries is based on the territorial principle, they are subordinated to territorial bodies that implement state policy in the field of forestry and hunting, which coordinate and control their activities.

Group certification is an alternative approach to individual certification that allows forest owners or forest users to become voluntarily certified under a single certificate and share the financial obligations arising out of forest certification, as well as be jointly responsible for forest management. This approach is aimed at improvement of dissemination of information and cooperation on forest management among individual forest owners and forest users.

Restrictions on individual forest certification and compliance with group certification procedures do not lead to a lower level of compliance with the PEFC requirements regarding sustainable forest management.

This second edition from the date of publication cancels and replaces the first edition UA SFM ST 03. The second edition has minor technical amendments relating to PEFC Endorsement process of National Voluntary Forest Certification System.

## 1 Scope

**1.1** This standard defines general requirements for group forest certification, which allows for certification of a number of forest owners/forest users under a single certificate.

**1.2** This standard establishes the requirements for group organisations applying for group forest certification and including individual forest owners/forest users and a managerial body representing their interests to ensure proper implementation of the sustainable forest management standard and to ensure confidence in the certification activities.

**1.3** This document is used jointly with UA SFM ST 02 Sustainable Forest Management. General Provisions and other NVFCS documents.

## 2 Normative References

**2.1** This Standard uses references to the following normative documents:

PEFC ST 1002 – Group Forest Management – Requirements.

UA SFM ST 02 Sustainable Forest Management. General Provisions

## 3 Terms and Definitions

The terms and definitions mentioned in ISO/IEC Guide 2 and the following definitions are used for the purpose of this document.

### 3.1 Affected Stakeholder

A stakeholder, who might experience a direct change in living and/or working conditions caused by implementation of the standard, or a stakeholder, who might be a user of the standard and therefore is subject to the requirements of the standard.

Note 1. Affected stakeholders include local communities, workers of an organisation and service providers (contractors), adjacent land users registered in the territory of local communities, local forest product processors, etc. (non-exhaustive list). However, the parties with an interest in the subject matter of the standard (e.g. non-governmental environmental organisations (NGO), scientific communities, civil society) are not considered to be affected stakeholders.

Note 2. A stakeholder, who might be a user of the standard is likely to be certified, e.g. a forest user in the case of a forest management standard, or a wood processing enterprise in the case of a chain of custody standard.

### 3.2 Audit

Systematic, independent, documented process for obtaining records, statements of fact or other relevant information and assessing them objectively to determine the

extent to which specified requirements are fulfilled.

### **3.3 Certified area**

The forest area covered by a sustainable forest management system according to the NVFCS Sustainable Forest Management Standard UA SFM ST 02.

In the group certification context the certified area is the sum of forest areas of the participants of group forest certification, covered by a group forest certificate.

### **3.4 Documented information**

Information required to be controlled and maintained by an organisation using any format and media, from any source.

### **3.5 Document confirming participation in group forest certification**

A document issued to a participant that refers to the group forest certificate and that confirms the participant as being covered by the scope of the group forest certification.

Note: This document may be for instance a sub-certificate or a confirmation of participation.

### **3.6 Forest Owner / Forest User**

Person, group of people or legal entity having the legal or tenure right, or executing traditional or customary tenure rights, to manage the forest in a clearly defined certified area and the ability to implement the requirements of the sustainable forest management standard in this area.

### **3.7 Group entity**

A legal entity that represents the participants, with overall responsibility for ensuring the conformity of forest management in the certified area to the sustainable forest management standard and other applicable requirements of the forest certification system. For this purpose, the group entity is using a group management system.

Note: The structure of the group entity should follow the operations, number of participants and other basic conditions for the group organisation. It may be represented by one person.

### **3.8 Group forest certificate**

A document confirming that the group organisation complies with the requirements of a sustainable forest management standard and other applicable requirements of the forest certification system.

### **3.9 Group forest certification**

Certification of the group organisation under one group forest certificate.

### **3.10 Group management plan**

Documented information specifying objectives, actions and control arrangements. It covers planned changes of the group management system and requirements of the sustainable forest management standard which are covered on group level.

### **3.11 Group management system**

Set of interrelated or interacting elements of an organisation to achieve the objectives and outcomes of the sustainable forest management standard.

