

PEFC Council

**Conformity Assessment of the Revised PEFC UK Certification
Scheme against the PEFC Council Requirements**

Final Report v.2

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ABBREVIATIONS

CB	Certification body
COC	Chain of custody
HCV	High conservation value
PEFC	Programme for the Endorsement of Forest Certification
PEFC UK	PEFC UK Certification Scheme for Sustainable Forest Management
PEFCC	PEFC Council
SFM	Sustainable forest management
TMU	Tree management unit
TOF	Trees outside Forests
UKAS	United Kingdom Accreditation Service
UKFS	United Kingdom Forestry Standard
UKWAS	United Kingdom Woodland Assurance Standard
WG	Working Group
WMU	Woodland management unit



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1. INTRODUCTION

Background

The PEFC UK Certification Scheme (hereafter “the Scheme”) for Sustainable Forest Management was first launched by PEFC UK Ltd in 2001 and endorsed by PEFC International in 2002. Since then, the system has been re-endorsed three times, the last time being in 2018. The Scheme is governed and managed by PEFC UK Ltd; a not-for-profit company established for this purpose in 2000. At the end of 2021, there was a total of about 1.57 million hectares of forest land certified under the Scheme¹.

The sustainable forest management (SFM) requirements of the Scheme are based on two standards: the UK Forestry Standard (hereafter “UKFS”) and the United Kingdom Woodland Assurance Standard (hereafter “UKWAS”). The UKFS details the UK government’s approach to sustainable forest management and its evolving requirements are considered during the Scheme review and revision. The UKWAS, however, is adopted directly by the PEFC UK Certification Scheme as the standard to set the SFM requirements of the Scheme. Therefore, the UKWAS is part of the normative documentation of the Scheme.

Currently, the Scheme is seeking its fourth re-endorsement, well ahead of the expiration date of the current endorsement in April 2024. The rationale for the early timing is the recent revision of the UKWAS and the objective to match the Scheme re-endorsement cycle with the review and revision cycle of the UKWAS.

Indufor Oy, an independent consulting company headquartered in Helsinki, Finland, was selected as the assessor to carry out the Scheme conformity assessment as a part of the re-endorsement process. The objective of this conformity assessment is to verify the compliance of the revised PEFC UK standards with the international PEFC requirements. The conformity assessment covers the Scheme procedures and processes for standard setting, certification arrangements, performance requirements for forest management and group certification, and requirements for certification of Trees outside Forests (TOF).

The revised Scheme is among the first submitted to PEFC Council for endorsement to include a TOF standard. TOF certification was one of the innovative developments of the 2018 PEFC Sustainable Forest Management standard.

Scope of this Report

This Final Report presents the findings of the assessor team and their recommendation regarding the Scheme endorsement. It is developed from the Final Draft Report based on the comments received from PEFC Secretariat.

The structure of the report is as follows:

Chapter 1 describes the background and the scope of the independent assessment.

Chapter 2 states Indufor’s recommendation on the endorsement of the PEFC UK to the PEFC Board of Directors and specifies possible conditions the Board should take into consideration in the decision-making.

Chapter 3 describes a summary of findings for each element of the national scheme and gives justifications for the given recommendation.

Chapter 4 presents the assessment methods and material used.

Chapter 5 describes the structure of the applicant system.

¹ PEFC UK Annual Report 2022

Chapter 6 assesses the national scheme's procedures for standard development and the procedures for standard review and revision against the PEFC Council requirements.

Chapter 7 assesses how the standard review and revision process was implemented.

Chapter 8 assesses the Scheme requirements for sustainable forest management and their compliance with the PEFC Council requirements.

Chapter 9 assesses the Scheme requirements for group certification and their compliance with the PEFC Council requirements.

Chapter 10 describes the new standard for certification of Trees outside Forests and assesses the standard development process as well as the requirements for TOF management against the PEFC Council requirements.

Chapter 11 reviews the Scheme requirements for certification and accreditation procedures including notification of certification bodies.

Chapter 12 gives a summary of the received stakeholder comments and explains their consideration in the assessment.

Annex 1 includes the PEFC benchmark checklists with Indufor's conclusions on the PEFC UK conformity with each PEFC benchmark requirement and lists the reference documents that provide the basis for the conclusions.

Annex 2 includes the field visit programme.

Annex 3 includes the stakeholder feedback form.

2. RECOMMENDATION

Indufor recommends that the PEFC Council **endorses** the revised PEFC UK Certification Scheme, **under the condition** that the remaining non-conformities in the standards are addressed within a period of six (6) months.

The rationale of the recommendation derives from the following:

1. The Scheme does not involve major non-conformities with the PEFC requirements.
2. The PEFC UK has the possibility to address the remaining minor non-conformities within the given timeframe.

The remaining minor non-conformities to be addressed include the following:

1. **16 minor non-conformities** in the Scheme's standard-setting procedures against the requirements of the PEFC ST 1001:2017.
2. **Four (4) minor non-conformities** in the Scheme's standard-setting process against the requirements of the PEFC ST 1001:2017.
 - a. We recommend that two of the non-conformities are noted for correction during the next standard-setting process and two of the non-conformities are addressed through corrective action within six (6) months.
3. **Eight (8) minor non-conformities** in the Scheme's sustainable forest management requirements against the requirements of the PEFC ST 1003:2018.
4. **Five (5) minor non-conformities** in the TOF standard-setting process against the requirements of the PEFC ST 1001:2017, and **two (2) minor non-conformities** against the additional PEFC process requirements for TOF.
 - a. We recommend that three of the non-conformities are noted for correction during the next standard-setting process and four of the non-conformities are addressed through corrective action within six (6) months.
5. **Four (4) minor non-conformities** in the performance requirements for TOF certification.

3. SUMMARY OF FINDINGS

3.1 Structure of the PEFC UK Certification Scheme

The PEFC UK Certification Scheme (“the Scheme”) is governed and managed by PEFC UK Ltd, which acts as the national governing body for PEFC in the UK. The company is guided by a Board of Directors and its daily activities are managed by its staff members including the Executive Director.

The Scheme and its requirements are described in a document called PEFC UK Certification Scheme for Sustainable Forest Management, referred to as “PEFC UK” in this report.

The PEFC UK Certification Scheme does not have its own comprehensive set of requirements for sustainable forest management, but instead recognises and adopts those of the United Kingdom Woodland Assurance Standard (hereafter “UKWAS”).

The UKWAS is managed by an eponymous not-for-profit company UKWAS. The company is governed by a Steering Group, appointed by the company’s member organisations that represent a broader stakeholder basis. The Steering Group appoints a Board of Directors and an Interpretation Panel. The former consists of five Directors and a Secretary who are responsible for running the daily activities of the company. The latter provides advice on the interpretation of the standard. PEFC UK Ltd is a member of the UKWAS company.

3.2 Standard-Setting Procedures

PEFC UK Certification Scheme adopts the UKWAS as its standard for sustainable forest management. Thus, this conformity assessment considered the UKWAS requirements for standard-setting. These are described in the UKWAS Standard-Setting Process Version 3, from November 21, 2019 (hereafter “SSP”). The SSP is currently adjusted for guiding a standard revision process as this is the relevant scope for UKWAS. However, it was also applied for the development of a new standard for the certification of Trees outside Forests, included in the revised Scheme.

The SSP was assessed against the requirements set by the PEFC ST 1001:2017.

The assessment identified **16 minor non-conformities**. These non-conformities and additional comments are listed below.

Non-conformities:

- **Minor non-conformity:** Benchmark 5.1.2. The SSP does not stipulate consideration of stakeholder feedback in relation to reviewing the standard-setting procedures.
- **Minor non-conformity:** Benchmark 5.2.1 (d). The SSP does not require keeping documented information of participants in each Working Group meeting.
- **Minor non-conformity:** Benchmark 6.3.1 (e). The SSP does not require the public announcement to include an explicit invitation to submit feedback on the scope and the standard-setting process.
- **Minor non-conformity:** Benchmark 6.3.2. The SSP only considers feedback in the context of revising the standard but not in the context of revising the standard-setting process or procedures as required by the PEFC ST 1001:2017.
- **Minor non-conformity:** Benchmark 6.4.2 (b). The SSP makes no requirement for affected stakeholders to be represented in an appropriate proportion.
- **Minor non-conformity:** Benchmark 7.2.1. The SSP does not set requirements regarding publishing or public availability of the approved standard.

- **Minor non-conformity:** Benchmark 7.2.2 (a, d). The SSP does not require that the standardising body identification and contact information, the approval date, and the date of next periodic review would be included in the standard.
- **Minor non-conformity:** Benchmark 7.2.3. The SSP does not require making the standard available in printed copies.
- **Minor non-conformity:** Benchmark 7.2.4. The development report component *list of stakeholders identified in the stakeholder mapping* (refer to PEFC GD 1007 requirement 6.1.3), is not required in the SSP to be made publicly available.
- **Minor non-conformity:** Benchmark 8.2.1. The SSP recognises the utilisation of feedback submitted during the standard life span but does not require establishing and maintaining a permanent feedback mechanism.
- **Minor non-conformity:** Benchmark 8.2.2. The PEFC ST 1001:2017 places broader requirements for feedback collection and utilisation than the SSP.
- **Minor non-conformity:** Benchmark 8.5.3. The SSP does not include a requirement for the standardising body to publicly justify its decision to reaffirm the standard.
- **Minor non-conformity:** Benchmark 9.1. There are minor non-conformities under section 6 of the PEFC ST 1001:2017 with the following benchmark requirements for procedures: 6.3.1 (e), 6.3.2, 6.4.2 (b).
- **Minor non-conformity:** Benchmark 9.4.1. The SSP does not require a definition of the application date and transition period.
- **Minor non-conformity:** Benchmark 9.4.2. The SSP does not place a requirement for there to be a maximum of one year between the standard publication and the application date.
- **Minor non-conformity:** Benchmark 9.4.3. The SSP places no requirements related to the duration of the transition period.

Comments:

- Benchmark 6.1.1: The concept of the standard proposal is not featured in the SSP. However, most of the PEFC ST 1001:2017 requirements regarding the standard proposal are relevant for the development of a new standard, while the focus of the SSP is in standard revision as currently relevant for UKWAS.
- Benchmark 8.5.2: To avoid potential confusion, the wording of the SSP is recommended to be revised so that it clearly establishes the Steering Group as the body responsible for the final decision on whether or not to revise the standard.
- Benchmark 8.5.3: It is recognised that in practice, a decision to reaffirm the UKWAS would be very unlikely, as reflected by the concept of “reaffirming” not being featured in the SSP.

Due to the remaining minor non-conformities, the standard-setting procedures **do not comply** with the PEFC ST 1001:2017 requirements.

3.3 Standard-Setting Process

The UKWAS review and revision process was assessed against the requirements of the PEFC ST 1001:2017, based on the process description and documentation submitted to the assessor.

Four (4) minor non-conformities with benchmark requirements were identified in the process. They and additional comments are listed below.

Non-conformities:

- **Minor non-conformity:** Benchmark 6.3.1 (e). There was no explicit invitation in the public announcement to submit feedback on the scope and the standard-setting process. The non-conformity should be noted and corrected during the next standard-setting process.
- **Minor non-conformity:** Benchmark 7.2.4. Development report components defined in PEFC GD 1007 requirement 6.1.3 have been made publicly available on the UKWAS website except for 6.1.3 (b), i.e., the *list of stakeholders identified in the stakeholder mapping*. The non-conformity should be subject to corrective action within six (6) months.
- **Minor non-conformity:** Benchmark 8.2.1. General contact information is available on the UKWAS website, but this is not provided in the context of a permanent feedback mechanism intended for collecting and recording feedback on the standard. The non-conformity should be subject to corrective action within six (6) months.
- **Minor non-conformity:** Benchmark 9.1. There is a minor non-conformity with the benchmark 6.3.1 (e) requirements for the process, which prompts a minor non-conformity also with benchmark 9.1. The non-conformity should be noted and corrected during the next standard-setting process.

Comments:

- Benchmark 5.3.2: A contact point was practically available, but it is recommended that during the next standard revision or development process there is a contact point that is explicitly dedicated for enquiries, complaints and appeals relating to the standard-setting activities.
- Benchmark 6.4.2: Adequacy of the Working Group composition was challenged by stakeholder complaints submitted after the standard-setting process. It is the assessor's view that there has not been a violation of the PEFC requirements regarding the process of nominating the WG and its final composition. WG nominations were collected through a participatory process and the final composition demonstrated stakeholder representation that can be considered sufficiently balanced between different interest groups and justified for the purpose. The composition was approved unanimously by the Steering Group, which itself comprises a large stakeholder base also involving representation of the stakeholder interest group that raised the complaint (*UKWAS SG mtg minute DRAFT 21 May 2020.docx*).

As indicated in the comment regarding benchmark 6.4.2 above, stakeholder complaints were brought into the assessor's attention during the the standard-setting process assessment. Specifically, these complaints alleged that UKWAS clauses 4.10.1 (b) and (c) were inserted to the standard by the Working Group on short notice and the Steering Group or other stakeholders were not given adequate time and opportunities to assess them. After interviews with the concerned parties, a review of the Working Group and Steering Group meeting minutes and a review of the UKWAS public consultation drafts, it is the assessor's view that there was sufficient time and opportunities to bring up the issue and/or present sustained opposition during the standard development process.

Nevertheless, due to the remaining four non-conformities, the current standard-setting procedures **do not fully comply** with the PEFC requirements. Our recommendation is that two of the non-conformities are noted for correction during the next standard-setting process and two of the non-conformities are addressed through corrective action within six months.

3.4 Forest Management Standard

The PEFC UK adopts the UKWAS as its standard for sustainable forest management. The PEFC UK scheme document also sets some further requirements for a sustainable forest management system to be certified under the PEFC UK scheme. The requirements set by the UKWAS and the PEFC UK were assessed against the requirements set by the PEFC ST 1003:2018.

The assessment identified **eight (8) minor non-conformities** with benchmark requirements. The non-conformities and additional comments are listed below.

Non-conformities:

- **Minor non-conformity:** Benchmark 4.1 (c). The UKWAS SFM requirements do not necessarily apply to all activities done by third parties on a certified WMU. The UKWAS includes mechanisms to mitigate the sustainability risk resulting from such deviations, but the issue still presents a non-conformity with the PEFC requirements.
- **Minor non-conformity:** Benchmark 5.2. Benchmark definition for *publicly available* is included in the PEFC ST 1001 2017 chapter 3 Terms and Definitions, which defines it as *generally accessible to the interested public in any form and without the need for a request*. In the UKWAS requirement, the availability of the commitments is subjected to a request.
- **Minor non-conformity:** Benchmark 8.1.4 (general). The guidance included in the UKWAS clause 2.13.1 appears to allow certification of areas converted to forest plantations after the PEFC ST 1003:2018 cut-off date (2010), in case the conversion has not been implemented by the current land owner.
- **Minor non-conformity:** Benchmark 8.1.4 (b, e). The benchmark allows for a maximum of 5 % of the concerned forest type within the certified area to be converted, which is practically lower than the maximum of 5 % of the total woodland management unit area required by the UKWAS. Also, the UKWAS does not reflect the PEFC ST 1003:2018 requirement for conversion to contribute to economic benefits.
- **Minor non-conformity:** Benchmark 8.1.6 (c). A positive long-term impact on forest vegetation carbon sequestration is not explicitly required in the UKWAS in the context of replacing degraded forests with forest plantations.
- **Minor non-conformity:** Benchmark 8.4.3. The UKWAS does not explicitly ban commercial exploitation of threatened or endangered species.
- **Minor non-conformity:** Benchmark 8.6.5. While the UKWAS requires a high level of consultation with stakeholders in general, it does not directly require the utilisation of the information specified in the PEFC ST 1003:2018 and it takes no stand on the related benefit-sharing.
- **Minor non-conformity:** Benchmark 8.6.7. The UKWAS introduction establishes that *should* state a mandatory requirement when applied under the column *Requirements*. However, the UKWAS does not meet the PEFC ST 1003:2018 requirement as it only requires the owner/manager to consider contributing to research activities (or supporting them).

Comments:

- Benchmark 6.3.1.2: It is recommended that the requirement for the organisation to comply with applicable international legislation is made explicit under the UKWAS chapter 1 and that the section *Main legislation, regulations, guidelines and codes of practice referred to in the UKWAS* under References is updated to reflect international legislation.

- Benchmark 8.1.4 (b): The PEFC requirements related to forest conversion present a complex issue in the context of the UK. UKWAS did not find an appropriate definition of forest type to be applied to this benchmark requirement. Also, due to the UK land use history, in some locations, the current forests may not represent the ecologically and culturally most valuable land use as opposed to a non-forested alternative. This can render conversion a sustainable and well-justified option on such sites.
- Benchmark 8.6.5: The benchmark requirement on utilising, benefitting and sharing the benefit from local/traditional knowledge is difficult to implement in the context of the UK.
- Benchmark 8.6.7: To avoid potential different interpretations concerning the level of requirement, it is recommended that the use of terms *should* and *shall* in the UKWAS is harmonized with their use in the PEFC documents.

Concerns were raised by some stakeholder groups after the standard-setting process on the implications of the revised UKWAS to their activities. The underlying issue was that high conservation value (HCV) areas are not well defined in the UKWAS. As the UKWAS places multiple requirements related to the activities and operations of HCV areas, the extent of the practical implications remains unknown. Another issue was that the definitions for priority species were considered to include unclarity. While not non-conformities as such, it is recommended that these issues are clarified.

Due to the eight remaining minor non-conformities, currently, the PEFC UK sustainable forest management requirements **do not fully comply** with the PEFC requirements.

3.5 Group Certification Model

The PEFC UK describes the requirements for group management certification in the document “PEFC UK Certification Scheme for Sustainable Forest Management” in chapters 6.3.3–6.3.18. These requirements were assessed against the PEFC ST 1002:2018.

PEFC UK defines both a “Group Manager” and a “Group Entity” and recognises that the responsibilities between them may differ between different certification schemes depending on the local circumstances. The leadership for the group management certificate is under the “Group Manager” and/or a “Group Entity”. The responsibilities are defined.

The assessment did not identify non-conformities with the benchmark requirements. The PEFC UK group certification model therefore **complies** with the PEFC Council requirements.

3.6 Standard for Certification of Trees Outside Forests

The newly developed standard for certification of TOF (PEFC UK TOF) was assessed for conformity against the PEFC requirements both for its standard-setting process and its performance requirements.

The TOF development process is characterized by its pioneer nature and the apparent lack of clear instructions for process requirements to be followed. The process has largely been a pragmatic one. This assessment has considered these special features when concluding conformity.

Standard-setting Process for TOF

The standard-setting process for TOF was assessed against two sets of requirements: (i) PEFC ST 1001:2017 and (ii) the requirements set in the document Assessment and Endorsement of national Trees outside Forests standards, approved by the PEFC Board on March 8, 2023 (hereafter “additional PEFC requirements”).

The standard-setting procedures applied in the process were those stipulated by the UKWAS SSP.

The PEFC UK TOF was created by a small Working Group comprising stakeholders with interest and experience in working with urban trees. The WG adopted the recently revised UKWAS as the starting point and modified it according to the requirements set by the PEFC ST 1003:2018 and its Appendix 2. The standardising body and the WG reportedly assumed that the TOF certification requirements would be developed into an annex to the main scheme and not into an individual standard document, hence applying a more streamlined and light-touch process.

Indufor's assessment concluded with **five (5) minor non-conformities** in the TOF standard-setting process against the requirements of the PEFC ST 1001:2017, **and two (2) minor non-conformities** against the additional PEFC requirements.

Non-conformities:

- **Minor non-conformity:** Benchmark 6.1.1 (a–e). The PEFC UK did not create a formal proposal equivalent to the PEFC ST 1001:2017 requirement. The non-conformity should be noted and corrected during the next standard-setting process.
- **Minor non-conformity:** Benchmark 6.3.1 (a–f). There was no formal public announcement of the start of the standard-setting process. The non-conformity should be noted and corrected during the next standard-setting process.
- **Minor non-conformity:** Benchmark 6.5.1 (a, g). The announcement of public consultation was published on the same day when the public consultation began, which does not explicitly meet the benchmark requirement. Also, the feedback synopsis was not made publicly available or sent to stakeholders. The non-conformity should be noted and corrected during the next standard-setting process.
- **Minor non-conformity:** Benchmark 7.2.2 (a, d). The PEFC UK TOF does not include contact information of the standardising body or the date of the next periodic review. The non-conformity should be subject to corrective action within six (6) months.
- **Minor non-conformity:** Benchmark 7.2.4. The development report has so far not been made publicly available. The non-conformity should be subject to corrective action within six (6) months.
- **Minor non-conformity:** Additional PEFC requirements. The Scheme applies two different definitions for forest. The non-conformity should be subject to corrective action within six (6) months.
- **Minor non-conformity:** Additional PEFC requirements. The Scheme does not make an explicit requirement for certified TMU and WMU areas not to overlap. The non-conformity should be subject to corrective action within six (6) months.

