



Promoting Sustainable Forest Management

PEFC UK Certification Scheme for Sustainable Forest Management

**Revision 2016 (Endorsed April 1st 2018)
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INTRODUCTION

The PEFC United Kingdom Certification Scheme for Sustainable Forest Management (Revision 2016)

The PEFC United Kingdom Certification Scheme for Sustainable Forest Management (the Scheme) was first adopted by PEFC UK Ltd in 2001 and then subsequently endorsed by PEFC Council in 2002, 2007 and 2013. Since 2013, PEFC UK has incorporated a minor amendment to the 2013 Scheme which was approved by the PEFC Council in October 2014. The 2013 Scheme adopted the PEFC Council PEFC ST 2002: 2010 Custody of Forest Based Products – Requirements and PEFC ST 1003: 2010 Sustainable Forest Management - Requirements, which was officially adopted by the PEFC Council General Assembly in November 2010 and the revised UK Woodland Assurance Standard, published November 2011.

The re-endorsed Scheme expires in July 2018, however, due to the UK Woodland Assurance Standard (UKWAS) being revised to meet its five yearly review, it is desired that the UK Scheme is revised to synchronise with this date. Therefore re-endorsement of the scheme is sought earlier than required, however, due to unforeseen circumstances the scheme was not endorsed and effective since 1st April 2018

The revised Scheme is based on two national United Kingdom published documents namely, the United Kingdom Forestry Standard 3rd edition (the Government's Approach to Sustainable Forestry, UKFS), which was revised in 2011, and the Forest Management Certification Standard, which is known as the United Kingdom Woodland Assurance Standard (UKWAS) (the Standard). UKWAS has also undergone a major review and thorough public consultation exercise during 2014, 2015 and 2016. The 4th revision of the Standard was approved by the UKWAS Steering Group in April 2016. It should be noted that the UKWAS is also endorsed by FSC (Forestry Stewardship Council) and should be regarded as the Sustainable Forest Management standard for the UK Scheme. These documents may be found in Annex 1 and 2.

The UKFS and Guidelines have been endorsed by the UK Government and apply to all UK forests and woodlands. Together with the national forestry policies and strategies of England, Scotland, Wales and Northern Ireland, the UKFS provides a framework for the delivery of international agreements on sustainable forest management, alongside policies on implementation.

The Scheme's aim is to provide consumers with guarantees that the products with PEFC certificates are derived from forest management wherein there is consistent application of principles of sustainability founded on three basic pillars of social, environmental and economic understanding.

Within this setting, the PEFC UK Scheme has been constructed on the basis of the "Pan-European Criteria and Indicators for Sustainable Forest Management" and the "Pan-European Operational Level Guidelines for Sustainable Forest Management" adopted at the 3rd Ministerial Conference for the Protection of Forests in Europe.

Confirmation of PEFC documentation

The Board of PEFC UK Ltd will adopt the UKWAS at a meeting of the Directors on the 5th July 2016, as part of the PEFC UK Certification Scheme. It will also adopt all required implementation dates of PEFC Council documentation including Technical, Annexes and supporting Appendices and Guidelines, as currently approved.

In particular the PEFC UK Scheme will recognise:

- PEFC ST 2002:2013 Chain of Custody of Forest Based Products - Requirements
- PEFC ST 1002:2010, Sustainable Forest Management - Requirements.
- PEFC ST 2001:2008 v2 PEFC Logo Usage Rules - Requirements

Standard Setting Procedures of the national Forest Standard (UKWAS)

The Directors of PEFC UK Ltd agreed that PEFC UK recognises the UKWAS Standard Setting Process as published on the UKWAS web site and that this was formally in place during the revision of the Standard. <http://ukwas.org.uk/wp-content/uploads/2013/03/UKWAS-Standard-Setting-Process-Version-2.0-12.03.13.pdf>

The requirements can be referenced within the following:

- UKWAS - Memorandum of Association (Amended 25 November 2002)
- UKWAS - Articles of Association (Adopted 25 November 2002)
- UKWAS – Steering Group Rules (Version 2 adopted 19th September 2013 and Company Membership 2013 - 14)
- UKWAS Standard Setting Process (Version 2 12th March 2013)

All documents may be found at www.ukwas.org.uk and <http://ukwas.org.uk/documents>

31st May 2016

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THE LAYOUT OF THE SCHEME DOCUMENTATION

The Scheme documentation has been set out in the following order:

The SCHEME

- Section 1:** Key reference documentation
 - Section 2:** Management of the PEFC United Kingdom Certification Scheme for Sustainable Forest Management (The Scheme)
 - Section 3:** History and Background to Forestry in the UK
 - Section 4:** UK Forestry Standard of 2011
 - Section 5:** UK Indicators of Sustainable Forestry
 - Section 6:** UK Woodland Assurance Standard (UKWAS) Revision 3.1
 - Section 7:** Scheme Governance
 - Section 8:** Appendices
- APPENDIX 1:** Indicators of Sustainable Forestry Operated in the UK
APPENDIX 2: ILO Conventions upheld within the structure of UKWAS
APPENDIX 3: UKWAS Standard Setting Process
APPENDIX 4: Sampling Procedures for Certification of Forest Management Group Schemes
APPENDIX 5: Certification bodies operating in the UK

ANNEX DOCUMENTATION

- Annex 1:** The UK Forestry Standard “The Government’s Approach to Sustainable Forestry”2011 including the UK Indicators of Sustainable Forestry
- Annex 2:** The UK Woodland Assurance Standard (UKWAS) 4.0
- Annex 3:** PEFC Council PEFC ST 2002:2013 (Second edition)
Chain of Custody of Forest Based Products: Requirements
- Annex 4:** PEFC Council Annex 6: Certification and Accreditation Procedures and PEFC ST 2003: 2012 (Second edition) requirements for Certification Bodies operating certification against the PEFC International Chain of Custody Standard.
- Annex 5** PEFC ST 1001:2010 Standard Setting - Requirements
- Annex 6** PEFC Council Guideline: PEFC Guide: Endorsement and Mutual Recognition of National Systems and their Revision
- Annex 7** PEFC ST 1002:2010 Group Forest Management Certification
- Annex 8** PEFCST 1003:2010 Sustainable Forest Management - Requirements
- Annex 9** PEFC ST 2001:2008 Second Edition Logo Usage Rules - Requirements

SECTION 1: KEY REFERENCE DOCUMENTATION

Supporting Documentation, included as part of the Scheme Submission

1.1 The UK Forestry Standard (UKFS) “The Government’s Approach to Sustainable Forestry” 3rd edition 2011

The UKFS approach is based on applying criteria agreed at international and European levels to forest management in the UK. However, because the history of forestry and the nature of the woodlands in the UK differ in fundamental ways from those of other European countries, the main purpose of the UKFS is to demonstrate that these agreements are applied in an appropriate way to the management of UK forests and woodlands.

1.2 The UK Woodland Assurance Standard (UKWAS) 4th Edition

The UK Woodland Assurance Standard (UKWAS) is an independent certification standard which sets out the requirements which woodland owners and managers and certification bodies can use to certify woodland management in the United Kingdom of Great Britain and Northern Ireland (UK). The certification standard is developed through an inclusive and transparent process which has involved a balanced representation of stakeholders from the UK forestry and environmental community. Primarily, the certification standard is designed to reflect the requirements set out in the governmental UK Forestry Standard and thereby the General Guidelines adopted by European Forestry Ministers at Helsinki in 1993, the Pan-European Operational Level Guidelines (PEOLG) subsequently adopted at Lisbon in 1998 and other relevant international agreements. In response to the demand from the UK forestry and forest products sector, the certification standard is also designed to reflect the requirements of the two leading global forest certification schemes – the Forest Stewardship Council (FSC) and Programme for the Endorsement of Forest Certification schemes (PEFC).

1.3 PEFC Council PEFC ST 2002:2013 (Second Edition) Chain of Custody of Forest Based Products - Requirements

The text of this standard has been developed by the Chain of Custody Working Group of the PEFC Council and was officially adopted by the PEFC Council General Assembly in May 2013 (amended 7th December 2015) and replaces PEFC ST 2002: 2010. This standard can be endorsed and utilised by any forest certification scheme which includes chain of custody rules for the purposes of using declarations referring to the origin of the raw material included in the forest based products. The objectives of the chain of custody are to create an information link between the raw material included in a forest based product and the origin of that raw material. The UK scheme adopts this standard in its entirety.

1.4 PEFC Council Annex 6: Certification and Accreditation Procedures PEFC ST 2003:2012 Requirements for Certification Bodies operating Certification against the PEFC International Chain of Custody Standard. Second edition

PEFC Council recognised certifications for forest management and chain of custody rely on international certification and accreditation procedures as defined in the documentation of the International Standardization Organisation (ISO) and European co-operation for Accreditation (EA) as well as in the Objectives International Accreditation Forum (IAF).

These documents define the certification and accreditation procedures for forest and chain of custody certifications adopted and considered credible and reliable by the PEFC Council. The PEFC Council does not set any requirements regarding the auditing and decision making in certification or accreditation. However, it may issue PEFC-trademark licenses only against specified types of certifications.

Annex 6 was adopted by the General Assembly of the PEFC Council on 22 November 2002 and amended on various dates the last being 5 October 2007. The PEFC ST 2003:2012 was adopted on 16th July 2012 and the second edition came into force on the 11th December 2014

These documents specifies the general competence requirements and tasks of certification bodies when applied to forest and chain of custody certification.

1.5 PEFC ST 1001:2010 Standard Setting - Requirements

Sustainable forest management is a holistic approach that takes into account ecological, social and economic criteria. Open, transparent and consensus-based participation of local and national stakeholders who are affected by forest management is an essential element in the development of a forest certification scheme and the definition of sustainable forest management. The standard setting requirements of this standard have therefore been followed and outlined in UKWAS 4 and the UKWAS Standard Setting Process version 2.

1.6 PEFC Guide: Endorsement and Mutual Recognition of National Systems and their Revision

The objectives of these guidelines are aimed to assist bodies, to develop or revise their forest certification schemes firstly by advising on the preparation of an application for PEFC Council endorsement and, secondly by facilitating the assessment of the compliance of a national forest certification scheme against the PEFC Council requirements carried out by the PEFC Council as a part of its endorsement and mutual recognition process.

These guidelines cover the PEFC Council minimum requirements, which shall be met by national and sub-national schemes and standards applying for PEFC Council endorsement and mutual recognition, and are a part of the application for the PEFC Council endorsement and mutual recognition.

1.7 PEFC ST 1002:2010 Group Forest Management Certification - Requirements

The objective of this standard is to allow group certification as an alternative approach to individual forest certification, which allows forest owners to become voluntarily certified under one certificate and share the financial obligations arising from forest certification, as well as the common responsibility for forest management. This approach aims at improving information dissemination and co-operation in forest management among individual forest owners.

1.8 PEFCST 1003:2010 Sustainable Forest Management - Requirements

The requirements laid out in this document must be reflected in the forest management standards submitted for PEFC endorsement. They constitute requirements for owners or managers applying for forest certification, as well as contractors and other operators operating in certified forests.

1.9 PEFC ST 2001:2008 Second edition. Logo Usage Rules – Requirement

This standard allows for the use of PEFC logos / labels which provides information relating to the origin of forest based product in sustainably managed forest and other non-controversial sources. Purchasers and potential purchasers can use this information in choosing the product based on environmental, as well as other considerations
Supporting Reference Documentation

1.10 PEFC UK Ltd: UK Certification Scheme for Sustainable Forest Management (2016)

1.11 PEFC Council Annexes

1.11.1 PEFC Council Annex 1: Terms and Definitions

This Annex was adopted by the General Assembly of the PEFC Council in November 2002 and amended in October 2004 and 27 October 2006.

1.12 Criteria for Sustainable Forest management

1.12.1 Pan European Criteria and Indicators for Sustainable Forest Management

The forest management performance standards of national forest certification schemes, which apply for the endorsement and mutual recognition within the PEFC framework, shall be based on Pan-European Criteria and Indicators adopted as Annex 2 to the Resolution L2 of the Ministerial Conference on the Protection of Forests in Europe (MCPFE) held in Lisbon in 1998

1.12.2 PEOLG: Pan European Operational Level Guidelines for SFM

The forest management performance standards of national forest certification schemes, which apply for endorsement and mutual recognition within the PEFC framework, shall be in full compliance with the requirements of the Pan-European Operational Level Guidelines (PEOLG) adopted as Annex 1 to the Resolution L2 of the Ministerial Conference on the Protection of Forests in Europe (MCPFE) held in Lisbon in 1998

1.13 ISO Documentation

1.13.1 ISO 19011: 2011: Guidelines for quality and/or environmental management systems auditing.

1.13.2 ISO/IEC 17065: 2012: General requirements for bodies operating product processes and services conformity assessments.

1.13.3 ISO/PAS 17001: 2005 Conformity assessment Impartiality Principles and requirements

1.13.4 ISO/IEC 17011:2004 General requirements for accreditation bodies accrediting conformity assessment bodies

1.13.5 ISO/IEC 17021 - 2:2012 Requirements for bodies providing audit and certification of management systems

ABBREVIATIONS AND ACRONYMS

C and I	Criteria and Indicators
C o C	Chain of Custody
DARD	Department of Agriculture and Rural Development for Northern Ireland
EA	European Co-operation for Accreditation
EIA	Environmental Impact Assessment
EN	European Norm
ENGO	Environmental non-government organisation
EMAS	Eco-Management and Audit Scheme
FC	Forestry Commission
FE	Forest Enterprise
FMU	Forest Management Unit
FS	Forestry Service (Northern Ireland)
GB	England, Scotland and Wales
IAF	International Accreditation Forum
ILO	International Labour Organisation
ISEAL	International Social and Environmental Accreditation and Labelling Alliance
ISO	International Standardisation Organisation
MCPFE	Ministerial Conference on the Protection of Forests in Europe
NGO	Non-government organisation
NRW	National Resources Wales
PEC	Pan European Criteria
PEFC	Programme for the Endorsement of Forest Certification
PEFCC	Council for the Programme for the Endorsement of Forest Certification
PEFC UK Ltd	Programme for the Endorsement of Forest Certification: United Kingdom
PEOLG	Pan-European Operational Level Guidelines
SFM	Sustainable Forest Management
SSSI	Sites of Special Scientific Interest
TGA	Timber Growers' Association
UK	United Kingdom
UKAS	United Kingdom Accreditation Service
UKWAS	United Kingdom Woodland Assurance Standard
WMU	Woodland Management Unit

SECTION 2: INTRODUCTION:

The PEFC United Kingdom Certification Scheme for Sustainable Forest Management (THE SCHEME)

2.1 PEFC UK Ltd

PEFC UK Ltd was established in 2000. The Company is registered in Scotland, number 209443 and the Registered Office is located at MMG Archbold, Chapelshade House, 78 – 84 Bell Street, Dundee, DD1 1RQ Scotland. The Company has an administrative office at Sheffield Technology Parks, Cooper Buildings, Arundel Street, Sheffield, S1 2NS.