### **3.12 Group organisation**

A group of participants, represented by the group entity, for the purposes of implementation of the sustainable forest management standard and its certification. A binding written agreement shall be established between a participant and the group entity.

The term "group organisation" is equivalent to the term "regional organisation" if the group is defined by regional boundaries or other terms chosen by the relevant forest certification scheme and complying with the content of this definition.

### **3.13 Internal Audit**

Systematic, independent, documented process for obtaining records, statements of fact or other relevant information and assessing them objectively to determine the extent to which specified requirements are fulfilled, undertaken by the group organisation itself (first party audit).

### **3.14 Monitoring**

Determining the status of a system, a process or an activity.

### **3.15 Organisation**

Person or group of people that has its own functions with responsibilities, authorities and relationships to achieve its objectives.

### **3.16 Participant**

A forest owner/forest user, covered by the group forest certificate, who has the ability to implement the requirements of the sustainable forest management standard in a certified area.

Note: the term "ability to implement the requirements of the sustainable forest management standard" requires the entity to have a long-term legal right, tenure right or traditional or customary tenure rights to manage the forest and would disqualify one-off contractors from becoming participants in group forest management certification

### **3.17 Policy**

Intentions and direction of an organisation as formally expressed by its manager/owner or the group entity.

### **3.18 Stakeholder**

A person, group, community or organisation, with an interest in the subject of the requirements of the standard.

## **4 General Requirements**

### **4.1 Structure of the group forest organisation and the factors affecting it**

**4.1.1** Group forest certification within NVFCS can be carried out by forest owners/forest users in the territory of Ukraine that voluntarily unite in a group organisation to meet the requirements of UA SFM ST 02 Sustainable Forest Management. Requirements and obtain a group forest management certificate.

**4.1.2** The group organisation includes participants represented by the group entity, as specified in clause 3.12.

**4.1.3** A group organisation can be formed by:

a) independent legal and/or natural persons, forest owners/forest users, who have permanent use/ownership of forests and who can be characterized as small forestries/small forest owners. The group entity can be one of the participants, or a specially formed body, such as an association;

b) public forestries in the territory of the relevant administrative division subordinated to the territorial body implementing the state policy in the field of forestry and hunting. The group entity can be one of the participants or the specified territorial body;

c) subsidiaries of communal form of incorporation of one parent (main) enterprise. The group entity can be one of the participants or a specified main enterprise;

d) other participant categories, e.g. in the framework of regional forestry development programmes - forest owners/forest users of a certain region, irrespective of the form of incorporation and departmental subordination. The group entity can be one of the participants or other specially formed body.



**4.1.4** The group organisation shall identify external and internal (positive and negative) factors that may affect its structure and ability for sustainable forest management.

Note: It can be done, e.g. using SWOT analysis.

## **4.2 Understanding the needs and expectations of affected stakeholders**

4.2.1 A group organisation shall determine the following within the scope of this standard:

a) affected stakeholders for the group management system, as referred to in clause 3.1, given that this list is not exhaustive. Affected stakeholders need to be identified for each participant and for the group organisation as a whole.

b) relevant expectations of these affected stakeholders, depending on their category (local communities, employees and service providers (contractors), related land users registered in local communities, local forest product processors, etc.) regarding indicators of criteria of UA SFM ST 02 Sustainable forest management. Requirements.

## **4.3 Determining the scope of the group management system**

4.3.1 The group organisation shall determine the scope of the group management system:

a) identify the name of the group organisation which will be the holder of the group forest certificate, the group entity and list of participants;

b) establish the certified area as the sum of forest plots of the participants according to their documents of entitlement;

c) indicate that the group certificate is a joint document of all participants;

d) determine the form of the document confirming participation in group forest certification - a sub-certificate or confirmation of participation.

4.3.2 The group organisation shall define the limits and appropriateness of the group management system to determine the scope of the group management system, taking into account external and internal factors, as specified in clause 4.1.4, the expectations of affected stakeholders, as specified in clause 4.2.1, and the specifics of the group forming, as specified in clause 4.1.3.

4.3.3 Each participant shall comply with all the basic requirements of UA SFM ST 02 Sustainable Forest Management. Requirements, except for clauses 9.2 Internal Audit and 9.3 Assessment of the management system, which may be complied with by the group entity.