Comments:

- Benchmark 6.1.1: The lack of proposal is attributable to the pilot nature of the TOF standard development. There were evidently little instructions available for the process of developing requirements for TOF certification as the system is still new and shaping up within PEFC. At the time when the PEFC UK TOF requirements were being developed, they were assumed to comprise an annex to the main scheme. It was only after this process was complete when instructions were received from PEFC to develop TOF requirements into an individual standard. At that stage, many standard development process requirements set by the PEFC ST 1001:2017 could not be applied retrospectively to their regular full extent.
- Benchmark 6.3.1: The lack of public announcement is attributable to the pilot nature of the TOF standard development – see comment regarding benchmark 6.1.1. Updates of the process and its objectives were, however, frequently communicated in journals and online. A dedicated page on the PEFC UK website was being updated as the

process moved ahead (<https://www.pefc.co.uk/forestry/exploring-certification-solutions-for-trees-outside-forests/>).

- Benchmark 6.5.1 (g): The issues related to the feedback synopsis are attributable to the pilot nature of the TOF standard development – see comment regarding benchmark 6.1.1.

Due to the identified minor non-conformities, the TOF standard-setting process **does not fully comply** with the PEFC Council requirements.

Our recommendation is that three of the non-conformities are noted for correction during the next standard-setting process and four of the non-conformities are addressed through corrective action within six months.

Standard for Certification of TOF

The PEFC UK requirements for certification of TOF are described in a separate standard document Trees Outside Forests Certification Standard (hereafter “PEFC UK TOF”).

The current scope of the PEFC UK TOF only includes urban street trees (TOF-settlement). Parks are outside the scope and there is no component for TOF-agriculture for the time being. TOF management under the PEFC UK TOF is considered intensive if it meets the following requirements:

- Income generation is the primary objective of the TOF management unit, and
- Annual income from the TOF management unit exceeds GBP 200 000.

The PEFC UK TOF was assessed against the requirements of the PEFC ST 1003:2018 and its Appendix 2. Multiple operative requirements were found to be not applicable to urban street trees.

The identified **four (4) minor non-conformities** and additional comments are listed below.

Non-conformities:

- **Minor non-conformity:** Benchmark 4.3.1. The PEFC UK TOF allows for flexibility in meeting the standard requirements leaving the interpretation to CBs, which means that practically different scope-setting requirements may apply for different TMUs.
- **Minor non-conformity:** Benchmark 8.4.4. The PEFC UK TOF does not place requirements regarding the regeneration of trees.
- **Minor non-conformity:** Benchmark 8.6.5. The PEFC UK TOF requires a high level of consultation with stakeholders in general. However, it takes no stand on the benefit-sharing related to the utilisation of the information referred to in the PEFC ST 1003:2018.
- **Minor non-conformity:** Benchmark 8.6.7. Stating *should* instead of *shall*, the PEFC UK TOF has a lower level of requirements than the PEFC ST 1003:2018.

Comments:

- Benchmark 8.4.4: The benchmark requirement for the regeneration of trees is not well applicable to urban street trees. Responding to it adequately in this context requires more detailed guidelines.
- Benchmark 8.6.5: The benchmark requirement on utilising, benefitting and sharing the benefit from local/traditional knowledge is not well applicable to urban street trees.

Due to the remaining minor non-conformities, the PEFC UK TOF **does not fully comply** with the PEFC Council requirements.

3.7 Chain of Custody Standard

PEFC UK has adopted the PEFC International standard for the chain of custody (PEFC ST 2002:2020 *Chain of Custody of Forest and Tree based Products – Requirements*). Consequently, the Scheme also applies the PEFC ST 2003:2020 (*Requirements for Certification Bodies operating Certification against the PEFC International Chain of Custody Standard*) in defining the accreditation and certification requirements for certification bodies.

The Scheme provisions for the chain of custody certification conform to PEFC requirements.

3.8 Certification and Accreditation Arrangements

Certification of Forest Management and Trees outside Forests

Accreditation requirements in the PEFC UK Scheme are defined for SFM and COC certification. The Scheme recognises accreditations for SFM, TOF and COC certifications that are issued by the national accreditation body UKAS and by other accreditation bodies complying with the requirements of the PEFC Annex 6 and the PEFC UK Scheme document.

Information on the UKAS accreditation program was not made available for the assessment at this stage.

Conclusion: The PEFC UK requirements for accreditation and certification arrangements comply with the PEFC requirements.

Accreditation to Chain of Custody Certification

The Scheme applies the international chain of custody standard (PEFC ST 2002:2020 on *Chain of Custody of Forest and Tree Based Products – Requirements*) and subsequently, certification bodies shall comply with the international PEFC accreditation standard PEFC ST 2003:2020 on *Requirements for Certification Bodies operating Certification against the PEFC International Chain of Custody Standard*.

Conclusion: The PEFC UK requirements for accreditation of certification bodies doing a chain of custody certification comply with the PEFC requirements.

Notification of certification bodies

PEFC UK is the national PEFC Governing Body in the UK. Through the adoption of PEFC Annex 6, the Scheme has complying notification requirements for forest and chain of custody certification.

The Scheme requires that the notification conditions are not discriminatory or create trade obstacles.

(Ref. PEFC Checklist (Annex 6, 6; questions 22-23)).

Conclusion: The notification arrangements comply with the PEFC requirements.

4. MATERIAL AND METHODS

4.1 Material

The conformity assessment was based on the following normative and descriptive documentation regarding the revised PEFC UK Certification Scheme and the implemented standard-setting processes. The additional description of the standard-setting processes provided by PEFC UK was also considered.

Normative Documents

PEFC UK normative document	Date of issuance	Received by assessor
PEFC UK Certification Scheme for Sustainable Forest Management v2, Update working version (from Dec 15, 2022), undated ²	July 5, 2022 Dec 15, 2022	Dec 15, 2022
PEFC UK – Trees Outside Forests Certification Standard	July 5, 2022	Oct. 4, 2022
United Kingdom Woodland Assurance Standard, Fifth Edition (Pre-approval Draft) (Version 5.0)	July 21, 2022	Oct. 4, 2022
UKWAS Standard-Setting Process Version 3.0	Nov. 21, 2019	Oct. 4, 2022
Articles of Association of United Kingdom Woodland Assurance Standard	Nov. 25, 2002	Nov. 9, 2022

Descriptive Documents

Other documents	Received by assessor
Checklist stakeholder mapping.docx	Nov. 3, 2022
Consultation 2 comments.docx	Nov. 16, 2022
Copy of RT-FM-001a-06 PEFC TOF RT SCC Pilot MA 2021 – FINAL.xls	Nov. 23, 2022
Copy of UKWAS 5 - expressions of interest in WG or consultee05.05.20.xlsx	Nov. 3, 2022
Copy of UKWAS 5 - Stakeholders listings AW.xlsx	Oct. 21, 2022
Draft Minutes of the July 2022 Board Meeting.docx	Nov. 16, 2022
News Release UKWAS review stakeholder reminder.docx	Nov. 3, 2022
Notes from TOF working group.docx	Nov. 16, 2022
PC 1 Comments in order TOF.docx	Nov. 24, 2022
TOF Working Group.docx	Nov. 1, 2022
TOF Working Group Notes Day 2.docx	Nov. 24, 2022
UKWAS 5 Initial Revision Draft with consultation responses (changes from WG 17) (13.09.21).docx	Oct.31, 2022

² The document was updated in December 2022 to address the non-conformities found in the assessment. The updated document is pending approval by PEFC UK

UKWAS PEFC ToF - V10.docx	Nov. 24, 2022
UKWAS PEFC ToF - V14.docx	Nov. 24, 2022
UKWAS Revision 2020-23 Issues Paper (Final).pdf	Nov. 14, 2022
UKWAS Revision 2020-23 Second Revision Draft Consultation Report Annex - Consolidated Feedback January 2022.pdf	Oct. 31, 2022
UKWAS SG mtg minute DRAFT 5 November 2020.docx	Nov. 16, 2022
UKWAS SG mtg minute DRAFT 21 May 2020.docx	Nov. 14, 2022
UKWAS SG mtg minute DRAFT 21 Nov 2019.doc	Nov. 14, 2022
UKWAS SGrp mtg minute DRAFT 30 June 2022.docx	Nov. 14, 2022
UKWAS SSP review paper for Steering Grp (05.06.19).pdf	Nov. 14, 2022
UKWAS-Revision-2020-23-Second-Revision-Draft-Consultation-Report-V1-0-July-2022.pdf	Nov. 11, 2022
UKWAS WG Meeting Notes (30 files)	Oct. 31, 2022
WG notes 01 April 2022.docx	Nov. 24, 2022

The revised Scheme and its standard-setting processes were assessed against the PEFC benchmark requirements as set by the following documentation:

PEFCC Benchmark Documents

Component	Documents
Standard-setting requirements	PEFC ST 1001:2017, Standard Setting – Requirements
Forest management requirements	PEFC ST 1003:2018, Sustainable Forest Management – Requirements
Requirements for certification of Trees outside Forests	Appendix 2 of PEFC ST 1003:2018, Sustainable Forest Management – Requirements Assessment and Endorsement of national Trees outside Forests standards (Approved by the PEFC Board on 8 th March 2023)
Group certification requirements	PEFC ST 1002:2018, Group Forest Management Certification – Requirements
Chain of custody requirements	PEFC ST 2002:2020, Chain of Custody of Forest and Tree Based Products – Requirements
Certification & accreditation	PEFC Council Technical Document, Annex 6 (forest management certification) PEFC ST 2003:2012, Requirements for Certification Bodies operating Certification against the PEFC International Chain of Custody Standard (chain of custody certification)

4.2 Methods

The assessment was carried out as a combination of a desk study, based on the documentation listed above and clarifications provided by the PEFC UK, and a field visit to UK on 7–9 December, 2022.

In addition, consultations with stakeholders were carried out in two separate processes. PEFC announced international public consultations on its website in August 2022, and the assessor sent out questionnaires in November 2022 to a total of 78 national stakeholders to enquire about their views on the standard-setting process and the resulting standards.

The following grading of conformity levels was used in the assessment (Box 4.1).

Box 4.1 Assessment Scales Used in Conformity Assessment

Conformity

A procedure described by the Scheme documentation fully meets the particular requirement of PEFC Council.

Minor non-conformity

A minor non-conformity does not violate the integrity of the certification Scheme and is not a bar to endorsement. The assessor recommends appropriate corrective action. Generally, a minor non-conformity should be corrected within 6 months. The assessor may recommend a longer period where justified by particular circumstances.

Major non-conformity

A major non-conformity violates the integrity of the certification Scheme and has to be corrected before the endorsement of the Scheme.

NA

Not applicable.

Only a positive conclusion on conformity was considered to meet the PEFC requirements. The Scheme elements indicating minor or major non-conformities were classified as not meeting the performance level set for the endorsed Scheme. PEFC requirements were classified as not applicable if they related to a standard development phase or process not relevant to PEFC UK. These included, e.g., requirements specific to the development of a new standard in the assessment of a standard revision process, and requirements related to the processing of complaints when no complaints had been received.

5. STRUCTURE OF THE APPLICANT SYSTEM

PEFC UK Ltd

The PEFC UK Certification Scheme is governed by PEFC UK Ltd, a company created in 2000 to act as the national governing body of PEFC in the UK.

PEFC UK Ltd. is responsible for:

- Managing and developing the PEFC UK Certification Scheme and ensuring its conformity with the PEFC International requirements
- Issuing all documentation related to the administration and implementation of the PEFC UK
- Setting eligibility criteria for, maintaining a register of, and monitoring the performance of accredited and notified certification bodies carrying out third-party audits under the PEFC UK
- Ultimately handling complaints, appeals and disputes arising out of the operation of the PEFC UK that are not successfully resolved through other means
- Issuing the licence for use of logos, claims and labels used in association with the PEFC UK

The company is guided by a Board of Directors and its daily activities are managed by its staff members including the Executive Director.

The PEFC UK Certification Scheme and its requirements are described in a document called PEFC UK Certification Scheme for Sustainable Forest Management. This document is referred to as “PEFC UK” in this report.

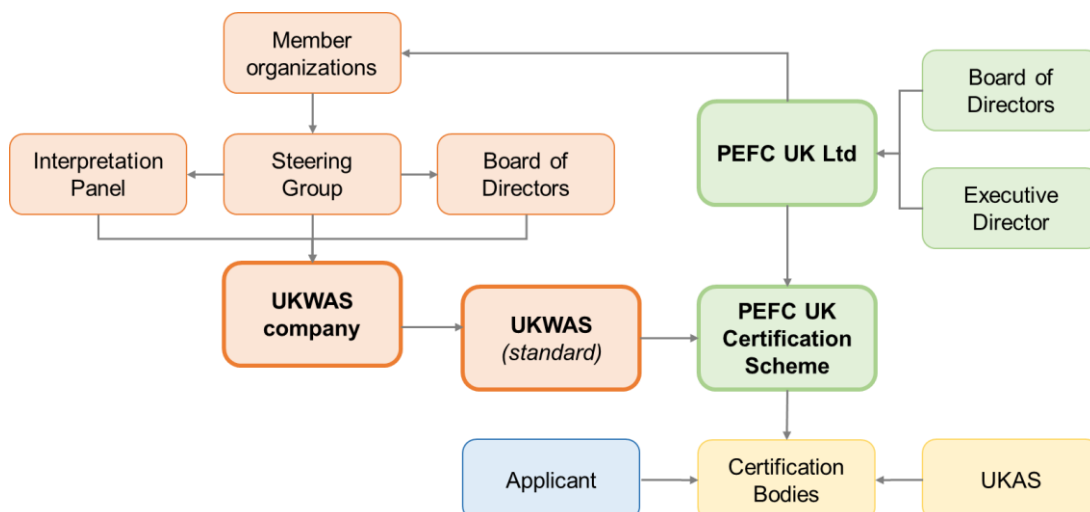
UKWAS

The PEFC UK Certification Scheme does not have its own comprehensive set of requirements for sustainable forest management, but instead recognises and adopts those of the United Kingdom Woodland Assurance Standard (hereafter “UKWAS”). The UKWAS has been designed to reflect the sustainable forest management requirements of both PEFC and FSC international benchmarks in the context of the UK, thus removing the need for creating and managing two separate standards for sustainable forest management in the country.

The UKWAS is managed by an eponymous not-for-profit company UKWAS. For clarity, the company is referred to as “UKWAS company” herein.

UKWAS company was created in 2002 to act as the organisation owning and managing the UKWAS. The company is governed by a Steering Group, appointed by the company’s member organisations that represent a broader stakeholder basis. The Steering Group appoints a Board of Directors and an Interpretation Panel. The former consists of five Directors and a Secretary who are responsible for running the daily activities of the company. The latter provides advice on the interpretation of the standard. PEFC UK Ltd is a member of the UKWAS company.

Figure 5.1 Structure of the Applicant System



Organizations in Accreditation and Certification

The PEFC UK has adopted the PEFC Annex 6 on Certification and Accreditation Procedures as the reference document for accreditation and certification procedures in forest management certification. The Scheme recognizes accreditations of the national United Kingdom Accreditation Service (UKAS) and other accreditation bodies meeting the accreditation requirements. The PEFC UK website³ lists 16 certification bodies accredited by the UKAS, or accreditation bodies in their countries of origin, and notified by PEFC to conduct chain of custody audits in the UK. The UKAS lists Soil Association as the only UK certification body accredited for SFM certification.

Applicants

The certification applicants can be either individuals or groups, as certification of both types is recognised by the Scheme.

Individual applicants are defined by the Scheme as forest owners or other enterprises seeking certification for the woodland they own or manage. The applicants are not restricted based on the size or the types of woodland or forest they own or manage. Group certification is available for forest owner or manager groups who have come together to make a single forest certification application.

³ <https://www.pefc.co.uk/chain-of-custody-logo-use/certification-bodies/>

6. STANDARD-SETTING PROCEDURES

6.1 Introduction

PEFC UK has adopted the UKWAS as its standard for sustainable forest management. Consequently, the assessment of conformity of the standard-setting procedures considered the procedures required by UKWAS. These are described in the document UKWAS Standard-Setting Process Version 3, from November 21, 2019 (hereafter “SSP”).

The SSP was assessed for conformity against the requirements set by the PEFC ST 1001:2017. The two documents apply different structures, due to which individual PEFC ST 1001:2017 requirements typically need to be assessed against multiple sections of the SSP that include corresponding relevant contents.

The current version of the SSP is adjusted for guiding a standard revision process rather than the development of a new standard, as this is currently the relevant scope for UKWAS. Therefore, some requirements of the PEFC ST 1001:2017 related to the development of a new standard were not directly featured in the SSP. This was not considered to impose non-conformity as those requirements were deemed not applicable.

The procedures described by the SSP were, however, also used as the basis for the development of a new standard for the certification of Trees outside Forests. Implications to the TOF standard-setting process are covered under chapter 10.

A summary of the main findings is provided below, following the structure of the PEFC ST 1001:2017. The checklist is included in Annex 1 (PEFC Checklist - Standard Setting Procedures and Process, p. 47).

Altogether, **16 minor non-conformities** were identified in the standard-setting procedures.

6.2 Findings of the Assessment

Standardizing Body

The SSP contents corresponding with the PEFC ST 1001:2017 chapter *Standardizing Body* are found under chapters *B. Participatory Process* and *C. Governance*.

The assessment identified the following non-conformities:

- **Minor non-conformity:** Benchmark 5.1.2. The SSP does not stipulate consideration of stakeholder feedback in relation to reviewing the standard-setting procedures.
- **Minor non-conformity:** Benchmark 5.2.1 (d). The SSP does not require keeping documented information of participants in each Working Group meeting.

Standard-setting Process

The majority of the actual standard-setting process stipulated by the SSP is described under chapter *B. Participatory Process*. Additional SSP contents corresponding with the PEFC ST 1001:2017 chapter *Standard-setting process* are scattered across the other parts of the SSP.

The assessment identified the following non-conformities related to this chapter:

- **Minor non-conformity:** Benchmark 6.3.1 (e). The SSP does not require the public announcement to include an explicit invitation to submit feedback on the scope and the standard-setting process.
- **Minor non-conformity:** Benchmark 6.3.2. The SSP only considers feedback in the context of revising the standard but not in the context of revising the standard-setting process or procedures as required by the PEFC ST 1001:2017.

- **Minor non-conformity:** Benchmark 6.4.2 (b). The SSP makes no requirement for affected stakeholders to be represented in an appropriate proportion.

Comments:

- Benchmark 6.1.1: The concept of the standard proposal is not featured in the SSP. However, most of the PEFC ST 1001:2017 requirements regarding the standard proposal are relevant for the development of a new standard, while the focus of the SSP is in standard revision as currently relevant for UKWAS.

The issue of the standard proposal concept not being featured in the SSP was not considered to impose a direct non-conformity for the UKWAS, as the PEFC ST 1001:2017 requirements regarding the proposal mainly concern the development of new standards while the scope of the SSP is currently in the standard revision of the UKWAS. The proposal elements required by the PEFC ST 1001:2017 to be included in the standard revision (benchmark 6.1.2) are covered in the SSP through other means. The issue may become problematic when the SSP is used for the development of a new standard, as was the case in TOF (see chapter 10).

Approval and Publication

The SSP includes sections dedicated to the approval of the standard (B3.8 and C4) but lacks contents related to the publication of the standard. Four non-conformities were identified related to requirements under the *Approval and publication* chapter of the PEFC ST 1001:2017:

- **Minor non-conformity:** Benchmark 7.2.1. The SSP does not set requirements regarding publishing or public availability of the approved standard.
- **Minor non-conformity:** Benchmark 7.2.2 (a, d). The SSP does not require that the standardising body identification and contact information, the approval date, and the date of the next periodic review would be included in the standard.
- **Minor non-conformity:** Benchmark 7.2.3. The SSP does not require making the standard available in printed copies.
- **Minor non-conformity:** Benchmark 7.2.4. The development report component *list of stakeholders identified in the stakeholder mapping* (refer to PEFC GD 1007 requirement 6.1.3), is not required in the SSP to be made publicly available.

During discussions with the PEFC UK, it was indicated that stakeholder lists (referring to benchmark 7.2.4) have not been published due to privacy regulations such as General Data Protection Regulation (GDPR). As a preliminary solution, it was agreed that this could be done on a higher level (e.g., organisation level) and not at the level of individuals.

Periodic Review of Standards

The SSP has a chapter titled *D. Review and Revision of the Standard*, which is the main equivalent to this chapter of the PEFC ST 1001:2017. Related to this chapter, the assessment identified the following non-conformities:

- **Minor non-conformity:** Benchmark 8.2.1. The SSP recognises the utilisation of feedback submitted during the standard life span but does not require establishing and maintaining a permanent feedback mechanism.
- **Minor non-conformity:** Benchmark 8.2.2. The PEFC ST 1001:2017 places broader requirements for feedback collection and utilisation than the SSP.
- **Minor non-conformity:** Benchmark 8.5.3. The SSP does not include a requirement for the standardising body to publicly justify its decision to reaffirm the standard.