The Articles of Association were adopted on 13th July 2000 and were subscribed by the Timber Growers Association Ltd and the Ulster Timber Growers Organisation, as a Company Limited by Guarantee and not having Share Capital. The Articles were updated in 2010.

The first board meeting was held in Edinburgh on 12th September 2000 and since then the Company has held a minimum of two meetings of the Directors each year (currently four per year) and has held an Annual General Meeting each year. The audited company accounts have been lodged for each accounting year which runs from the 1st August to the 31st July, within the time scale required of its registration and the Company is currently of good financial standing.

As of 2016, there are 9 directors, including the Chairman. There is also a National Secretary.

The Company Secretary, who is not a director, is MMG Archbold in Dundee (as above).

PEFC Council has recognised PEFC UK as a member country of the PEFC Council.

2.2 Scheme Governance and Structure

The Scheme is owned, governed and administered by a National Governing Body, PEFC UK Ltd, which is responsible for:

- Managing the Scheme to meet the endorsement requirements of PEFC Council.
- Developing and reviewing the design of the Scheme with a view to continuous improvement.
- Developing, implementing and reviewing the rules and requirements for participation in the Scheme by certification applicants, with particular reference to the requirements and conditions set out by PEFC Council.
- Promoting the use and credibility of the Scheme and ensuring its accessibility to the forest industry and all interested stakeholders.
- Helping to promote the UK Woodland Assurance Standard, as the national certification standard for Sustainable Forest Management in the UK.
- Participating in the development, monitoring and review of the UK Woodland Assurance Standard.
- Issuing and updating of all documentation relating to administration and implementation of the Scheme.
- Setting and reviewing the eligibility criteria for certification bodies wishing to carry out third party audits under the Scheme.

- Maintaining a register of Accredited and Notified Certification Bodies and monitoring these bodies to ensure continued compliance with eligibility criteria.
- Establishing and maintaining records of all forest areas / organisations / enterprises certified under the Scheme and certified for Chain of Custody.
- Resolving appeals, complaints and disputes arising out of the operation of the Scheme that
 - (a) cannot otherwise be resolved between the Certification Body and the auditee or the UKWAS Interpretation Panel, or that
 - (b) arise out of the issue, suspension or withdrawal of a license to use a product label issued by a third party.
- Setting, collection and review of all legitimate costs / fees associated with participation in the Scheme by certification applicants.
- Licensing and control of the use of any logos, claims and labels used in association with the Scheme.

In the case of a complaint as described above, PEFC UK shall initially acknowledge receipt of the complaint, then gather sufficient evidence to validate the complaint, which will allow the PEFC UK Board to objectively make a decision. On reaching a decision, PEFC UK will formally communicate the decision to the complainant. If the complaint against the scheme is upheld the necessary corrective and preventive actions will be made and where applicable the scheme documents changed.

This document, together with its annexes, establishes the technical terms of reference that permit the certification of sustainable forest management and of the chain of custody.

It also establishes the requirements for certification by PEFC UK, defining the various procedures and responsibilities of each of the parties involved.

2.3 Scope of the Scheme

- Certification of the sustainable management of all forest and woodland types and ownerships within the United Kingdom to the UK Woodland Assurance Standard.
- Certification of Chain of Custody in accordance PEFC Council PEFC ST 2002:2013 Chain of Custody of Forest Based Products - Requirements
- Management and control within the UK of PEFC logo licencing requirements as set out in PEFC ST 2001:2008 Second Edition PEFC Logo Use Rules - Requirements
- Notification of Certification awards

2.4 The Role of the Secretariat

The co-ordination and everyday management of the Scheme is ensured by the secretariat, whose functions are described in the statutes of the association. Additionally, within the scope of the certification system, the PEFC UK secretariat is responsible for:

- Maintaining an up-to-date register and control of all entities using the PEFC logo and ensuring its correct use;

- Verifying the rules for logo use and their conformity with PEFC Council Technical Document PEFC ST 2001:2008 v2 PEFC Logo Use Rules - Requirements and, whenever necessary, implementing corrective or preventive actions;
- Maintaining up to date relevant information about the PEFC process, making available and disseminating all the technical requirements and providing support for the accreditation and standardisation activities.
- Managing the register of certification bodies.
- Reviewing the terms of reference of PEFC UK, whenever justified by relevant alterations in the scope of the PEFC Council or by results of the implementation of the system;
- Managing the PEFC requirement for the Notification of accredited Certification Bodies within the UK
- Promoting actions for the dissemination and promotion of PEFC UK, being equally responsible for institutional relations;
- Accompanying the process of recognition of entities in the scope of the certification system;
- Promoting and supporting the definition of programmes for training courses for auditors.

As such, the responsibilities of PEFC UK Ltd are to:

- Define the accepted indicators of sustainable forest management, within UKWAS, according to the specific characteristics of UK forests;
- Define the levels of application of forest management certification
- Establish procedures for certifying the flows of raw material originating from certified forests (chain of custody);
- Establishing and/or recognising guides to good forest practices, and
- Issuing other technical documents to support the application of sustainable forest management.

2.5 Review of the Standard

The Standard Setting Process of UKWAS (Version 2.0 – approved by Steering Group (12.03.13) states:

“The standard shall be reviewed and revised as necessary on a five year cycle and the UKWAS Steering Group shall invite the certification schemes to participate in the review process by:

- a) Notifying them of its intention to begin a review process and providing a projected time line to be discussed and agreed with them.
- b) Requiring them to confirm that these Standard Setting Procedures will meet their requirements.

PEFC UK shall monitor and ensure that the necessary timescales are achieved to meet this requirement.

UKWAS standard setting process states that: The review process should include as a minimum the steps set out in section B4 and incorporate the following elements:

- a) An 'Initial Stakeholder Consultation' - an invitation to comment on the current standard which should identify any areas already identified as requiring review (minimum consultation period of 60 days).
- b) A 'Revision Draft' which should include a summary of the stakeholders' initial comments and clearly identify and explain the proposed changes (minimum consultation period of 60 days).
- c) A 'Pre-approval Draft' which should include a summary of the further stakeholder comments and clearly identify and explain the proposed changes (minimum consultation period of 30 days).

Additional drafts may be issued at the discretion of the Steering Group.

2.6 Revisions and Timeframe for Implementation of Revisions

PEFC UK adopts a policy for the implementation of Changes and / or Revisions induced by PEFC Council which meet required implementation dates. Similarly, changes to the UKWAS will be implemented as set out by the Standard setting body.

SECTION 3: HISTORY AND BACKGROUND OF FORESTRY IN THE UK

3.1 Forest History: UK

The woodlands of the UK reflect changes in land-use over several thousand years. During this period the land, which was once largely covered with woodland, was cleared of trees and used to satisfy the demands of an increasing population for timber, fuel and agriculture. By the beginning of the 20th century woodland cover was around 5%. Today this figure has risen to about 13% (3 million hectares), as the result of commitment to a steady programme of planting by successive governments, and the enthusiasm of many landowners and foresters. It is currently the policy of each country administration within the UK to increase the woodland area.

Due to extensive afforestation and woodland creation programmes, forest cover in the UK has increased by 2 million hectares over the last century. However, it is still only 13 per cent, compared to the European average of 33 per cent, the area of woodland cover per capita being 0.05 hectares per person. The high population density of the UK has resulted in uniquely strong public pressure on forestry aesthetics and a demanding forest planning system to ensure that non-production benefits, such as landscape and recreation, are fully considered.

The Forestry Commission serves as the department of Forestry for the Westminster Government and within the devolved administrations of England, Northern Ireland, Scotland and Wales and is responsible for forest legislation and policy in Great Britain. The UK Forestry Standard and the Forestry Act 1967 form the basis for legal and sustainable management. The UK Woodland Assurance Standard (UKWAS) is the national forest certification standard.

Extensive programmes of woodland diversification are under way to improve landscape impacts, continuity of habitats, biodiversity provision, continuity of timber supply and opportunities for recreation. Restoration of semi-natural woodlands and creation of new native woodland habitats are also policy priorities, along with the creation of new woodlands on urban fringes. Valuable habitats, such as ancient woodland remnants, are protected as part of plantation management.

3.2 The UK: Ownership and Management

Around two-thirds of the UK's woodland resource is privately owned – by individuals, family trusts, charitable trusts or companies. It is estimated that there are about 40 000 private woodland owners who own areas greater than 5 hectares. Typically, woodlands owned by private and family interests are a part of mixed estates or are on farms. There are many thousands of small farm woodlands, but very few owners with more than 1000 hectares of woodland. Management of woodlands for game is an important objective on many estates with woodland and on some farms. Typically timber production is considered important in the larger family estates and company owned forests. An increasing number of woods are managed specifically for recreational and conservation purposes by charitable trusts and private owners.

The remaining one-third of woodlands is owned publicly, the bulk of it managed by the Forestry Commission (FC) and the Department of Agriculture and Rural Development for Northern Ireland (DARD). In the main, these are 'new' forests established in the 20th century in areas of low agricultural value, particularly in the uplands, using mainly conifer species. Some woodlands are owned and managed by other public agencies, including local authorities

3.3 Semi-natural Woodland

The United Kingdom has no natural forest, but has about 650,000 hectares of semi-natural woodland of which 326,000 hectares are classed as ancient and semi-natural (1.2% of land area). This is mainly broadleaved, but includes the native pine forests of highland Scotland. Semi-natural woodlands are especially significant for wildlife conservation because they support a high proportion of rare and threatened species. They are also important for landscape and cultural heritage. Timber production and recreation are important uses of semi-natural woodland, but careful management is required to avoid conflict with special wildlife interests. Ancient semi-natural woodlands are especially valuable as some are remnants of the original post-glacial forest. Conservation of natural habitat is of prime importance.

3.4 Planted Woodlands

Broadleaved tree species are a traditional part of much of the largely man-made landscape of the UK. Most of the common broadleaved tree species are either native to the British Isles, or have been established there for many centuries. They have been planted for a wide variety of purposes: landscape, amenity, timber production, shelter and game. Their quality as timber trees is variable, but there is always a lively demand for good quality hardwood trees, and the broadleaved resource, as a whole, supports a small but viable sawmilling industry. The commercial base of the forest industry relies heavily on introduced tree species, particularly Sitka spruce (*Picea sitchensis*) from North America. Scots pine (*Pinus sylvestris*) is the only native conifer of economic significance. There are about a dozen conifer species in common forestry use.

3.5 Wood Supply and Wood Processing

The annual wood supplies available from existing UK forests are expected to increase from the level of 10 million cubic metres achieved in 1999 (standing volume) to about 15 million cubic metres by 2015. This would provide 20–25% of the UK's wood requirements, but the actual rate of progression depends partly on timber prices. A rapidly increasing softwood supply from planted conifer forests in the uplands has encouraged a series of major investments by companies involved in the manufacture of wood products. Over the last 20 years the British wood processing industry has attracted new investments of over £2 000 million (2.4 000 million Euros), and now has some of the most advanced wood-using technologies in the world, which also makes increasing use of recycled fibre and reclaimed timber. However, new markets are required for low-grade hardwood and softwood and market development and value adding is a priority. There is considerable potential for low-grade timber and forest residues in biomass markets for heat and energy.

3.6 Employment

The forestry and primary wood processing industries provide employment for about 30 000 people. More than half are employed in harvesting, haulage and processing and this figure should increase with future growth in timber production. The total includes forest establishment and maintenance, but also employment in forest recreation, game management and conservation. Additionally, jobs are created indirectly in tourism and support services, all of which contribute to the rural economy and to development.

3.7 Forest Recreation

Forests and woodlands provide an ideal environment for many recreational pursuits and, with appropriate planning, are able to absorb the pressures of large numbers of visitors. Recent years have seen the development of new woodlands near to towns managed with the primary purpose of providing public access and recreation. In addition to rights conferred by statute, many forest owners welcome – and some make special provision for – public access. Most publicly owned forests, including all FC and DARD owned land, apply a policy of freedom to roam, and encourage a wide variety of recreational activities.

3.8 UK Forest Policy for Sustainable Forest Management

British forest policy on Sustainable Forest Management has evolved over the last decade in response to the commitments undertaken at the 1992 UNCED conference in Rio (the Earth Summit) and subsequently developed through the processes of the Ministerial Conferences on Protection of Forests in Europe (MCPFE).

For example, in 1998 a set of Pan-European Criteria for Sustainable Forest Management were adopted which apply to all forest types in Europe. These criteria are:

- Maintenance and appropriate enhancement of forest resources and their contribution to global carbon cycles
- Maintenance of forest ecosystem health and vitality
- Maintenance and encouragement of the productive functions of forests (wood and non-wood)
- Maintenance, conservation and appropriate enhancement of biological diversity in forest ecosystems
- Maintenance and appropriate enhancement of protective functions in forest management (notably soil and water)
- Maintenance of other socio-economic functions and conditions.

At the UK level, the criteria and standards for Sustainable Forest Management are codified in the UK Forestry Standard. This document (first published in 1998, revised in 2004 and 2011), supported the subsequent establishment of an independent certification standard (UKWAS) and has led to the environmental labelling of home grown forest products. These commitments are also reflected in the forestry strategies published for England, Scotland, and Wales, each of which contain their own support for Sustainable Forest Management.