**4.3.4** The group entity shall ensure that the scope is accessible as documented information to all stakeholders.

#### **4.4 Group management system**

**4.4.1** The group entity shall monitor and conduct internal audit to all participants in the group forest certification, as specified in clause 9.

**4.4.2** If the group entity acts as a trader in timber not covered by the group certification, it shall additionally obtain a PEFC chain of custody certificate.

### **5 Leadership**

#### **5.1 Organisational roles, responsibilities and powers**

##### **5.1.1 Functions and responsibilities of the group entity**

5.1.1.1 NVFCS stipulates that the group entity in the process of group forest certification shall:

a) implement and maintain an effective management system covering all participants of the group;

b) represent the group organisation in the certification process, including in communications and relationships with the certification body, submission of an application for certification, and contractual relationship with the certification body;

c) establish written procedures for the management of the group organisation;

d) establish written procedures for the acceptance of new participants of the group organisation. These acceptance procedures shall cover at least the verification of the applicant's information about contact details, clear identification of their forest property and its/their size(s);

e) establish written procedures for the suspension and exclusion of participants, who do not correct/close nonconformities. Group participants excluded from any certification group based on nonconformities cannot be accepted within 12 months after exclusion;

f) keep documented information of:

i. the group entity and participants conformity with the requirements of the sustainable forest management standard, and other applicable requirements of NVFCS;

ii. all participants, including their contact details, identification of their forest property and its/their size(s);

iii. the certified area;

iv. the implementation of an internal monitoring, its review and any preventive and/or corrective actions taken;

g) establish connections with all participants based on a binding written agreement which shall include the participants' commitment to comply with the sustainable forest

management standard. The group entity shall have a written contract or other written agreement with all participants, covering the right of the group entity to implement and enforce any corrective or preventive measures, and to initiate the exclusion of any participant from the scope of certification in the event of nonconformity with the sustainable forest management standard;

Note: The requirements for "participants' commitment" and "written contract or other written agreement with all participants" may also be satisfied by the commitment of and written agreement of a pre-existing organisation or group or the members participation, such as:

- a forest owners/forest users association;
- b) subordination in the territory of the relevant administrative division to the territorial body implementing the state policy in the field of forestry and hunting;
- parent (main) enterprise and subsidiaries;
- SFM programme;
- tax offices,

where the organisation can demonstrate that it has a legal mandate to represent the participants and where its commitment and the terms and conditions of the contract are enforceable.

h) provide all participants with a document confirming participation in the group forest certification;

i) provide all participants with information and guidance required for the effective implementation and maintenance of the sustainable forest management standard and other applicable requirements of NVFCS;

j) address nonconformities reported from group members which were identified under other PEFC certifications than the particular PEFC group certification and to ensure implementation with all group members;

k) operate an internal monitoring programme that provides for the evaluation of the participants' conformity with the certification requirements;

l) operate an annual internal audit, programme covering both group members and group entity;

m) operate a management review of the group forest certification and acting on the results from the review;

n) provide full co-operation and assistance in responding effectively to all requests from the certification body, accreditation body, Association NVFCS, PEFC International Governing Body, for relevant data, documentation or other information; allowing access to the forest area covered by the group organisation and other facilities, whether in connection with formal audits or reviews or otherwise related or with implications for the management system.

5.1.1.2 The group entity shall appoint a responsible person/manager who, on its behalf, will ensure compliance with the requirements of clause 5.1.1.1, as well as other obligations arising in connection with this standard, according to this standard. The manager shall have the necessary forestry and managerial knowledge and skills in accordance with the requirements of UA SFM ST 02 Sustainable Forest Management Requirements.

### **5.1.2 Function and responsibilities of participants**

5.1.2.1 NVFCS stipulates that the participants of the group forest certification in the process of group forest certification shall:

a) provide the group entity with a binding written agreement, including a commitment on conformity with the sustainable forest management standard and other applicable requirements of NVFCS; group participants excluded from any certification group, cannot apply group membership within 12 months after exclusion;

Note: The requirements for "participants' commitment" and "written contract or other written agreement with all participants" may also be satisfied by the commitment of and written agreement of a pre-existing organisation or group or the members participation, such as:

- a forest owners/forest users association;
- b) subordination in the territory of the relevant administrative division to the territorial body implementing the state policy in the field of forestry and hunting;
- parent (main) enterprises and subsidiaries;
- SFM programme;
- tax offices,

where the organisation can demonstrate that it has a legal mandate to represent the participants and where its commitment and the terms and conditions of the contract are enforceable.

b) provide the group entity with information about previous group participation;

c) comply with the sustainable forest management standard and other applicable requirements of NVFCS, as well as with the requirements of the management system;

d) provide full co-operation and assistance in responding effectively to all requests from the group entity or certification body for relevant data, documentation or other information; allowing access to the forest and other facilities, whether in connection with formal audits or reviews or otherwise related or with implications for the management system.

e) inform the group entity about nonconformities identified under other PEFC certifications than the particular group certification;

f) implement relevant corrective and preventive actions established by the group entity.