Comments:

- Benchmark 8.5.2: To avoid potential confusion, the wording of the SSP is recommended to be revised so that it clearly establishes the Steering Group as the body responsible for the final decision on whether or not to revise the standard.
- Benchmark 8.5.3: It is recognised that in practice, a decision to reaffirm the UKWAS would be very unlikely, as reflected by the concept of “reaffirming” not being featured in the SSP.

Revision of Standards

As with the previous chapter, the main equivalent for this PEFC ST 1001:2017 chapter in the SSP is chapter *D. Review and Revision of the Standard*.

The benchmark requirements under this chapter that concern editorial revision and time-critical revision were deemed not applicable in the case of the UKWAS, as these processes were not relevant for the normal standard revision that was carried out.

The assessment identified the following non-conformities:

- **Minor non-conformity:** Benchmark 9.1. There are minor non-conformities under section 6 of the PEFC ST 1001:2017 with the following benchmark requirements for procedures: 6.3.1 (e), 6.3.2, 6.4.2 (b).
- **Minor non-conformity:** Benchmark 9.4.1. The SSP does not require a definition of the application date and transition period.
- **Minor non-conformity:** Benchmark 9.4.2. The SSP does not place a requirement for there to be a maximum of one year between the standard publication and the application date.
- **Minor non-conformity:** Benchmark 9.4.3. The SSP places no requirements related to the duration of the transition period.

6.3 Assessment of Conformity

The PEFC ST 1001:2017 checklist included non-conformities with 16 benchmarks concerning the standard-setting procedures. All non-conformities were considered minor.

In the current state, the standard-setting procedures adopted by the PEFC UK **do not comply** with the PEFC ST 1001:2017 requirements.

7. STANDARD-SETTING PROCESS

7.1 Introduction

The PEFC UK adopts the UKWAS as the standard for sustainable forest management requirements. Therefore, the assessment of conformity of the standard-setting process considered the process implemented in the UKWAS revision.

The PEFC UK scheme document also places some requirements for sustainable forest management that are additional to those of the UKWAS. This mainly concerns requirements related to internal audit, management review, and improvement. The standard-setting process regarding these requirements could not be assessed, as the PEFC UK scheme document was developed through a separate and more straightforward process after the UKWAS. It is recommended that this aspect is addressed when conducting the next standard development or revision process.

A stakeholder interest group raised concerns over the revised UKWAS standard after the standard revision process had been completed. Part of their criticism was directed towards the standard-setting process, as reported below under sections Findings of the Assessment, and Assessment of Conformity.

The UKWAS review and revision process was assessed against the requirements of the PEFC ST 1001:2017, based on the process description and documentation submitted to the assessor (see section 4.1 for the list of documents). The summary of the main findings from the assessment is presented below, following the structure of the PEFC ST 1001:2017. The checklist is included in Annex 1 (PEFC Checklist - Standard Setting Procedures and Process, p. 47).

Development of the standard for certification of TOF was carried out as an individual process, which is assessed for conformity under chapter 10.

The assessment identified **four (4) minor non-conformities** in the UKWAS standard-setting process.

7.2 Findings of the Assessment

Standardizing Body

The process required by the PEFC ST 1001:2017 under this chapter was considered to have conformed with the benchmark requirements.

Comments:

- Benchmark 5.3.2: A contact point was practically available, but it is recommended that during the next standard revision or development process there is a contact point that is explicitly dedicated for enquiries, complaints and appeals relating to the standard-setting activities.

Standard-setting Process

Despite the non-conformities identified in the procedures required by the PEFC ST 1001:2017 herein, the implemented process was found to have been largely in line with the benchmark requirements. The assessment identified a single non-conformity:

- **Minor non-conformity:** Benchmark 6.3.1 (e). There was no explicit invitation in the public announcement to submit feedback on the scope and the standard-setting process. The non-conformity should be noted and corrected during the next standard-setting process.

Comments:

- **Benchmark 6.4.2:** Adequacy of the Working Group composition was challenged by stakeholder complaints submitted after the standard-setting process. It is the assessor's view that there has not been a violation of the PEFC requirements regarding the process of nominating the WG and its final composition. WG nominations were collected through a participatory process and the final composition demonstrated stakeholder representation that can be considered sufficiently balanced between different interest groups and justified for the purpose. The composition was approved unanimously by the Steering Group, which itself comprises a large stakeholder base also involving representation of the stakeholder interest group that raised the complaint (*UKWAS SG mtg minute DRAFT 21 May 2020.docx*).

Approval and Publication

The approval and publication processes were found to have been by large in line with the PEFC ST 1001:2017 requirements. One non-conformity was identified:

- **Minor non-conformity:** Benchmark 7.2.4. Development report components defined in PEFC GD 1007 requirement 6.1.3 have been made publicly available on the UKWAS website except for 6.1.3 (b), i.e., the *list of stakeholders identified in the stakeholder mapping*. The non-conformity should be subject to corrective action within six (6) months.

Periodic Review of Standards

The review process was found to have been largely in line with the benchmark requirements. One non-conformity was identified:

- **Minor non-conformity:** Benchmark 8.2.1. General contact information is available on the UKWAS website, but this is not provided in the context of a permanent feedback mechanism intended for collecting and recording feedback on the standard. The non-conformity should be subject to corrective action within six (6) months.

Revision of Standards

The PEFC ST 1001:2017 requirements concerning editorial revision and time-critical revision under this chapter were deemed not applicable, as the process was carried out as a normal standard revision. This revision process was found to have been largely in line with the benchmark requirements. One non-conformity was identified:

- **Minor non-conformity:** Benchmark 9.1. There is a minor non-conformity with the benchmark 6.3.1 (e) requirements for the process, which prompts a minor non-conformity also with benchmark 9.1. The non-conformity should be noted and corrected during the next standard-setting process.

7.3 Assessment of Conformity

Stakeholder Criticism Regarding the Standard-setting Process

Some stakeholder groups raised concerns after the standard-setting process on the potential implications of the revised UKWAS to their activities. This criticism also extended to the impartiality of the Working Group and the process that was followed during the standard revision.

Concerning the former aspect, it is the assessor's view that the PEFC requirements for working groups were not violated (see the comment related to benchmark 6.4.2).

The latter allegation was specifically that UKWAS clauses 4.10.1 (b) and (c), as well as the definition of HCV areas, were inserted to the standard by the Working Group on short notice and without the Steering Group or other stakeholders given adequate time and opportunities to assess them. After interviews with the concerned parties, the review of the Working Group and Steering Group meeting minutes and the review of the UKWAS public consultation drafts, it is the assessor's view that the changes to the standard were highlighted and there were sufficient opportunities to bring up the issue and/or present sustained opposition during the standard approval process.

Conclusion

Indufor concludes that the PEFC ST 1001:2017 checklist included minor non-conformities in the Scheme related to process requirements of four (4) benchmarks. Due to these remaining minor non-conformities, the Scheme standard-setting process **does not fully comply** with the PEFC ST 1001:2017 requirements.

Our recommendation is that two of the non-conformities are noted for correction during the next standard-setting process and the other two of the non-conformities are addressed through corrective action within six months, as specified above.

8. FOREST MANAGEMENT STANDARD

8.1 Introduction

The PEFC UK adopts the UKWAS as its standard for sustainable forest management.

In addition, the PEFC UK scheme document sets some further requirements regarding SFM systems for certification under the PEFC UK scheme. These additions are intended to bridge the remaining gaps between the UKWAS and the requirements of the PEFC ST 1003:2018 benchmark.

The UKWAS applies a notably different structure than the PEFC ST 1003:2018. Therefore, there are typically multiple UKWAS sections scattered across the document that include contents corresponding with (or relevant to) individual benchmark requirements. The UKWAS SFM requirements are presented in a table format that includes three standard columns under each thematic chapter: *Requirement*, *Example verifiers* and *Guidance*. Only the contents under the column *Requirement* are considered normative requirements for the standard, whereas the other two provide supporting information and non-mandatory suggestions and recommendations.

The requirements set by the UKWAS and the PEFC UK were assessed against the requirements set by the PEFC ST 1003:2018. A summary of the findings is presented below, following the structure of the PEFC ST 1003:2018. The checklist is in Annex 1 (Checklist: Sustainable Forest Management, p. 110).

The assessment identified **eight (8) minor non-conformities** with individual benchmark requirements.

8.2 Findings of the Assessment

Context of the national standard and the organisations applying a PEFC-endorsed standard

Contents addressing this PEFC ST 1003:2018 are found mainly in the UKWAS chapter 2. *Management planning*. Chain of custody -related contents are included in the PEFC UK. One non-conformity was identified, related to third-party rights:

- **Minor non-conformity:** Benchmark 4.1 (c). The UKWAS SFM requirements do not necessarily apply for all activities done by third parties on a certified WMU. The UKWAS includes mechanisms to mitigate the sustainability risk resulting from such deviations, but the issue still presents a non-conformity with the PEFC requirements.

Leadership

The PEFC ST 1003:2018 contents under this brief chapter concern the certificate holder's commitment and general distribution of responsibilities. The respective UKWAS requirements are found under multiple chapters of the UKWAS. One non-conformity was identified:

- **Minor non-conformity:** Benchmark 5.2. Benchmark definition for *publicly available* is included in the PEFC ST 1001 2017 chapter 3 Terms and Definitions, which defines it as *generally accessible to the interested public in any form and without the need for a request*. In the UKWAS requirement, the availability of the commitments is subjected to a request.

Planning

Chapter 2 of the UKWAS titled *Management planning* is basically the main correspondent to this PEFC ST 1003:2018 chapter. However, legal compliance issues are addressed in a

separate chapter 1. *Legal compliance and UKWAS conformance* and workers' rights issues under chapter 5. *People, communities and workers*.

The UKWAS was found to be in line with the requirements of this chapter, with one recommendation included as a comment.

Comments:

- **Benchmark 6.3.1.2:** It is recommended that the requirement for the organisation to comply with applicable international legislation is made explicit under the UKWAS chapter 1 and that the section *Main legislation, regulations, guidelines and codes of practice referred to in the UKWAS* under References is updated to reflect international legislation.

Support

The Scheme contents corresponding with this benchmark chapter are found both in the UKWAS and in the PEFC UK. There are no identified non-conformities in relation to this chapter's requirements.

Operation

The UKWAS chapter 3 is titled *Woodland operations*, but its contents are narrower than those of the *Operation*-chapter of the PEFC ST 1003:2018. Sections from other parts of the UKWAS, mainly chapter 2. *Management planning* and 4. *Natural, historical and cultural environment*, also address benchmark requirements under *Operation*.

The assessment identified the following non-conformities:

- **Minor non-conformity:** Benchmark 8.1.4 (general). The guidance included in the UKWAS clause 2.13.1 appears to allow certification of areas converted to forest plantations after the PEFC ST 1003:2018 cut-off date (2010), in case the conversion has not been implemented by the current land owner.
- **Minor non-conformity:** Benchmark 8.1.4 (b, e). The benchmark allows for a maximum of 5 % of the concerned forest type within the certified area to be converted, which is practically lower than the maximum of 5 % of the total woodland management unit area required by the UKWAS. Also, the UKWAS does not reflect the PEFC ST 1003:2018 requirement for conversion to contribute to economic benefits.
- **Minor non-conformity:** Benchmark 8.1.6 (c). A positive long-term impact on forest vegetation carbon sequestration is not explicitly required in the UKWAS in the context of replacing degraded forests with forest plantations.
- **Minor non-conformity:** Benchmark 8.4.3. The UKWAS does not explicitly ban commercial exploitation of threatened or endangered species.
- **Minor non-conformity:** Benchmark 8.6.5. While the UKWAS requires a high level of consultation with stakeholders in general, it does not directly require the utilisation of the information specified in the PEFC ST 1003:2018 and it takes no stand on the related benefit-sharing.
- **Minor non-conformity:** Benchmark 8.6.7. The UKWAS introduction establishes that *should* state a mandatory requirement when applied under the column *Requirements*. However, the UKWAS does not meet the PEFC ST 1003:2018 requirement as it only requires the owner/manager to consider contributing to research activities (or supporting them).

Comments:

- Benchmark 8.1.4 (b): The PEFC requirements related to forest conversion present a complex issue in the context of the UK. UKWAS did not find an appropriate definition of forest type to be applied to this benchmark requirement. Also, due to the UK land use history, in some locations, the current forests may not represent the ecologically and culturally most valuable land use as opposed to a non-forested alternative. This can render conversion a sustainable and well-justified option on such sites.
- Benchmark 8.6.5: The benchmark requirement on utilising, benefitting and sharing the benefit from local/traditional knowledge is difficult to implement in the context of the UK.
- Benchmark 8.6.7: To avoid potential different interpretations concerning the level of requirement, it is recommended that the use of terms *should* and *shall* in the UKWAS is harmonized with their use in the PEFC documents.

Concerning conversion of ecologically important non-forest ecosystems: The PEFC ST 1003:2018 benchmark 8.1.5 bans afforestation of ecologically important non-forest ecosystems unless under justified circumstances, which are further defined by sub-requirements a–f. The UKWAS glossary defines ecologically important non-forest ecosystems as high conservation value (HCV) areas, which, based on UKWAS clause 4.1.1, are to be maintained. This is interpreted by the assessor as a categorical ban on afforestation of ecologically important non-forest ecosystems under UKWAS, which renders benchmark 8.1.5 sub-requirements a–f not applicable.

Performance evaluation

Performance evaluation required by the PEFC ST 1003:2018 involves three levels (i. monitoring, measurement, analysis and evaluation, ii. internal audit, and iii. management review). The monitoring, measurement, analysis and evaluation requirements are set by various UKWAS sections whereas internal audit requirements and management review requirements are set by the PEFC UK. The requirements set by the PEFC UK are given in the context of group certification, but the PEFC UK includes a statement that they shall be adapted for individual certificate holders as well. The assessment did not identify non-conformities related to the benchmark requirements.

Improvement

The PEFC UK requirements for nonconformity, corrective action and continual improvement are also given in the context of group certification, but the PEFC UK includes a statement that they shall be adapted for individual certificate holders as well. The assessment did not identify non-conformities related to the benchmark requirements.

8.3 Assessment of Conformity

Concerns were raised by some stakeholder groups after the standard-setting process on the implications of the revised UKWAS to their activities (see chapter 12 on Stakeholder Views). Related to the standard's SFM requirements, two issues were pointed out:

1. High conservation value (HCV) areas are not well defined in the UKWAS. As the UKWAS places limitations on the activities and operations in HCV areas, the extent of the practical implications remains unknown.
2. The definitions for priority species were considered to include some unclarities.

While these are not non-conformities as such against the PEFC ST 1003:2018 requirements, it is recommended that these issues are clarified.



Nevertheless, due to the eight (8) minor non-conformities identified in the Scheme's SFM requirements, the PEFC UK **does not fully comply** with the benchmark requirements of the PEFC ST 1003:2018.

9. GROUP CERTIFICATION MODEL

9.1 Introduction

The PEFC UK Certification Scheme for Sustainable Forest Management (hereafter PEFC UK) allows for two main levels at which a woodland owner or a forest enterprise may apply for forest management certification, namely individual certification and group certification.

The PEFC UK describes the requirements for group management certification in the document PEFC UK Certification Scheme for Sustainable Forest Management in chapters 6.3.3–6.3.18.

The requirements on group forest management in the PEFC UK Certification Scheme for Sustainable Forest Management (chapters 6.3.3–6.3.18) are assessed against the PEFC 1002:2018. A summary of the findings is presented below. The checklist is in Annex 1 (Checklist: Group Forest Management Certification, p. 190).

The assessment **did not identify non-conformities** related to the Scheme's group certification model.

9.2 Findings of the Assessment

Although the structure of the group forest management in the PEFC UK document does not follow the PEFC ST 1002:2018, the contents of the requirements are to a considerable extent identical.

Comment:

In several benchmarks throughout the PEFC UK document, the requirements are defined as “scheme requirements”, while PEFC ST 1002:2018 defines the requirements to be in the standard.

Context of the Group Organisation

The PEFC UK defines group certification to be where a number of (usually small) forest owners group their forests together and make a single Forest Certification application and defines various categories of “groups” for which the Scheme may be applicable.

PEFC UK defines both a *Group Manager* and a *Group Entity* and recognises that the responsibilities between them may differ between different certification schemes depending on the local circumstances. The group management system's scope and role in monitoring and annual audits are defined.

In addition to the definitions provided in the PEFC UK, with regards to the terminology, the PEFC UK refers to section 3 of the PEFC ST 1002:2018.

PEFC UK defines that all members of the group *must formally commit to complying with all the requirements of UKWAS in respect of all forest areas included within the scope of the particular group scheme concerned*. This implies that all requirements of the sustainable forest management standard are applicable to the forest management unit level. The PEFC UK does not include definitions of the SFM requirements that can be fulfilled at the group level.

Leadership

The PEFC UK defines the leadership for the group management certificate to be under and *Group Manager* and/or a *Group Entity*. Recognising that the responsibilities of the *Group Manager* and a *Group Entity* may differ between different certification schemes, the PEFC UK in defining the responsibilities of the leadership has as headings *Responsibilities of the Group Manager/Group Entity, ensuring that the requirements are fulfilled regardless of roles between the two*.

The roles and responsibilities of the participants in clearly outlined. The PEFC UK includes a chapter where the requirements on commitment and policy are outlined in the text that is identical to the PEFC ST 1002:2018.

Planning

With regards to the definitions of terms, the PEFC UK refers to the PEFC ST 1002:2018, where there is a definition of the group management plan. The PEFC UK includes requirements on planning, i.e. to plan so that the requirements of the group certification standard and the sustainable forest management standard are met, implement the actions in the management plan as well as how changes in the management plan are to be done.

Support

Chapter 6.3.10 “Support” in PEFC UK outlines the support functions with regard to group management certification. The chapter outlines requirements on resources for the group management system, competence requirements as well as requirements on communication processes and resolving complaints and disputes and requirements on the documented information.

Operation

Chapter 6.3.11 “Operation” in PEFC UK outlines the operations functions with regard to group management certification. The PEFC UK includes requirements about planning, implementing and controlling processes as well as requirements on how changes in the management plan are to be done.

Performance Evaluation

Performance evaluation concerning group management certification is outlined in two chapters in PEFC (6.3.12 and 6.3.13). The chapters include requirements for the ongoing internal monitoring programme, the management review and the internal audit. With regards to the latter, PEFC UK includes requirements on the coverage, selection of participation as well as sampling.

Improvement

Requirements for improvement of the performance for group management certification are in PEFC UK outlined in chapter 6.3.15. Here PEFC UK defines requirements with regards to how to act when a non-conformity occurs, the retainment of documented information as well as how to deal with participants excluded from the group certificate and the continual improvement of the group management system.

9.3 Assessment of Conformity

The assessment concludes that the PEFC UK **complies** with the PEFC 1002:2018 requirements.

10. STANDARD FOR CERTIFICATION OF TREES OUTSIDE FORESTS

10.1 Introduction

Certification requirements for trees outside forests (TOF) were created as a new component to be included in the revised PEFC UK scheme of 2022. The Scheme is among the first submitted to PEFC Council for endorsement to include a TOF standard.

The PEFC UK requirements for certification of TOF are described in a separate standard document titled Trees Outside Forests Certification Standard (hereafter “PEFC UK TOF”). The scope of the PEFC UK TOF includes urban street trees.

The PEFC UK TOF was developed following the UKWAS revision, taking advantage of the opportunity to utilise the structures of the UKWAS process. The demand was reportedly rising among some stakeholder groups to develop requirements for TOF certification. The standard-setting process is built on the main features set by the UKWAS standard-setting procedures (the SSP). It was carried out by a small stakeholder-based task force (Working Group). The UKWAS requirements and basic structure were taken as the starting point and modified to be applicable in the context of TOF. The process paid respect to the requirements of the PEFC ST 1003:2018 and the interpretation guidelines included in its Appendix 2.

The TOF development process is characterized by its pioneer nature and the apparent lack of clear instructions for process requirements to be followed. The process has largely been a pragmatic one. This assessment has considered these special features when concluding conformity.

The following sections include the main findings from the assessment of conformity of the standard-setting process and the performance requirements of the TOF standard. The detailed checklists are included in Annex 1.

10.2 Findings of the Assessment

10.2.1 Standard-setting Procedures for TOF

The TOF standard development process is built on the UKWAS standard-setting procedures, defined in the UKWAS Standard-Setting Process Version 3.0 (November 21, 2019) (“SSP”). These procedures are described and assessed for conformity with the PEFC ST 1001:2017 requirements under chapter 6 of this report, and the detailed assessment is included in Annex 1 (Checklist: Standard Setting Procedures and Process, p. 47).

The current UKWAS standard-setting procedures are adjusted for standard revision, which is currently the relevant scope for UKWAS, while in the case of the PEFC UK TOF, a new standard was created. This scope difference has likely contributed to some gaps that remain in the implemented standard-setting process assessed against the PEFC ST 1001:2017 requirements.