TABLE 1: Area of UK Woodland

The area of woodland in the UK at 2015 is just over 3.1 million hectares.

Privately Owned Woodland

	Conifer	Broadleaved (000's Hectares)	Total
England	188	901	1 089
Wales	53	136	189
Scotland	619	335	954
Northern Ireland	11	39	50
United Kingdom	871	1 411	2 282

Forestry Commission Owned Woodland

England	151	64	215
Wales	98	19	117
Scotland	438	40	478
Northern Ireland	56	6	63
United Kingdom	743	129	873

All Woodland

United Kingdom	1 614	1 540	3 155
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Source: Forestry Commission. Web site - statistics

Notes: 1 Broadleaves include coppice and coppice with standards.

SECTION 4: UK FORESTRY STANDARD 2011 (REVISION)

4.1 Introduction

The UKFS approach is based on applying criteria agreed at international and European levels to forest management in the UK

The third edition, has been produced to:

- provide an explicit statement of UKFS Requirements for sustainable forest management in line with statements for other land uses supported by EU rural development measures;
- ensure that the UKFS and its supporting Guidelines form an integrated whole by linking the UKFS requirements through to the different elements of sustainable forest management;
- clarify the status of the UKFS, and the assurances provided by meeting the requirements through the regulatory process;
- strengthen the role of forest planning;
- incorporate recent developments in legislation, international agreements, and the way forestry activity is monitored and reported;
- incorporate recent advances in the scientific understanding of forestry;
- include national and international initiatives on climate change and the role forests can play in mitigation and adaptation.

4.2 The UK Forestry Standard

The UK Forestry Standard has been developed specifically for forestry in the United Kingdom. The history of UK forestry and the nature of its woodlands differ fundamentally from those of the rest of Europe including Scandinavia. However, care has been taken to integrate the Standard with European and global protocols for sustainable development.

The purpose of the UK Forestry Standard is to set out standards for the sustainable management of all forests and woodlands in the UK. It is the centrepiece of a system to guide and monitor forestry. The Standard is linked to the developing international protocols for sustainable forestry. It is used in the UK as a basis for the development of forest monitoring and is the basis from which the UK Woodland Assurance Standard (UKWAS) was developed.

Guidelines agreed at Helsinki in 1993 and the subsequent Pan-European Criteria for sustainable forestry adopted at the third Ministerial Conference of the MCPFE in Lisbon in 1998 must be interpreted to put them into a UK context. International criteria and guidelines are expressed in broad terms which have limited practical value for managers. In developing the UK Forestry Standard, full account has been taken of existing guidelines and other publications which advise forest managers on recommended practice. The Standard takes into account the prime aspects of sustainable forest management: soils, water, air, production, biological diversity, workforce, communities, heritage and landscapes.

4.3 Policies

Throughout the period of forest expansion in the UK, successive governments have had a commitment to the creation and management of forests as a renewable natural resource. In the UK there has been continuous monitoring and re-assessment of forestry policy to reflect changing public attitudes, and the impact of socio-economic changes such as those associated with the Common Agricultural Policy. Forestry policy in England, Scotland, Wales and Northern Ireland is a devolved matter. The priorities of each administration are published in their forestry strategies and all are underpinned by the UK Forestry Standard. After the commitments made at the 1992 United Nations Conference on Environment and Development in Rio de Janeiro, and at the second Ministerial Conference on the Protection of Forests in Europe (MCPFE) in Helsinki (1993), the Government

formally adopted a forestry policy to promote sustainability. This was expressed in the following terms:

- The sustainable management of our existing woods and forests; and
- A steady expansion of tree cover to increase the many diverse benefits that forests provide.

Over the years a range of regulatory instruments and incentives have been developed to assist implementation of forestry policy. Some draw on legislation which is specific to forestry; others are based on legislation which has wider application. Forest management in the UK is subject to most of the legislation that regulates other commercial enterprises but, like agriculture, is outside the scope of planning law.

4.4 Powers

Regulatory mechanisms for forestry in the UK are primarily operated by the Forestry Commission (FC) in England, FC Scotland and Natural Resources Wales (who are responsible respectively to the forestry minister for the UK and the forestry ministers of the devolved administrations in Scotland and Wales) and by the Forestry Service for the Department of Agriculture and Rural Development for Northern Ireland (DARD). An agency of the FC in each country, manages the nationally owned forest estates of Scotland, England and Wales (now the Environment Agency in Wales), while in Northern Ireland both regulation of forestry and management of state forests are undertaken by the Forest Service, an agency of DARD.

4.5 Procedures for Consultation

Before issuing a felling licence or approving a Forest Plan, grant scheme or an FE plan, the FC enters any proposal for felling or for creating new woodland on a Register of New Planting and Felling. The Register can be viewed on the FC internet site at <http://www.forestry.gov.uk/publicregisters> or at FC conservancy offices.

Weekly updates are also e-mailed to local authorities for public display. The FC allows time for anyone to comment before reaching a decision. Local authorities and other statutory bodies are also sent details of proposals for areas, or types of application, covered by formal consultation and notification procedures. If it is not possible to resolve a statutory consultee's objection, the FC cannot give a decision without first referring the matter to the appropriate forestry minister.

The above procedures do not negate requirements for owners to consult with other statutory agencies with regard to particular woods (e.g. the conservation agencies in the case of Sites of Special Scientific Interest-SSSI). Environmental Impact Assessment (EIA), when required, is a formal process involving public consultation and specialist opinion from statutory bodies.

4.6 Linkage to the Helsinki Guidelines and Pan-European Criteria (PEC)

Programme for the Endorsement of Forest Certification Schemes (PEFC) was originally developed to provide a framework for national forest certification schemes adopting the concept of sustainable forest management as defined in the Ministerial Conferences on the Protection of Forests in Europe (MCPFE). Consequently, the national schemes applying for PEFC endorsement were assessed against reference documents developed for the European forestry. In the PEFC programme, the Pan European Criteria and Indicators and Pan European Operational Level Guidelines (PEOLG) establish the framework for the compatibility assessment.

PEOLG were endorsed by the Third Ministerial Conference on the Protection of Forests in Europe (MCPFE) in 1998 as a framework of recommendations for SFM for practical use on a voluntary basis

in European forests. They were to be adapted to local economic, ecological, social and cultural conditions with participation of stakeholders (based on Resolution L2).

According to the Resolution L2, the guidelines serve as a tool to improve communication and awareness building related to sustainable forest management. In addition, although certification and other quality assurance systems would remain independent from the Pan-European Process and are voluntary to the interested parties, the guidelines could provide an indicative reference for the establishment of standards for those systems.

PEOLG are based on the European social and cultural structures and forest management traditions. They also address specifically the issues of SFM relevant in the European context. European forests have been under heavy use for centuries, therefore e.g. presence of decaying wood, regulation on grazing of wild and domestic animals and maintenance of habitats created by traditional management systems are examples of important elements of biodiversity protection. The forests are mostly in boreal or temperate zones, often managed at a forest level, and it is accepted that there is a need to encourage, where appropriate, un-even aged stand management. The social and labour legislation in European countries is well developed and implemented with the result that these basic issues are not emphasised in PEOLG.

The UK Forestry Standard is compatible with both the Helsinki Guidelines and the Pan European Criteria (PEC). These guidelines and criteria necessarily give weight to some issues (such as soil erosion and fire) that are globally important but not usually critical in the UK. The use of native species is also an area of different emphasis: only one native conifer species (*Pinus sylvestris*) is commercially utilised for timber, and as a consequence, non-native trees play a major part in UK forestry. Hence, the UK Forestry Standard has less to say about fire and forests for soil protection, and more about non-native species, than might be expected in other European countries.

Environmental guidelines for forestry were introduced in the UK before the Helsinki Ministerial Conference. Therefore these guidelines were not developed around the concepts of 'criteria' and 'indicators' but directly addressed practical management issues related to major components of the forest ecosystem or human resource. This practical approach has been deliberately retained as a basis for developing UK 'criteria' and 'indicators' in order to build on guidance already familiar to UK forest managers. The components represent the basic components of Forestry Stewardship and as such are readily with both Helsinki Guidelines and PEC.

In October 2002 the Government published a set of UK indicators of sustainable forestry. The selection of indicators takes account of experts' views and a public consultation. The indicators provide a common baseline for measuring past and future trends at UK and country level.

4.7 Representation of the PEC

The Treaties of the European Union (EU) do not address forestry directly, but the EU shares a common vision and promotes key principles for the sustainable management of Europe's forests. In 1998 the European Council adopted an EU Forestry Strategy based on two key principles:

- Forest management should be sustainable, as prescribed by the Helsinki MCPFE Guidelines.
- Forests have a multi-functional (environmental, economic and social) role.

In 2006 the European Council adopted an EU Forest Action Plan to implement the Strategy. The Plan aims to provide a coherent framework for implementing forest-related measures and to serve as an instrument of co-ordination between the EU and the forest policies of Member States. (Please see section 3.8 for criteria and Appendix 1 for the UK Forestry Standard indicators).

SECTION 5: UK INDICATORS OF SUSTAINABLE FORESTRY

5.1 Monitoring and Indicators

Current indicators mostly provide information about the present state, and trends over time, of woodlands in the UK and their management, rather than measures of driving forces (pressures) or responses. These enable the government, non-government organisations, the business community and society to track the contribution that forests are making to our quality of life. They also inform society about undesirable trends so that appropriate rectifying measures can be implemented.

The UK is committed to international agreements on sustainable forest management and these require countries to report at intervals of about five years on indicators developed by the Global Forest Resources Assessment (GFRA) and Forest Europe (formerly the Ministerial Conference on the Protection of Forests in Europe). These indicators show the extent and condition of forests and woodlands, together with environmental, social and economic aspects of sustainable forest management.

A range of mechanisms provides data for this monitoring and reporting. For indicators concerned with UK forests, the national forest inventories, where the total forest and woodland resource is comprehensively assessed, have been the main source of data. Additional data are provided by a range of research plots across the UK that are used for environmental monitoring, and which form part of international co-operative programmes. Aspects covered include biodiversity, forest health, air pollution and climate change.

In Great Britain, the Forestry Commission has prepared a digital base map for all woodlands over 0.5 hectares, as part of the National Forest Inventory. This will ensure that monitoring will take place against definitive woodland areas. A sample survey, based on the digital map, will be undertaken for all these woodlands and data collected on species, structure, timber potential, and a range of environmental attributes. (A separate survey has been proposed for woodlands less than 0.5 hectares.) New technologies, including remote sensing, will enable the forestry authorities to carry out further checks on forest management and ensure the woodland map and associated survey data are regularly updated. In Northern Ireland, the Forest Service is in the process of completing an analysis of data on woodland area and type and will, in the future, provide and maintain a register of woodland.

5.2 Demonstration of Information Gathering

An example of the understanding of the issues is demonstrated in the results from the Forestry Commission's "Public opinion of forestry 2015: UK and England" survey. This survey sets out results from a UK survey of public attitudes to forestry and forestry-related issues.

Details may be found at [http://www.forestry.gov.uk/pdf/pof2015ukeng.pdf/\\$FILE/pof2015ukeng.pdf](http://www.forestry.gov.uk/pdf/pof2015ukeng.pdf/$FILE/pof2015ukeng.pdf)

SECTION 6: UK WOODLAND ASSURANCE STANDARD (UKWAS) REVISION 2016

6.1 Introduction

The 4th edition of the United Kingdom Woodland Assurance Standard (UKWAS) marks another milestone in the development of forestry certification in the UK.

The first edition of the standard in 1999 heralded a sea-change in our sector's approach to demonstrating its environmental and social credentials alongside its contribution to the national economy. The UKWAS standard is now central to the UK programmes of both the leading global certification schemes –the Programme for the Endorsement of Forest Certification schemes (PEFC) and the Forest Stewardship Council (FSC). The latest figures show that about 50% of the UK's woodland area and an estimated 80% of harvested timber is certified through one or both of these schemes. Indeed it is a unique feature of the UK forestry sector that woodlands can be dual certified to a single national standard so providing enterprises with the maximum possible flexibility to meet their customers' needs. There can be little doubt that the UKWAS has contributed to raising the standard of woodland management across the United Kingdom.

6.2 UKWAS

A company called "United Kingdom Woodland Assurance Standard (UKWAS)" has been established to own and manage the standard. It is managed by its Members on a not-for-profit basis. United Kingdom Woodland Assurance Standard (UKWAS) is an independent company established in 2003 and incorporated under the Companies Act and limited by guarantee, Company Registration Number SC199337.

The company's objects are "to own, interpret, develop and promote a certification standard for forest management in the United Kingdom, on behalf of United Kingdom forestry and environmental communities, and bodies which represent the interests of people working in woods and forests or using them for the purpose of recreation, for the general benefit of people".

UKWAS members appoint a broadly based Steering Group which has responsibility for interpreting the standard and ensuring its periodic revision to take account of experience from its application and new information that arises. The Steering Group appoints an Interpretation Panel to provide it and users of the standard with advice on interpretation of the standard. This fourth edition of the standard has been developed by the Steering Group through a formal revision process.

(See section B2 Appendix 3)

6.3 Current Membership Base

The following is the structure of the steering group and the maximum representation for each of the 13 constituencies:

Chair and Secretary (2), Woodland owners (6), Forest Practitioners (5), Country Forestry Authorities and Forestry Enterprises (8), Environmental organisations (6), Forest user organisations (2), Wood processing industry (3), Wood products trade (2), Forest workforce (2), UK Countryside, Environment and Heritage Agencies (3), Local Government and National park Authorities (2), Forestry Standard setting and Labelling bodies (6) (Including PEFC UK Ltd), Forest workforce (2) Local government and National Park Authorities (2) Education, Research and Training (3 non-voting).

The standard setting body will identify any disadvantaged and key stakeholders and proactively seek their assistance and participation in the standard setting activities in a format that is easily understood.