5.1.2.2 Each participant in the group forest certification shall appoint a responsible person who on its behalf will ensure compliance with the requirements of clause 5.1.2.1, as well as other obligations arising in connection with this standard, according to this standard. This person shall have the necessary forestry and managerial knowledge and skills in accordance with the requirements of UA SFM ST 02 Sustainable Forest Management. Requirements.

## **5.2 Commitment and policy**

**5.2.1** The group entity shall undertake the following:

- a) to comply with the sustainable forest management standard and other applicable requirements of NVFCS;
- b) to integrate the group certification requirements in the group management system;
- c) to continuously improve the group management system;
- d) to continuously support the improvement of the sustainable management of the land/forests by the participants.

**5.2.2** The commitment of the group entity may be part of a group management policy and shall be publicly available as documented information upon request.

**5.2.3** The participants shall:

- a) follow the rules of the management system;
- b) implement the requirements of the sustainability standard in their operations in their area.

## **6 Planning**

**6.1** Group forest management organisation when planning any changes in the group management system, shall include these changes in a group management plan.

**6.2** If a group organisation decides to fulfil requirements of the sustainable forest management standard on the group level, these requirements shall be considered in a group management plan.

## **7 Support**

**7.1** The group entity shall determine and provide resources needed to establish, implement, maintain and continually improve the group management system.

**7.2** The group entity shall define the necessary competence of persons doing work in the group management system.

**7.3** The group entity shall arrange communication processes to raise awareness of the participants regarding:

- a) the group management policy;
- b) the requirements of the sustainable forest management standard;
- c) their contribution to the effectiveness of the group management system and the sustainable forest management, including the benefits of improved group performance;
- d) the implications of not conforming with the group management system requirements.

**7.4** The group entity shall determine the internal and external communications relevant to the group management system, in particular:

- a) on what to communicate;
- b) when to communicate;
- c) with whom to communicate;
- d) how to communicate.

**7.5** The group entity shall form appropriate mechanisms or resolving complaints and disputes relating to group management and sustainable forest management operations.

**7.6** The group entity shall ensure that the documented information, relevant to the group management system and the conformance with the requirements of the sustainable forest management standard is:

- a) up to date;
- b) available and suitable for use, where and when it is needed;
- c) adequately protected against loss of confidentiality, improper use, or loss of integrity.

## **8 Operation**

**8.1** Group forest management organisation shall plan, implement and control processes necessary:

- a) to meet the requirements of the group certification standard and the sustainable forest management standard and
- b) to implement the actions determined in clause 6.

**8.2** The group entity shall plan, implement and control as follows:

- a) define the necessary processes and establishing criteria for those;
- b) implement control of the processes in accordance with the criteria;
- c) keep documented information to the extent necessary to have confidence that the processes have been carried out as planned.

## 9 Performance Evaluation

### 9.1 Monitoring, measurement, analysis and evaluation

9.1.1 The group entity shall develop an internal monitoring programme that would ensure confidence in compliance of the group forest management organisation with the sustainable forest management standard. In particular, this programme shall define:

- a) what shall be monitored and measured;
- b) the methods for monitoring, measurement, analysis and evaluation, as applicable, to ensure valid results;
- c) when the monitoring and measuring shall be performed;
- d) when the results from monitoring and measurement shall be analysed and evaluated;
- e) what documented information shall be available as evidence of the results.

Note: The monitoring programme can be based on Appendix B. Monitoring of processes related to sustainable forest management UA SFM ST 02 Sustainable Forest Management. Requirements.

9.1.2 The group entity shall evaluate the group management performance and the effectiveness of the group management system concerning the implementation of the sustainable forest management requirements.