10.2.2 Standard-setting Process for TOF

The PEFC UK TOF was created by a small Working Group comprising stakeholders with interest and experience in working with urban trees. The WG adopted the revised UKWAS as the starting point and modified it according to the requirements set by the PEFC ST 1003:2018 and its Appendix 2. The standard-setting process was built on the procedures set by the UKWAS SSP.

The standardising body and the WG reportedly assumed that the TOF certification requirements would be developed into an annex to the main scheme, hence applying a more light-touch process, and only received PEFC instructions to publish TOF certification requirements as an individual standard after the development process was complete.

This conformity assessment of the standard-setting process is based on the process description and supporting documentation submitted by PEFC UK.

The standard-setting process was assessed against the requirements of the PEFC ST 1001:2017. It was also assessed against the additional process requirements set by the PEFC document Assessment and Endorsement of national Trees outside Forests standards, approved by the PEFC Board on March 8, 2023 (hereafter “additional PEFC requirements”). The assessment considered the pioneering nature of the TOF standard-setting process.

This section presents a summary of the main findings of the assessment, following the structure of the PEFC ST 1001:2017. The checklists for the PEFC ST 1001:2017 requirements and the additional PEFC requirements are included in Annex 1 (Checklist: Standard Setting Process for TOF, p. 226; and Checklist: Complementary Trees outside Forests, p. 316).

Altogether, the assessment identified **five (5) minor non-conformities** with requirements set by the PEFC ST 1001:2017, and **two (2) minor non-conformities** with the additional PEFC requirements. The non-conformities and additional comments are detailed under their respective sections below.

Standardising Body

Multiple requirements of the PEFC ST 1001:2017 under this chapter are specific to standard-setting procedures only and are thus not relevant to this assessment. The WG process and composition were discussed multiple times during the conformity assessment with the PEFC UK and ultimately considered adequate for the purpose. The assessment did not identify non-conformities related to the benchmark requirements herein.

Standard-setting Process

The WG worked through e-mail correspondence and video conferences. Multiple requirements related to technical solutions for working group voting and resolution methods addressing sustained opposition were not applicable for assessment as there had been no need to resort to them during the standard-setting process.

The assessment identified the following non-conformities in relation to the PEFC ST 1001:2017 requirements under this chapter:

- **Minor non-conformity:** Benchmark 6.1.1 (a–e). The PEFC UK did not create a formal proposal equivalent to the PEFC ST 1001:2017 requirement. The non-conformity should be noted and corrected during the next standard-setting process.
- **Minor non-conformity:** Benchmark 6.3.1 (a–f). There was no formal public announcement of the start of the standard-setting process. The non-conformity should be noted and corrected during the next standard-setting process.
- **Minor non-conformity:** Benchmark 6.5.1 (a, g). The announcement of public consultation was published on the same day when the public consultation began, which does not explicitly meet the benchmark requirement. Also, the feedback synopsis was not made publicly available or sent to stakeholders. The non-conformity should be noted and corrected during the next standard-setting process.

Comments:

- Benchmark 6.1.1: The lack of proposal is attributable to the pilot nature of the TOF standard development. There were few instructions available for the process of developing requirements for TOF certification as the system is still new and shaping up within PEFC. At the time when the PEFC UK TOF requirements were being developed, they were assumed to comprise an annex to the main scheme. It was only after this process was complete when instructions were received from PEFC to develop TOF requirements as new standards. At that stage, many standard

development process requirements set by the PEFC ST 1001:2017 could not be applied retrospectively to their regular full extent.

- Benchmark 6.3.1: The lack of public announcement is attributable to the pilot nature of the TOF standard development – see comment regarding benchmark 6.1.1. Updates of the process and its objectives were, however, frequently communicated in journals and online. A dedicated page on the PEFC UK website was being updated as the process moved ahead (<https://www.pefc.co.uk/forestry/exploring-certification-solutions-for-trees-outside-forests/>).
- Benchmark 6.5.1 (g): The issues related to the feedback synopsis are attributable to the pilot nature of the TOF standard development – see comment regarding benchmark 6.1.1.

Approval and Publication

The assessment identified the following non-conformities against requirements under this chapter of the PEFC ST 1001:2017:

- **Minor non-conformity:** Benchmark 7.2.2 (a, d). The PEFC UK TOF does not include contact information of the standardising body or the date of the next periodic review. The non-conformity should be subject to corrective action within six (6) months.
- **Minor non-conformity:** Benchmark 7.2.4. The development report has so far not been made publicly available. The non-conformity should be subject to corrective action within six (6) months.

Review and Revision of Standards

Process conformity assessment concerning the requirements for periodic review and revision of the standard was not applicable as the standard-setting process concerned the creation of a new standard.

Additional PEFC Process Requirements

The additional PEFC process requirements, set by the document Assessment and Endorsement of national Trees outside Forests standards, concern three thematic areas: (i) setting consensus-based definitions for selected key concepts, (ii) defining categories for agriculture and settlement-based TOF with thresholds for intensive and extensive TOF, and (iii) developing methods to define the TOF certified area.

The PEFC UK TOF process was found to be in line with all but two of these requirements. Therefore, the assessment concluded with two non-conformities, both of which were considered minor:

- **Minor non-conformity:** Additional PEFC requirements. The Scheme applies two different definitions for forest. The non-conformity should be subject to corrective action within six (6) months.
- **Minor non-conformity:** Additional PEFC requirements. The Scheme does not make an explicit requirement for certified TMU and WMU areas not to overlap. The non-conformity should be subject to corrective action within six (6) months.

Conclusions from Conformity Assessment of the Standard-Setting Process

The assessment identified a total of seven non-conformities regarding the requirements set by PEFC on TOF standard development process. Given the context of the standard development process, all non-conformities were considered minor. They mainly stem from the pioneering nature of the work, implemented with limited guidelines regarding the process requirements.

10.2.3 Standard for Certification of TOF

The PEFC UK requirements for certification of TOF are described in the PEFC UK TOF document. This document follows the same basic structure as UKWAS, but the contents have been revised and modified to be applicable in the context of TOF with respect to the PEFC 1003:2018 Appendix 2 guidelines.

The PEFC 1003:2018 Appendix 2 divides TOF into TOF-agriculture and TOF-settlement and requires that the national scheme determines an applicable threshold to differentiate between intensive and extensive versions of TOF management. The PEFC UK TOF adopts an approach in which all TOF-settlement systems will be deemed extensive, unless they meet the following requirements:

- Income generation is the primary objective of the TOF management unit, and
- Annual income from the TOF management unit exceeds GBP 200 000.

The current scope of the PEFC UK TOF only includes urban street trees, which are counted as TOF-settlement. Parks are outside the scope and there is no component for TOF-agriculture for the time being.

As the PEFC UK TOF is based on the UKWAS, both the structure of the two documents as well as their requirements are analogical to a large extent, up to the level of being congruent in some individual sections.

The PEFC UK TOF was assessed for conformity against the PEFC 1003:2018 checklist, including amendments stipulated by the PEFC 1003:2018 Appendix 2 (Guidelines for the interpretation of requirements for Trees outside Forests).

A summary of the findings is presented below, following the structure of the PEFC 1002:2018. The checklist is included in Annex 1 (Checklist: Sustainable Forest Management, Trees outside Forests, p. 248).

Altogether, **four (4) minor non-conformities** were identified in the TOF performance requirements.

Context of the National Standard and the Organisations Applying a PEFC-endorsed Standard

This section included a minor non-conformity related to the required management system scope:

- **Minor non-conformity:** Benchmark 4.3.1. The PEFC UK TOF allows for flexibility in meeting the standard requirements leaving the interpretation to CBs, which means that practically different scope-setting requirements may apply for different TMUs.

Leadership

No non-conformities were identified in relation to the benchmark requirements under this chapter.

Planning

No non-conformities were identified in relation to the benchmark requirements under this chapter.

Support

No non-conformities were identified in relation to the benchmark requirements under this chapter.

Operation

Various benchmark requirements under *Operations* were found to be not applicable to the scope of the PEFC UK TOF that only involves urban street trees. These included, e.g., requirements related to forest conversion and conversion of ecologically important non-forest ecosystems (benchmarks 8.1.4 and 8.1.5), and requirements related to infrastructure.

The assessment identified the following non-conformities:

- **Minor non-conformity:** Benchmark 8.4.4. The PEFC UK TOF does not place requirements regarding the regeneration of trees.
- **Minor non-conformity:** Benchmark 8.6.5. The PEFC UK TOF requires a high level of consultation with stakeholders in general. However, it takes no stand on the benefit-sharing related to the utilisation of the information referred to in the PEFC ST 1003:2018.
- **Minor non-conformity:** Benchmark 8.6.7. Stating *should* instead of *shall*, the PEFC UK TOF has a lower level of requirements than the PEFC ST 1003:2018.

Comments:

- Benchmark 8.4.4: The benchmark requirement for the regeneration of trees is not well applicable to urban street trees. Responding to it adequately in this context requires more detailed guidelines.
- Benchmark 8.6.5: The benchmark requirement on utilising, benefitting and sharing the benefit from local/traditional knowledge is not well applicable to urban street trees.

Performance Evaluation

The internal audit requirements and management review requirements of the PEFC UK TOF are set by the PEFC UK document. The results in this section are congruent with those presented under the respective section in chapter 8. The assessment did not identify non-conformities related to the benchmark requirements.

Improvement

The PEFC UK TOF requirements for nonconformity, corrective action and continual improvement are set by the PEFC UK document. The results in this section are congruent with those presented under the respective section in chapter 8. The assessment did not identify non-conformities related to the benchmark requirements.

Conclusions from Conformity Assessment of the PEFC UK TOF

The conformity assessment identified minor non-conformities related to requirements of three (3) individual benchmark.s No major non-conformities were identified.

10.3 Assessment of Conformity

Conformity of the TOF Standard-Setting Process

The conformity assessment of the standard-setting process for the development of the PEFC UK TOF resulted in minor non-conformities with five (5) individual benchmarks of the PEFC ST 1001:2017, and two (2) minor non-conformities with additional PEFC requirements.

Therefore, **the TOF standard-setting process does not fully comply** with the PEFC requirements. Our recommendation is that three of the identified non-conformities are noted for correction during the next standard-setting process and four of the non-conformities are addressed through corrective action within six months, as specified above.

Conformity of the TOF Performance Requirements

The conformity assessment of the performance requirements set by the PEFC UK TOF resulted in minor non-conformities with requirements of four (4) individual benchmarks of the PEFC ST 1003:2018 and its Appendix 2. Therefore, **the TOF performance requirements do not fully comply** with the PEFCC requirements.

11. CERTIFICATION AND ACCREDITATION ARRANGEMENTS

11.1 PEFC UK Requirements for Certification and Accreditation of Forest Management

PEFC UK has adopted the PEFC Annex 6 on Certification and Accreditation Procedures as the reference document for accreditation and certification procedures in forest management certification. The PEFC UK Scheme Document Sections 5.8 and 6.1–6.2 repeat and partly specify the requirements. The Scheme recognizes accreditations of the national United Kingdom Accreditation Service (UKAS) and other accreditation bodies meeting the accreditation requirements. It requires that accreditation bodies shall be members of International Accreditation Forum (IAF) and comply with its procedures for accreditation services.

The Scheme requires impartial and independent accreditation that complies with the requirements of ISO 17011:2017 standard on *Conformity assessment — Requirements for accreditation bodies accrediting conformity assessment bodies* and are signatories to the multilateral agreement of the International Accreditation Forum (IAF). Accreditation to forest management and TOF certification shall be in line with the ISO 17021 standard on *Conformity assessment -- Requirements for bodies providing audit and certification of management systems*. In the chain of custody certification, the Scheme applies the PEFC ST 2003:2020 on *Requirements for Certification Bodies operating Certification against the PEFC International Chain of Custody Standard*.

Through the adoption of the PEFC accreditation rules (Annex 6) and PEFC ST 2003:2020 into the Scheme documentation, the Scheme complies with the PEFC accreditation requirements for forest management and chain of custody certification.

The PEFC UK requirements for accreditation and certification arrangements comply with the PEFC requirements.

11.2 Accreditation Requirements for Chain of custody Certification and Logo Use

PEFC UK Scheme applies the international chain of custody standard (PEFC ST 2002:2020 on *Chain of Custody of Forest and Tree Based Products – Requirements*) and subsequently, certification bodies shall comply with the PEFC ST 2003:2020.

In the use of the PEFC trademark, the Scheme relies on PEFC ST 2001:2020 on *PEFC Trademarks Rules – Requirements*.

The PEFC UK requirements for accreditation of certification bodies doing a chain of custody certification and for the use of PEFC trademark comply with the PEFC requirements.

11.3 Notification of Certification Bodies

PEFC UK is the national PEFC Governing Body in the UK. Through the adoption of PEFC Annex 6, the Scheme has complying notification requirements for forest and chain of custody certification.

The Scheme requires that the notification conditions are not discriminatory or create trade obstacles. It notifies certification bodies having valid and conforming accreditations from the UKAS or other national accreditation bodies.

(Ref. PEFC Checklist (Annex 6, 6; questions 22-23)).

The notification arrangements comply with the PEFC requirements.

12. STAKEHOLDER VIEWS

12.1 International Consultation

No feedback was received as a response to the international public consultation.

12.2 National Consultation on Standard-Setting

Indufor sent questionnaires to 78 national stakeholder organisations in November 2022 to collect their views on the standard-setting processes. Two questionnaire forms were distributed: one concerning the UKWAS standard revision and the other concerning the development of the TOF certification standard. Both forms applied the same questionnaire structure, and the former is annexed to this report as an example (Annex 3). Respondents were requested to fill in and submit the forms as applicable to their organisations.

A total of 12 responses were received. Table 12.1 shows how the respondent organisations identified themselves as per stakeholder categories. The total number of selections (25) is higher than that of the total respondents (12) as many organisations indicated multiple categories.

Table 12.1 Stakeholder Categories Indicated by Respondents

#	Stakeholder category	No. of selections
1	Administration	1
2	Forest and timber industry	1
3	Industry association/lobby organisation	4
4	Forest owner/manager	6
5	Research institute	1
6	Environmental NGO	3
7	Social NGO	3
8	Member Organisation	6
Total		25

Only one response was received concerning TOF standard development. The respondent had participated in the standard development and generally did not indicate any sort of shortcomings to have been included in the process. As an answer to the question of whether any aspects of the standard deserve further attention, they replied that the standard could look at broader applications across other TOF activities beyond the urban street trees, but that the current scope is fine for now.

The remaining 11 respondents addressed the UKWAS revision. Out of these respondents, eight replied they had participated in the standard revision process (either as member organisations of the Working Group or Steering Group or by submitting feedback) and three replied they had not. All three respondents representing the latter group indicated that they would have wanted to participate.

When asked about their main interest to consider participation in standard revision, the respondents stated, e.g., the following:

- *UKWAS should provide a balanced view and encourage good forestry practices in a clear and transparent way. It should endorse participation in sustainable forest management and assurance of the timber supply chain.*

- *UKWAS is essentially about timber production and assurance of the timber supply chain. It should hold a balanced view and enable and encourage good forestry practices in a clear and transparent way.*
- *Many of the forests that we manage are predominantly productive/commercial woodlands and therefore my main interest was to ensure that these interests are being met.*
- *To make sure the standard was clear, concise, unambiguous, and effective at delivering SFM.*

Five respondents out of the 11 formed an easily distinguishable group based on their overall responses. These organisations had a critical take on the standard development process and the resulting UKWAS draft that included two specific parts which they deemed potentially detrimental to their activities. The feedback from this group is addressed further below.

Five of the other six respondent organisations were largely positive about all aspects of the standard development and the resulting standard. One other organisation, representing an industry association/lobby organisation, did not consider the process transparent and indicated disappointment in the lack of response and feedback on their suggestions regarding the development of the standard.

Out of the 11 respondents, four stated that in their opinion all interested parties relevant to standard development had been given the possibility to contribute to the process. Three replied no and four replied I don't know. Largely similar distributions were observed with subsequent questions: Did the organiser provide you with adequate material before the process (5 yes, 3 no, 3 don't know); Did the stakeholders in the Working Group represent the different interests in a balanced way (5 yes, 3 no, 3 don't know).

Most of the respondents were either of the opinion that the revision process followed the procedures that were communicated with participants (5) or did not know (5). One respondent was of the opinion that communicated procedures were not followed.

When asked whether any aspect of the standard or its revision process would deserve further consideration, five organisations stated no and six organisations stated yes, including all five organisations referred to earlier. For these five organisations, the aspect in question was related to the two specific parts included in the standard that they saw as problematic and the process through which they were introduced. One organisation stated that the silvicultural section of the standard would require comprehensive revision to allow for new management approaches such as continuous cover forestry.

Criticism by Shooting and Game Management Organisations

Five respondents represented organisations with activities related to shooting and wildlife management. These respondents were critical towards the standard-setting process and stated concerns over the following parts of the UKWAS draft:

- Clause 4.10.1, which introduces a ban on game-release pens in HCV areas.
- Definition for priority species.

The criticism stated that neither HCV areas nor priority species are unambiguously defined in the UKWAS. A particular concern was a potential seizure of shooting activities (related to game release pens) in areas under UKWAS-based certification. The following comments have been excerpted from the feedback provided:

- *The term high conservation value is defined in the guidance provided to clause 4.10 as areas identified within the woodland management unit by example verifiers such as field observations, relevant permissions and leases and discussions with owners etc. However, the same term seems to have a different, more concrete, and far wider definition in other areas of the standard.*

- *... gamebird releasing could now de facto be banned in considerably vast areas of woodland and non-woodland areas that subscribe to UKWAS ... As a result, the UKWAS 5 standard puts at risk all the environmental benefits that are related to habitat management for released gamebirds that benefit woodlands in particular. It also means that woodland owners will pull out of the scheme*
- *The material was convoluted, unclear and highly complex. Guidance was not clear enough to understand the content of documents sufficiently so that the stakeholders involved could take informed decisions.*
- *...under these new rules, they [members] will have to choose between game shooting and UKWAS certification in their woodlands.*
- *More stringent requirements should be put in place regarding the contents of Consultation documents so that stakeholders not involved in the redrafting get a proper and adequate warning of important changes so that they can respond appropriately.*

Part of the criticism concerned the Working Group composition and the way how these clauses were introduced into the UKWAS draft. This aspect was specifically considered as a part of the standard-setting process assessment included in this assignment, reported under chapter 7. The conclusions are provided strictly from the point of view of process conformity against the PEFC benchmark requirements. Advising on the standard contents is outside the scope of this assignment.

12.3 Field Visit

Purpose of the Field Visit

The PEFC UKWAS forest certification scheme was submitted for PEFC Council re-endorsement but the newly developed standard for Trees outside Forests (TOF) was submitted for its first endorsement of the PEFC Council and thus the assessment process shall include a field visit. The purpose of the field visit was to gain information and thorough understanding on the standard development and stakeholders engagement in the process. Stakeholders gave also valuable information on the scope and relevance of the standard, as well as on its applicability and implementation arrangements. The inquiries also addressed the procedural capacity of certification bodie(s) and the accreditation body to launch audit, certification and accreditation programs for certification of TOFs.

Although the purpose of the field visit was to focus on the TOF standard and certification, it also allowed to meet with stakeholder interested on the forest management standard development. In UK a critical issue in standard development was restrictions on bird pens designed for shooting purposes. Several stakeholders representing the interests of landowners and shooting organisations criticised strongly introduction of these restrictions into the UKWAS v.5 standard proposal. During the field visit Indufor interviewed representatives of the organisations and raised the issue also in the discussions with other relevant parties.

Programme

The field visit took place in Sheffield, UK, that is the city where stakeholder organisations are highly interested in management of urban trees. The scope of the PEFC UK TOF standard is street trees and the reference city in standard development has been Sheffield. In the history stakeholders had been very active in criticising the urban tree management in the city but currently the city and stakeholder organisations have a good cooperation and both parties have gained knowledge on the issue. The standard is developed having the Sheffield street tree management as a reference base in the development process.

This setting justifies the selection of Sheffield as the location for the field visit. The office of PEFC UK is also in the city.

The field visit included interviews with experts and NGOs involved in TOF standard development, certification body and also Sheffield city representative and the main contractor implementing the standard in practice. The field visit also included an excursion to see the current street tree management in the city.

The interviews with the bird shooting and land owners' associations were conducted in Manchester.

The detailed programme of the field visit and interviewed organisations are presented in Annex 2. The information gained during the field visit is taken into consideration in the assessment of the conformity of individual PEFC benchmarks of the TOF and the SFM standards.

Annex 1

PEFC Standard and System Requirements Checklist

PEFC Checklist (1) - Certification and Accreditation Procedures (Annex 6)

1 Scope

This document covers requirements for certification and accreditation procedures for PEFC forest management certification outlined in Annex 6 of the PEFC Council Technical Document (*Certification and accreditation procedures*).