6.4 Standard Setting process

The Steering Group undertook a comprehensive revision between 2013 and 2016 in three main phases and there were three opportunities for stakeholders to make input:

- Phase 1 (Dec 2013 to September 2014) was an evidence gathering phase including an initial stakeholder consultation over 60 days in February and March 2014
- Phase 2 (October 2014 to October 2015) was the main revision drafting phase leading to a revision draft for consultation over 60 days over September and October 2015
- Phase 3 (November 2015 to November 2016) is the conclusion phase including further revision and preparation of a pre-approval draft for a final consultation for 30 days in February 2016. After further amendment, FSC UK and PEFC UK were invited to submit the final draft standard to their international parent bodies for approval.

The Fourth edition of the UK Woodland Assurance Standard will hope to be endorsed by PEFC for use with effect from 1st December 2016. There is a transition period of one year.

The Standard setting process is outlined in Appendix 3 of this document.

6.5 Records

Minutes of all meetings are kept by the UKWAS Support Unit at 5 Dublin Street Lane South, Edinburgh.

6.6 The Standard

The UK Woodland Assurance Standard (UKWAS) is an independent certification standard which sets out the requirements which woodland owners and managers and certification bodies can use to certify woodland management in the United Kingdom of Great Britain and Northern Ireland (UK). The certification standard is developed through an inclusive and transparent process which has involved a balanced representation of stakeholders from the UK forestry and environmental community.

Primarily, the certification standard is designed to reflect the requirements set out in the governmental UK Forestry Standard and thereby the General Guidelines adopted by European Forestry Ministers at Helsinki in 1993, the Pan-European Operational Level Guidelines (PEOLG) subsequently adopted at Lisbon in 1998 and other relevant international agreements.

This certification standard has been designed primarily for use in the certification of UK woodlands by independent certification authorities. It may also be used in conjunction with an ISO 14001 environmental management system to provide performance targets.

In response to the demand from the UK forestry and forest products sector, the certification standard is also designed to reflect the requirements of the two leading global forest certification schemes – the Forest Stewardship Council (FSC) and Programme for the Endorsement of Forest Certification schemes (PEFC). Products certified through these schemes are in much demand in the UK and global timber market as they provide a widely recognised way to inform customers that timber products come from responsibly managed sources.

Conformance with the certification standard is voluntary. However, an independent third-party evaluation by an accredited certification authority (sometimes referred to as a 'certification body' or 'certifier') is necessary to confirm conformance, in order to obtain a forest management certificate from the certifying body. No woodland owner or manager is required by law or regulation to undergo

such an audit. However, it should be noted that some requirements of the certification standard are also required by law, and so must be complied with by all woodland owners/managers. Other requirements are a condition of the Forestry Commission (as devolved) and Northern Ireland's Forest Service grants and felling licences and must be complied with by all relevant licensees and grant-holders.

The structure of the certification standard relates to the way in which management is implemented in the woodland, addressing specific aspects of management or types of operation in turn.

6.7 The Five sections of the Standard are as follows:

The structure of the certification standard relates to the way in which management is implemented in the woodland, addressing specific aspects of management or types of operation in turn.

The sections of the certification standard are as follows:

1. Legal compliance and UKWAS conformance
2. Management planning
3. Woodland operations
4. Natural, historical and cultural environment
5. People, communities and workers

6.8 Structure of the Certification Standard

The standard is set out as follows:

The certification standard is set out as follows:

Requirements

These are the compulsory elements of the certification standard. Woodland management must meet all relevant requirements and certification bodies will check that each requirement is being met. 'Requirements' are stated as 'shall' implying they are compulsory elements of the certification standard.

Example verifiers

These suggest the type of objective evidence - documents, actions or discussions – that the certification body should consider in order to verify that the requirement is being met. The verifiers suggested are not exclusive or exhaustive - certification bodies will not always need to use all the verifiers suggested, and may seek verification in other ways.

Guidance notes

These aim to help both the woodland owner/manager and the certification body to understand how requirements should be applied in practice. More information is provided to elaborate some requirements, the meaning of certain terms or phrases is explained, and examples of appropriate action are given.

Note 1: certification bodies shall take full account of the 'guidance notes' given for each 'requirement' when assessing conformance with the certification standard.

Note 2: the guidance note can include advice for owners/managers on related matters which are beyond the direct scope of a forest management certification standard e.g. owners/managers are

advised to check the specific requirements of certification schemes in relation to chain-of-custody certification matters. Such information is clearly marked and provided as an advisory note only and shall not be considered by certification bodies when assessing conformance with the certification standard.

6.9 Accreditation

Certification bodies shall be accredited to undertake independent woodland management certification using the UK Woodland Assurance Standard by a national or international accreditation service that operates in accordance with ISO/IEC 17011 2004. Accreditation services should normally demonstrate this through membership of the European Co-operation for Accreditation (EA), the International Accreditation Forum (IAF). Any accreditation service operating outwith the auspices of this representative body shall provide the UKWAS company with evidence of conformance with ISO/IEC 17011 2004. The accreditation service shall ensure that the certification body meets all the requirements of ISO/IEC 17021-2 as well as all the criteria which are explicitly part of the UK Woodland Assurance Standard.

The UKWAS company will challenge any use of UKWAS trademarks by certification bodies not accredited in this way.

6.10 Disputes Procedures

Certification bodies shall have a formal dispute management procedure which is open to all parties at any time, to deal with non-conformance and challenges. This procedure shall be implemented when it has not been possible to resolve challenges regarding a decision made by the certification body in an assessment against this certification standard. Information on how a decision was made must be made available by certification bodies on request in a way which does not breach commercial confidentiality.

If the UKWAS company is concerned with the way in which a certification body is using the UK Woodland Assurance Standard it shall raise a dispute through the certification body's own procedure. If this approach fails to resolve the matter then the UKWAS company shall pursue it through the disputes procedure of the accreditation service. If this fails to resolve the matter it shall be taken up through the disputes resolution procedures of EA or IAF as appropriate. If the UKWAS company remains of the opinion that the UK Woodland Assurance Standard is misused it shall legally challenge the use of UKWAS trademarks by the certification body.

6.11 Defining the Certification Area

The areas to be certified to the UK Woodland Assurance Standard shall be individually identified and delineated woodland management units. The woodland management unit (WMU) is defined below and the requirements for management planning documentation are set out in section 2 of the certification standard. The WMU may include both woodland and areas dedicated to protection, conservation, buildings, infrastructure and non-forest vegetation. The owners/managers of each unit shall have made a formal commitment to meet the requirements of this certification standard.

Owners/managers are advised to seek guidance from their certification body or group scheme manager.

6.12 Periodic Monitoring

Certification to the UK Woodland Assurance Standard shall be subject to periodic monitoring and review. Certification is normally valid for up to five years and is subject to periodic surveillance to ensure continued conformance with the certification standard. Surveillance shall be undertaken at

a frequency and sampling intensity appropriate to the scale and intensity of management of the site. This leaves scope for an alternative approach to be considered in relation to small and low intensity managed woodlands. The expectation should be of an annual review, but an annual site visit may not be mandatory in all cases. Re-assessment shall be carried out at least every five years.

6.13 Stakeholder Consultations

Certification to the UK Woodland Assurance Standard shall provide an opportunity for, and take account of, inputs from stakeholders. Responsibility for undertaking consultation lies with the applicant in accordance with the requirements of this certification standard. The applicant shall invite consultees, through direct communication and public notification, to copy their responses direct to the certification body. Where this is undertaken as an integral part of a wider consultation, such as by a government department, there would be no requirement to present a copy to the certification body, provided that the information is available to the public. As part of the evaluation process, each time a certificate is issued or renewed, it shall be the responsibility of certification bodies to assess and verify stakeholder comments using appropriate sampling, independent of the applicant's own procedure. Feedback shall be provided by the certification body, on request, to respondents on how their comments have been addressed.

6.14 Peer Review

As parts of the certification process, auditing reports shall be subject to independent peer review by competent experts. Peer reviewers shall have access to all comments from the stakeholder consultations by the applicant and certification body together with an assessment of how they have been addressed

6.15 Transparency

The process of certification to the UK Woodland Assurance Standard is transparent and includes the production of an informative, publicly available summary for each certificate. The summary shall provide information on how and why the certification decision was made, to allow stakeholders to see for themselves what happened. This should include an explanation of how any areas of non-conformity with the requirements of the certification standard have been addressed to the satisfaction of the certification body, and a clear statement of any outstanding conditions which need to be addressed

6.16 Flexibility in meeting requirements

It is recognised that some woodland owners and managers may feel that certain requirements are not appropriate to their situation. Some flexibility to allow local adaptation may therefore be acceptable under the following conditions:

- Either it is not physically possible to achieve the requirement in the woodland or the approach taken is an equally or more effective way of achieving the objectives intended by the certification standard
- The impacts of the action are carefully monitored.

The certification body carrying out the audit will make a professional judgement as to the acceptability of the flexibility, and may consult appropriate specialists or the UKWAS Steering Group.

6.17 Time frame for full implementation of the requirements relating to woodland structure and layout

A special feature of woodland management is its long-term nature. Decisions made in the past have a strong influence on the woodlands of today.

Therefore, when assessing conformance with the certification standard, certification bodies will not evaluate woodlands solely on the present structure and layout, but will consider the plans for management in the short, medium and long term.

Where present structure and layout fail to meet the requirements, woodland owners/managers will need to demonstrate through management planning documentation, design plans and on-going activities in the woodland that they are taking active measures to achieve conformance with the requirements. They will also need to demonstrate that there is a time frame for achieving full conformance based on sound management principles. Further guidance on how non-conformities are dealt with can be obtained from certification bodies or group scheme managers.

6.18 Application to different sizes of woodland

Many of the requirements in the certification standard, particularly those relating to woodland design, woodland operations and conservation, relate to proportions of the overall woodland area. In applying the requirements, an approach must be adopted which allows the woodland owner/manager to achieve the requirement in a way that is best suited to the characteristics and size of the woodland and conforms to the spirit of the certification standard.

Cases may arise which are not covered by this guidance. Such cases will be assessed by the certification bodies on a case-by-case basis and, if necessary, referred to the UKWAS Steering Group (refer to paragraph 5 below).

6.19 The woodland management unit

The woodland management unit (WMU) is the area to which the management planning documentation relates – see section 2.2 of the certification standard. A WMU is a clearly defined woodland area, or areas, with mapped boundaries, managed to a set of explicit long-term objectives.

For example, a WMU might be a single ownership incorporating several areas of woodland that are managed within a woodland management plan; several separate ownerships managed within a woodland management plan; a community-managed forest; a management subdivision of a national forest service such as a forest district covered by a woodland management plan.

In large and/or widely geographically dispersed WMUs, the spirit of the certification standard and any best practise should be conformed to throughout the WMU.

Note: The terms 'woodland management unit' and 'forest management unit' are synonymous

6.20 Review and Revision of the Certification Standard

The first edition of this certification standard was developed by a broadly based Technical Working Group and launched in May 1999.

A not-for-profit company, "United Kingdom Woodland Assurance Standard (UKWAS)", was established in 2003 to own and manage the certification standard. The company is limited by guarantee (company number SC199337) and is managed by its members; its objectives are *"to own, interpret, develop and promote a certification standard for forest management in the United Kingdom on behalf of United Kingdom forestry and environmental communities, and bodies which represent*

the interests of people working in woods and forests or using them for the purpose of recreation, for the general benefit of people”.

UKWAS members appoint a broadly based Steering Group which has responsibility for interpreting the certification standard and ensuring its periodic revision to take account of experience from its application and new information that arises. The Steering Group sets up task-and-finish groups with specific mandates to provide advice on specific topics and appoints a standing Interpretation Panel to provide it and users of the certification standard with advice on its interpretation.

6.21 ILO Conventions upheld within the structure of UKWAS

(See Appendix 2)

SECTION 7: SCHEME GOVERNANCE

7.1 Accreditation & Certification Requirements

7.1.1 Certification

PEFC UK Ltd has adopted PEFC Council Annex 6: Certification and Accreditation Procedures and PEFC ST 2003:2012 (Second edition) Requirements for Certification Bodies operating Certification against the PEFC International Chain of Custody Standard.

In particular it recognises: 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. Certification bodies considered competent by the PEFC Council to carry out forest and/or chain of custody verification, shall apply auditing procedures that fulfil or are compatible with the requirements of ISO 19011 and shall fulfil the following qualifications:

- The certification body carrying out forest management certification or chain of custody certification, shall have established internal procedures for the above and fulfil requirements defined in:
 - a) ISO 17065: 2012 if the certification is carried out as product certification (the term “product” is used in its widest sense and includes also processes and services)
 - b) ISO17021 – 2: 2012 Conformity assessment -- Requirements for bodies providing audit and certification of management systems
 - c) Other requirements for certification bodies defined by the national accreditation body.
- The certification body carrying out chain of custody certification against PEFC ST 2002:2013 (*Chain of Custody of Forest Based Products – Requirements*) shall fulfil requirements defined in ISO 17065. 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 carrying out forest certification shall have the technical competence in forest management, on its economic, social and environmental impacts, on the forest certification criteria and certify against ISO 17021-2. The UK Scheme will change from ISO 17065 to ISO 17021 for forest certification at this re-endorsement and there will be a 12 month transition for Certification Bodies to revise their procedures accordingly, from the date of re-endorsement.
- The certification body shall have a good understanding of the national PEFC system against which it carries out forest or chain of custody certification. Compliance of the certification body with the above requirements shall be verified by an accreditation as described in sections 7.1.3 and 7.1.4.

7.1.2 Forest Management Certification

UKWAS will be considered as the audit protocol for the Scheme. All new entries to Forest Management Certification will adhere to the UKWAS 4.0 revision and existing holders will adopt the changes from the third edition at their surveillance audit, although a 12 month transition is allowed.

Any variations to the UKWAS criteria will only be by approval of the PEFC UK Board of Directors. This will include a mandate to sanction the use of pesticides, as required by section 3.4.4 (a) of UKWAS.