### 9.2 Internal Audit

#### 9.2.1 Objectives

9.2.1.1 The group entity shall develop an annual internal audit programme, which shall include information on whether the group management system:

- a) conforms to
  - i. the group organisation's own requirements for its group management system;
  - ii. The requirements of this standard;
- b) ensures the implementation of the sustainable forest management standard on the participant level;
- c) is effectively implemented and maintained.

9.2.1.2 The internal audit programme shall cover the group entity and all group participants. The group entity shall be audited annually. The participants may be selected on a sample basis.

#### 9.2.2 Organisation of audit

9.2.2.1 The group entity shall include the following in the internal audit programme:

a) planning, establishing, implementing and maintaining an audit programme(s) including the frequency, methods, responsibilities, planning requirements and reporting, which shall take into consideration the importance of the processes concerned and the results of previous audits;

b) definition of the audit criteria and scope for each audit;

c) competence of internal auditor (forest knowledge, standard knowledge);

d) selection of auditors and conducting of audits to ensure objectivity and the impartiality of the audit process;

e) ensuring that the results of the audits are reported to relevant group management;

f) retaining of the documented information as evidence of the implementation of the audit programme and the audit results.

### **9.3 Selection of participants in the internal audit programme**

#### **9.3.1 General provisions**

**9.3.1.1** The participants in the internal audit programme shall be selected based on the requirements which include the following procedures:

a) determination of the sample size (9.3.2);

b) determination of sample categories(9.3.3);

c) distribution of the sample to the categories (9.3.4);

d) selection of the participants (9.3.5);

e) if necessary, additional sampling requirements are specified in case of group forest certification with participants who had joint membership in pre-existing organisations or groups, such as forest owners/forest users associations; subordination in the territory of the relevant administrative division to the territorial body that implements the state policy in the field of forestry and hunting; parent (main) enterprise and subsidiaries; sustainable forest management programme; tax offices (9.3.2.4).

#### **9.3.2 Determination of the sample size**

**9.3.2.1** The sample size shall be calculated for the participants of the group organisation.

**9.3.2.2** The sample size during the first internal audit shall be the square root of the number of participants:  $(y = \sqrt{x})$ , rounded to an integer.

**9.3.2.3** If the results of internal audits or previous audits of certification bodies have not revealed any major nonconformities, the sample size may be further reduced by a factor of 0.8 :  $(y = 0,8 \sqrt{x})$ , rounded to an integer.



Note: Assessment criteria of the participants' compliance with the requirements of UA SFM ST 02 Sustainable Forest Management. Requirements are given in Appendix A.

**9.3.2.4.** In case of group forest certification with the participants who had joint membership in pre-existing organisations corresponding to the group organisation types specified in clause 4.1.3 (b, c) of this standard, the sample size during the first internal audit may be reduced by a factor of 0.8: ( $y = 0,8 \sqrt{x}$ ) rounded to an integer. For the next internal audits if the results of internal audits or previous audits of certification bodies have not revealed any major nonconformities, the sample size may be further reduced by a factor of 0.6: ( $y = 0,6 \sqrt{x}$ ), rounded to an integer.

### **9.3.3 Determination of sample categories**

**9.3.3.1** In order to cover the participants by sampling depending on the risk level, the group entity shall categorize them based on the results of risk assessment (Appendix B).

**9.3.3.2** For each indicator item, a point is given to the participants: 0 (low risk); 1 (medium risk) to 2 (high risk).

### **9.3.4 Distribution of the sample**

**9.3.4.1** Based on the total points of the participants according to clause 9.3.3 the participants are categorized into:

- 1-5 – low risk category;
- 5-15 - medium risk category;
- 15 and more - high risk category.

**9.3.4.2** Depending on categorizing specified in clause 9.3.4.1, the participants of the annual internal audit shall be selected.

### **9.3.5 Selection of the participants**

**9.3.5.1** At least 25% of the sample shall be selected randomly.

**9.3.5.2** Rest of the participants of the annual internal audit, at most 75%, are determined on the basis of categorizing.

**9.3.5.3** If the participants are represented by all three categories:

- 10% are participants in the low risk category;
- 25% are participants in the medium risk category;
- 40% are participants in the high risk category.

**9.3.5.4** If participants are represented by two risk categories:

- 25% are participants in the lower risk category;
- 50% are participants in the higher risk category.

