

## PEFC Checklist - Group Forest Management Certification (PEFC ST 1002:2018)

### 1 Scope

This checklist covers requirements for sustainable forest management as defined in PEFC ST 1002:2018, *Group Forest Management Certification – Requirements*.

Any inconsistencies between this text and the original referred to document will be overruled by the content and wording of the technical document.

### 2 Checklist

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)
<b>4. Context of the group organisation</b>		
4.1 Understanding the group organisation and its context		
The standard shall define how relevant external and internal issues of the group organisation shall be determined. A general framework for the group organisation shall be determined:		
a) regional groups: group of forest owners/managers defined by regional borders and		<i>Not applied</i>
b) other groups and/or		<i>Group certification is described in Document 004 chapter 4. PEFC Sweden applies individual enrolment in group certification</i>
c) whether there are any other specific circumstances which influence the implementation of the group management system.		<b>Document 004 chapter 4</b>
4.2 Understanding the needs and expectations of affected stakeholders		
4.2.1 The standard requires that the group organisation shall identify:		
a) the affected stakeholders that are relevant for the group management system and		<b>Document 004</b>

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)
		<b>"4.2.1.13</b> The umbrella organization shall identify what interested stakeholders that are relevant to the business and determine the interested stakeholders' relevant expectations on the business."
b) the relevant expectations of these affected stakeholders.		4.2.1 a
4.3 Determining the scope of the group management system		
4.3.1 The standard shall provide definitions relating to the following terms, which are in conformity with the definitions of those terms presented in chapter 3:		
a) the group organisation and the elements of the group organisation (group entity and participant),		<b>Document 001 Appendix B</b>  <b>"Participant</b> Refers to forest owner/contractor or wood procurement organization affiliated to a group certificate. Affiliated members have, by agreement with the umbrella organization, the responsibility to observe the requirements of the PEFC-standard and to undergo audits in accordance with routines described by the umbrella organization."
b) the certified area,		<b>Document 004</b>  <b>"4.3.2.3</b> Register and keep up to date relevant information on every affiliated forest owner, specified by: <ul style="list-style-type: none"> <li>• Property designation/-s</li> <li>• Name and address to forest owner/representative of the forest holding/-s</li> <li>• Date of entering into the agreement</li> <li>• Area of forest land</li> <li>• Compliance with the requirements of the PEFC standard, and</li> </ul>

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)
		<p>preventive and/or corrective actions taken”</p> <p><b>4.3.2.4</b> Control that every forest holding under the same ownership of an affiliated forest owner, and associated forestry business, are covered by certification according to the PEFC-standard. “</p> <p><b>Document 001 Appendix B</b></p> <p><b>“Under the same ownership</b> (Sw. <i>Enhetligt ägande</i>)</p> <p>Forest holding that has the same ownership structure, independent of ownership shares.”</p>
c) the group certificate and		<p><b>Document 001 Appendix B</b></p> <p><b>Group certification</b></p> <p>“Certification of a group of forest owners/wood procurement organizations or forestry contractors through a so-called umbrella organization.”</p> <p><b>Certificate</b></p> <p>“A certificate that a product or service is produced or performed according to a specified standard. <b>Certification</b> is the process whereby an independent body examines that a product or service meets the requirements of a specified standard”</p>
d) the document confirming participation in group certification.		<p><b>Document 004</b></p> <p><b>4.3.1.3</b> Issuing proof of forest certification, with a period of validity of at least one year, to affiliated forest owners/wood procurement organizations.</p>

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)
4.3.2 The standard requires that for the establishment of the scope for the group management system the boundaries and applicability of the group management system shall be determined.		<b>Document 004 Appendix 2 "Context of the organisation"</b>  <b>"Scope"</b> Applicability for and delimitations of the umbrella organization's/organization's management system shall be determined and documented.  Group certification and its conditions are described in <i>PEFC SWE 004</i> , chapter 4, and definitions in <i>PEFC SWE 001</i> , Appendix B."
4.3.3 The standard shall define which requirements of the sustainable forest management standard may be fulfilled on group level.		<i>Not applicable</i>
4.3.4 The standard requires that the scope shall be made available as documented information.		<i>See 4.3.2</i>
4.4 Group management system		
4.4.1 The standard requires that all participants shall be subject to the internal monitoring and the internal audit programme.		<b>Document 004</b>  4.3.2.6
4.4.2 The standard requires that a certified PEFC chain of custody system shall be in place if a group entity acts as a trader of forest based material not covered by group certificate.		<b>Document 001</b>  <b>"8.2.1.2 Forestry certification of wood procurement organizations"</b> PEFC Sweden requires forestry certification of companies that, within the PEFC-system, are planning, leading, and implementing forestry measures, establishing forest management plans, and trading wood. <u>For the trading of wood, a chain of custody certificate is also required.</u> "
5. Leadership		
5.1 Organisational roles, responsibilities and authorities		
5.1.1 Functions and responsibilities of the group entity  The standard requires that the following functions and responsibilities of the group entity shall be specified:		

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)
a) to implement and maintain an effective management system covering all participants of the group;		<i>Document 004 Appendix 2. Requirements on management systems of certified organizations</i>
b) to 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;		<b>Document 004</b> <b>"4.2.1.4</b> Agreement with accredited and notified certification body regarding certification and maintenance of the certification."
c) to establish written procedures for the management of the group organisation;		<b>Document 004</b> <b>"4.2.1.6</b> Management system in accordance with Appendix 2, including necessary routines for handling and improvement of the group "
d) to establish written procedures for the acceptance of new participants of the group organisation. These acceptance procedures shall cover at least the verification of the applicant's information about contact details, clear identification of their forest property and its/their size(s)		<b>Document 004</b> <i>The umbrella organization is responsible for:</i> <b>"4.3.1.1</b> Handling applications from forest owners/wood procurement organizations regarding forest certification in accordance with PEFC Sweden. The applications shall be examined and approved, and affiliation shall be confirmed by means of a signed agreement between the umbrella organization and the forest owner/wood procurement organization. All part-owners, or qualified representative with authorization or other verification, shall sign the agreement  <b>4.3.1.2</b> Making sure, prior to making an agreement, that the forest owner, or an authorized representative for the forest owner/wood procurement organization, is well informed of the contents of the agreement and that the business meets applicable requirements of the PEFC-standard. Routines for this control shall be elaborated by the umbrella organization."