7.1.3 Accreditation Bodies

Under the Scheme, it is an implicit requirement that all external forest management and chain of custody certification audits will be carried out by third party, independent certification bodies. These bodies will in turn be required to have been accredited by accreditation bodies operating to internationally accepted standards (ISO 17065 and ISO 17021) and are members of the International Accreditation Forum (IAF) or substantively equivalent bodies, as set out in PEFC Council Annex 6: Certification and Accreditation Procedures. An example will be the United Kingdom Accreditation Service (UKAS), the national accreditation body for the United Kingdom.

7.1.4 Accreditation Criteria

The scope of accreditation of Certification Bodies will be required to explicitly include:

- **Certification of forests and woodland to the UK Woodland Assurance Standard**
and / or
- **Chain of custody certification to the PEFC Council requirements: PEFC ST 2002:2013 Chain of Custody of Forest Based Products - Requirements:**

As an integral part of such accreditation, certification bodies will be required to demonstrate the following:

- independence and objectivity;
- ability to carry out audits that are consistent and repeatable through the use of clear and precise procedures, and methods of recording and reporting;
- proven technical and professional competence and appropriate level of experience in forestry, including the economic, social and environmental impacts, to hold the confidence of certification customers and the wider forest industry;
- proven technical competence in the procurement, materials flow and processing of forest based products;
- proven professional competence and experience in certification procedures and auditing;
- thorough understanding of the UKWAS and the PEFC Chain of Custody Standards and the general requirements of Scheme;
- the maintenance of documented procedures for the competence, admission and training of auditors.

7.1.5 Roles of the Certification Body

Certification bodies operating under the Scheme will have the following key roles:

- carrying out independent, third party audits;
- awarding, suspending and withdrawing forest management and / or chain of custody certificates issued through the Scheme;
- controlling the use of certificates, through regular surveillance of the certificate holder
- Notifying PEFC UK Ltd of the award, renewal and withdrawal of all certificates, within one month of all actions
- Monitoring the use of PEFC logo licence use by their clients as set out by PEFC UK Ltd.
- To issue accredited Certificates which shall bear an accreditation symbol of the relevant Accreditation Body.

7.1.6 Competence Criteria for Auditors

Certification Bodies registered to operate under the Scheme are required to ensure that technical supervisors and auditors appointed by the Certification Body to carry out assessments against the requirements of the UKWAS and the PEFC Chain of Custody Standards meet the competence criteria for auditors developed by the appropriate Accreditation Body. Chain of Custody auditors shall have participated in PEFC recognised training every two years.

7.1.7 Register of Certification Bodies

PEFC UK will establish and maintain a register of Certification Bodies, notified by PEFC UK, as meeting the criteria to operate under the Scheme. The register would be made publicly available on the PEFC web site.

Accredited Certification Bodies will be required to establish and maintain a register of auditors appointed by them to carry out certification assessments on their behalf. The register would be made available to the Scheme Governing Body, if requested.

7.1.8 PEFC Notification of Certification Bodies

PEFC UK adopts Section 6 of PEFC Council Annex 6 which states:

“Certification bodies operating forest management and / or chain of custody certification against the PEFC endorsed national schemes / standards or the PEFC international chain of custody standard shall be notified by the PEFC National Governing Body of the relevant country.

Certification bodies operating chain of custody certification against the PEFC international chain of custody standard in countries without a PEFC National Governing Body shall be notified by the PEFC Council.

In order to ensure the independence of certification bodies the PEFC notification conditions decided by the PEFC National Governing Bodies or by the PEFC Council shall only cover:

a) administrative conditions (e.g. communication of the certification body with the PEFC National Governing Bodies or the PEFC Council, transfer of information, etc.),

(b) financial conditions (fees imposed on certified entities),

(c) compliance with requirements for certification bodies verified through accreditation previously described.

The PEFC notification conditions shall not discriminate against certification bodies or create trade obstacles.

Note: At the time of writing the revision of this scheme Annex 6 was undergoing the process of being reviewed and updated, but was still current. Therefore any references to Annex 4 instead of PEFC ST 2002:2013 may still be appropriate.

7.2 Core Elements of the Scheme

7.2.1 Introduction

The following are the core elements of the certification process that will be required to be implemented by certification bodies carrying out audits under the Scheme. These elements will be common to both **forest management** and **chain of custody** certification:

7.2.2 Initial enquiry and application for certification

Whereby, certification applicant or (“auditee”) requesting information about the certification process would be provided with documented information about the Scheme by the Scheme Governing Body and/or the Certification Body. This would then be followed by a formal application to the Certification Body from the auditee, accompanied by all relevant documentation requested by the Certification Body.

7.2.3 Certification Quotation

Provided to the auditee by the Certification Body on the basis of the information provided in auditee’s application for certification. The quotation would indicate all costs chargeable by the Certification Body and would include a plan, setting out the proposed scope and timetable for the certification assessment.

7.2.4 Voluntary “Pre-Assessment” or “Gap Analysis”

A voluntary process that may be requested by the auditee and/or recommended to the auditee by the Certification Body. Its purpose would be to help ensure that the certification applicant fully understands the scope and requirements of the certification process. The pre-assessment should also serve to identify any significant shortfalls or “gaps” between the auditee’s current management systems and documentation and the requirements of the certification standard(s), giving the opportunity to the auditee to rectify these prior to the main assessment.

7.2.5 Main certification assessment (audit)

This will be carried out by an appropriately qualified team of assessors (auditors) appointed and formally contracted by the Certification Body.

The aim of the main assessment will be to assess the auditee's forest management and/or chain of custody operations and documentation for compliance with the relevant standard(s). All relevant data and information sources, including internal audits and other documentation, will be used by the assessor team to help inform the audit process. (In the case of forest management certification, an appropriate sample of the auditee's forest operations would be evaluated by the assessor's team in the field.)

7.2.6 Certification Report and Assessment (Auditor) Team recommendation.

Following the main assessment, the assessor (auditor) team will issue the auditee with a draft written certification report providing a summary of the key findings of the audit, including all non-compliances against the requirements of the standard(s). The auditee will then be given an opportunity to review the interim report. Thereafter, the auditee will be required to agree with the assessor team the corrective actions to be taken, or planned to be taken, against each of the non-compliances raised. These corrective actions would then be agreed with the Certification Body together with a defined time-scale for implementation.

Once the schedule of corrective actions is agreed and verified as having been carried out effectively, the assessor team submits the Report to the Certification Body with a recommendation as to whether or not a certificate should be awarded, together with any conditions.

A non-conformance will be raised when a requirement of the stated standard is not met. Non-conformances can be either major or minor. Major non-conformances mean that a certificate cannot be issued.

Certificates can be issued in the case of a minor non-conformance on the condition that the proposed corrective actions will be fully met within a stated time period.

7.2.7 Independent Review of the Certification Report

An appropriately qualified expert (or team of experts) is required to review the audit report for all forest certification assessments, in order to check the assessor team's methods and conclusions against the requirements of the certification standard(s), and to endorse or otherwise their certification recommendation. Such expert(s) would be appointed by, but operate independently from, the Certification Body.

7.2.8 Certification decision

The outcome of the certification will be based on the recommendation(s) made in the Certification Report and any subsequent comments made by the independent reviewer(s) (see above). The final decision whether or not to issue a certificate to the auditee will be taken by the independent review panel appointed by and acting on behalf of the Certification Body, but acting independently of the audit process.

The certification decision may be one of the following:

- approval with no conditions;
- approval but conditional upon specified corrective actions being implemented prior to award of the certificate

- deferred
- not approved

7.2.9 Award of Certificate

Issued to the auditee by the Certification Body in accordance with the procedures set out by the Certification body.

The Certificate awarded by the Certification body shall bear the symbol of the National Accreditation Body which has awarded the accreditation.

7.2.10 Period of certificate validity

Certificates can only remain valid for a maximum period of five years from the date of issue.

7.2.11 Surveillance audits

On-going surveillance (alternatively referred to as “monitoring” or “re-auditing”) during the period covered by the Certificate.

Regular monitoring of the certificate holder will be carried out by the Certification Body at regular intervals (at least annually) following the main assessment in order to ensure continued compliance with the requirements of the certification standard(s). The Certification Body will identify any further non-compliance that may have arisen since the main assessment and check that appropriate corrective actions are implemented.

7.2.12 Stakeholder consultation

As part of the Scheme’s commitment to accountability to, and participation by, the UK forestry community and other legitimate stakeholders, an integral component of the Scheme’s forest management certification process will be stakeholder consultation.

In UK forestry, public “stakeholder” consultation is a process already widely engaged in by forest owners and managers, as a condition of entry into UK government forestry incentive Schemes. In the context of forest management certification under the Scheme, stakeholder consultation is therefore a natural extension of the type of consultation already embarked on by many woodland owners /managers as an integral part of normal forest management practice.

A requirement for stakeholder consultation is explicitly stated within UKWAS and this is the direct responsibility of the certification applicant. Under the Scheme, it would then be the responsibility of the Certification Body, as part of the main certification assessment, to verify that an appropriate level of stakeholder consultation had been carried out by the auditee in accordance with the certification standard. The assessment will include verification that the auditee had provided an opportunity for, and where appropriate, taken account of, inputs from stakeholders with regard to the applicant’s forest management. The Certification Body might initiate and take account of additional input from stakeholders during the course of the assessment, where it deems such action as being appropriate.

It shall be the responsibility of certification authorities to assess and verify stakeholder comments as part of the evaluation process using appropriate sampling independent of the applicant’s own procedure each time a certificate is issued or renewed. Feedback shall be provided by the certification authority, on request, to respondents on how their comments have been addressed.

7.2.13 Public Summary Report

A guiding principle of the Scheme is to provide transparency of both the Scheme and the certification process to help underpin consumer confidence in certification as a whole. Accordingly, the Scheme Governing Body will require those Certification Bodies registered to partake in the Scheme to produce a “Public Summary Report”. This will take the form of an executive summary of the Certification Report containing key information and results of the main assessment except for material that is either commercial in confidence or considered of a confidential nature. The Public Summary Report would be made publicly available by the relevant Certification Body.

Certification Bodies will be required to advise certification applicants of the Scheme requirement for the public summary report at the outset of the certification process. Applicants must give their explicit written consent to the publication of the public summary report. Such consent should be included as an element of the certification contract between the applicant and the Certification Body.

7.2.14 Certification “Register”

Certification Bodies operating under the Scheme will be required by the Scheme Governing Body to maintain and update documented records of all forest areas and chain of custody units certified by them under the Scheme, which register would include the following information, as a minimum:

For forest management certificates:

- Name of certificate holder.
- Date of issue of certificate and certification body reference number.
- Type of certificate issued i.e. forest management.
- Date of expiry of certificate.
- Area (in hectares) of forest certified.
- Location(s) of certified forest area(s).
- Date of renewal of certificate.
- Date of suspension of certificate (if applicable). Date of withdrawal of certificate (if applicable).
- Date any suspensions were lifted.

For chain of custody certificates:

- Name of certificate holder.
- Date of issue of certificate.
- Type of certificate issued i.e. chain of custody and business grouping as specified by PEFC.
- Date of expiry of certificate.
- Location(s) of certified unit(s).
- Date of renewal of certificate.
- Date of suspension of certificate (if applicable).
- Date any suspensions were lifted
- Date of withdrawal of certificate (if applicable).

Certification Bodies are required to provide the above information to the Scheme Governing Body no later than a calendar month following the award, renewal, suspension or withdrawal of every certificate issued by them.

The Scheme Governing Body shall maintain and update a central register of information of all forest management and chain of custody certificates issued under the Scheme, which register would be made publicly available on the Internet, via the PEFC Council website.

7.3 Forest Management: Certification Levels

7.3.1 Introduction

There are two main levels at which a woodland owner(s) or forest enterprise(s) might wish to apply for forest management certification under the Scheme:

- **Individual Certification**
- **Group Certification**

7.3.2 Individual Certification

This is where an individual forest owner or other enterprise seeks certification for the woodland it owns or manages. This method would be available for any size and type of woodland or forest. Internal audits of the system is required to ensure continued conformance with the forest management standard.

Certification Bodies operating under the Scheme will be required to have clearly documented procedures for the assessment of individual certification applicants including all the key elements and components.

7.3.3 Group Certification

Group Certification is where a number of (usually small) forest owners group their forests together and make a single Forest Certification application. The group is co-ordinated by a single person (a group manager) who ensures that all members of the group are compliant with the relevant forest management standard. Forest Certification auditors then evaluate a sample of woodland properties. All woodland properties are evaluated over time / subsequent audits

Rationale: The rationale for group certification is to spread the costs of certification across a number of owners, for whom the costs of being certified individually as small or medium sized owners might otherwise have been disproportionate to the benefits. The premise for this potential cost reduction is that only a sample of the forest areas within the group usually needs to be audited each year, although all forest areas will be visited at least once within the 5 year period of a certificate. However, this system of certification does require a considerable degree of consistency of management systems and standards between the different forest holdings that make up the group. Where there is considerable variation and complexity in forest types within and between Group Members' forest areas, it may be necessary to significantly increase the intensity of sampling.

Certification costs will vary markedly depending on size and complexity of the forest areas involved. Ideally therefore, a group certificate is issued to an umbrella organisation or "group entity" that has the resources to carry out an adequate level of internal monitoring of the forest areas within the group to ensure full compliance with the certification standard and thus achieve certification.

7.3.4 Basis of Group Certification

The basis of Group Certification is in accordance with PEFC International Standard ST 1002:2010 *Group Forest Management Certification – Requirements* which was adopted by the General Assembly of the PEFC Council on 12 November 2010.

The fundamental basis of group certification under the Scheme is that all members of the group must formally commit to complying with all the requirements of UKWAS in respect of all forests areas included within the scope of the particular group Scheme concerned.

Administrative and forest management policies that are relevant to the whole group (e.g.

management planning, monitoring) may be implemented by the Group Entity or by individual Group Members. Requirements of UKWAS that are implemented at the local forest level (e.g. species choice, felling design, management of biodiversity etc) must be satisfied by each individual group member. Responsibilities for meeting elements of the UKWAS may not be “traded” between different group members or forest areas – e.g. with one group member meeting all biodiversity criteria whilst another member does not meet any.