**9.3.5.5** If all participants fall into the same risk category, the entire sample shall be random.

**9.3.5.6** The sample for the annual internal audit shall not include participants who had internal audit or audit of the certification body in the previous one/three years, if possible, based on the calculation formula.

## **9.4 Management review**

**9.4.1** The group entity shall conduct annual management review which shall include at least:

- a) status of actions from previous management reviews;
- b) changes in external and internal issues related to the group management system;
- c) status of compliance with the sustainable forest management standard, which includes review of the internal monitoring programme results, internal audit, assessment and observation of the certification body;
- d) information on the group activities, including trends in:
  - i. nonconformities and corrective actions;
  - ii. monitoring and measurement results;
  - iii. audit findings;
- e) opportunities for continual improvement.

**9.4.2** The results of the management review shall include decisions related to opportunities for continual improvement and any requirements for changes in the group management system.

**9.4.3** The group forest management organisation shall keep documented information as evidence of the results of management reviews.

## **10 Improvement**

### **10.1 Nonconformity and corrective action**

**10.1.1** In case of non-compliance, the group organisation shall:

- a) react to the nonconformity and, as applicable:
  - i. take action to control and correct it;
  - ii. deal with 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:
  - i. reviewing the nonconformity;
  - ii. determining the causes of the nonconformity;
  - iii. 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 group management system, if necessary.

**10.1.2** The group organisation shall retain documented information as evidence of:

- a) the nature of the nonconformities and any subsequent actions taken;
- b) the results of any corrective action.

**10.1.3** A participant who was excluded from a group certification shall be internally audited by the group entity before it is allowed to re-enter the group certification. The internal audit shall not take place sooner than 12 months after the exclusion.

## **10.2 Continual improvement**

The group entity and participants shall continuously improve the suitability, adequacy and effectiveness of the group management system and the sustainable management.

## Appendix A Assessment Criteria during Internal Audit

### Minor nonconformities:

- are temporary;
- are rare and non-systemic/unsystematic;
- are time- and space-limited;
- do not lead to a fundamental failure to achieve the objective of the relevant standard requirement.

An internal auditor of the group entity shall, depending on the nature of a nonconformity, set a deadline for corrective actions, not later than the next internal audit. A minor nonconformity changes to a major nonconformity unless it is corrected before the stated deadline.

### Major nonconformities:

- last for a long time;
- are systemic/systematic;
- affect a significant part of the process;
- are not corrected or not adequately responded to by the process managers after they have been identified;
- are likely to lead to a fundamental failure to comply with the standard requirements;
- affect the integrity of the forest management certification.

The internal auditor of the group entity shall set a deadline for corrective actions no later than three months after the date of a written order to the participant. Unless corrective actions have been implemented within the stated term, the group entity shall decide on further being of the participant in group organisation, taking into account the risk of non-compliance with the standard requirements by the group organisation in general.

### Observations:

minor problems or early stages of problems not being a nonconformity, but, according to the internal auditor, can lead to a future nonconformity, unless resolved.

Reasons which caused an observation shall be eliminated before the next internal audit. The observations change to minor nonconformities, unless they are corrected before the stated deadline.

## Appendix B Determination Criteria of the Participant's Risk Level for Sampling

No.	Index of risk identification	Risk level for sampling		
		low risk (0)	medium risk (1)	high risk (2)
1	Form of incorporation	public	communal	private
2	Biogeographic region	lowland	low mountain range	high mountain range
3	Electronic register of timber on all stages of manufacturing process	full	partial	none
4	Intensity of forest use of wood resources	less than 50% of average current change in stock	50 - 100% of average current change in stock	over 100% of average current change in stock
5	Forest conversion	none	stopped	present
6	Work performed in the forest by	full-time staff	full-time staff and contractors	contractors only
7	Biological diversity	area of ecologically important sites is less than 10%	area of ecologically important sites is 10-50%	area of ecologically important sites is over 50%
8	Socio-economic functions of the forest	area of commercial forest category is over 50%	area of commercial forest category is 10-50%	area of commercial forest category is less than 10%
9	Interaction with local communities	no disputes	resolved disputes	pending disputes
10	Resources for administration, operations, training and research	full supply	incomplete supply	partial supply
11	Management and law enforcement	no administrative and criminal offenses	resolved offenses	pending offenses