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)
		<p><b>“4.3.2.3</b> Register and keep up to date relevant information on every affiliated forest owner, specified by:</p> <ul style="list-style-type: none"> <li>• Property designation/-s</li> <li>• Name and address to forest owner/representative of the forest holding/-s</li> <li>• Date of entering into the agreement</li> <li>• Area of forest land</li> <li>• Compliance with the requirements of the PEFC standard, and preventive and/or corrective actions taken</li> </ul> <p><b>4.3.2.4</b> Control that every forest holding under the same ownership of an affiliated forest owner, and associated forestry business, are covered by certification according to the PEFC-standard. “</p>
e) to establish written procedures for the suspension and exclusion of participants who do not correct/close nonconformities. Group participants excluded from any certification group based on nonconformities cannot be accepted within 12 months after exclusion		<p><b>Document 004, Appendix 1.</b></p> <p><i>The appendix contains procedures for non-conformities, corrective action, and termination regarding group affiliates.</i></p> <p>“In the case of termination grounded on major nonconformity where evidence for corrected nonconformity cannot be demonstrated, a forest owner that has been terminated may not be affiliated to any umbrella organization for group-certification according to PEFC within 12 months from termination.”</p>
f) to keep documented information of:  i. the group entity and participants' conformity with the requirements of the sustainable forest management standard, and other applicable requirements of the forest certification system,		<p><b>Document 004</b></p> <p><b>“4.3.2.3</b> Register and keep up to date relevant information on every affiliated forest owner, specified by:</p>

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)
<p>ii. all participants, including their contact details, identification of their forest property and its/their size(s),</p> <p>iii. the certified area,</p> <p>iv. the implementation of an internal monitoring programme, its review and any preventive and/or corrective actions taken;</p>		<ul style="list-style-type: none"> <li>• Property designation/-s</li> <li>• Name and address to forest owner/representative of the forest holding/-s</li> <li>• Date of entering into the agreement</li> <li>• Area of forest land</li> <li>• Compliance with the requirements of the PEFC standard, and preventive and/or corrective actions taken”</li> </ul>
<p>g) to establish connections with all participants based on a binding written agreement which shall include the participants’ commitment to comply with the sustainable forest management standard. The group entity shall have a written contract or other written agreement with all participants covering the right of the group entity to implement and enforce any corrective or preventive measures, and to initiate the exclusion of any participant from the scope of certification in the event of nonconformity with the sustainable forest management standard;</p> <p>Note: The requirements for “participant’ commitment” and “written contract or other written agreement with all participants” may also be satisfied by the commitment of and written agreement of a pre-existing organisation or group or the members participation, such as a forest owners’/managers’ association, SFM programme and submission to tax programming, where the organisation can demonstrate that it has a legal mandate to represent the participants and where its commitment and the terms and conditions of the contract are enforceable.</p>		<p><b>Document 004</b></p> <p><b>“4.3.1.1</b> Handling applications from forest owners/wood procurement organizations regarding forest certification in accordance with PEFC Sweden. The applications shall be examined and approved, and affiliation shall be confirmed by means of a signed agreement between the umbrella organization and the forest owner/wood procurement organization. All part-owners, or qualified representative with authorization or other verification, shall sign the agreement.</p> <p><b>4.3.1.2</b> Making sure, prior to making an agreement, that the forest owner, or an authorized representative for the forest owner/wood procurement organization, is well informed of the contents of the agreement and that the business meets applicable requirements of the PEFC-standard. Routines for this control shall be elaborated by the umbrella organization.”</p> <p><b>“4.4 Responsibility of forest owners and wood procurement organizations at group certification</b></p> <p>The affiliated forest owner or wood procurement organization is, through the</p>

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)
		<p>agreement, responsible for:</p> <p><b>4.4.1.1</b> Complying with Swedish legislation of relevance to the forestry sector.</p> <p><b>4.4.1.2</b> Complying with relevant parts of <i>PEFC SWE 002 Forestry Standard</i> and <i>PEFC SWE 003 Contractor Standard</i> and apply routines assigned by the umbrella organization.</p> <p><b>4.4.1.11</b> Accepting that the umbrella organization and the certification body perform inspections of compliance with the requirements of the PEFC-standard. The umbrella organization, the certification body, and, where applicable, the Swedish PEFC or PEFC International, shall be given access to relevant documentation and information as well as access to relevant facilities.</p> <p><b>4.4.1.12</b> Handling nonconformities and take corrective and preventive actions in accordance with instructions from the umbrella organisation (see Appendix 1)."</p>
h) to provide all participants with a document confirming participation in the group forest certification;		<p><b>Document 004</b></p> <p><b>"4.3.1.3</b> Issuing proof of forest certification, with a period of validity of at least one year, to affiliated forest owners/wood procurement organizations."</p>
i) to provide all participants with information and guidance required for the effective implementation and maintenance of the sustainable forest management standard and other applicable requirements of the forest certification system;		<p><b>Document 004</b></p> <p><b>"4.3.1.4</b> Informing, on a regular basis, the forest owner/wood procurement organization, and/or authorized representative, about applicable requirements and suitable training, for these to be able to maintain their forest certification. "</p>



PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)
j) to address nonconformities reported from group members which were identified under other PEFC certifications than the particular group certification and to ensure implementation with all group members;		<p><b>Document 004</b></p> <p><b>“4.3.1.9</b> Issuing nonconformities to group-certified forest owners/wood procurement organizations which do not comply with the requirements of the forestry standard and inform and advise to correct the shortcomings (see Appendix 1).</p> <p>When handling nonconformities, the umbrella organization may, based on observations that affect other certified party, provide external feedback to that party. This is to prevent nonconformities and to strengthen PEFC as certification system.</p> <p><b>4.3.1.10</b> In the case of major nonconformities, and if the forest owner/wood procurement organization is affiliated to more than one umbrella organization, observed nonconformity shall without delay be communicated to such other party.</p> <p><b>4.3.1.11</b> Handling nonconformities identified in other umbrella organization for forest owners/wood procurement organizations that are affiliated to more than one umbrella organization. “</p>
k) to operate an internal monitoring programme that provides for the evaluation of the participants' conformity with the certification requirements;		<p><b>Document 004</b></p> <p><b>“4.3.1.5</b> Controlling annually, through internal audit, that the business meets the requirements of the PEFC-standard. The audit shall cover both the umbrella organization and its participants. The arrangement of the audit for group certified forest owners and wood procurement organizations is described in the paragraphs 4.3.2 and 4.3.3.”</p>
l) to operate an annual internal audit programme covering both group members and group entity;		<p><b>Document 004</b></p> <p><b>“4.3.1.8</b> Annual review of the umbrella organization's management system with the management to ensure the system's continued suitability, adequacy, and effectiveness. The management review shall review and approve the work of the umbrella organization in accordance with 4.3.1.7. The management review shall be documented.”</p>

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)
		<p><b>“4.3.1.5</b> Controlling annually, through internal audit, that the business meets the requirements of the PEFC-standard. The audit shall cover both the umbrella organization and its participants. The arrangement of the audit for group certified forest owners and wood procurement organizations is described in the paragraphs 4.3.2 and 4.3.3.”</p>
m) to operate a management review of the group forest certification and acting on the results from the review;		<p><b>Document 004</b></p> <p><b>“4.3.1.7</b> The umbrella organization shall analyse the outcome of internal and external audit and based on that, formulate necessary corrective action. Analysis and actions shall cover the entire group and be documented. The umbrella organization shall review the effectiveness of the actions.</p> <p><b>“4.3.1.8</b> Annual review of the umbrella organization’s management system with the management to ensure the system’s continued suitability, adequacy, and effectiveness. The management review shall review and approve the work of the umbrella organization in accordance with 4.3.1.7. The management review shall be documented.”</p>
n) to provide full co-operation and assistance in responding effectively to all requests from the certification body, accreditation body, PEFC International or the National Governing Body for relevant data, documentation or other information; allowing access to the forest area covered by the group organisation and other facilities, whether in connection with formal audits or reviews or otherwise related or with implications for the management system.		<p><b>Document 004</b></p> <p><b>“4.4.1.11</b> Accepting that the umbrella organization and the certification body perform inspections of compliance with the requirements of the PEFC-standard. The umbrella organization, the certification body, and, where applicable, the Swedish PEFC or PEFC International, shall be given access to relevant documentation and information as well as access to relevant facilities. “</p>
5.1.2 Function and responsibilities of participants		

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)
The standard requires that the following functions and responsibilities of the participants shall be specified:		
<p>a) To provide the group entity with a binding written agreement, including a commitment on conformity with the sustainable forest management standard and other applicable requirements of the forest certification system; group participants excluded from any certification group cannot apply for group membership within 12 months after exclusion.</p> <p>Note: The requirement for “written agreement” and participants’ “commitment” is also satisfied by the commitment of and written agreement of a pre-existing organisation or group or the members participation, such as a forest owners’/managers’ association, SFM programme and submission to tax programming, where the organisation can demonstrate that it has a legal mandate to represent the participants and where its commitment and the terms and conditions of the contract are enforceable.</p>		<p><b>Document 004</b></p> <p>“<b>4.3.1.1</b> Handling applications from forest owners/wood procurement organizations regarding forest certification in accordance with PEFC Sweden. The applications shall be examined and approved, and affiliation shall be confirmed by means of a signed agreement between the umbrella organization and the forest owner/wood procurement organization. All part-owners, or qualified representative with authorization or other verification, shall sign the agreement.</p> <p><b>4.3.1.3</b> Issuing proof of forest certification, with a period of validity of at least one year, to affiliated forest owners/wood procurement organizations.”</p> <p><i>The implementation of the 12 months Document 004 Appendix 1</i></p>
b) To provide the group entity with information about previous group participation.		<p><b>Document 004</b></p> <p>“<b>4.4.1.3</b> At application, inform about any memberships in, and/or exclusions from other PEFC-group certificates.”</p>
c) to comply with the sustainable forest management standard and other applicable requirements of the certification system as well as with the requirements of the management system;		<p><b>Document 004</b></p> <p>“<b>4.4.1.2</b> Complying with relevant parts of <i>PEFC SWE 002 Forestry Standard</i> and <i>PEFC SWE 003 Contractor Standard</i> and apply routines assigned by the umbrella organization. “</p>
d) 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 related or with implications for the management system;		<p><b>Document 004</b></p> <p>“<b>4.4.1.11</b> Accepting that the umbrella organization and the certification body perform inspections of compliance with the requirements of the PEFC-standard. The umbrella organization, the certification body, and, where applicable, the Swedish PEFC or PEFC International, shall be given access to relevant documentation and information as well as access to</p>

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)
		relevant facilities. “
e) to inform the group entity about nonconformities identified under other PEFC certifications than the particular group certification.		<b>Document 004</b> “4.4.1.3 At application, inform about any memberships in, and/or exclusions from other PEFC-group certificates.”
f) to implement relevant corrective and preventive actions established by the group entity.		<b>Document 004</b> “4.4.1.12 Handling nonconformities and take corrective and preventive actions in accordance with instructions from the umbrella organisation (see Appendix 1).”
5.2 Commitment and policy		
5.2.1 The standard requires that the group entity shall provide a commitment:		
a) to comply with the sustainable forest management standard and other applicable requirements of the certification system;		<b>Document 004</b> “4.2.1.7 Commitment to comply with applicable parts of the PEFC-standard, to comply with 4.2.1.6, as well as that the umbrella organization and its members continuously work for a sustainable forest management. The umbrella organization shall, upon request, provide this commitment.”
b) to integrate the group certification requirements in the group management system;		<b>Document 004</b> “4.2.1.6 Management system in accordance with Appendix 2, including necessary routines for handling and improvement of the group “
c) to continuously improve the group management system;		See 5.2.1 b