Definitions of terms used within the scheme and PEFC ST 1002:2010

Certified area

The forest area covered by a group forest certificate representing the sum of forest areas of the participants.

Group entity

An 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 scheme.

Note : The term “group entity” is equivalent to the term “regional/group applicant”, etc.

Group forest certificate

A document confirming that the group organisation complies with the requirements of the sustainable forest management standard and other applicable requirements of the forest certification scheme. Note: The term “group forest certificate” is equivalent to the term “regional certificate” or other terms chosen by a relevant forest certification scheme which comply with the content of this definition.

Group forest certification

Certification of the group organisation under one group forest certificate. Note: The term “group organisation” is equivalent to the term “regional forest certification” or other terms chosen by the relevant forest certification scheme and complying with the content of this definition. The term “regional forest certification” is to be understood as “group forest certification” limited by geographical boundaries.

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.

Note: The term “group organisation” is equivalent to the term “region” or other terms chosen by the relevant forest certification scheme and complying with the content of this definition.

Participant

A forest owner/manager or other entity covered by the group forest certificate, who has the legal right to manage the forest in a clearly defined forest area, and the ability to implement the requirements of the sustainable forest management standard in that 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 to manage the forest and would disqualify one-off contractors from becoming participants in group certification.

Document confirming participation in group forest certification

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

7.3.5 Group Manager

The actual division of responsibilities may differ between different group certification Schemes. In some Schemes, the Group Entity may do little more than administer the group certification Scheme, with the individual members or their individual forest managers taking responsibility for all forest management activities. In these cases, the Group Entity is usually administered by a “Group Manager”. The kind of Scheme that is most appropriate for the Group Members concerned, will depend on local circumstances.

7.3.6 Categories for Group Certification

There are various categories of “groups” for which group certification under the Scheme might be suitable, including for example:

- a formal or informal co-operative of neighbouring or other forest owners;
- a forest owners association or sub-set of the association;
- a forest manager/private practitioner or forest management company or other management practice managing woodlands on behalf of different owners;
- a timber marketing co-operative

Applications for group certification will be made to the Certification Body by the Group Manager appointed to act on behalf of the Group Members.

In cases where an individual forest owner is covered by an additional group or individual forest management certifications, the Group manager shall ensure that non-conformity by the forest owner identified under one forest management certification scheme is addressed in any other forest management certification scheme that covers the forest owner.

The Group manager shall define requirements for group forest certification which ensure that participants’ conformity with the sustainable forest management standard is centrally administered and is subject to central review and that all participants shall be subject to the internal monitoring programme.

The Group manager shall define requirements for an annual internal monitoring programme that provides sufficient confidence in the conformity of the whole group organisation with the sustainable forest management standard.

7.3.7 Responsibilities of the Group Manager / Group Entity

In order to be eligible to apply for group certification, the Group Entity must:

- 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;
- provide a commitment on behalf of the whole group organisation to comply with the sustainable forest management standard and other applicable requirements of the forest certification scheme;
- establish written procedures for the management of the group organisation;
- keep records of:
 - the group entity and participants' conformity with the requirements of the sustainable forest management standard, and other applicable requirements of the forest certification scheme,
 - all participants, including their contact details, identification of their forest property and its/their size(s),
 - the certified area,
 - the implementation of an internal monitoring programme, its review and any preventive and/or corrective actions taken;
- establish connections with all participants based on a 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 where necessary, to initiate the exclusion of any participant from the scope of certification in the event of non-conformity with the sustainable forest management standard;

Note: The requirements for "participant' commitment" and "written contract or other written agreement with all participants" can also be satisfied by the commitment of and written agreement of the forest owners/managers' association, where the association 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.

- provide participants with a document confirming participation in the group forest certification;
- provide all participants with information and guidance required for the effective implementation of the sustainable forest management standard and other applicable requirements of the forest certification scheme;
- operate an annual internal monitoring programme that provides for the evaluation of the participants' conformity with the certification requirements, and;
- operate a review of conformity with the sustainable forest management standard, that includes reviewing the results of the internal monitoring programme and the certification body's evaluations and surveillance; corrective and preventive measures if required; and the evaluation of the effectiveness of corrective actions taken.

7.3.8 Responsibility of Participants

The Group manager shall define the following requirements for the participants:

(a) To provide the group entity with a written agreement, including a commitment on conformity with the sustainable forest management standard and other applicable requirements of the forest certification scheme;

Note: The requirement for "written agreement" and participants' "commitment" is also satisfied by the written agreement of the forest owners/managers' association with the group entity, where the forest owners/managers' association can demonstrate that it has a legal mandate to represent the

participants and where its commitment and the terms and conditions of the written agreement are enforceable.

(b) To comply with the sustainable forest management standard and other applicable requirements of the forest certification scheme;

(c) To 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;

(d) To implement relevant corrective and preventive actions established by the group entity

7.3.9 Certification Body Requirements for Group Certification

Certification Bodies registered to operate under the Scheme will be required to have developed documented requirements and procedures specifically for the assessment of Group Certification Scheme applications.

These procedures and requirements would include, *inter alia*:

- definition of the divisions of responsibility between Group Members and the Group Entity;
- requirements and responsibilities of the Group Entity;
- requirements and responsibilities of the Group Members;
- documentation and on-going administration of the group certification Scheme by the Group Entity, including criteria for eligibility for, and terms and conditions of, membership of the Group, suspension or expulsion of existing members and introduction of new Group Members;
- methodology for evaluation and on-going surveillance of the Group Entity's systems, documentation and control of the group Scheme;
- methodology for the sampling and auditing of the Group Members' forest areas at main assessment and at subsequent surveillance;
- internal monitoring by the Group Entity of Group Members and their forest activities;
- maintenance of Group Member records by the Group Entity;
- responsibilities of the Group Entity for on-going communication with the Certification Body regarding Group membership, new and expelled group members and reasons for expulsion;
- payment of group certification costs.

7.3.10 Group Certificate

Under the Scheme, the systems and documentation of the Group Entity will be assessed against the Certification Body's requirements, whilst the Group Members' forest management practices will be assessed against the requirements of the UKWAS. If successful, the Group Entity will be issued with a group forest management certificate, not the individual Group Members.

The Group Member will receive a Certificate of attestation from the Group manager to affirm the membership of the Group.

7.4 Chain of Custody

The Scheme adopts the PEFC Council International Standard PEFC ST 2002:2013 (Second edition) - Chain of Custody of Forest Based Products: Requirements.

All assessments for certification purposes will be carried against this Standard.

The text of this standard has been developed by the Chain of Custody and Labeling Working Group of the PEFC Council and was officially adopted by the PEFC Council General Assembly on 7th December 2015.

PEFC ST 2002:2013 was developed in an open, transparent, consultative and consensus based process covering a broad range of stakeholders. The overall goal of the PEFC chain of custody is to provide customers of forest based products with accurate and verifiable information on the content of material originating in PEFC certified, sustainably managed forests or recycled material. Consumers in growing numbers are seeking evidence of environmentally sound business practices and demand reassurance and proof from forest-based industries that the wood they use comes from sustainably managed sources. Businesses therefore need a reliable and credible mechanism to provide their customers with information about the origin of the raw material. This chain of custody standard implemented together with forest certification and / or labelling schemes provides such a mechanism.

This standard can be endorsed and utilised by any forest certification or labelling scheme which includes chain of custody rules for the purposes of using declarations and / or labels referring to the origin of the raw material included in the forest based products.

Under the Scheme, chain of custody certification will normally be carried out at the individual organisation / enterprise level.

Certification Bodies registered to operate under the Scheme will be required to have full knowledge of PEFC ST 2002:2013, and have developed documented procedures fulfilling the requirements of ISO 17065, if the certification is carried out as product certification. Such procedures would include, *inter alia*, methodologies for assessing that the applicant operates effective systems for:

- verifying that the origin of the wood raw material used in manufacturing and also procured products is from forests certified under PEFC endorsed Schemes;
- verifying the origin of certified raw materials before and after transport, handling and processing by appropriate documentation;
- ensuring that certified raw materials are clearly marked, physically separated or otherwise identified as certified when received;
- documentation and control;
- maintaining appropriate records of the suppliers of all wood based raw materials and products procured, processed and sold.
- Monitoring the correct use by certified bodies of PEFC logo contracts, if awarded

7.4.1 Multi-site or Group Chain of Custody Schemes

The requirements of PEFC ST 2002:2013 Appendix 2: *Implementation of the chain of custody standard by multi-site organisations* shall be followed.

The aim of this appendix is to establish guidance for the implementation of the chain of custody requirements in an organisation with a network of sites, thus ensuring on the one hand, that the certification / registration of the chain of custody is practical and feasible in economic and operative terms and on the other, that the assessment provides adequate confidence in the conformity of the chain of custody. A multi-site or group approach also allows implementation and certification of the chain of custody in a group of typically small independent companies.

This appendix includes only requirements, applicable for the multisite organisation, to implement the chain of custody requirements of this standard. Requirements and guidance for the certification bodies for the assessment and certification of a multisite organisation are described in the IAF Guidance (IAF Mandatory Document for the Certification of Multiple Sites Based on Sampling).

A multisite organisation is defined as an organisation having an identified central function (normally, and hereafter referred to as a “central office”) at which certain activities are planned, controlled and managed and a network of local offices or branches (sites) at which such activities are fully or partially carried out.

Such an organisation does not need to be a unique entity, but all sites shall have a legal or contractual link with the central office of the organisation and be subject to a common chain of custody which is subject to continuous surveillance by the central office. This means that the central office has the right to implement corrective actions when needed at any site. Where applicable this should be laid down in the contract between the central office and the sites.

Examples of possible multisite organisations are:

- organisations operating with franchises or companies with multiple branches where the sites are linked through a common ownership, management or other organisational link, and
- groups of independent legal enterprises established and functioning for the purposes of the chain of custody certification (producer group).

The producer group means a network of typically small independent enterprises associated together for the purpose of obtaining and maintaining chain of custody certification. The central office may be an appropriate trade association, or any other properly experienced legal entity that is either nominated for the purpose by a group of intending members or offers a group service managed for the purposes of and consistently with this standard. The central office can also be administered by one member of the group. The central office may be called the ‘group entity’ and sites can be called ‘group members’.

A site means the location on which activities relating to the organisation’s chain of custody are carried out and the ‘producer group’ is limited to participation of sites which are domiciled in a single country and which:

- have no more than 50 employees
- have an annual turnover of maximum of 9,000,000 CHF (Approximately £6,500,000)

The Group Member will receive a Certificate of attestation from the Group manager to affirm the membership of the Group.

7.5 Award, Suspension & Withdrawal of Certificates

7.5.1 Responsibility

The award, suspension & withdrawal of forest management and chain of custody certificates under the Scheme will be the responsibility of the Certification Body concerned, as distinct from the licensing and control of use of any on-product and off-product labels which will be the explicit responsibility of the label licensing body. (see: PEFC ST 2001:2008 v2 *Logo Usage Rules - Requirements*)

7.5.2 Procedures

All Certification Bodies registered by the Scheme Governing Body to operate under the Scheme will be required to have documented procedures which:

- describe the methodology for awarding certificates;
- describe the method by which legitimate certificates issued by the Certification Body are readily identifiable as such, and provide all the relevant information to facilitate use by the legitimate certificate holder;
- describe the conditions under which a certificate may be suspended or withdrawn;
- enable the Certification Body to exercise the right to suspend or withdraw a forest management or chain of custody certificate if the terms and conditions of its issue are not met by the Certificate Holder;
- ensure that the relevant label or logo licensing body is informed within a specified time-scale about suspension or withdrawal of a certificate.

7.5.3 Information on Certificates

All certificates issued under the Scheme would include the following information:

- Certificate Number & Registration Code;
- name and address of the Certification Body;
- name and address of the Certificate Holder;
- scope of the certification;
- date of issue of the Certificate;
- statement to the effect that the named forest area(s) / Group Entity / Wood Processing Unit etc., meets the requirements of UKWAS and/or Chain of Custody Code of Practice, independently audited by the relevant Certification Body;
- date of expiry of the certificate;
- signature of the issuing officer;
- the Certification Body mark and any other appropriate logo(s) which may be legitimately applied to the certificate.
- the Certificate awarded by the Certification body shall bear the symbol of the National Accreditation Body which has awarded the accreditation.

7.5.4 Renewal of Certificates

Certificates issued under the Scheme will be valid for a maximum of 5 years from date of issue, although continuation of certification during this period would be dependent on completion of a programme of satisfactory surveillance visits conducted by the Certification Body.

7.6 Use of Logos & Marks

7.6.1 Relating to Certification Bodies

Holders of certificates issued under the Scheme may use logos, marks or claims relating to the relevant Certification Body operating under the Scheme, provided that such usage is carried out in strict accordance with the rules and procedures issued by the Certification Body.

7.6.2 PEFC Logo Usage

All usage of PEFC logo, trademarks and any claims made in connection with forest management certification and / or wood product chain of custody verification under the Scheme, will be carried out in accordance with the requirements of the appropriate third party licensing authority (PEFC UK). The rules and guidance set out in PEFC International Standard ST 2001:2008 v2 *Logo Usage Rules – Requirements* will be followed by all certificate holders

PEFC UK has documented procedures for the licensing, controlling and levying of fees for their usage under the Scheme.

PEFC UK keeps an up-to-date register of all on- and off-product logo users licensed in conjunction with the Scheme.

Note: No on-product labels shall be used by those organisations holding only a forest management certificate

7.7 Appeals, Complaints & Disputes

7.7.1 Certification Process

All Certification Bodies registered to operate under the Scheme will be required to have documented procedures for dealing with all appeals, complaints and disputes relating to the certification process - up to and including the point of award, suspension or withdrawal of forest management and/or chain of custody certificates.