PEFC UK Scheme documents on accreditation and certification procedures

PEFC UK Scheme Document	Sections 5.8, 6.1, 6.1.1 – 6.1.8, 6.2.
PEFC Annex 6	<p>In the Introduction to the Scheme document PEFC UK Board decision on July 5, 2022 states that in particular the PEFC UK Scheme will recognize, (among others) Annex 6 and PEFC ST 2003:2020.</p> <p>6.1.1 PEFC UK Ltd has adopted PEFC Council Annex 6: <i>Certification and Accreditation Procedures</i> and PEFC ST 2003:2020 (Second edition) <i>Requirements for Certification Bodies operating Certification against the PEFC International Chain of Custody Standard</i>.</p>

2 Checklist

No.	PEFC benchmark requirement		YES / NO	Reference to system documentation (including quotation of relevant text)
Certification Bodies				
1.	Does the scheme documentation require that certification shall be carried out by impartial, independent third parties that cannot be involved in the standard setting process as governing or decision making body, or	Annex 6, 3.1	YES	PEFC UK Scheme Doc. 5.8 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 2017 6.1.1 In particular, it recognises: PEFC certifications shall be carried out by impartial, independent third parties that cannot be involved in the standard setting

No.	PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
	in the forest management and are independent of the certified entity?		<p>process as governing or decision making bodies, or in the forest management and are independent of the certified entity.</p> <p>Conclusion: Conformity</p> <p>Justification: PEFC UK requires impartial accreditation by a national or international accreditation body. PEFC UK has adopted as such the requirements of PEFC Annex 6 to the Scheme Document</p>
2.	Does the scheme documentation require that certification body for forest management certification shall fulfil requirements defined in ISO 17021?	YES	<p>6.1.1 The certification body carrying out forest management certification, Trees Outside Forest (TOF) certification or chain of custody certification, shall have established internal procedures for the above and fulfil requirements defined in the current copies of</p> <ul style="list-style-type: none"> a) ISO 17065 if the certification is carried out as product certification b) ISO17021 <i>Conformity assessment -- Requirements for bodies providing audit and certification of management systems.</i> c) other requirements for certification bodies defined by the national accreditation body (UKAS) <p>CB carrying out FM or TOF certification shall have the technical competence in forest and urban tree management....and certify against (in line with) ISO 17021 standard.</p> <p>Conclusion: Conformity</p> <p>Justification: PEFC UK requires that certification bodies doing forest management or TOF comply with the ISO 17021 standard. It is noted that the Scheme has adopted the PEFC Annex 6.</p>
3.	Does the scheme documentation require that certification bodies carrying out forest certification shall have the technical competence in forest management on its economic,	YES	<p>6.1.1 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.</p> <p>Conclusion: Conformity</p>

No.	PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
	social and environmental impacts, and on the forest certification criteria?		Justification: PEFC UK has adopted the PEFC Annex 6.
4.	Does the scheme documentation require that certification bodies shall have a good understanding of the national PEFC system against which they carry out forest management certification?	Annex 6, 3.1 YES	6.1.1 The certification body shall have a good understanding of the national PEFC system against which it carries out forest or chain of custody certification. Conclusion: Conformity Justification: Certification bodies shall know and understand the national scheme.
5.	Does the scheme documentation require that certification bodies have the responsibility to use competent auditors and who have adequate technical know-how on the certification process and issues related to forest management certification?	Annex 6, 3.2 YES	6.1.4 As an integral part of such accreditation, certification bodies will be required to demonstrate the following:... 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 professional competence and experience in certification procedures and auditing; the maintenance of documented procedures for the competence, admission and training of auditors. Conclusion: Conformity Justification: the Scheme's competence requirements comply with the PEFC requirements
6.	Does the scheme documentation require that the auditors must fulfil the general criteria of ISO 19011 for Quality Management Systems auditors or for Environmental Management Systems auditors?	Annex 6, 3.2 YES	6.1.1 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 Conclusion: Conformity Justification: The audit procedures shall comply with ISO 19011:2018 <i>Guidelines for auditing management systems</i>

No.	PEFC benchmark requirement		YES / NO	Reference to system documentation (including quotation of relevant text)
7.	Does the scheme documentation include additional qualification requirements for auditors carrying out forest management audits? [11]	Annex 6, 3.2	YES	<p>6.1.6 Certification bodiesare required to ensure that technical supervisors and auditors appointed by the Certification Body to carry out assessments against the requirements of the UKWAS, TOF and the PEFC Chain of Custody Standards meet the competence criteria for auditors developed by the appropriate Accreditation Body.</p> <p>6.1.1 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:</p> <p>c) Other requirements for certification bodies defined by the national accreditation body (UKAS).</p> <p>Conclusion: Conformity</p> <p>Justification: Requirements for auditors and certification bodies apply to certifications against UKWAS and TOF standards.</p>
Certification procedures				
8.	Does the scheme documentation require that certification bodies shall have established internal procedures for forest management certification?	Annex 6, 4	YES	<p>6.1.1 The certification body carrying out forest management certification..., shall have established internal procedures for the above and fulfil requirements defined in</p> <p>b) ISO17021 – 2 Conformity assessment -- Requirements for bodies providing audit and certification of management systems</p> <p>c) Other requirements for certification bodies defined by the national accreditation body (UKAS).</p> <p>Conclusion: Conformity</p> <p>Justification: certification bodies shall have internal procedures</p> <p>Comment: Note that the reference to ISO 17021-2 standard covers only the complementing part of the standard.</p>

No.	PEFC benchmark requirement		YES / NO	Reference to system documentation (including quotation of relevant text)
9.	Does the scheme documentation require that applied certification procedures for forest management certification shall fulfil or be compatible with the requirements defined in ISO 17021?	Annex 6, 4	YES	<p>6.1.1 ... CB carrying out FM or TOF certification shall have the technical competence in forest and urban tree management....and certify against (in line with) ISO 17021 standard.</p> <p>Conclusion: Conformity Justification: The Scheme requires that certification bodies comply with ISO 17021 standard.</p>
10.	Does the scheme documentation require that applied auditing procedures shall fulfil or be compatible with the requirements of ISO 19011?	Annex 6, 4	YES	<p>6.1.1 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</p> <p>Conclusion: Conformity Justification: PEFC UK has adopted the PEFCC accreditation requirements, which justify the above reference to the PEFC Council. Compliance with ISO 19011:2028 is required.</p>
11.	Does the scheme documentation require that certification body shall inform the relevant PEFC National Governing Body about all issued forest management certificates and changes concerning the validity and scope of these certificates?	Annex 6, 4	YES	<p>6.1.5 Certification bodies operating under the Scheme will have the following key roles:</p> <p>Notifying PEFC UK Ltd of the award, renewal and withdrawal of all certificates, within one month of all actions</p> <p>Conclusion: Conformity Justification: The Scheme requires that certification bodies promptly inform PEFC UK on any changes in certificates.</p>
12.	Does the scheme documentation require that certification body shall carry out controls of PEFC logo usage if the certified entity is a PEFC logo user?	Annex 6, 4	YES	<p>6.1.5 Certification bodies operating under the Scheme will have the following key roles:</p> <p>Monitoring the use of PEFC logo licence use by their clients as set out by PEFC UK Ltd</p> <p>Conclusion: Conformity</p>

No.	PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
			Justification: The control of logo use is part of the certification bodies' responsibilities.
13.	Does a maximum period for surveillance audits defined by the scheme documentation not exceed more than one year?	YES	<p>6.1.1 Certification bodies considered competent by the PEFC Council to carry out forest and/or chain of custody verification, shallhave a maximum period for surveillance audits that does not exceed more than one year.</p> <p>6.2.11 Regular monitoring of the certificate holder will be carried out by the Certification Body at regular intervals (at least annually)...</p> <p>Conclusion: Conformity</p> <p>Justification: Annual surveillance audits are required, but these do not necessarily require on-site audits.</p>
14.	Does a maximum period for assessment audit not exceed five years for forest management certifications?	YES	<p>6.1.5 controlling the use of certificates, through regular surveillance of the certificate holder and ensuring a maximum period for re-assessment audit does not exceed five years.</p> <p>6.2.10 Certificates can only remain valid for a maximum period of five years from the date of issue.</p> <p>Conclusion: Conformity</p> <p>Justification: Certificates are valid only five years, after which a recertification takes place.</p>
15.	Does the scheme documentation include requirements for public availability of certification report summaries?	YES	<p>6.2.13 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.</p> <p>Conclusion: Conformity</p>

No.	PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
			Justification: PEFC UK (national governing body) requires that certification bodies publish report summaries.
16.	Does the scheme documentation include requirements for usage of information from external parties as the audit evidence?	YES	<p>6.2.12 ...an integral component of the Scheme's forest management certification process will be stakeholder consultation.</p> <p>A requirement for stakeholder consultation is explicitly stated within UKWAS and this is the direct responsibility of the certification applicant.</p> <p>...it would then be the responsibility of the Certification Body...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.</p> <p>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</p> <p>Conclusion: Conformity</p> <p>Justification: The Scheme has through UKWAS standard comprehensive requirements for stakeholder consultation during the certification process. These requirements also apply to TOF certification that is largely based on the UKWAS standard.</p>
17.	Does the scheme documentation include additional requirements for certification procedures? [¹]	YES	<p>6.1.2 Any variations to the UKWAS and TOF criteria will only be by approval of the PEFC UK Board of Directors.</p>

No.	PEFC benchmark requirement		YES / NO	Reference to system documentation (including quotation of relevant text)
				<p>6.2.5 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.</p> <p>Conclusion: Conformity</p>
Accreditation procedures				
18.	Does the scheme documentation require that certification bodies carrying out forest management certification shall be accredited by a national accreditation body?	Annex 6, 5	YES	<p>6.1.3 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.</p> <p>Conclusion: Conformity</p> <p>Justification: The Scheme recognises accreditations issued by UK national (UKAS) or other international accreditation body.</p>
19.	Does the scheme documentation require that an accredited certificate shall bear an accreditation symbol of the relevant accreditation body?	Annex 6, 5	YES	<p>6.2.9 The Certificate awarded by the Certification body shall bear the symbol of the National Accreditation Body which has awarded the accreditation and the PEFC logo issued by PEFC UK Ltd.</p> <p>Conclusion: Conformity</p> <p>Justification: Certificates shall bear the accreditation symbol</p>
20.	Does the scheme documentation require that the accreditation shall be issued by an accreditation body which is a part of the International Accreditation Forum (IAF) umbrella or a member of IAF's special recognition	Annex 6, 5	YES	<p>6.1.3 ...all external forest management ...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</p>

No.	PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
	regional groups and which implement procedures described in ISO 17011 and other documents recognised by the above mentioned organisations?		<p>Accreditation Forum (IAF) or substantively equivalent bodies, as set out in PEFC Council Annex 6</p> <p>Conclusion: Conformity</p> <p>Justification: The Scheme sets conforming competence requirements for accreditation bodies.</p>
21.	Does the scheme documentation require that certification body undertake forest management certification as “accredited certification” based on ISO 17021 and the relevant forest management standard(s) shall be covered by the accreditation scope?	YES	<p>6.1.4 The scope of accreditation of Certification Bodies will be required to explicitly include:</p> <ul style="list-style-type: none"> • Certification of forests and woodland to the UK Woodland Assurance Standard, TOF and the requirements of this Scheme document. <p>6.1.3 ...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:</p> <p>Conclusion: Conformity</p> <p>Justification: The Scheme requires that the scope of accreditation covers UKWAS and TOF certifications when these are the services a certification body provides.</p>
22.	Does the scheme documentation include a mechanism for PEFC notification of certification bodies?	YES	<p>6.1.7 PEFC UK will establish and maintain a register of Certification Bodies, notified by PEFC UK, as meeting the criteria to operate under the Scheme.</p> <p>6.1.8 PEFC UK adopts Section 6 of PEFC Council Annex 6 which states:</p> <p>“Certification bodies operating forest management and ... against the PEFC endorsed national schemes ...shall be notified in a non-discriminatory way by the PEFC National Governing Body of the relevant country.</p> <p>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:</p>

No.	PEFC benchmark requirement		YES / NO	Reference to system documentation (including quotation of relevant text)
				<p>a) administrative conditions (e.g. communication of the certification body with the PEFC National Governing Bodies or the PEFC Council, transfer of information, etc.),</p> <p>b) financial conditions (fees imposed on certified entities),</p> <p>c) compliance with requirements for certification bodies verified through accreditation previously described.</p> <p>Conclusion: Conformity</p> <p>Justification: The Scheme has notification procedures for bodies doing forest and chain of custody certification.</p>
23.	Are the procedures for PEFC notification of certification bodies non-discriminatory?	Annex 6, 6	YES	<p>6.1.8 The PEFC notification conditions shall not discriminate against certification bodies or create trade obstacles.</p> <p>Conclusion: Conformity</p> <p>Justification: The Scheme requires non-discriminatory notification procedures</p>

PEFC Checklist (2) - Standard Setting Procedures and Process (PEFC ST 1001:2017)

1 Scope

This checklist covers the requirements for standard setting procedures and process as defined in the revised 2017 issue of PEFC ST 1001, *Standard Setting – Requirements*.

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

PEFC UK Reference Documents:

Document type	Document name
Normative documents	UKWAS Standard-Setting Process Version 3.0 (November 21, 2019) (hereafter “SSP”) United Kingdom Woodland Assurance Standard, Fifth Edition (Pre-approval Draft) (Version 5.0), July 21, 2022 (hereafter “UKWAS”) PEFC UK Certification Scheme for Sustainable Forest Management (July 5, 2022) (hereafter “PEFC UK”), Update working version (from Dec 15, 2022), undated Articles of Association of United Kingdom Woodland Assurance Standard (November 25, 2002)
Other documents	Checklist stakeholder mapping.docx Copy of UKWAS 5 - expressions of interest in WG or consultee05.05.20.xlsx Copy of UKWAS 5 - Stakeholders listings AW.xlsx News Release UKWAS review stakeholder reminder.docx UKWAS 5 Initial Revision Draft with consultation responses (changes from WG 17) (13.09.21).docx UKWAS Revision 2020-23 Issues Paper (Final).pdf UKWAS Revision 2020-23 Second Revision Draft Consultation Report Annex - Consolidated Feedback January 2022.pdf UKWAS SG mtg minute DRAFT 5 November 2020.docx UKWAS SG mtg minute DRAFT 21 May 2020.docx UKWAS SG mtg minute DRAFT 21 Nov 2019.doc UKWAS SGrp mtg minute DRAFT 30 June 2022.docx UKWAS SSP review paper for Steering Grp (05.06.19).pdf UKWAS-Revision-2020-23-Second-Revision-Draft-Consultation-Report-V1-0-July-2022.pdf UKWAS WG Meeting Notes (30 files)

2 Checklist

PEFC benchmark requirement	Assessment basis	YES /NO	Reference to system documentation (including quotation of relevant text)
Standardising Body			
5.1.1 The standardising body shall have written procedures for standard-setting activities describing:			
(a) its legal status and organisational structure, including a body responsible for consensus-building (working group, refer to 6.4) and procedures for formal adoption of the standard (refer to 7.1),	Procedures	Y	<p>PEFC UK: <i>Introduction, 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.</i></p> <p>Conclusion: Conformity</p> <p>Justification: PEFC UK has adopted the UKWAS Sustainable Forest Management standard. Consequently, the standard-setting assessment focuses on the UKWAS procedures and processes. The SSP includes the legal status of UKWAS. The SSP also includes description of its organisational structure, including the working group (SSP section B3), and procedures for formal adoption of the standard (mainly SSP section C4).</p>
(b) procedures for keeping documented information,	Procedures	Y	<p>Conclusion: Conformity</p> <p>Justification: SSP, <i>B. Participatory Process, B6 Records</i> details record-keeping requirements.</p>
(c) procedures for balanced representation of stakeholders,	Procedures	Y	<p>SSP: <i>B. Participatory Process, B3 Working Group, B3.2 Balance of interests: A chamber-balanced approach shall be adopted for the Working</i></p>

PEFC benchmark requirement	Assessment basis	YES /NO	Reference to system documentation (including quotation of relevant text)
			<p><i>Group with separate chambers for economic, environmental and social interests. The aim shall be to achieve balance in terms of the number of members for each chamber.</i></p> <p><i>SSP: B. Participatory Process, B3 Working Group, B3.3 Identification of Stakeholder Groups: The Steering Group shall undertake a stakeholder-identification mapping exercise to identify stakeholders relevant to the objectives and scope of the standard-setting exercise. ... The inclusion or exclusion of each defined stakeholder group shall be justified.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The SSP features procedures for balanced representation of stakeholders both for its Steering Group and Working Group.</p>
(d) the standard-setting process,	Procedures	Y	<p>Conclusion: Conformity</p> <p>Justification: Procedures for the standard-setting process are described in the SSP.</p>
(e) the mechanism for reaching consensus, and	Procedures	Y	<p><i>SSP: B. Participatory Process, B3 Working Group, B3.6 Decision-making: Decisions of the Working Group shall be made on the basis of 'no sustained objection' and will therefore require the unanimous vote of those attending and voting at a duly convened meeting of the Working Group.</i></p> <p><i>SSP: C. Governance, C3 Decision-making: Decisions of the Steering Group shall require the unanimous vote of those attending and voting at a duly convened meeting of the Steering Group.</i></p> <p>Conclusion: Conformity</p>

PEFC benchmark requirement	Assessment basis	YES /NO	Reference to system documentation (including quotation of relevant text)
			Justification: The mechanism for reaching consensus is described in the SSP.
(f) review and revision of standard(s)/normative document(s).	Procedures	Y	<p>SSP: <i>B. Participatory Process, B3 Working Group, B3.7 Decision to revise the standard: The Working Group shall be responsible for undertaking the review process which should include as a minimum the elements set out in section D3. The review should conclude with a decision on whether or not the standard needs to be revised.</i></p> <p>SSP, <i>D. Review and Revision of the Standard</i> describes procedures for review and revision of the standard.</p> <p>Conclusion: Conformity</p> <p>Justification: The SSP is in line with the PEFC ST 1001:2017.</p>
5.1.2 The standardising body shall make its standard-setting procedures publicly available and shall review its standard-setting procedures regularly. The review shall consider feedback from stakeholders.	Procedures	N	<p>SSP: <i>Scope & Purpose: ... 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.</i></p> <p>SSP: <i>B. Participatory Process, B4 Transparency, B4.1 Transparency of process: The publication of this document on the UKWAS website ensures transparency of process.</i></p> <p>Conclusion: Minor non-conformity</p> <p>Justification: The SSP does not stipulate consideration of stakeholder feedback in relation to reviewing the standard-setting procedures.</p>

PEFC benchmark requirement	Assessment basis	YES /NO	Reference to system documentation (including quotation of relevant text)
	Process	Y	<p>Conclusion: Conformity</p> <p>Justification: The SSP was published on the UKWAS website (https://ukwas.org.uk/wp-content/uploads/2019/12/UKWAS-Standard-Setting-Process-Version-3.0-FINAL-22.11.19.pdf). This is the 3rd revision of the SSP, finalised prior to the UKWAS review (21.11.2019). The revision of the SSP is documented in, e.g., <i>UKWAS SSP review paper for Steering Grp (05.06.19).pdf</i> and <i>UKWAS SG mtg minute DRAFT 21 Nov 2019.doc</i>. The latter also documents stakeholder feedback discussion in the Steering Group meeting.</p>
5.2.1 The standardising body shall keep documented information relevant to the standard-setting and review process. Evidence of compliance with the requirements of this standard and the standardising body's own procedures includes:			
(a) Standard-setting procedures,	Procedures	Y	<p><i>SSP: Scope & Purpose: ... 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.</i></p> <p><i>SSP: B. Participatory Process, B4 Transparency, B4.1 Transparency of process: The publication of this document on the UKWAS website ensures transparency of process.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The standard-setting procedures are documented in the SSP.</p>

PEFC benchmark requirement	Assessment basis	YES /NO	Reference to system documentation (including quotation of relevant text)
	Process	Y	Conclusion: Conformity Justification: The standard-setting procedures are documented in the SSP.
(b) Stakeholder identification mapping,	Procedures	Y	<p>SSP: <i>B. Participatory Process, B5 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; the list shall be based on the outcome of the stakeholder-identification mapping exercise and inclusion on the list shall be open to any additional stakeholder on request.</i></p> <p>SSP: <i>B. Participatory Process, B6 Records: The Steering Group shall keep the following records of the standards-development process:</i></p> <ul style="list-style-type: none"> <i>a) List of all consultants or other individuals who have been involved in drafting the standard, together with their affiliations.</i> <i>b) List of all stakeholders invited to participate in the standard-setting process.</i> <i>c) List of all stakeholders sent specified drafts of the standard and invited to comment.</i> <i>d) List of stakeholders that have participated in the standard-setting process through other means, together with a note of the nature of such participation.</i> <p>Conclusion: Conformity Justification: The SSP meets the PEFC ST 1001:2017 requirement.</p>