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)
d) to continuously support the improvement of the sustainable management of the land/forests by the participants.		<b>Document 004</b> “4.3.1.4 Informing, on a regular basis, the forest owner/wood procurement organization, and/or authorized representative, about applicable requirements and suitable training, for these to be able to maintain their forest certification. “
5.2.2 The commitment of the group entity may be part of a group management policy and shall be publicly available as documented information upon request.		<b>Document 004</b> “4.2.1.7 Commitment to comply with applicable parts of the PEFC-standard, to comply with 4.2.1.6, as well as that the umbrella organization and its members continuously work for a sustainable forest management. The umbrella organization shall, upon request, provide this commitment.”
5.2.3 The standard requires that the participants shall provide a commitment		
a) to follow the rules of the management system;		<b>Document 004</b> “4.4.1.2 Complying with relevant parts of <i>PEFC SWE 002 Forestry Standard</i> and <i>PEFC SWE 003 Contractor Standard</i> and apply routines assigned by the umbrella organization. “
b) to implement the requirements of the sustainability standard in their operations in their area.		<b>Document 004</b> “4.4.1.2 Complying with relevant parts of <i>PEFC SWE 002 Forestry Standard</i> and <i>PEFC SWE 003 Contractor Standard</i> and apply routines assigned by the umbrella organization. “
6. Planning		
6.1 The standard requires that if a group organisation plans any changes in the group management system, these changes shall be included in a group management plan.		<b>Document 004 Appendix 2</b> “Planning Changes in the umbrella organization’s management system shall be

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)
		considered in the handling of the group.”
6.2 The standard requires that if a group organisation decides to fulfil requirements of the sustainable forest management standard on the group level, these requirements shall be considered in a group management plan.		<i>Not applicable</i>
7. Support		
7.1 The standard requires that resources needed for the establishment, implementation, maintenance and continual improvement of the group management system shall be determined and provided.		<b>Document 004 Appendix 1</b> <b>“Resources</b> The organization shall determine and allocate the resources needed to introduce, maintain, and continuously improve the certified business.”
7.2 The standard shall define the necessary competence of persons doing work in the group management system.		<i>General training requirements, Document 002 4.10 &amp; 4.11, 4.12</i> <i>For internal auditors: Document 004 4.3.1.6 For forest owners/procurement org: 4.3.1.4</i>
7.3 The standard requires that communication processes shall be in place to raise the awareness of participants concerning:		
a) the group management policy;		<b>Document 004</b> <b>“4.3.1.2</b> Making sure, prior to making an agreement, that the forest owner, or an authorized representative for the forest owner/wood procurement organization, is well informed of the contents of the agreement and that the business meets applicable requirements of the PEFC-standard. Routines for this control shall be elaborated by the umbrella organization.  <b>4.3.1.4</b> Informing, on a regular basis, the forest owner/wood procurement organization, and/or authorized representative, about applicable requirements and suitable training, for these to be able to maintain their forest certification. “

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)
b) the requirements of the sustainable forest management standard;		7.3.a
c) their contribution to the effectiveness of the group management system and the sustainable forest management, including the benefits of improved group performance;		7.3.a
d) the implications of not conforming with the group management system requirements.		<p><b>Document 004</b></p> <p><b>“4.3.1.2</b> Making sure, prior to making an agreement, that the forest owner, or an authorized representative for the forest owner/wood procurement organization, is well informed of the contents of the agreement and that the business meets applicable requirements of the PEFC-standard. Routines for this control shall be elaborated by the umbrella organization.”</p> <p><i>and Document 004 Appendix 1 Non-conformities, corrective action, and termination regarding group affiliates</i></p>
7.4 The standard requires that the internal and external communications relevant to the group management system shall be determined. This includes:		
a) on what to communicate;		<p><b>Document 004 Appendix 2</b></p> <p><b>“External communication</b></p> <p>The organization shall have routines for:</p> <ul style="list-style-type: none"> <li>• information on certified status,</li> <li>• trademark usage,</li> <li>• public summary of issued audit reports, and</li> <li>• handling of feedback/complaints.”</li> </ul>
b) when to communicate;		7.4 a
c) with whom to communicate;		7.4 a
d) how to communicate.		7.4 a

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)
7.5 The standard requires that appropriate mechanisms shall be in place for resolving complaints and disputes relating to group management and sustainable forest management operations.		<b>Document 001 Chapter 13. External views, complaints, and disputes</b>
7.6 The standard requires that the documented information relevant to the group management system and the conformance with the requirements of the sustainable forest management standard is:		
a) up to date;		<b>Document 004 Appendix 2</b> <b>"Document management</b> The organization shall maintain routines for identification, maintenance, filing, secrecy, and usage of the governing and reporting documents that are necessary to the certified business."
b) available and suitable for use, where and when it is needed;		See 7.6 a
c) adequately protected against loss of confidentiality, improper use, or loss of integrity.		See 7.6 a
8. Operation		
8.1 The standard requires that the group organisation shall plan, implement and control processes needed:		
a) to meet the requirements of the group certification standard and the sustainable forest management standard and		<b>Document 004 Appendix 2 Requirements on management systems of certified organizations</b>  <b>"PEFC-certified forestry</b> The umbrella organization shall define the processes needed for the operation to be run in accordance with the requirements of the PEFC-standard. The organization is responsible for planning and implementation of these in the operation. The organization shall verify that these processes are observed and that decided changes are incorporated. The control shall be adjusted so that defined processes and compliance with the requirements of the PEFC-standard can be followed up. Processes and implemented control shall be documented.



PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)
		<i>Requirements for forestry and contractor businesses in PEFC SWE 002 and PEFC SWE 003."</i>
b) to implement the actions determined in 6.		<i>See 8.1 a</i>
8.2 The standard requires that this planning, implementing and controlling shall be done by:		
a) defining the necessary processes and establishing criteria for those;		<i>See 8.1 a</i>
b) implementing control of the processes in accordance with the criteria;		<i>See 8.1 a</i>
c) keeping documented information to the extent necessary to have confidence that the processes have been carried out as planned.		<i>See 8.1 a</i>
9. Performance evaluation		
9.1 Monitoring, measurement, analysis and evaluation		
9.1.1 The standard requires that an ongoing internal monitoring programme provides confidence in the conformity of the group organisation with the sustainable forest management standard. In particular, it shall be determined:		
a) what shall be monitored and measured;		<i>See 8.1 a</i>
b) the methods for monitoring, measurement, analysis and evaluation, as applicable, to ensure valid results;		<i>See 8.1 a</i>
c) when the monitoring and measuring shall be performed;		<i>See 8.1 a</i>
d) when the results from monitoring and measurement shall be analysed and evaluated;		<i>See 8.1 a</i>
e) what documented information shall be available as evidence of the results.		<i>See 8.1 a</i>

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)
9.1.2 The standard requires that the group entity shall evaluate the group management performance and the effectiveness of the group management system concerning the implementation of the sustainable forest management requirements.		See 8.1 a
9.2 Internal audit	utvecklat från förra int. std men inte så nytt för Sverige	
9.2.1 Objectives		
9.2.1.1 The standard requires that an annual internal audit programme shall provide information on whether the group management system:		
a) conforms to i. the group organisation's own requirements for its group management system; ii. the requirements of the national group certification standard;		<b>Document 004 Appendix 2</b> "The umbrella organization shall annually implement an internal audit of the umbrella organization and its participants to measure and evaluate compliance with the PEFC-standard. The umbrella organization shall define the procedure for the internal audit. This includes to define how the internal audit is planned, implemented, and evaluated, as well as associated documentation of completed audit.  Measuring/monitoring and internal audit, management review is described in PEFC SWE 004, chapter 4."
b) ensures the implementation of the sustainable forest management standard on the participant level;		9.2.1.1 a
c) is effectively implemented and maintained.		9.2.1.1 a +  <b>Document 004 Appendix 2</b> "Management review The management review shall be implemented annually and aims at reviewing and securing the umbrella organization's/organization's work with auditing and continuously improve the business and its management system. At the management review, the following issues shall be covered:  • Follow up of previous year's review • Changes of significance for the business and associated management

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)
		<p>system</p> <ul style="list-style-type: none"> <li>· Outcome of internal and external audit as well as associated analysis</li> <li>· Handling of nonconformities within the business</li> <li>· Corrective action for the business to be run in accordance with requirements of the PEFC-standard.</li> </ul> <p>At the management review, the management shall ensure the continued suitability, adequacy, and effectiveness of the system. The management review shall be documented."</p>
9.2.1.2 The standard requires that the internal audit programme shall cover the group entity and all group participants. The group entity shall be audited annually. The participants may be selected on a sample basis.		<p><b>Document 004</b></p> <p>"4.3.1.5 Controlling annually, through internal audit, that the business meets the requirements of the PEFC-standard. The audit shall cover both the umbrella organization and its participants. The arrangement of the audit for group certified forest owners and wood procurement organizations is described in the paragraphs 4.3.2 and 4.3.3."</p>
9.2.2 Organisation		
The standard requires an internal audit programme which shall cover at least:		
a) planning, establishing, implementing and maintaining an audit programme(s) including the frequency, methods, responsibilities, planning requirements and reporting, which shall take into consideration the importance of the processes concerned and the results of previous audits;		<p><b>Document 004</b></p> <p>"4.3.1.5 Controlling annually, through internal audit, that the business meets the requirements of the PEFC-standard. The audit shall cover both the umbrella organization and its participants. The arrangement of the audit for group certified forest owners and wood procurement organizations is described in the paragraphs 4.3.2 and 4.3.3.</p> <p>4.3.1.6 Appointing internal auditors that shall be:</p> <ul style="list-style-type: none"> <li>· Well versed in the Swedish PEFC certification system for sustainable forest management</li> </ul>

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)
		<ul style="list-style-type: none"> <li>· Independent of the business subject to audit</li> <li>· Familiar with the conditions of forest owners'/wood procurement organizations' business</li> <li>· Qualified as regards environmental-, social and forestry-related issues</li> <li>· Have appropriate basic competence, e.g., via course approved by MIS (Environmental auditors in Sweden).</li> </ul> <p>4.3.1.7 The umbrella organization shall analyse the outcome of internal and external audit and based on that, formulate necessary corrective action. Analysis and actions shall cover the entire group and be documented. The umbrella organization shall review the effectiveness of the actions.</p> <p>4.3.1.8 Annual review of the umbrella organization's management system with the management to ensure the system's continued suitability, adequacy, and effectiveness. The management review shall review and approve the work of the umbrella organization in accordance with 4.3.1.7. The management review shall be documented.</p> <p>4.3.1.9 Issuing nonconformities to group-certified forest owners/wood procurement organizations which do not comply with the requirements of the forestry standard and inform and advise to correct the shortcomings (see Appendix 1).</p> <p>When handling nonconformities, the umbrella organization may, based on observations that affect other certified party, provide external feedback to that party. This is to prevent nonconformities and to strengthen PEFC as certification system.</p> <p>4.3.1.10 In the case of major nonconformities, and if the forest owner/wood procurement organization is affiliated to more than one umbrella organization, observed nonconformity shall without delay be communicated to such other party.</p> <p>4.3.1.11 Handling nonconformities identified in other umbrella organization for forest owners/wood procurement organizations that are affiliated to more than one umbrella organization."</p>