Such procedures will include the following:

- establishing and maintaining documented records of all appeals, complaints and disputes raised against the Certification Body and resultant actions;
- methodology, allocation of responsibilities and time-scales for responding to and addressing appeals, complaints and disputes and implementing appropriate corrective actions;
- provision for periodic monitoring and review of procedures and case histories with a view to developing preventative action and continuous improvement in the certification process.

7.7.2 Interpretation of the UK Woodland Assurance Standard

In the event of a dispute relating specifically to interpretation of the UKWAS which cannot be satisfactorily resolved by the Certification Body's independent review panel as part of the certification process, such a matter will be referred to the UKWAS Interpretation Panel for a ruling.

7.7.3 Referral to UK Accreditation Service

In the event of an appeal, complaint or dispute concerning the certification process or conduct of the Certification Body not being resolved to the satisfaction of the auditee, Certification Body or other third party, the matter will be referred to the relevant Accreditation Body, which in the UK will normally be UKAS. Failing resolution by the Accreditation Body the matter will then be referred to PEFC UK Ltd for a final decision.

7.7.4 Role of PEFC UK

The PEFC UK Board will function as the final organ of appeal in the case of disputes related to certification decisions, use of the PEFC logo and label and/or loss of the certificate. The entity that

wishes to resort to this authority should contact, in writing, the National Secretary of PEFC UK normally, within one month of the grievance informing PEFC UK Ltd of the background and detail of the appeal.

The Board, or its nominated representatives, which may include non-members who have specific expertise, will submit a report to the PEFC UK Ltd Board, who will issue a decision within a term of not more than two months. According to this decision, PEFC UK Ltd shall take the recommended actions and communicate these to the entities involved.

APPENDIX 1: PAN-EUROPEAN INDICATORS FOR SUSTAINABLE FOREST MANAGEMENT

Since the first set of Pan-European Indicators for Sustainable Forest Management (SFM) were laid down in the early 1990s there has been a process of gradual improvement in knowledge and data collection systems, as well as understanding of information needs, that have led to refinements that were incorporated into an improved set of quantitative and qualitative Pan-European Indicators at the Ministerial Conference on the Protection of Forests in Europe (MCPFE) in 2003. The details are now as follows.

Criterion 1: Maintenance and Appropriate Enhancement of Forest Resources and their Contribution to Global Carbon Cycles

1.1 Forest area

Area of forest and other wooded land, classified by forest type and by availability for wood supply, and share of forest and other wooded land in total land area

1.2 Growing stock

Growing stock on forest and other wooded land, classified by forest type and by availability for wood supply

1.3 Age structure and/or diameter distribution

Age structure and/or diameter distribution of forest and other wooded land, classified by forest type and by availability for wood supply

1.4 Carbon stock

Carbon stock of woody biomass and of soils on forest and other wooded land

Criterion 2: Maintenance of Forest Ecosystem Health and Vitality

2.1 Deposition of air pollutants

Deposition of air pollutants on forest and other wooded land.

2.2 Soil condition

Chemical soil properties (pH, CEC, C/N, organic C, base saturation) on forest and other wooded land related to soil acidity and eutrophication, classified by main soil types

2.3 Defoliation

Defoliation of one or more main tree species on forest and other wooded land in each of the defoliation classes "moderate", "severe" and "dead"

2.4 Forest damage

Forest and other wooded land with damage, classified by primary damaging agent (abiotic, biotic and human induced) and by forest type

Criterion 3: Maintenance and Encouragement of Productive Functions of Forests (Wood and Non-Wood)

3.1 Increment and fellings

Balance between net annual increment and annual fellings of wood on forest available for wood supply

3.2 Roundwood

Value and quantity of marketed roundwood

3.3 Non-wood goods

Value and quantity of marketed non-wood goods from forest and other wooded land

3.4 Services

Value of marketed services on forest and other wooded land

3.5 Forests under management plans

Proportion of forest and other wooded land under a management plan or equivalent

Criterion 4: Maintenance, Conservation and Appropriate Enhancement of Biological Diversity in Forest Ecosystems

4.1 Tree species composition

Area of forest and other wooded land, classified by number of tree species occurring and by forest type

4.2 Regeneration

Area of regeneration within even-aged stands and unevenaged stands, classified by regeneration type

4.3 Naturalness

Area of forest and other wooded land, classified by “undisturbed by man”, by “semi-natural” or by “plantations”, each by forest type

4.4 Introduced tree species

Area of forest and other wooded land dominated by introduced tree species

4.5 Deadwood

Volume of standing deadwood and of lying dead-wood on forest and other wooded land classified by forest type

4.6 Genetic resources

Area managed for conservation and utilisation of forest tree genetic resources (in situ and ex situ gene conservation) and area managed for seed production

4.7 Landscape pattern

Landscape-level spatial pattern of forest cover

4.8 Threatened forest species

Number of threatened forest species, classified according to IUCN Red List categories in relation to total number of forest species

4.9 Protected forests

Area of forest and other wooded land protected to conserve biodiversity, landscapes and specific natural elements, according to MCPFE Assessment Guidelines

Criterion 5: Maintenance and Appropriate Enhancement of Protective Functions in Forest Management (notably Soil and Water)

5.1 Protective forests – soil, water and other ecosystem functions

Area of forest and other wooded land designated to prevent soil erosion, to preserve water resources, or to maintain other forest ecosystem functions, part of MCPFE Class “Protective Functions”

5.2 Protective forests – infrastructure and managed natural resources

Area of forest and other wooded land designated to protect infrastructure and managed natural resources against natural hazards, part of MCPFE Class “Protective Functions”

Criterion 6: Maintenance of Other Socio-Economic Functions and Conditions

6.1 Forest holdings

Number of forest holdings, classified by ownership categories and size classes

6.2 Contribution of forest sector to GDP

Contribution of forestry and manufacturing of wood and paper products to gross domestic product

6.3 Net revenue

Net revenue of forest enterprises

6.4 Expenditures for services

Total expenditures for long-term sustainable services from forests

6.5 Forest sector workforce

Number of persons employed and labour input in the forest sector, classified by gender and age group, education and job characteristics

6.6 Occupational safety and health

Frequency of occupational accidents and occupational diseases in forestry

6.7 Wood consumption

Consumption per head of wood and products derived from wood

6.8 Trade in wood

Imports and exports of wood and products derived from wood

6.9 Energy from wood resources

Share of wood energy in total energy consumption, classified by origin of wood

6.10 Accessibility for recreation

Area of forest and other wooded land where public has a right of access for recreational purposes and indication of intensity of use

6.11 Cultural and spiritual values

Number of sites within forest and other wooded land designated as having cultural or spiritual values

APPENDIX 2: ILO CONVENTIONS RATIFIED BY THE UK AND /OR UPHELD WITHIN THE STRUCTURE OF UKWAS

- 29: Forced Labour Convention, 1930.
- 87: Freedom of Association and Protection of the Right to Organise Conventions, 1948.
- 97: Migration for Employment (Revised) Convention, 1949.
- 98: Right to Organise and Collective Bargaining Convention, 1949.
- 100: Equal Remuneration Convention, 1951.
- 105: Abolition of Forced Labour Convention, 1957.
- 111: Discrimination (Occupation and Employment) Convention, 1958.
- 131: Minimum Wage Fixing Convention, 1970.
- 138: Minimum Age Convention, 1973.
- 141: Rural Workers' Organizations Convention, 1975.
- 142: Human Resources Development Convention, 1975.
- 143: Migrant Workers (Supplementary Provisions) Convention. 1975
- 155: Occupational Safety and Health Convention, 1981.
- 169: Indigenous and Tribal Peoples Convention, 1989.
- 182: Worst Forms of Child Labour Convention, 1999.

ILO Code of Practice on Safety and Health in Forestry Work (ILO 1998)
Recommendation 135: Minimum Wage Fixing Recommendation, 1970.

Note: Conventions number 29, 87, 98, 100, 105, 111, 138 and 182 are Core Standards covered by the 1998 ILO Declaration on Fundamental Principles and Rights at Work and its follow up. ILO member states are expected to promote and realize these principles, even if they have not ratified the Conventions. The ILO Code of Practice is not a legal instrument, but it provides authoritative guidance on forest work. The UK Government has ratified the 8 Core Standards plus ILO 97, 141, 142 of the above listed conventions.

APPENDIX 3: UKWAS STANDARD SETTING PROCESS: VERSION 2

Document History

Version 1 – approved by Steering Group (18.01.08)

Version 1.1 – Section B2 amended by Board to incorporate revised Steering Group constituency list approved by Members at AGM in November 2007 (updated 07.04.08)

Version 2.0 – approved by Steering Group (12.03.13)

Introduction

The UK Woodland Assurance Standard (UKWAS) is a certification standard which sets out the requirements which woodland owners and managers and certification authorities can use to certify woodland management in the United Kingdom. The standard is the product of an inclusive and transparent process which has involved a balanced representation from the UK forestry and environmental community. It has been designed to ensure that it reflects the requirements of the UK Government's UK Forestry Standard (and through this the guidelines adopted by European Forestry Ministers at Helsinki in 1993 and Lisbon in 1998) and the Forest Stewardship Council's Principles and Criteria for Forest Stewardship. This is a consolidating document which defines the existing standard setting process and procedures.

Scope

The document defines the procedures and process requirements for the development, maintenance and revision of the United Kingdom Woodland Assurance Standard. The procedures have been developed to ensure alignment with the requirements of the FSC and PEFC forest certification schemes. To ensure their continued alignment, these procedures should be subject to review, as a minimum, a year prior to the commencement of a formal revision of the UKWAS standard.

Purpose

This standard setting document defines the roles, responsibilities and authorities of the UKWAS Steering Group in relation to the delivery of the national forest certification standard for the UK.

Effective date

12th March 2013

References

UKWAS - Memorandum of Association (Amended 25 November 2002)
UKWAS - Articles of Association (Adopted 25 November 2002)
UKWAS – Steering Group Rules
Forestry Commission: The UK Forestry Standard (3rd edition 2011) and UKFS guideline series
FSC – FSC International Standard - Principles & Criteria for Forest Stewardship (FSC-STD- 01-001) (February 2012)
FSC International Standard – Structure and Content of National Forest Stewardship Standards (FSC-STD-60-002) (V1-0) (October 2009)
FSC – FSC International Standard - Process Requirements for the Development and Maintenance of National Forest Stewardship Standards (FSC-STD-60-006) (V1-2) (April 2009)
PEFC International Standard – Sustainable Forest Management – Requirements (PEFC ST 1003:2010)
PEFC International Standard – Standard Setting – Requirements (PEFC ST 1001:2010)
ISO/IEC Guide 59:1994 Code of Good Practice for Standardisation
ISEAL Code of Good Practice - Setting Environmental and Social Standards v5.0 (June 2010)

Terms & definitions

Certification schemes – the forest certification schemes which have adopted the UK Woodland Assurance Standard as the certification standard in their UK schemes – currently the Forest Stewardship Council (FSC) and the Programme for the Endorsement of Forest Certification schemes (PEFC).

Company – the company known as 'United Kingdom Woodland Assurance Standard (UKWAS)' established to own and manage the standard.

Members – Members of the Company.

Standard – the UK Woodland Assurance Standard.

Steering Group – the group established by the Company which is equivalent to an FSC Standards Development Group or a PEFC Forum for Standard Setting.

Steering Group members – members of the Steering Group.

United Kingdom – Great Britain & Northern Ireland.

A. General Provisions

A1 Independence

A not-for-profit company, 'United Kingdom Woodland Assurance Standard (UKWAS)', was established in 2002 to own and manage the standard. The Company is constituted as a 'Company Limited by Guarantee And Not Having A Share Capital' (registered in Scotland: Company Number SC199337). The Company is managed by the Members.

The Company's Objects are:

To own, interpret, develop and promote a certification standard for forest management in the United Kingdom on behalf of United Kingdom forestry and environmental communities, and bodies which represent the interests of people working in woods and forests or using them for the purpose of recreation, for the general benefit of people.

The Company's Memorandum and Articles of Association do not provide for the Company to undertake certification or accreditation thereby ensuring that the certification standard shall be developed independently from the certification or accreditation processes.

A2 Territory

The standard setting process covers the United Kingdom of Great Britain and Northern Ireland.

B. Participatory Process

B1 Introduction

The first edition of the standard was the product of an inclusive and transparent process which involved a balanced representation from the UK forestry and environmental community. The standard was designed to reflect the requirements of the UK Government's 'UK Forestry Standard' (and through this the guidelines adopted by European Forestry Ministers at Helsinki in 1993 and Lisbon in 1998) and the Forest Stewardship Council's Principles & Criteria for Forest Stewardship.

All stakeholders were invited to participate in the development of the standard and associations representing the UK's forest and woodland owners and managers were fully supportive of the process and were active participants. The first edition of the standard was approved by FSC and published in 1999. PEFC Council endorsed the standard in 2002. A second revised edition was published in 2006 and a third edition in 2011

The Company's Members appoint a broadly based Steering Group which has responsibility for interpreting the standard and ensuring its periodic revision to take account of experience from its application and new information that arises.

The Steering Group members are appointed by the UKWAS membership to ensure that a balanced representation of stakeholders participate in the decisions making processes on behalf of all interested parties. It shall also ensure that no single concerned interest shall dominate nor be dominated in the process. The Steering Group members shall also be selected (potentially by their constituent body) on their knowledge, expertise and understanding of the process and the influence it may have upon their sector.

B2 Steering Group

The first edition of the standard was developed by an independent and broadly based Technical Working Group and launched in May 1999 prior to the establishment of the Company. Articles 38 to 40 of the Company's Articles of Association provide for the establishment of a Steering Group and define its terms of reference and operating procedures:

- Article 39 requires that the Steering Group shall maintain, amend and interpret the standard. A Steering Group was appointed in November 2002.
- Article 38 requires that "Steering Group Rules" shall be adopted (and can be amended from time to time) by Members in a General Meeting. The Steering Group Rules shall regulate, *inter alia*, the number, appointment, retirement and removal of Steering Group members. The Steering Group Rules were adopted in December 2003.