PEFC benchmark requirement	Assessment basis	YES /NO	Reference to system documentation (including quotation of relevant text)
	Process	Y	Conclusion: Conformity Justification: The stakeholder identification mapping is supported by documents including <i>Copy of UKWAS 5 - Stakeholders listings AW.xlsx</i> , <i>News Release UKWAS review stakeholder reminder.docx</i> , <i>Copy of UKWAS 5 - expressions of interest in WG or consultee05.05.20.xlsx</i>
(c) Contacted and/or invited stakeholders,	Procedures	Y	SSP: <i>B. Participatory Process, B6 Records: The Steering Group shall keep the following records of the standards-development process: ...</i> <i>b) List of all stakeholders invited to participate in the standard-setting process.</i> Conclusion: Conformity Justification: The SSP is in line with the PEFC ST 1001:2017.
	Process	Y	Conclusion: Conformity Justification: Invited stakeholders are listed in the file <i>Copy of UKWAS 5 - expressions of interest in WG or consultee05.05.20.xlsx</i>
(d) Stakeholders involved in standard-setting activities including participants in each working group meeting,	Procedures	N	SSP: <i>B. Participatory Process, B6 Records: The Steering Group shall keep the following records of the standards-development process:</i> <i>a) List of all consultants or other individuals who have been involved in drafting the standard, together with their affiliations.</i> Conclusion: Minor non-conformity

PEFC benchmark requirement	Assessment basis	YES /NO	Reference to system documentation (including quotation of relevant text)
			Justification: The SSP does not explicitly require keeping documented information of participants in each Working Group meeting.
	Process	Y	Conclusion: Conformity Justification: The Working Group meeting minutes (<i>UKWAS WG Meeting Notes</i>) document participants of each Working Group meeting.
(e) Feedback received and a synopsis of how feedback was addressed,	Procedures	Y	SSP: <i>B. Participatory Process, B6 Records: The Steering Group shall keep the following records of the standards-development process: ...</i> <i>g) Copies of all comments submitted in writing with respect to the specified draft standards.</i> <i>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.</i> Conclusion: Conformity Justification: The SSP is in line with the PEFC ST 1001:2017.
	Process	Y	Conclusion: Conformity Justification: The feedback is consolidated, and the response documented, in the following files: <i>UKWAS Revision 2020-23 Second Revision Draft Consultation Report Annex - Consolidated Feedback January 2022.pdf</i> <i>UKWAS 5 Initial Revision Draft with consultation responses (changes from WG 17) (13.09.21).docx</i>

PEFC benchmark requirement	Assessment basis	YES /NO	Reference to system documentation (including quotation of relevant text)
(f) All drafts and final versions of the standard,	Procedures	Y	<p>SSP: <i>B. Participatory Process, B6 Records: The Steering Group shall keep the following records of the standards-development process: ...</i></p> <p><i>f) Copies of each draft of the standard which was prepared during the development process.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The SSP is in line with the PEFC ST 1001:2017.</p>
	Process	Y	<p>Conclusion: Conformity</p> <p>Justification: All standard draft files and final versions are kept by the Steering Group. Essential drafts have also been made publicly available on the UKWAS website (https://ukwas.org.uk/latest-news/ and https://ukwas.org.uk/library/).</p>
(g) Outcomes from working group considerations,	Procedures	Y	<p>SSP: <i>B. Participatory Process, B6 Records: The Steering Group shall keep the following records of the standards-development process: ...</i></p> <p><i>e) Summary progress reports issued following Working Group and/or Steering Group meetings.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The SSP is in line with the PEFC ST 1001:2017.</p>
	Process	Y	Conclusion: Conformity

PEFC benchmark requirement	Assessment basis	YES /NO	Reference to system documentation (including quotation of relevant text)
			Justification: The Working Group meeting minutes (<i>UKWAS WG Meeting Notes</i>) document the outcomes from Working Group considerations.
(h) Evidence of consensus on the final version of the standard(s),	Procedures	Y	<p>SSP: <i>B. Participatory Process, B3 Working Group, B3.6 Decision-making: Decisions of the Working Group shall be made on the basis of 'no sustained objection' and will therefore require the unanimous vote of those attending and voting at a duly convened meeting of the Working Group.</i></p> <p>SSP: <i>B. Participatory Process, B6 Records: The Steering Group shall keep the following records of the standards-development process: ...</i></p> <p>e) <i>Summary progress reports issued following Working Group and/or Steering Group meetings. ...</i></p> <p>h) <i>Summaries of comments on each draft, together with a brief explanation of the way in which those comments were responded to in the draft.</i></p> <p>SSP: <i>C. Governance, C4 Decision to Approve the Pre-Approval Draft Standard: ... 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.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The requirements set by the SSP practically necessitate that evidence of consensus on the final version of the standard is documented and kept.</p>
	Process	Y	Conclusion: Conformity

PEFC benchmark requirement	Assessment basis	YES /NO	Reference to system documentation (including quotation of relevant text)
			Justification: The Working Group meeting minutes (<i>UKWAS WG Meeting Notes</i>) and the Steering Group meeting minutes (<i>UKWAS SGrp mtg minute DRAFT 30 June 2022.docx</i>) document consensus on the final version of the standard.
(i) Evidence relating to the review process, and	Procedures	Y	<p>SSP: <i>B. Participatory Process, B6 Records: The Steering Group shall keep the following records of the standards-development process: ...</i></p> <p>e) <i>Summary progress reports issued following Working Group and/or Steering Group meetings.</i></p> <p>f) <i>Copies of each draft of the standard which was prepared during the development process.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The SSP is in line with the PEFC ST 1001:2017.</p>
	Process	Y	<p>Conclusion: Conformity</p> <p>Justification: Evidence relating to the review process is included in the Working Group meeting minutes (<i>UKWAS WG Meeting Notes</i>) as well as in the file <i>UKWAS 5 Initial Revision Draft with consultation responses (changes from WG 17) (13.09.21).docx</i></p>
(j) Final approval by the standardising body.	Procedures	Y	<p>SSP: <i>B. Participatory Process, B6 Records: ... The Steering Group shall provide the certification schemes with a copy of the complete set of records specified above in support of their approval/endorsement processes; these shall include a copy of the Working Group's recommendation to the Steering Group that the Pre-approval Draft of the revised standard be approved and the Steering Group's decision including</i></p>

PEFC benchmark requirement	Assessment basis	YES /NO	Reference to system documentation (including quotation of relevant text)
			<i>the wording of the Motion put to the vote and a record of the voting thereon.</i> Conclusion: Conformity Justification: The SSP is in line with the PEFC ST 1001:2017.
	Process	Y	Conclusion: Conformity Justification: Documented in Steering Group meeting minutes (<i>UKWAS SGrp mtg minute DRAFT 30 June 2022.docx</i>).
5.2.2 Documented information shall be kept until completion of the next review or revision of the standard to which they refer. Otherwise the documented information must be kept for a minimum of five years after publication of the standard.	Procedures	Y	<i>SSP: B. Participatory Process, B6 Records: ... The Steering Group shall keep a copy of the records for a minimum of seven years; if the revision of the standard to which they relate has not been completed after seven years, the records must be kept until their revision has been completed.</i> Conclusion: Conformity Justification: The SSP is in line with the PEFC ST 1001:2017.
	Process	NA	Conclusion: Not applicable Justification: The process can only be assessed after the period defined in the benchmark.
5.2.3 Documented information shall be available to interested parties upon request.	Procedures	Y	<i>SSP: B. Participatory Process, B6 Records: ... These records will also be made available on the website and, on request, to all interested parties.</i> Conclusion: Conformity

PEFC benchmark requirement	Assessment basis	YES /NO	Reference to system documentation (including quotation of relevant text)
			Justification: The SSP is in line with the PEFC ST 1001:2017.
	Process	Y	Conclusion: Conformity Justification: The availability of the documented information is stated publicly and there is no indication that this would have been restricted in practice.
5.3.1 The standardising body shall establish procedure(s) for dealing with any substantial and process complaints and appeals relating to its standard-setting activities. It must make procedure(s) accessible to stakeholders. Upon receipt of a complaint or appeal, the standardising body shall:			
(a) acknowledge receipt of the complaint or appeal to the complainant,	Procedures	Y	SSP: <i>B. Participatory Process, B4 Transparency, B4.1 Transparency of process: The publication of this document on the UKWAS website ensures transparency of process.</i> SSP: <i>C. Governance, C5 Dispute Resolution, C5.2 Standard-setting process: Any grievance relating to the standard-setting process should be addressed to the Company Secretary who shall acknowledge its receipt to the complainant.</i> Conclusion: Conformity Justification: The SSP is in line with the PEFC ST 1001:2017.
	Process	Y	Conclusion: Conformity Justification: The SSP was made publicly available on the UKWAS website. No complaints related to the standard-setting activities were received.

PEFC benchmark requirement	Assessment basis	YES /NO	Reference to system documentation (including quotation of relevant text)
(b) gather and verify all necessary information to validate the complaint or appeal, evaluate the subject matter of the complaint or appeal impartially and objectively, and make a decision regarding the complaint or appeal,	Procedures	Y	<p>SSP: C. Governance, C5 Dispute Resolution, C5.2 Standard-setting process: ... The Steering Group shall:</p> <p>a) Gather and verify all necessary information to validate the complaint.</p> <p>b) Evaluate the subject matter of the complaint impartially and objectively and make its determination in accordance with the provisions of Articles 40.2 and 40.3 ...</p> <p>Conclusion: Conformity</p> <p>Justification: The SSP is in line with the PEFC ST 1001:2017.</p>
	Process	NA	<p>Conclusion: Not applicable</p> <p>Justification: No complaints related to the standard-setting activities were received.</p>
(c) formally communicate the decision on the complaint or appeal to the complainant and describe the handling process.	Procedures	Y	<p>SSP: C. Governance, C5 Dispute Resolution, C5.2 Standard-setting process: ... The Steering Group shall:</p> <p>c) Formally communicate the decision to the complainant and describe the handling process.</p> <p>Conclusion: Conformity</p> <p>Justification: The SSP is in line with the PEFC ST 1001:2017.</p>
	Process	NA	<p>Conclusion: Not applicable</p>

PEFC benchmark requirement	Assessment basis	YES /NO	Reference to system documentation (including quotation of relevant text)
			Justification: No complaints related to the standard-setting activities were received.
5.3.2 The standardising body shall establish at least one contact point for enquiries, complaints and appeals relating to its standard-setting activities. The contact point shall be easy to access and readily available.	Procedures	Y	<p>SSP: <i>B. Participatory Process, B4 Transparency, B4.2 Contact point: A contact point for the review and revision process shall be identified on the relevant section of the UKWAS website and shall include contact details for email, telephone and mail.</i></p> <p>SSP: <i>C. Governance, C5 Dispute Resolution, C5.2 Standard-setting process: Any grievance relating to the standard-setting process should be addressed to the Company Secretary who shall acknowledge its receipt to the complainant.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The SSP is in line with the PEFC ST 1001:2017.</p>
	Process	Y	<p>Conclusion: Conformity</p> <p>Justification: The UKWAS website provides contact information that is easily available and applicable in conjunction with standard-setting activities.</p> <p>Comment: A contact point was practically available, but it is recommended that during the next standard revision or development process there is a contact point that is explicitly dedicated for enquiries, complaints and appeals relating to the standard-setting activities.</p>
Standard-setting process			

PEFC benchmark requirement	Assessment basis	YES /NO	Reference to system documentation (including quotation of relevant text)
6.1.1 For the creation of a new standard, the standardising body shall develop a proposal including:			
(a) the scope of the standard,	Procedures	Y	<p>SSP: <i>B. Participatory Process, B4 Transparency, B4.3 Public announcements: The Steering Group shall publicly announce the commencement of the review and include information on:</i></p> <ul style="list-style-type: none"> <i>The aims, objectives and scope of the review</i> <p>Conclusion: Conformity</p> <p>Justification: The SSP requires public communication on the scope of the standard revision, effectively meeting the PEFC ST 1001:2017 requirement.</p> <p>Comment: The concept of standard proposal is not featured in the SSP. However, most of the PEFC ST 1001:2017 requirements regarding standard proposal are relevant for development of a new standard, while the focus of the SSP is in standard revision as currently relevant for UKWAS.</p>
	Process	Y	<p>Conclusion: Conformity</p> <p>Justification: The scope of the standard that was to be revised was practically set by the previous operative version of the standard.</p>
(b) a justification of the need for the standard,	Procedures	NA	<p>Conclusion: Not applicable</p> <p>Justification: UKWAS did not create a new standard in the process. The benchmark requirement is not compulsory in standard revision (see 6.1.2).</p>
	Process	NA	

PEFC benchmark requirement	Assessment basis	YES /NO	Reference to system documentation (including quotation of relevant text)
(c) a clear description of the intended outcomes	Procedures	NA	Conclusion: Not applicable Justification: UKWAS did not create a new standard in the process. The benchmark requirement is not compulsory in standard revision (see 6.1.2).
	Process	NA	
(d) a risk assessment of potential negative impacts arising from implementing the standard, such as <ul style="list-style-type: none"> • factors that could affect the achievement of the outcomes negatively, • unintended consequences of implementation, • actions to address the identified risks, and 	Procedures	NA	Conclusion: Not applicable Justification: UKWAS did not create a new standard in the process. The benchmark requirement is not compulsory in standard revision (see 6.1.2).
	Process	NA	
(e) a description of the stages of standard development and their expected timetable. NOTE Guidance for development of a proposal and justification is given in ISO Directives, Part 1, Annex C and Annex SL (Appendix 1).	Procedures	Y	SSP: <i>B. Participatory Process, B2 Steering Group: ...</i> <ul style="list-style-type: none"> • <i>The Steering Group is responsible for the drafting and revision of the standard and shall:</i> <ul style="list-style-type: none"> - <i>Prepare a detailed step-by-step UKWAS Review and Revision Plan & Timetable to include the phases of the review, revision and timetable ...</i> Conclusion: Conformity Justification: The SSP requires that a detailed timetable is developed covering the phases of the revision process. This corresponds with the PEFC ST 1001:2017 requirement regarding the proposal.

PEFC benchmark requirement	Assessment basis	YES /NO	Reference to system documentation (including quotation of relevant text)
	Process	Y	Conclusion: Conformity Justification: UKWAS developed and published a detailed timetable describing the phases of the revision process (https://ukwas.org.uk/wp-content/uploads/2020/06/UKWAS-5-Review-Revision-Plan-Timetable-FINAL-21.05.20.pdf).
6.1.2 For the revision of a standard the proposal shall cover at least (a) and (e) of clause 6.1.1.	Procedures	Y	Conclusion: Conformity Justification: The SSP meets the PEFC ST 1001:2017 requirements.
	Process	Y	Conclusion: Conformity Justification: See 6.1.1 a: Process, and 6.1.1 e: Process.
6.2.1 The standardising body shall identify stakeholders relevant to the objectives and scope of the standard-setting activities by means of a stakeholder identification mapping exercise. It shall define which stakeholder groups are relevant to the subject matter and why. For each stakeholder group the standardising body shall identify the likely key issues, key stakeholders, and which means of communication would be best to reach them.	Procedures	Y	<i>SSP: B. Participatory Process, B3 Working Group, B3.3 Identification of Stakeholder Groups: The Steering Group shall undertake a stakeholder-identification mapping exercise to identify stakeholders relevant to the objectives and scope of the standard-setting exercise. ...</i> <i>The inclusion or exclusion of each defined stakeholder group shall be justified.</i> <i>For each stakeholder group, the Steering Group shall identify the likely key issues, key stakeholders and which means of communication would be best to reach them.</i> Conclusion: Conformity Justification: The SSP is in line with the PEFC ST 1001:2017.

PEFC benchmark requirement	Assessment basis	YES /NO	Reference to system documentation (including quotation of relevant text)
	Process	Y	<p>Conclusion: Conformity</p> <p>Justification: Rationale for the considered stakeholder groups, the primary interest area they represent, and documentation of the identification process is included in the following files:</p> <p><i>Checklist stakeholder mapping.docx</i></p> <p><i>Copy of UKWAS 5 - expressions of interest in WG or consultee05.05.20.xlsx</i></p> <p>There is no evidence of requirements for special communication methods related to any of the relevant stakeholder groups.</p>
<p>6.2.2 Identification of stakeholder groups shall be based on nine major stakeholder groups as defined by Agenda 21 of the <i>United Nations Conference on Environment and Development</i> (UNCED) in Rio de Janeiro in 1992. At least the following groups shall be included in the stakeholder mapping:</p> <ul style="list-style-type: none"> • forest owners, • business and industry, • indigenous people, • non-government organisations, • scientific and technological community, • workers and trade unions. <p>Other groups shall be added if relevant to the scope of standard-setting activities.</p>	Procedures	Y	<p>SSP: <i>B. Participatory Process, B3 Working Group, B3.3 Identification of Stakeholder Groups: ... Stakeholder groups to be considered shall include:</i></p> <ul style="list-style-type: none"> • <i>UKWAS stakeholder constituencies as defined in the Steering Group Rules</i> • <i>Major stakeholder groups as defined by Agenda 21 of the United Nations Conference on Environment and Development (UNCED) in Rio de Janeiro in 1992</i> • <i>The list of interests for each chamber defined by FSC</i> • <i>Stakeholder representatives from neighbouring territories - Ireland, Isle of Man and Channel Islands.</i> <p><i>Other groups shall be added if relevant to the scope of standard-setting activities.</i></p> <p><i>Note: At least the following groups shall be included in the stakeholder mapping: forest owners, business and industry, indigenous people, non-</i></p>

PEFC benchmark requirement	Assessment basis	YES /NO	Reference to system documentation (including quotation of relevant text)
NOTE The full list of nine major stakeholder groups defined by Agenda 21 of the <i>United Nations Conference on Environment and Development</i> consists of: (i) business and industry, (ii) children and youth, (iii) forest owners, (iv) indigenous peoples, (v) local authorities, (vi) non-government organisations, (vii) scientific and technological community, (viii) women, and (ix) workers and trade unions.			<p><i>government organisations, scientific and technological community, workers and trade unions.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The SSP is in line with the PEFC ST 1001:2017.</p>
	Process	Y	<p>Conclusion: Conformity</p> <p>Justification: Stakeholder groups were identified in line with the required principles, as documented in, e.g.:</p> <p><i>Copy of UKWAS 5 - Stakeholders listings AW.xlsx</i></p> <p><i>Copy of UKWAS 5 - expressions of interest in WG or consultee05.05.20.xlsx</i></p>
6.2.3 The standardising body shall identify disadvantaged stakeholders and key stakeholders and address any constraints to their participation in standard-setting activities.	Procedures	Y	<p><i>SSP: B. Participatory Process, B3 Working Group, B3.3 Identification of Stakeholder Groups: ... The Steering Group shall identify disadvantaged and/or marginalised stakeholders and key stakeholders and address any constraints to their participation in standard-setting activities.</i></p> <p>Conclusion: Conformity</p>

PEFC benchmark requirement	Assessment basis	YES /NO	Reference to system documentation (including quotation of relevant text)
<p>NOTE A stakeholder can be both a disadvantaged and a key stakeholder at the same time.</p>			<p>Justification: The SSP is in line with the PEFC ST 1001:2017.</p>
	Process	Y	<p>Conclusion: Conformity</p> <p>Justification: Key stakeholders as organisations considered needing to be reached were identified as part of the stakeholder mapping process. In the context of the UK, disadvantaged stakeholders were seen as those potentially not able to attend meetings either due to cost or being unable to travel to Edinburgh and London. This issue was mitigated as all meetings were eventually held online.</p>
<p>6.3.1 The standardising body shall make a public announcement of the start of the standard-setting process and include an invitation to stakeholders to participate in the process. The announcement shall be made in a timely manner through suitable media, as appropriate, to give stakeholders an opportunity for meaningful contributions.</p> <p>NOTE 1 <i>In a timely manner</i> means (at the latest) four weeks before the first standard-setting activity is scheduled to occur.</p> <p>NOTE 2 <i>Through suitable media</i> means at least through the standardising body's website and by email and/or letter to identified stakeholders. Other media includes press releases, news articles, features in trade-press, information sent to branch organisations, social media, digital media, etc.</p>	Procedures	Y	<p>SSP: <i>B. Participatory Process, B4 Transparency, B4.3 Public announcements: The Steering Group shall publicly announce the commencement of the review and include information on: ...</i></p> <ul style="list-style-type: none"> <i>How standard-users can submit feedback ...</i> <p><i>Stakeholder representatives shall be notified directly of the announcement in a timely manner. In addition, the announcement shall be publicised through the UKWAS website, certification schemes' websites and via trade media.</i></p> <p><i>This will allow all stakeholders an opportunity to contribute to the process.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The SSP is in line with the PEFC ST 1001:2017.</p>

PEFC benchmark requirement	Assessment basis	YES /NO	Reference to system documentation (including quotation of relevant text)
	Process	Y	Conclusion: Conformity Justification: Stakeholders were publicly invited to participate in the review and revision process well before the first activities occurred, documented in e.g.: <i>News Release UKWAS review stakeholder reminder.docx</i> and online at https://ukwas.org.uk/public-announcement-of-ukwas-review-and-call-for-stakeholder-input/
6.3.1 The announcement and invitation shall include:			
(a) overview of the standard-setting process,	Procedures	Y	SSP: <i>B. Participatory Process, B4 Transparency, B4.3 Public announcements: ... The Steering Group shall publicly announce a decision on whether or not it is to undertake a revision of the standard and, if so, the commencement of the revision including information on:</i> <ul style="list-style-type: none"> <i>The aims, objectives and scope of the revision</i> <i>The standard-setting process</i> <i>The detailed revision plan and timetable</i> Conclusion: Conformity Justification: The SSP is in line with the PEFC ST 1001:2017.
	Process	Y	Conclusion: Conformity Justification: The standard-setting process was described in conjunction with the public announcement including a link to the UKWAS website with detailed material of the standard-setting process. Documentation includes e.g.: <i>News Release UKWAS review stakeholder reminder.docx</i>