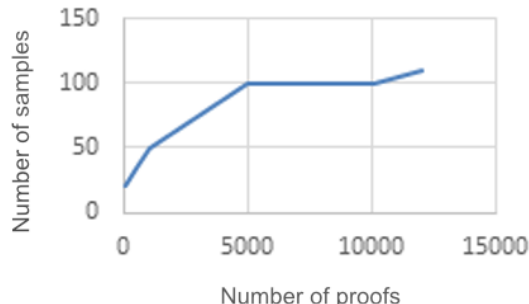
PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)
b) definition of the audit criteria and scope for each audit;		9.2.2 a
c) competence of internal auditor (forest knowledge, standard knowledge);		<b>Document 004</b> "4.3.1.6 Appointing internal auditors that shall be: · Well versed in the Swedish PEFC certification system for sustainable forest management · Independent of the business subject to audit · Familiar with the conditions of forest owners'/wood procurement organizations' business · Qualified as regards environmental-, social and forestry-related issues · Have appropriate basic competence, e.g., via course approved by MIS (Environmental auditors in Sweden)."
d) selection of auditors and conducting of audits to ensure objectivity and the impartiality of the audit process;		<b>Document 004</b> "4.3.1.6 Appointing internal auditors that shall be: --- · Independent of the business subject to audit ---"
e) ensuring that the results of the audits are reported to relevant group management;		<b>Document 004</b> "4.3.1.7 The umbrella organization shall analyse the outcome of internal and external audit and based on that, formulate necessary corrective action. Analysis and actions shall cover the entire group and be documented. The umbrella organization shall review the effectiveness of the actions.  4.3.1.8 Annual review of the umbrella organization's management system with the management to ensure the system's continued suitability,"

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)
		adequacy, and effectiveness. The management review shall review and approve the work of the umbrella organization in accordance with 4.3.1.7. The management review shall be documented.”
f) retaining of the documented information as evidence of the implementation of the audit programme and the audit results.		<b>Document 004 Appendix 2</b> “The umbrella organization shall annually implement an internal audit of the umbrella organization and its participants to measure and evaluate compliance with the PEFC-standard. The umbrella organization shall define the procedure for the internal audit. This includes to define how the internal audit is planned, implemented, and evaluated, as well as associated documentation of completed audit.”
9.3 Selection of participants in the internal audit programme		
9.3.1 General		
9.3.1.1 The standard requires the establishment of requirements for the selection of participants in the internal audit programme. These requirements shall include the following procedures for:		<b>Document 004</b> 4.3.2.6 Routines for internal audit shall be elaborated and documented by the umbrella organization. The design shall be risk-based regarding the scope and complexity of the business. Previous results and experiences from completed internal audits shall be given special consideration.  In the case of internal audits based on random sample, the following apply: · Participants with ≥ 50 000 ha of productive forest land shall be subject to internal audit every year. · Participants with ≥ 5000 ha, < 50 000 ha of productive forest land shall be subject to internal audit at least once every fifth year. · Among participants with < 5000 ha of productive forest land, at least 25% of the total sample shall be randomly chosen.  The total sample shall at least include numbers according to Table 1 and Figure 1 below.  Table 1. Functions for sample sizes

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)
		Interval Function (n) $0 < n \leq 100$ $100 < n \leq 500$ $500 < n \leq 1000$ $1000 < n \leq 5000$ $5000 < n \leq 10000$ $10000 < n \leq 0,2 \times n$ 16,25+0,0375x n 20+0,03x n 37,5+0,0125x n 100 $\sqrt{n}$ Where n is the number of proofs of certification in the group.”
a) determination of the sample size (9.3.2);		9.3.1.1 a
b) determination of sample categories(9.3.3);		9.3.1.1 a
c) distribution of the sample to the categories (9.3.4);		9.3.1.1 a
d) selection of the participants (9.3.5).		9.3.1.1 a
9.3.1.2 The standard may define additional requirements on the regional, national or sub-national level.		
9.3.1.3 The standard shall define additional sampling requirements in case of participation of pre-existing organisations or group or the members participation, such as a forest owners'/managers' association, SFM programme and submission to tax programming which have their own members.		Not applicable
9.3.2 Determination of the sample size		
9.3.2.1 The sample size shall be calculated for the participants of the group		9.3.1.1 a

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)												
organisation.														
9.3.2.2 The size of the sample generally should be the square root of the number of participants: (y=√x), rounded to the upper whole number.		<p><b>Document 004</b></p> <p><b>4.3.2.6</b> Routines for internal audit shall be elaborated and documented by the umbrella organization. The design shall be risk-based regarding the scope and complexity of the business. Previous results and experiences from completed internal audits shall be given special consideration.</p> <p>In the case of internal audits based on random sample, the following apply:</p> <ul style="list-style-type: none"> <li>Group-members with ≥ 50 000 ha of productive forest land shall be subject to internal audit every year.</li> <li>Group-members with ≥ 5000 ha, &lt; 50 000 ha of productive forest land shall be subject to internal audit at least once every fifth year.</li> <li>Among group-members with &lt; 5000 ha of productive forest land, at least 25% of the total sample shall be randomly chosen.</li> </ul> <p>The total sample shall at least include numbers according to Table 1 and Figure 1 below.</p> <p><b>Table 1. Functions for sample sizes</b></p> <table> <tr> <th>Interval</th> <th>Function (<i>n</i>)</th> </tr> <tr> <td>0&lt;<i>n</i>≤100</td> <td>0,2x <i>n</i></td> </tr> <tr> <td>100&lt; <i>n</i> ≤500</td> <td>16,25+0,0375x <i>n</i></td> </tr> <tr> <td>500&lt; <i>n</i> ≤1000</td> <td>20+0,03x <i>n</i></td> </tr> <tr> <td>1000&lt; <i>n</i> ≤5000</td> <td>37,5+0,0125x <i>n</i></td> </tr> <tr> <td>5000&lt; <i>n</i> ≤10000</td> <td>100</td> </tr> </table>	Interval	Function ( <i>n</i> )	0< <i>n</i> ≤100	0,2x <i>n</i>	100< <i>n</i> ≤500	16,25+0,0375x <i>n</i>	500< <i>n</i> ≤1000	20+0,03x <i>n</i>	1000< <i>n</i> ≤5000	37,5+0,0125x <i>n</i>	5000< <i>n</i> ≤10000	100
Interval	Function ( <i>n</i> )													
0< <i>n</i> ≤100	0,2x <i>n</i>													
100< <i>n</i> ≤500	16,25+0,0375x <i>n</i>													
500< <i>n</i> ≤1000	20+0,03x <i>n</i>													
1000< <i>n</i> ≤5000	37,5+0,0125x <i>n</i>													
5000< <i>n</i> ≤10000	100													



PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)
		$10000 < n \quad \sqrt{n}$ <p>Where <b>n</b> is the number of proofs of certification in the group.</p>  <p><b>Figure 1. Sample size for different sizes of group certificates</b></p>
9.3.2.3 The size of the sample may be adapted by a standard taking into account one or more of the following indicators:		
a) results of a risk assessment. In this case deviations of sample sizes in case of low or high risk for individual categories shall be defined;		Document 004 4.3.2.6
b) results of internal audits or previous certification audits;		Document 004 4.3.2.6
c) quality / level of confidence of the internal monitoring programme;		Document 004 4.3.2.6
d) use of technologies allowing the gathering of information concerning specified requirements;  Note: Such technologies may be e.g. the use of satellite data or drones and allow compliance statements for specific requirements of a sustainability standard or support the risk based sampling.		NA

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)
e) based on other means of gathering information about activities on the ground.  Note: One way could be a survey with participants who provide some information about their activities on the ground.		NA
9.3.3 Determination of sample categories		
9.3.3.1 The sample categories shall be established based on the results of a risk assessment. The indicators used in the risk assessment shall reflect the geographical scope of the standard. The following non exhaustive list of indicators may be used for the risk assessment:		
a) ownership type (e.g. state forest, communal forest, private forest);		Indicators summarised in 4.3.2.6 as scope and complexity
b) size of management units (different size classes);		Table 1
c) biogeographic region (e.g. lowlands, low mountain range, high mountain range);		Indicators summarised in 4.3.2.6 as scope and complexity
d) operations, processes and products of potential group participants;		Indicators summarised in 4.3.2.6 as scope and complexity
e) deforestation and forest conversion;		Indicators summarised in 4.3.2.6 as scope and complexity
f) rotation period(s);		Indicators summarised in 4.3.2.6 as scope and complexity
g) richness of biological diversity;		Indicators summarised in 4.3.2.6 as scope and complexity
h) recreation and other socio-economic functions of the forest;		Indicators summarised in 4.3.2.6 as scope and complexity
i) dependence of and interaction with local communities and indigenous people;		Indicators summarised in 4.3.2.6 as scope and complexity
j) available resources for administration, operations, training and research;		Indicators summarised in 4.3.2.6 as scope and complexity
k) governance and law enforcement.		Indicators summarised in 4.3.2.6 as scope and complexity

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)
9.3.3.2 Conditions which constitute risk for each indicator on low, medium and high level and the respective consequences for the sampling shall be defined.		9.3.3.1
9.3.4 Distribution of the sample The sample shall be distributed to the categories according to the result of the risk assessment.		<i>Indicators summarised in 4.3.2.6 as scope and complexity</i>
9.3.5 Selection of the participants		
9.3.5.1 At least 25% of the sample should be selected at random.		9.3.2.2
9.3.5.2 A risk-based procedure for the selection of the participants shall be specified.		<b>Document 004</b> "4.3.2.6 Routines for internal audit shall be elaborated and documented by the umbrella organization. The design shall be risk-based regarding the scope and complexity of the business. Previous results and experiences from completed internal audits shall be given special consideration."
9.4 Management review		
9.4.1 The standard requires that an annual management review shall at least include:		
a) the status of actions from previous management reviews;		<b>Document 004</b> "4.3.1.7 The umbrella organization shall analyse the outcome of internal and external audit and based on that, formulate necessary corrective action. Analysis and actions shall cover the entire group and be documented. The umbrella organization shall review the effectiveness of the actions.  4.3.1.8 Annual review of the umbrella organization's management system with

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)
		<p>the management to ensure the system's continued suitability, adequacy, and effectiveness. The management review shall review and approve the work of the umbrella organization in accordance with 4.3.1.7. The management review shall be documented. “</p> <p><b>Document 004 Appendix 2</b></p> <p>“The management review shall be implemented annually and aims at reviewing and securing the umbrella organization's/organization's work with auditing and continuously improve the business and its management system. At the management review, the following issues shall be covered:</p> <ul style="list-style-type: none"> <li>• Follow up of previous year's review</li> <li>• Changes of significance for the business and associated management system</li> <li>• Outcome of internal and external audit as well as associated analysis</li> <li>• Handling of nonconformities within the business</li> <li>• Corrective action for the business to be run in accordance with requirements of the PEFC-standard.</li> </ul> <p>At the management review, the management shall ensure the continued suitability, adequacy, and effectiveness of the system. The management review shall be documented.”</p>
b) changes in external and internal issues that are relevant to the group management system;		<p><b>Document 004 Appendix 2</b></p> <p>“</p> <ul style="list-style-type: none"> <li>• Changes of significance for the business and associated management system”</li> </ul>
c) the status of conformity with the sustainable forest management standard, that includes reviewing the results of the internal monitoring programme, the internal audit and the certification body's evaluations and		<p><b>Document 004 Appendix 2:</b></p> <p>“4.3.1.7 The umbrella organization shall analyse the outcome of internal and</p>