The Steering Group comprises eleven defined constituencies with an agreed maximum representation for each:

Woodland owners (6), forest practitioners (5), state forest enterprises (4), environmental organisations (6), forest user organisations (2), wood processing industry (3), wood products trade (2), forest workforce (2), UK countryside, environment & heritage agencies (3), local government & national park authorities (2), forestry standard setting and labelling bodies (6) and education, research & training (3 non-voting).

The Steering Group may also invite additional persons to provide technical expertise or to represent stakeholder groups not otherwise represented.

In addition there is an independent Chair and a Company Secretary.

The standard setting body will also identify any disadvantaged and/or key stakeholders and proactively seek their assistance and participation in the standard setting process, in a format that is easily understood.

All decisions are made on the basis of consensus so that all stakeholder views will be considered fully and no single interest group can dominate proceedings. In addition the Steering Group shall be accessible to hear and respond to any issues that materially or directly affect stakeholders.

B3 Transparency

The publication of the UKWAS standard setting procedure on the website ensures transparency of process.

The commencement of the standard setting process and information on the objectives, scope and development process shall be communicated publicly and stakeholder representatives shall be notified directly. This invitation to participate and comment on the publically available process shall be publicised both on the UKWAS and PEFC UK web sites and in trade journals. Key documents including, the standard setting process, process documents and other related documents, the consultation drafts and the formal responses to comments received shall be available to all interested parties by publication on the website and direct notification of stakeholder representatives. Steering Group members shall receive all relevant papers and minutes of meetings and shall be responsible for keeping their constituents informed. Key Steering Group comments shall be recorded in the minutes.

No information on the development of the standard shall be withheld unreasonably.

B4 Consultation

A list shall be maintained of those to be consulted at each stage of the standard-setting process and thereafter kept informed of progress; inclusion on the list shall be open to any stakeholder on request.

The process for developing and revising standards shall include provision for consultation through notifying a wide range of stakeholders and publicising the availability of the following documents as a minimum:

- a) An 'Initial Stakeholder Consultation' - an invitation to comment on the current standard which should identify any areas already identified as requiring review (minimum consultation period of 60 days).
- b) A 'Revision Draft' which should include a summary of the stakeholders' initial comments and clearly identify and explain the proposed changes (minimum consultation period of 60 days).
- c) A 'Pre-approval Draft' which should include a summary of the further stakeholder comments and clearly identify and explain the proposed changes (minimum consultation period of 30 days).

Additional drafts may be issued at the discretion of the Steering Group. All comments received shall be considered within the review. All documents should be posted on the web site as soon as possible after approval by the Steering Group, but no longer than one month after the meeting.

NOTE: The Steering Group may at its discretion adopt a 'fast track' process for adapting the standard for use in limited applications such as small and/or low intensity managed forest areas. In considering what process to adopt, the Steering Group shall take account of the requirements of the certification schemes.

B5 Consensus

Decisions of the Steering Group shall require the unanimous vote of those attending and voting at a duly convened meeting of the Steering Group. Any member attending the meeting but abstaining from voting shall not be counted (Article 40.3).

B6 Drafting

The Steering Group shall be responsible for the drafting of the standard and subsequent revisions and shall make such arrangements as it considers necessary.

B7 Records

The Steering Group shall keep the following records of the standards development process:

- a) List of all consultants or other individuals who have been involved in drafting the standard, together with their affiliations.
- b) List of all forest stakeholders invited to participate in the standards setting process.
- c) List of all forest stakeholders sent specified drafts of the standard and invited to comment.
- d) List of forest stakeholders that have participated in the standards setting process through other means, together with a note of the nature of such participation.
- e) All correspondence in relation to development of the standard.
- f) Copies of each draft of the standard which was prepared during the development process.
- g) Copies of all comments submitted in writing with respect to the specified draft standards.
- h) Summaries of comments on each draft, together with a brief explanation of the way in which those comments were responded to in the draft.

The Steering Group shall provide the certification schemes with a copy of the complete set of records specified above in support of the accreditation processes and shall keep a copy of the records for at least seven years.

All records noted above will be available on the UKWAS web site and to all interested parties on request.

B8 Forest testing

The drafting of the first edition of the standard was informed by the results of testing the standard in the forest. In revising the standard, pilot testing and/or experience gained from the application of the standard shall be used to inform the revision process.

B9 Regional

In developing the first edition of the standard, account was taken of accredited standards in neighbouring territories and those with similar geographic or ecological scope and this shall continue to be done when undertaking a revision.

C. Governance

C1 General

The operation of the Company is governed by its Memorandum & Articles of Association together with the Steering Group Rules. These are available on the website.

C2 Duties and responsibilities of the Chair

Article 63 provides for the Members of the Company to appoint a Chair of the Company as recommended by the Steering Group. By convention the Chair shall also chair the Steering Group.

The Chair shall:

- a) Have overall responsibility for ensuring that the documented standards development procedures are implemented.
- b) Have overall responsibility for ensuring that the views of all stakeholder groups are properly and fairly represented in the standards development process and in subsequent decision making.
- c) Have overall responsibility for facilitation of meetings and the smooth running of the standards development process.
- d) Represent the overall interests of the standards development process rather than any particular stakeholder group.

All decisions are made on the basis of consensus and by convention the Chair shall not cast a vote.

C3 Decision making

The quorum for the transaction of the business of the Steering Group shall be two-fifths of all the persons who at the commencement of the meeting are Steering Group members (Article 40.2). Decisions of the Steering Group shall require the unanimous vote of those attending and voting at a duly convened meeting of the Steering Group. Any member attending the meeting but abstaining from voting shall not be counted (Article 40.3).

C4 Decision to approve the standard

The Steering Group shall be responsible for approving the standard or any revision thereof.

Approval of the standard by the Steering Group shall require the unanimous vote of those attending and voting at a duly convened meeting of the Steering Group. Any member attending the meeting but abstaining from voting shall not be counted (Article 40.3).

C5 Dispute resolution

Any query relating to the interpretation of the meaning of the standard shall be remitted to an Interpretation Panel which shall be appointed by the Steering Group to provide it and users of the certification standard with advice on its interpretation. The Steering Group shall appoint an independent chair of the Interpretation Panel and shall publish its rules, procedures and advice on the website.

Any grievance relating to the standard setting process should be addressed to the Company Secretary and shall be considered and determined by the Steering Group in accordance with the provisions of Articles 40.2 and 40.3 (see C3 above).

The Steering group shall initially acknowledge receipt of the complaint, then gather sufficient evidence to validate the complaint and to objectively make a decision. On reaching a decision, the Steering Group will formally communicate the decision to the complainant.

In the event of a complainant wishing to appeal against the Steering Group's determination the matter shall be remitted to the chair of the Interpretation Panel whose decision shall be final.

D. Review of the Standard

D1 Revision

The standard shall be reviewed and revised as necessary on a five year cycle.

D2 Participation of certification schemes

The Steering Group shall invite the certification schemes to participate in the review process by:

- a) Notifying them of its intention to begin a review process and providing a projected time line to be discussed and agreed with them.
- b) Requiring them to confirm that these Standard Setting Procedures will meet their requirements.
- c) Requiring them to undertake internal consultation at national level throughout the standard-setting process and to complete it prior to the issue of an agreed Pre-approval Draft. (N.B. It would be helpful if certification schemes could seek guidance from their international organisations on the acceptability of the proposed revisions throughout the process.)

D3 Elements of the review

The review process should include as a minimum the steps set out in section B4 and incorporate the following elements:

- a) An Interpretation Review – a consideration of any advice developed by the Interpretation Panel.
- b) A Technical Review – a consideration of any new scientific or technical knowledge.
- c) An International Benchmarking Review – a comparison with any equivalent accredited standards of a similar geographical or ecological scope of application, and an evaluation of whether there are any substantial differences in the overall cost/benefit balance of compliance for similar types of enterprise with similar forest conditions. (To be provided by the certification schemes.)
- d) A Standard Users' Feedback Review - a consideration of feedback from certificate holders and accredited certification authorities. (To be provided by the certification schemes.)
- e) A Review of the Initial Stakeholders' Consultation – a consideration of consultees' comments and responses.
- f) A Small and Low Intensity Managed Woodlands Review – a consideration of the impact and applicability of the standard for small and low intensity operations.
- g) A Certification Schemes' Requirements Review – a consideration of advice (to be provided by the certification schemes) on any new or revised policies, procedures or guidance that is relevant to the revision. National certification schemes should seek advice and guidance from their international body when compiling their advice.

D4 Amendments induced by certification schemes

In the event that a certification scheme requires a revision to be made to the standard or the standard setting process prior to the normal revision period, the Steering Group shall consider the requirement and make any such amendment as it considers appropriate.

APPENDIX 4: SAMPLING PROCEDURE AND CALCULATION METHODOLOGY FOR FOREST MANAGEMENT CERTIFICATION AUDITING OF MULTIPLE SITES AGAINST THE UKWAS

Introduction.

This document defines the Sampling Procedure and Calculation Methodology; and the rationale which underpins it, for selecting the sample sites under the management of an applicant to be audited by a Certification Body against the UKWAS in accordance with the PEFC UK Scheme for Sustainable Forest Management and the International Accreditation Forum Mandatory Document for the Certification of Multiple Sites based on Sampling (IAF MD 1:2007).

The focus is on a risk adjusted auditing protocol which enables woodland owners to achieve formal certification to UKWAS, in the simplest yet most robust way possible.

The methodology set out herein is concerned with the auditing and certification of forest management systems of:

- single owner/multiple sites
- groups of owners with same management system i.e. a Group scheme.
- multiple sites/multiple owners with common management i.e. Resource Management

The level of audit intensity is determined by the level of risk of the WMU. The certification body will determine the risk category for future and re-certification audits based on the criteria in the given at the foot of this appendix.

Area Specificity.

The Standard specifies that the woodland under management must be identified and delineated in Woodland Management Units (WMUs).

Determining the Audit Sample Size.

In order to arrive at the size of the sample for auditing purposes, it is necessary to stratify the applicant's certified area into strata, i.e. grouping together WMUs of a certain risk and applying the calculation methodology as set out in Table 1 below.

Table 1

Risk Class of WMU (ha)	Initial Audit Sample Size (X)	Surveillance Audit Sample Size (X)	Re-certification Sample Size (X)
High Risk	$X = .6 \times \sqrt{Y}$	$X = .4 \times \sqrt{Y}$	$X = .6 \times \sqrt{Y}$
Medium Risk	$X = .5 \times \sqrt{Y}$	$X = .3 \times \sqrt{Y}$	$X = .3 \times \sqrt{Y}$
Low Risk	$X = .4 \times \sqrt{Y}$	$X = .2 \times \sqrt{Y}$	$X = .2 \times \sqrt{Y}$

Notes:

- X denotes the minimum number of WMUs selected for audit for each Stratum and Y denotes the total number of WMUs in the relevant Stratum as defined above.
- \sqrt{Y} is rounded to one decimal place and X is rounded to the nearest whole number
- Where an applicant's woodland contains WMUs in several Strata as defined above, then the Audit Sample Size X is calculated by adding the Xs generated using the calculation method above.

Example: If an applicant has an estate comprising the following WMU structure, then the Initial audit sample X is calculated as described in Table 2.

Table 2

Risk Class of WMU	No of WMUs in Applicants estate	Initial Audit Sample Size (X) per strata	Overall Sample Size X
High	11	$X1 = .6 \times 3.3 = 1.98$ rounded up = 2	2
Medium	23	$X2 = .5 \times 4.8 = 2.4$ rounded down = 2	2
		Total sample size	4

2. The Group Management System must always be included in each element of the audit cycle (initial audit, surveillance and re-certification). Where there are regional and/or local offices, an additional selection may be made (equal to no more than $\sqrt{\text{of this number of regional and/or local offices}}$), where justifiable and shall be guided by the following factors:

- specific management functions and/or documentation requested by the Lead Auditor which is not performed/available Group management system.
- stakeholder input relevant to selected office
- forest activity relevant to selected office
- other management function (e.g. administration)
- geographical spread and balance to the selection
- density of personnel relevant to selected office
- efficiency with respect to time and other resources resulting from selection

Risk Categories

High Risk: WMUs of Size class >10,000 ha

Medium Risk: WMUs of between 500 ha and 10000 ha

Low Risk: WMUs of size class <500 ha

At the Certification Body's discretion, and with justification, WMUs may be classified in a different risk class. For example:

- where there is 1 low risk site and 10 medium risk sites, all 11 sites may be classified as medium risk for simplicity.
- Where medium risk WMUs have limited forestry activities, are part of a Group or multisite certificate, or where no conditions have been issued on previous evaluation, may be classified as Low risk for simplicity.

Other reasons can be accepted upon justification.

Note: The scheme document will take preference over the IAF MD 1:2007 guidelines and therefore criteria such as the number of employees, which may be added to the document, does not need to be taken into consideration

APPENDIX 5: CERTIFICATION BODIES OPERATING IN THE UK

The following nine companies have been accredited and notified to award PEFC Chain of Custody certification in the UK. Exova BMTRADA Certification, The Soil Association and SGS (accredited in Italy) are also notified to conduct forestry certification. Information as at 1st May 2016



Bureau Veritas

Langlands House
130 Sandringham Avenue, Harlow Business Park, Harlow
Essex, CM19 5QA

Contact: [Michael Foley](#) Tel: 01279 634 058



CATG LTD

Certification and Timber Grading Limited
29A Princes Crescent
Morecambe, LA4 6BY

Contact: [Glenn Sharples](#) Tel: 01524 400 632



Control Union UK Limited

Suite 2a, 7th Floor
City Reach, 5 Greenwich View Place
London, E14 9NN

Contact: [Kara Greenaway](#) Tel: 020 7488 2210

Contact: [Lauren Miller](#) Tel; 020 7488 2210



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SGS House
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[Soil Association: Woodmark](#)

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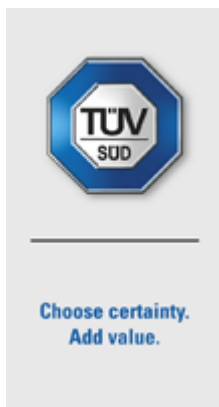
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