PEFC benchmark requirement	Assessment basis	YES /NO	Reference to system documentation (including quotation of relevant text)
(b) access to the proposal for the standard (refer to 6.1),	Procedures	Y	<p>SSP: <i>B. Participatory Process, B4 Transparency, B4.3 Public announcements: ... The Steering Group shall publicly announce a decision on whether or not it is to undertake a revision of the standard and, if so, the commencement of the revision including information on:</i></p> <ul style="list-style-type: none"> <i>The aims, objectives and scope of the revision</i> <i>The standard-setting process</i> <i>The detailed revision plan and timetable</i> <p>Conclusion: Conformity</p> <p>Justification: The SSP requires development and public communication of material that corresponds with the standard proposal sections that are required by the PEFC ST 1001:2017 to be developed in case of standard revision.</p>
	Process	Y	<p>Conclusion: Conformity</p> <p>Justification: The elements of the proposal required to be developed for a standard revision process include the scope of the standard (6.1.1 a) and a description of the stages of standard development and their expected timetable (6.1.1 e). The former was practically defined by the previous operative version of the standard, available on UKWAS website and the latter was published online in conjunction with the announcement (https://ukwas.org.uk/wp-content/uploads/2020/06/UKWAS-5-Review-Revision-Plan-Timetable-FINAL-21.05.20.pdf)</p>
(c) information about opportunities for stakeholders to participate in the process,	Procedures	Y	<p>SSP: <i>B. Participatory Process, B4 Transparency, B4.3 Public announcements: The Steering Group shall publicly announce the commencement of the review and include information on: ...</i></p>

PEFC benchmark requirement	Assessment basis	YES /NO	Reference to system documentation (including quotation of relevant text)
			<ul style="list-style-type: none"> How standard-users can submit feedback ... <p>The Steering Group shall publicly announce a decision on whether or not it is to undertake a revision of the standard and, if so, the commencement of the revision including information on: ...</p> <ul style="list-style-type: none"> A contact point for the revision process. <p>Conclusion: Conformity</p> <p>Justification: The SSP meets the requirements of the PEFC ST 1001:2017.</p>
	Process	Y	<p>Conclusion: Conformity</p> <p>Justification: Stakeholder participation opportunities were pointed out in the public announcement. Documentation includes e.g.: <i>News Release UKWAS review stakeholder reminder.docx</i></p>
(d) requests to stakeholders to nominate their representative(s) or themselves to the working group (refer to 6.4). The request to disadvantaged stakeholders and key stakeholders shall be made in a manner that ensures that the information reaches intended recipients and in a format that is easy to understand,	Procedures	Y	<p>SSP: <i>B. Participatory Process, B3 Working Group, B3.3 Identification of Stakeholder Groups: ... For each stakeholder group, the Steering Group shall identify the likely key issues, key stakeholders and which means of communication would be best to reach them.</i></p> <p><i>The Steering Group shall identify disadvantaged and/or marginalised stakeholders and key stakeholders and address any constraints to their participation in standard-setting activities.</i></p> <p>SSP: <i>B. Participatory Process, B3 Working Group, B3.4 Selection of Working Group members: The Steering Group shall issue an invitation for</i></p>

PEFC benchmark requirement	Assessment basis	YES /NO	Reference to system documentation (including quotation of relevant text)
			<p>stakeholders to nominate persons to participate as Working Group members.</p> <p>SSP: <i>B. Participatory Process, B4 Transparency, B4.3 Public announcements: ... Stakeholder representatives shall be notified directly of the announcement in a timely manner. In addition, the announcement shall be publicised through the UKWAS website, certification schemes' websites and via trade media.</i></p> <p><i>This will allow all stakeholders an opportunity to contribute to the process.</i></p> <p>...</p> <p>Conclusion: Conformity</p> <p>Justification: The SSP meets the requirements of the PEFC ST 1001:2017.</p>
	Process	Y	<p>Conclusion: Conformity</p> <p>Justification: In the public announcement, stakeholders were requested to express interest in nominating representatives in the Working Group. Documentation includes e.g.: <i>News Release UKWAS review stakeholder reminder.docx</i></p>
(e) explicit invitation and clear instruction on how to submit feedback on the scope and standard-setting process, and	Procedures	N	<p>Conclusion: Minor non-conformity</p> <p>Justification: The SSP does not require the public announcement to include an explicit invitation to submit feedback on the scope and the standard-setting process.</p>
	Process	N	<p>Conclusion: Minor non-conformity</p>

PEFC benchmark requirement	Assessment basis	YES /NO	Reference to system documentation (including quotation of relevant text)
			Justification: Stakeholder inputs were requested but this concerned primarily the contents of the standard and not explicitly the scope and the standard-setting process. (https://ukwas.org.uk/public-announcement-of-ukwas-review-and-call-for-stakeholder-input/)
(f) access to the standard-setting procedures.	Procedures	Y	<p>SSP: <i>B. Participatory Process, B4 Transparency, B4.3 Public announcements: ... The Steering Group shall publicly announce a decision on whether or not it is to undertake a revision of the standard and, if so, the commencement of the revision including information on: ...</i></p> <ul style="list-style-type: none"> <i>The standard-setting process ...</i> <p><i>Key documents including this standard-setting process document, revision plan & timetable and 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.</i></p> <p>Conclusion: Conformity</p> <p>Justification: In the context of public announcements, the SSP requires the standard-setting process document to be made available.</p>
	Process	Y	<p>Conclusion: Conformity</p> <p>Justification: The public announcement included a link to the standard-setting procedures as documented in <i>News Release UKWAS review stakeholder reminder.docx</i></p>
	Procedures	N	<p>SSP: <i>B. Participatory Process, B4 Transparency, B4.3 Public announcements: ... Key documents including this standard-setting</i></p>

PEFC benchmark requirement	Assessment basis	YES /NO	Reference to system documentation (including quotation of relevant text)
6.3.2 The standardising body shall review the standard-setting process based on feedback received in response to the public announcement.			<p><i>process document, revision plan & timetable and 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.</i></p> <p>Conclusion: Minor non-conformity</p> <p>Justification: The SSP only considers feedback in the context of revising the standard but not in the context of revising the standard-setting process as required by the PEFC ST 1001:2017.</p>
	Process	NA	<p>Conclusion: Not applicable</p> <p>Justification: No feedback on the standard-setting process was received after the initial public announcement.</p>
6.4.1 The standardising body shall establish a permanent or temporary working group or adjust the composition of an already existing working group based on nominations it received. Acceptance and refusal of nominations shall be justified in relation to the requirements for balanced representation of the working group, considerations of an appropriate gender balance, relevance of the organisation, an individual's competence, an individual's relevant experience and resources available for standard-setting.	Procedures	Y	<p>SSP: <i>B. Participatory Process, B3 Working Group, B3.4 Selection of Working Group members: The Steering Group shall issue an invitation for stakeholders to nominate persons to participate as Working Group members.</i></p> <p><i>In order to achieve balanced representation, the Steering Group shall strive to have all identified stakeholder groups represented, shall set targets for the participation of key stakeholders and proactively seek their participation by using outreach such as (but not limited to) personal emails, phone calls, meeting invitations, etc. ...</i></p> <p><i>Acceptance and refusal of nominations shall be justified in relation to the requirements for balanced representation of the Working Group, considerations of relevance of the nominating organisation, an individual's competence, an individual's relevant experience, an appropriate gender</i></p>

PEFC benchmark requirement	Assessment basis	YES /NO	Reference to system documentation (including quotation of relevant text)
			<i>balance, and the resources available for the revision standard-setting process.</i> Conclusion: Conformity Justification: The SSP is in line with the PEFC ST 1001:2017.
	Process	Y	Conclusion: Conformity Justification: Documentation from the Working Group establishment reflects the benchmark requirements. This includes e.g. the following files: <i>Copy of UKWAS 5 - Stakeholders listings AW.xlsx</i> <i>Copy of UKWAS 5 - expressions of interest in WG or consultee05.05.20.xlsx</i>
6.4.2 The working group shall:			
(a) have balanced representation and decision-making by stakeholder categories, relevant to the subject matter and geographical scope of the standard, where no single concerned stakeholder group can dominate, nor be dominated in the process, and	Procedures	Y	SSP: <i>B. Participatory Process, B3 Working Group, B3.2 Balance of interests: A chamber-balanced approach shall be adopted for the Working Group with separate chambers for economic, environmental and social interests. The aim shall be to achieve balance in terms of the number of members for each chamber.</i> SSP: <i>B. Participatory Process, B3 Working Group, B3.4 Selection of Working Group members: ... To enable efficient working, the aim shall be to have a small but representative Working Group with three members in each chamber but a minimum of two members and a maximum of four in each chamber. ...</i>

PEFC benchmark requirement	Assessment basis	YES /NO	Reference to system documentation (including quotation of relevant text)
			<p><i>Acceptance and refusal of nominations shall be justified in relation to the requirements for balanced representation of the Working Group ...</i></p> <p>SSP: <i>B. Participatory Process, B3 Working Group, B3.5 Working Group Chair: ... The chair shall be responsible for: ...</i></p> <p><i>f) Ensuring that the views of all stakeholder groups are properly and fairly represented in the standards development process and in subsequent decision-making.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The SSP reflects the PEFC ST 1001:2017 requirements.</p>
	Process	Y	<p>Conclusion: Conformity</p> <p>Justification: The realised WG composition reflected the PEFC ST 1001:2017 requirements, applying balanced chambers for representation of different interest groups.</p> <p>Comment: Adequacy of the WG composition was challenged by stakeholder complaints submitted after the standard-setting process. It is the assessor's view that there has not been a violation of the PEFC requirements regarding the process of nominating the WG and its final composition. WG nominations were collected through a participatory process and the final composition demonstrated stakeholder representation that can be considered sufficiently balanced between different interest groups and justified for the purpose. The composition was approved unanimously by the Steering Group, which itself comprises of a large stakeholder base also involving representation of the stakeholder interest group that raised the complaint (<i>UKWAS SG mtg minute DRAFT 21 May 2020.docx</i>).</p>

PEFC benchmark requirement	Assessment basis	YES /NO	Reference to system documentation (including quotation of relevant text)
(b) include stakeholders with expertise relevant to the subject matter of the standard, those that affected by the standard, and those that can influence implementation of the standard. The affected stakeholders shall be represented in an appropriate proportion among participants.	Procedures	N	<p>SSP: <i>B. Participatory Process, B3 Working Group, B3.4 Selection of Working Group members: ... In selecting individual Working Group members, the Steering Group shall take account of their:</i></p> <ul style="list-style-type: none"> • <i>Expert knowledge and/or experience of the issues under consideration</i> • <i>Up-to-date knowledge and experience of the UKWAS standard</i> • <i>Up-to-date knowledge and experience of certification systems and procedures</i> • <i>Ability to represent points of view from the corresponding stakeholder group, and the points of view of small, medium and large enterprises affected by the standard</i> • <i>Understanding of the potential impact of the standard on affected stakeholders ...</i> <p>Conclusion: Minor non-conformity</p> <p>Justification: The SSP makes no requirement for affected stakeholders to be represented in an appropriate proportion.</p>
	Process	Y	<p>Conclusion: Conformity</p> <p>Justification: The realised WG composition reflected the PEFC ST 1001:2017 requirements.</p> <p>See also comment under 6.4.2 (b).</p>
6.4.3 In order to achieve balanced representation, the standardising body shall strive to have all identified stakeholder groups (refer to 6.2) represented. The standardising body shall set targets for the participation of	Procedures	Y	<p>SSP: <i>B. Participatory Process, B3 Working Group, B3.4 Selection of Working Group members: ... In order to achieve balanced representation, the Steering Group shall strive to have all identified stakeholder groups represented, shall set targets for the participation of key stakeholders and</i></p>

PEFC benchmark requirement	Assessment basis	YES /NO	Reference to system documentation (including quotation of relevant text)
<p>key stakeholders and proactively seek their participation by using outreach such as (but not limited to) personal emails, phone calls, meeting invitations etc.</p> <p>NOTE When a stakeholder group is not represented and key stakeholders cannot be encouraged to participate, the standardising body may consider alternative options.</p>			<p><i>proactively seek their participation by using outreach such as (but not limited to) personal emails, phone calls, meeting invitations, etc. ...</i></p> <p>Conclusion: Conformity</p> <p>Justification: The SSP is in line with the PEFC ST 1001:2017.</p>
	Process	Y	<p>Conclusion: Conformity</p> <p>Justification: The Steering Group prepared a list of nominees for Working Group members considering the PEFC ST 1001:2017 requirements and proactively sought their participation. Documentation includes, e.g. <i>UKWAS SG mtg minute DRAFT 21 May 2020.docx</i></p>
6.4.4 Activities of the working group shall be organised in an open and transparent manner where:			
(a) working drafts shall be available to all members of the working group,	Procedures	Y	<p>SSP: <i>B. Participatory Process, B4 Transparency, B4.4 Ongoing transparency: Steering Group and Working Group members shall receive all relevant papers and minutes of meetings and shall be responsible for keeping their constituents informed.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The SSP is in line with the PEFC ST 1001:2017.</p>
	Process	Y	<p>Conclusion: Conformity</p> <p>Justification: The working drafts have evidently been available to all members of the Working Group.</p>

PEFC benchmark requirement	Assessment basis	YES /NO	Reference to system documentation (including quotation of relevant text)
(b) all members of the working group shall be given meaningful opportunities to contribute to the development or revision of the standard and to provide feedback on working drafts, and	Procedures	Y	<p>SSP: <i>B. Participatory Process, B3 Working Group, B3.5 Working Group Chair: ... The chair shall be responsible for: ...</i></p> <p><i>b) Ensuring that the views of all stakeholder groups are properly and fairly represented in the standards development process and in subsequent decision-making.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The Chair is explicitly tasked with ensuring that views of all stakeholder groups get properly and fairly represented. In addition, the SSP section <i>B3 Working Group</i> generally reflects the ethos of providing all Working Group members with meaningful opportunities to contribute.</p>
	Process	Y	<p>Conclusion: Conformity</p> <p>Justification: The Working Group meeting minutes (<i>UKWAS WG Meeting Notes</i>) indicate that all Working Group members were given meaningful opportunities to contribute to the process.</p>
(c) feedback and views given by any member of the working group shall be considered in an open and transparent way where the outcome of these considerations is recorded.	Procedures	Y	<p>SSP: <i>B. Participatory Process, B3 Working Group, B3.5 Working Group Chair: ... The chair shall be responsible for: ...</i></p> <p><i>b) Ensuring that the views of all stakeholder groups are properly and fairly represented in the standards development process and in subsequent decision-making.</i></p> <p>SSP: <i>B. Participatory Process, B6 Records: The Steering Group shall keep the following records of the standards-development process: ...</i></p>

PEFC benchmark requirement	Assessment basis	YES /NO	Reference to system documentation (including quotation of relevant text)
			<p>e) <i>Summary progress reports issued following Working Group and/or Steering Group meetings. ...</i></p> <p>h) <i>Summaries of comments on each draft, together with a brief explanation of the way in which those comments were responded to in the draft.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The SSP meets the PEFC ST 1001:2017 requirements.</p>
	Process	Y	<p>Conclusion: Conformity</p> <p>Justification: Consideration of feedback from all Working Group members is documented in the Working Group meeting minutes (<i>UKWAS WG Meeting Notes</i>) that also record the outcomes of the considerations.</p>
6.4.5 The decision of the working group to recommend the final draft for formal approval shall be taken on the basis of consensus. In order to determine whether there is any sustained opposition, the working group can utilise the following methods:			
(a) face-to face meeting(s) where there is a verbal yes/no vote, a show of hands for a yes/no vote; a statement on consensus from the Chair when there are no dissenting voices or hands (votes); a formal ballot, etc.,	Procedures	Y	<p>SSP: <i>B. Participatory Process, B3 Working Group, B3.6 Decision-making: ... Decisions of the Working Group shall be made on the basis of 'no sustained objection' and will therefore require the unanimous vote of those attending and voting at a duly convened meeting of the Working Group. Any member attending the meeting but abstaining from voting shall not be counted.</i></p> <p>SSP: <i>B. Participatory Process, B3 Working Group, B3.8 Decision to confirm the Pre-approval Draft of the standard: ... The Working Group shall aim to agree the Pre-approval Draft by a unanimous vote of those attending and voting at a duly convened meeting of the Working Group.</i></p>

PEFC benchmark requirement	Assessment basis	YES /NO	Reference to system documentation (including quotation of relevant text)
			<p><i>Any member attending the meeting but abstaining from voting shall not be counted.</i></p> <p><i>When there is sustained opposition to a substantial issue, the Working Group shall seek a compromise through discussion and negotiation within the Working Group. Where unanimity cannot be achieved but there is at least a majority support in each chamber, the Working Group should prepare a note setting out the areas of concern or disagreement. ...</i></p> <p><i>In the event that it proves impossible to achieve the necessary majority to confirm a Pre-approval Draft, the Working Group chair shall remit the latest draft and a note on the outstanding areas of concern or disagreement to the Steering Group for its consideration.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The SSP requires consensus from the Working Group to recommend the final draft for formal approval, being in line with the PEFC ST 1001:2017.</p> <p>The PEFC ST 1001:2017 does not place normative requirements for the methods described under sub-requirements a–d but presents them as applicable options.</p>
	Process	Y	<p>Conclusion: Conformity</p> <p>Justification: The Working Group unanimous approval of the final draft is documented in the Working Group meeting minutes from May 4, 2022 (<i>UKWAS WG 27 Meeting Note (04.05.22)-1.pdf</i>)</p>
(b) telephone conference meeting(s) where there is a verbal yes/no vote,	Procedures	Y	Conclusion: Conformity

PEFC benchmark requirement	Assessment basis	YES /NO	Reference to system documentation (including quotation of relevant text)
			Justification: See 6.4.5 (a) – Procedures
	Process	Y	Conclusion: Conformity Justification: See 6.4.5 (a) – Process
(c) e-mail request to the working group for agreement or objection where the members provide a formal (written) response (vote),	Procedures	Y	Conclusion: Conformity Justification: See 6.4.5 (a) – Procedures
	Process	Y	Conclusion: Conformity Justification: See 6.4.5 (a) – Process
(d) combinations of these methods.	Procedures	Y	Conclusion: Conformity Justification: See 6.4.5 (a) – Procedures
	Process	Y	Conclusion: Conformity Justification: See 6.4.5 (a) – Process
6.4.6 Where a vote is used in decision-making, the standard-setting procedures shall determine and include decision-making thresholds that quantifies consensus. The threshold must be consistent with the consensus definition (refer to 3.1). However, a majority vote cannot override sustained opposition in order to achieve consensus.	Procedures	Y	SSP: <i>B. Participatory Process, B3 Working Group, B3.6 Decision-making: ... Decisions of the Working Group shall be made on the basis of 'no sustained objection' and will therefore require the unanimous vote of those attending and voting at a duly convened meeting of the Working Group. Any member attending the meeting but abstaining from voting shall not be counted.</i> Conclusion: Conformity

PEFC benchmark requirement	Assessment basis	YES /NO	Reference to system documentation (including quotation of relevant text)
			Justification: The SSP sets a decision-making threshold (unanimous vote) as required by the PEFC ST 1001:2017.
	Process	Y	Conclusion: Conformity Justification: The Working Group meeting minutes (<i>UKWAS WG Meeting Notes</i>) document that voting was used in decision-making applying the decision-making threshold (unanimous vote) stipulated by the SSP.
6.4.7 When there is sustained opposition to a substantial issue, the issue shall be resolved using the following methods:			
(a) finding a compromise through discussion and negotiation on the disputed issue within the working group,	Procedures	Y	SSP: <i>B. Participatory Process, B3 Working Group, B3.8 Decision to confirm the Pre-approval Draft of the standard: ... When there is sustained opposition to a substantial issue, the Working Group shall seek a compromise through discussion and negotiation within the Working Group. ...</i> Conclusion: Conformity Justification: The SSP is in line with the PEFC ST 1001:2017.
	Process	NA	Conclusion: Not applicable Justification: The Working Group process did not include sustained opposition to a substantial issue.
(b) finding a compromise through direct negotiation between the stakeholder(s) making the objection and	Procedures	Y	SSP: <i>B. Participatory Process, B3 Working Group, B3.8 Decision to confirm the Pre-approval Draft of the standard: ... In the event that it proves impossible to achieve the necessary majority to confirm a Pre-</i>