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)
surveillance;		external audit and based on that, formulate necessary corrective action..."
<p>d) information on the group performance, including trends in:</p> <p>i. nonconformities and corrective actions;</p> <p>ii. monitoring and measurement results;</p> <p>iii. audit results;</p>		<p><b>Document 004 Appendix 2</b></p> <p>"The management review shall be implemented annually and aims at reviewing and securing the umbrella organization's/organization's work with auditing and continuously improve the business and its management system. At the management review, the following issues shall be covered:</p> <ul style="list-style-type: none"> <li>• Follow up of previous year's review</li> <li>• Changes of significance for the business and associated management system</li> <li>• Outcome of internal and external audit as well as associated analysis</li> <li>• Handling of nonconformities within the business</li> <li>• Corrective action for the business to be run in accordance with requirements of the PEFC-standard."</li> </ul>
e) opportunities for continual improvement.		<p><b>Document 004 Appendix 2:</b></p> <p>"The management review shall be implemented annually and aims at reviewing and securing the umbrella organization's/organization's work with auditing and continuously improve the business and its management system...</p> <p>At the management review, the management shall ensure the continued suitability, adequacy, and effectiveness of the system. The management review shall be documented."</p>
9.4.2 The standard requires that the outputs of the management review shall include decisions related to continual improvement opportunities and any need for changes to the group management system.		<p><b>Document 004 Appendix 2:</b></p> <p>"The management review shall be implemented annually and aims at reviewing and securing the umbrella organization's/organization's work with auditing and continuously improve the business and its management system...</p> <p>At the management review, the management shall ensure the continued suitability, adequacy, and effectiveness of the system. The management review</p>

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)
		shall be documented.”
9.4.3 The standard requires that the group organisation shall retain documented information as evidence of the results of management reviews.		9.4.2
10. Improvement Smärre tillägg från kapitlet?		
10.1 Nonconformity and corrective action		
10.1.1 The standard requires when a nonconformity occurs, the group organisation shall:		
a) react to the nonconformity and, as applicable: i. take action to control and correct it; ii. deal with the consequences;		<b>Document 004 Appendix 2</b>  <b>“4.3.1.7</b> The umbrella organization shall analyse the outcome of internal and external audit and based on that, formulate necessary corrective action. Analysis and actions shall cover the entire group and be documented. The umbrella organization shall review the effectiveness of the actions.  <b>4.3.1.8</b> Annual review of the umbrella organization’s management system with the management to ensure the system’s continued suitability, adequacy, and effectiveness. The management review shall review and approve the work of the umbrella organization in accordance with 4.3.1.7. The management review shall be documented.  <b>4.3.1.9</b> Issuing nonconformities to group-certified forest owners/wood procurement organizations which do not comply with the requirements of the forestry standard and inform and advise to correct the shortcomings (see Appendix 1). “
b) evaluate the need for action to eliminate the causes of the nonconformity,		10.1.1 a

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)
in order that it does not recur or occur elsewhere, by: i. reviewing the nonconformity; ii. determining the causes of the nonconformity; iii. determining if similar nonconformities exist, or could potentially occur;		
c) implement any action needed;		10.1.1 a
d) review the effectiveness of any corrective action taken;		10.1.1 a
e) make changes to the group management system, if necessary.		10.1.1 a
10.1.2 The standard requires that the group organisation shall retain documented information as evidence of:		
a) the nature of the nonconformities and any subsequent actions taken;		<b>Document 004</b> “4.3.1.7 The umbrella organization shall analyse the outcome of internal and external audit and based on that, formulate necessary corrective action. Analysis and actions shall cover the entire group and be documented. The umbrella organization shall review the effectiveness of the actions.”
b) the results of any corrective action.		10.1.2 a
10.1.3 The standard requires that a participant who was excluded from a group certification shall be internally audited by the group entity before it is allowed to re-enter the group certification. The internal audit shall not take place sooner than 12 months after the exclusion.		<b>Document 004</b> “4.3.1.1 Handling applications from forest owners/wood procurement organizations regarding forest certification in accordance with PEFC Sweden. The applications shall be examined and approved, and affiliation shall be confirmed by means of a signed agreement between the umbrella organization and the forest owner/wood procurement

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)
		<p>organization. All part-owners, or qualified representative with authorization or other verification, shall sign the agreement.</p> <p><b>4.3.1.2</b> Making sure, prior to making an agreement, that the forest owner, or an authorized representative for the forest owner/wood procurement organization, is well informed of the contents of the agreement and that the business meets applicable requirements of the PEFC-standard. Routines for this control shall be elaborated by the umbrella organization.”</p> <p><b>Document 004 Appendix 1</b></p> <p>“In the case of termination grounded on major nonconformity where evidence for corrected nonconformity cannot be demonstrated, a forest owner that has been terminated may not be affiliated to any umbrella organization for group-certification according to PEFC within 12 months from termination.”</p> <p><i>After exclusion a new affiliation is needed according to the full affiliation procedure 4.3.1.1.</i></p>
<p>10.2 Continual improvement</p> <p>The standard requires that the suitability, adequacy and effectiveness of the group management system and the sustainable management of the forest shall be continuously improved.</p>		<p><b>Document 004 Appendix 2, Operation</b></p> <p><b>“PEFC-certified forestry</b></p> <p>The umbrella organization shall define the processes needed for the operation to be run in accordance with the requirements of the PEFC-standard. The organization is responsible for planning and implementation of these in the operation. The organization shall verify that these processes are observed and that decided changes are incorporated. The control shall be adjusted so that defined processes and compliance with the requirements of the PEFC-standard can be followed up. Processes and implemented control shall be documented.”</p>



PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)
		<p><b>Performance evaluation, management review</b></p> <p>“The management review shall be implemented annually and aims at reviewing and securing the umbrella organization’s/organization’s work with auditing and continuously improve the business and its management system. “</p>

\* If the answer to any question is no, the application documentation shall indicate for each element why and what alternative measures have been taken to address the element in question.