PEFC benchmark requirement	Assessment basis	YES /NO	Reference to system documentation (including quotation of relevant text)
other stakeholders with different views on the disputed issue,			<p><i>approval Draft, the Working Group chair shall remit the latest draft and a note on the outstanding areas of concern or disagreement to the Steering Group for its consideration.</i></p> <p><i>SSP: C. Governance, C4 Decision to Approve the Pre-Approval Draft Standard: ... When the Working Group has been unable to reach a conclusion on a substantial issue due to sustained opposition, the Steering Group shall seek a solution through direct negotiation between the stakeholder(s) making the objection and other stakeholders with different views on the disputed issue. ...</i></p> <p>Conclusion: Conformity</p> <p>Justification: The SSP is in line with the PEFC ST 1001:2017.</p>
	Process	NA	<p>Conclusion: Not applicable</p> <p>Justification: See 6.4.7 (a) – Process.</p>
(c) additional round(s) of public consultation (if necessary) where further stakeholder input can help to achieve consensus on unresolved issues. The standardising body determines the scope and duration of any additional public consultation.	Procedures	Y	<p><i>SSP: C. Governance, C4 Decision to Approve The Pre-Approval Draft Standard: ... The Steering Group can initiate additional rounds of public consultation where it considers that further stakeholder input can help to achieve consensus on unresolved issues. The Steering Group shall determine the scope and duration of any additional public consultation.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The SSP is in line with the PEFC ST 1001:2017.</p>
	Process	NA	<p>Conclusion: Not applicable</p>

PEFC benchmark requirement	Assessment basis	YES /NO	Reference to system documentation (including quotation of relevant text)
			Justification: See 6.4.7 (a) – Process.
6.4.8 When a substantial issue cannot be resolved and sustained opposition persists, the standardising body shall initiate dispute resolution in accordance with its procedures for impartial and objective action.	Procedures	Y	<p>SSP: <i>C. Governance, C5 Dispute Resolution, C5.3 Confirmation of the Pre-approval Draft: Should it prove impossible to agree a Pre-approval Draft as set out in sections B3.8 and C4 due to sustained opposition, the Steering Group shall initiate the dispute resolution process.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The SSP is in line with the PEFC ST 1001:2017.</p>
	Process	NA	<p>Conclusion: Not applicable</p> <p>Justification: See 6.4.7 (a) – Process.</p>
6.5.1 The standardising body shall organise public consultation on the enquiry draft and shall ensure that:			
(a) the start and the end dates of public consultation are announced in a timely manner through suitable media, NOTE <i>In a timely manner</i> means (at the latest) the day before the start of public consultation.	Procedures	Y	<p>SSP: <i>B. Participatory Process, B4 Transparency, B4.3 Public announcements: ... The Steering Group shall publicly announce a decision on whether or not it is to undertake a revision of the standard and, if so, the commencement of the revision including information on: ...</i></p> <ul style="list-style-type: none"> <i>The detailed revision plan and timetable ...</i> <p><i>Stakeholder representatives shall be notified directly of the announcement in a timely manner. In addition, the announcement shall be publicised through the UKWAS website, certification schemes' websites and via trade media.</i></p> <p>Conclusion: Conformity</p>

PEFC benchmark requirement	Assessment basis	YES /NO	Reference to system documentation (including quotation of relevant text)
			Justification: The SSP stipulation to communicate the revision plan and timetable requires that the public communication dates are announced.
	Process	Y	Conclusion: Conformity Justification: Public consultation dates were published in the timeline available online (https://ukwas.org.uk/wp-content/uploads/2020/06/UKWAS-5-Review-Revision-Plan-Timetable-FINAL-21.05.20.pdf) and also later as separate news (https://ukwas.org.uk/latest-news/).
(b) a direct invitation to comment on the enquiry draft is sent to each stakeholder identified by stakeholder identification mapping (refer to 6.2) aiming for a balanced participation of stakeholder groups,	Procedures	Y	<p>SSP: <i>B. Participatory Process, B5 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; the list shall be based on the outcome of the stakeholder-identification mapping exercise and inclusion on the list shall be open to any additional stakeholder on request.</i></p> <p><i>The process for developing and revising the standard shall include provision for consultation through notifying a wide range of stakeholders and publicising the availability of the following documents as a minimum:</i></p> <p>a) <i>An 'Initial Revision Draft' - an invitation to comment on an initial revision of the current standard which should identify any other aspects already identified as requiring review and on which stakeholder comments would be particularly helpful (minimum consultation period of 60 days).</i></p> <p>Conclusion: Conformity Justification: The SSP is in line with the PEFC ST 1001:2017.</p>

PEFC benchmark requirement	Assessment basis	YES /NO	Reference to system documentation (including quotation of relevant text)
	Process	Y	Conclusion: Conformity Justification: There were two public consultations on drafts which went to all listed stakeholders, and they were all asked to pass on to their contacts.
(c) invitations are sent to disadvantaged and key stakeholders by methods that ensure they reach recipients and are easy to understand,	Procedures	Y	<i>SSP: B. Participatory Process, B3 Working Group, B3.3 Identification of Stakeholder Groups: ... The Steering Group shall identify disadvantaged and/or marginalised stakeholders and key stakeholders and address any constraints to their participation in standard-setting activities.</i> Conclusion: Conformity Justification: The SSP requirement to address potential constraints of disadvantaged stakeholders to participate in the standard-setting activities is universal across the process.
	Process	Y	Conclusion: Conformity Justification: See 6.5.1 (b) – Process.
(d) the enquiry draft is made publicly available,	Procedures	Y	<i>SSP: B. Participatory Process, B5 Consultation: ... The process for developing and revising the standard shall include provision for consultation through notifying a wide range of stakeholders and publicising the availability of the following documents as a minimum:</i> a) <i>An 'Initial Revision Draft' - an invitation to comment on an initial revision of the current standard which should identify any other aspects already identified as requiring review and on which</i>

PEFC benchmark requirement	Assessment basis	YES /NO	Reference to system documentation (including quotation of relevant text)
			<i>stakeholder comments would be particularly helpful (minimum consultation period of 60 days).</i> Conclusion: Conformity Justification: The SSP is in line with the PEFC ST 1001:2017.
	Process	Y	Conclusion: Conformity Justification: The draft was made available on the UKWAS website (https://ukwas.org.uk/consultation-opens-on-ukwas-5-initial-revision-draft/) and https://ukwas.org.uk/library/).
(e) public consultation is for at least 60 days,	Procedures	Y	SSP: <i>B. Participatory Process, B5 Consultation: ... The process for developing and revising the standard shall include provision for consultation through notifying a wide range of stakeholders and publicising the availability of the following documents as a minimum:</i> a) <i>An 'Initial Revision Draft' - an invitation to comment on an initial revision of the current standard which should identify any other aspects already identified as requiring review and on which stakeholder comments would be particularly helpful (minimum consultation period of 60 days).</i> b) <i>A 'Second Revision Draft' which should include a synopsis of the stakeholders' initial comments and clearly identify and explain the proposed changes (minimum consultation period of 60 days).</i> Conclusion: Conformity Justification: The SSP is in line with the PEFC ST 1001:2017.

PEFC benchmark requirement	Assessment basis	YES /NO	Reference to system documentation (including quotation of relevant text)
	Process	Y	Conclusion: Conformity Justification: Both public consultation periods were open for 60 days during the process.
(f) all feedback is considered by the working group in an objective manner, and	Procedures	Y	SSP: <i>B. Participatory Process, B3 Working Group, B3.5 Working Group Chair: ... The chair shall be responsible for: ...</i> <i>b) Ensuring that the views of all stakeholder groups are properly and fairly represented in the standards development process and in subsequent decision-making.</i> SSP: <i>B. Participatory Process, B6 Records: The Steering Group shall keep the following records of the standards-development process: ...</i> <i>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.</i> Conclusion: Conformity Justification: The SSP is in line with the PEFC ST 1001:2017.
	Process	Y	Conclusion: Conformity Justification: There is no indication that feedback would not have been considered as required. Documentation includes the individual Working Group meeting minutes (<i>UKWAS WG Meeting Notes</i>), as well as: <i>UKWAS-Revision-2020-23-Second-Revision-Draft-Consultation-Report-V1-0-July-2022.pdf</i>

PEFC benchmark requirement	Assessment basis	YES /NO	Reference to system documentation (including quotation of relevant text)
			<i>UKWAS 5 Initial Revision Draft with consultation responses (changes from WG 17) (13.09.21).docx</i>
<p>(g) a synopsis of feedback is compiled for each material issue, including the outcome of considering the issue. The synopsis is made publicly available (e.g. on a website) and is sent to each stakeholder/party that gave feedback.</p> <p>NOTE For clarity the standardising body's synopsis may aggregate responses on material issues where there was similar feedback from different stakeholders. However, best practice would be to publish each piece of original feedback and the response, to allow each stakeholder to identify its own feedback.</p>	Procedures	Y	<p>SSP: <i>B. Participatory Process, B5 Consultation: ... The process for developing and revising the standard shall include provision for consultation through notifying a wide range of stakeholders and publicising the availability of the following documents as a minimum: ...</i></p> <p><i>b) A 'Second Revision Draft' which should include a synopsis of the stakeholders' initial comments and clearly identify and explain the proposed changes (minimum consultation period of 60 days).</i></p> <p>Conclusion: Conformity</p> <p>Justification: The SSP meets the PEFC ST 1001:2017 requirements.</p>
	Process	Y	<p>Conclusion: Conformity</p> <p>Justification: Synopsis of feedback and outcomes of considering the issues was included in the following:</p> <p><i>UKWAS-Revision-2020-23-Second-Revision-Draft-Consultation-Report-V1-0-July-2022.pdf</i></p> <p><i>UKWAS Revision 2020-23 Second Revision Draft Consultation Report Annex - Consolidated Feedback January 2022</i></p> <p>Both files were made available on the UKWAS website (https://ukwas.org.uk/latest-news/)</p>
	Procedures	Y	<p>SSP: <i>B. Participatory Process, B5 Consultation: ... The process for developing and revising the standard shall include provision for</i></p>

PEFC benchmark requirement	Assessment basis	YES /NO	Reference to system documentation (including quotation of relevant text)
6.5.2 For new standards the standardising body shall organise a second round of public consultation lasting at least 30 days.			<p><i>consultation through notifying a wide range of stakeholders and publicising the availability of the following documents as a minimum:</i></p> <p>a) <i>An 'Initial Revision Draft' - an invitation to comment on an initial revision of the current standard which should identify any other aspects already identified as requiring review and on which stakeholder comments would be particularly helpful (minimum consultation period of 60 days).</i></p> <p>b) <i>A 'Second Revision Draft' which should include a synopsis of the stakeholders' initial comments and clearly identify and explain the proposed changes (minimum consultation period of 60 days).</i></p> <p>Conclusion: Conformity</p> <p>Justification: The SSP requires two public consultations of at least 60 days by default, exceeding the PEFC ST 1001:2017 requirement.</p>
	Process	NA	<p>Conclusion: Not applicable</p> <p>Justification: UKWAS did not create a new standard in the process. Nevertheless, a second round of public consultation (60 days) was organised as per the SSP requirement.</p>
6.6 The standardising body shall organise pilot testing of new standard(s) to assess the clarity, auditability and feasibility of the requirements. The working group shall consider the outcome of pilot testing. NOTE Pilot testing is not required for revision of an existing standard when experience from its usage can substitute for pilot testing.	Procedures	Y	<p><i>SSP: B. Participatory Process, B7 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, any necessary additional pilot testing and/or experience gained from the application of the standard shall be used to inform the revision process.</i></p> <p>Conclusion: Conformity</p>

PEFC benchmark requirement	Assessment basis	YES /NO	Reference to system documentation (including quotation of relevant text)
			Justification: The current version of the SSP is adjusted for standard revision which is currently a relevant scope for UKWAS. Should a new standard be developed, this calls in for an adequate update in the standard-setting procedures to facilitate for the PEFC ST 1001:2017 pilot testing requirement.
	Process	NA	Conclusion: Not applicable Justification: UKWAS did not create a new standard in the process.
Approval and Publication			
7.1 The standardising body shall approve the standard(s)/normative document(s) formally when there is evidence of consensus among the working group.	Procedures	Y	<p>SSP: B. Participatory Process, B3 Working Group, B3.8 Decision to confirm the Pre-approval Draft of the standard: ... The Working Group shall aim to agree the Pre-approval Draft by a unanimous vote of those attending and voting at a duly convened meeting of the Working Group. Any member attending the meeting but abstaining from voting shall not be counted. ...</p> <p>In the event that it proves impossible to achieve the necessary majority to confirm a Pre-approval Draft, the Working Group chair shall remit the latest draft and a note on the outstanding areas of concern or disagreement to the Steering Group for its consideration.</p> <p>SSP: C. Governance, C4 Decision to Approve the Pre-Approval Draft Standard: ... When the Working Group has been unable to reach a conclusion on a substantial issue due to sustained opposition, the Steering Group shall seek a solution through direct negotiation between the stakeholder(s) making the objection and other stakeholders with different views on the disputed issue. The Steering Group can initiate</p>

PEFC benchmark requirement	Assessment basis	YES /NO	Reference to system documentation (including quotation of relevant text)
			<p><i>additional rounds of public consultation where it considers that further stakeholder input can help to achieve consensus on unresolved issues. The Steering Group shall determine the scope and duration of any additional public consultation.</i></p> <p><i>The Steering Group shall remit any revised Pre-approval Draft to the Working Group and seek its endorsement.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The SSP meets the PEFC ST 1001:2017 requirements.</p>
	Process	Y	<p>Conclusion: Conformity</p> <p>Justification: The standard approval by the Steering Group was based on consensus-based recommendation of the Working Group, documented in the Working Group meeting minutes from May 4, 2022 (<i>UKWAS WG 27 Meeting Note (04.05.22)-1.pdf</i>).</p>
7.2.1 The formally approved standard(s)/normative document(s) shall be published and made publicly available at no cost within 14 days of approval, or as otherwise defined by the standardising body.	Procedures	N	<p>Conclusion: Minor non-conformity</p> <p>Justification: The SSP does not set requirements regarding publishing or public availability of the approved standard.</p>
	Process	Y	<p>Conclusion: Conformity</p> <p>Justification: The standard was made available on the UKWAS website following the formal approval of the standard.</p>
7.2.2 Standard(s) shall include:			

PEFC benchmark requirement	Assessment basis	YES /NO	Reference to system documentation (including quotation of relevant text)
(a) identification and contact information for the standardising body,	Procedures	N	Conclusion: Minor non-conformity Justification: The SSP does not require including standardising body identification and contact information in the standard.
	Process	Y	Conclusion: Conformity Justification: The UKWAS document identifies the eponymous company as the standardising body. The contact details are on the website and will be included in the hard copy of the standard (back cover).
(b) official language of the standard,	Procedures	Y	Conclusion: Conformity Justification: Not explicitly required, but the requirement is not relevant in the case of UKWAS as English is the only language applied.
	Process	Y	Conclusion: Conformity Justification: The official language of the standard is not explicitly stated in the UKWAS. However, the context of the standard unambiguously establishes English as the official language.
(c) a note that when there is inconsistency between versions, the English version of the standard as endorsed by the PEFC Council is the reference.	Procedures	NA	Conclusion: Not applicable Justification: With English as the official language of the standard, this benchmark requirement is irrelevant.
	Process	NA	Conclusion: Not applicable

PEFC benchmark requirement	Assessment basis	YES /NO	Reference to system documentation (including quotation of relevant text)
			Justification: With English as the official language of the standard, this benchmark requirement is irrelevant.
(d) The approval date and the date of next periodic review NOTE The date of next periodic review may be within a shorter period than five years based on (for example) stakeholder expectations or other foreseen developments.	Procedures	N	Conclusion: Minor non-conformity Justification: The SSP does not require including the approval date and the date of next periodic review in the standard.
	Process	NA	Conclusion: Not applicable Justification: The approval date and the date of next periodic review will be defined once the re-endorsement process is complete.
7.2.3 Printed copies shall be made available upon request at a price that covers no more than administrative costs (if any)	Procedures	N	Conclusion: Minor non-conformity Justification: The SSP does not require making the standard available in printed copies.
	Process	Y	Conclusion: Conformity Justification: Printed copies will be made available free of charge after the re-endorsement process.
7.2.4 The standardising body shall make the development report (refer to PEFC GD 1007) publicly available	Procedures	N	SSP: <i>B. Participatory Process, B4 Transparency, B4.3 Public announcements: The Steering Group shall publicly announce the commencement of the review and include information on:</i> <ul style="list-style-type: none"> • <i>The aims, objectives and scope of the review</i> • <i>How standard-users can submit feedback</i> • <i>A contact point for the review process.</i>

PEFC benchmark requirement	Assessment basis	YES /NO	Reference to system documentation (including quotation of relevant text)
			<p><i>The Steering Group shall publicly announce a decision on whether or not it is to undertake a revision of the standard and, if so, the commencement of the revision including information on:</i></p> <ul style="list-style-type: none"> <i>• The aims, objectives and scope of the revision</i> <i>• The standard-setting process</i> <i>• The detailed revision plan and timetable</i> <i>• A contact point for the revision process. ...</i> <p><i>Key documents including this standard-setting process document, revision plan & timetable and 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.</i></p> <p><i>SSP: B. Participatory Process, B5 Consultation: ... The process for developing and revising the standard shall include provision for consultation through notifying a wide range of stakeholders and publicising the availability of the following documents as a minimum: ...</i></p> <p><i>b) A 'Second Revision Draft' which should include a synopsis of the stakeholders' initial comments and clearly identify and explain the proposed changes (minimum consultation period of 60 days).</i></p> <p>Conclusion: Minor non-conformity</p> <p>Justification: The development report component <i>list of stakeholders identified in the stakeholder mapping</i>, as defined in PEFC GD 1007 requirement 6.1.3, is not required in the SSP to be made publicly available.</p>

PEFC benchmark requirement	Assessment basis	YES /NO	Reference to system documentation (including quotation of relevant text)
	Process	N	Conclusion: Minor non-conformity Justification: Development report components defined in PEFC GD 1007 requirement 6.1.3 have been made publicly available in the UKWAS website (https://ukwas.org.uk/process/ and https://ukwas.org.uk/latest-news/), except for 6.1.3 (b), i.e. <i>list of stakeholders identified in the stakeholder mapping</i> . (This list can be considered at the stakeholder organisation level instead of the level of individual representatives.)
Periodic review of standards			
8.1 The standard(s)/normative document(s) shall be reviewed at intervals that do not exceed a five-year period. The review shall be based on consideration of feedback received during the standard's implementation and a gap analysis. If necessary, a stakeholder consultation shall be organised to obtain further feedback and input.	Procedures	Y	SSP: <i>D. Review and Revision of the Standard, D1 Review and Revision Cycle: The standard shall be reviewed and, if deemed necessary, revised on a five-year cycle so that the revision process is concluded no later than the fifth anniversary of the Effective Date for the previous version.</i> SSP: <i>D. Review and Revision of the Standard, D3 Elements of the Review: The review process should include as a minimum the following elements: ...</i> c) <i>A Standard Users' Feedback Review</i> <ul style="list-style-type: none"> - <i>a consideration of feedback made directly to the UKWAS Steering Group</i> - <i>a consideration of feedback made to the certification schemes from certificate holders and accredited certification bodies. (To be provided by the certification schemes.) ...</i> e) <i>A Certification Schemes' Requirements Review – a consideration of advice (to be provided by the certification schemes based on a gap analysis) on any new or revised policies, procedures or guidance that</i>

PEFC benchmark requirement	Assessment basis	YES /NO	Reference to system documentation (including quotation of relevant text)
			<p><i>is relevant to the revision and any learnings from equivalent accredited standards of a similar geographical or ecological scope of application and similar forest conditions. National certification schemes should seek advice and guidance from their international body when compiling their advice.</i></p> <p>In addition, the SSP involves two rounds of stakeholder consultations with an option of additional stakeholder consultation (SSP section B5).</p> <p>Conclusion: Conformity</p> <p>Justification: The SSP meets the PEFC ST 1001:2017 requirements.</p>
	Process	Y	<p>Conclusion: Conformity</p> <p>Justification: The standard was reviewed at a shorter interval than the stipulated maximum of five years. The gap analysis is documented in <i>UKWAS Revision 2020-23 Issues Paper (Final).pdf</i>, which also includes a section on consideration of stakeholder feedback.</p>
<p>8.2.1 The standardising body shall establish and maintain a permanent mechanism for collecting and recording feedback on a standard. This mechanism shall be accessible on the website of the standardising body and/or PEFC National Governing Body with clear directions for providing feedback.</p> <p>NOTE Feedback can be sent in various formats: comments, requests for clarification and/or interpretation, complaints, etc.</p>	Procedures	N	<p>SSP: <i>D. Review and Revision of the Standard, D3 Elements of the Review: The review process should include as a minimum the following elements: ...</i></p> <p><i>c) A Standard Users' Feedback Review</i></p> <ul style="list-style-type: none"> - <i>a consideration of feedback made directly to the UKWAS Steering Group</i> - <i>a consideration of feedback made to the certification schemes from certificate holders and accredited certification bodies. (To be provided by the certification schemes.)</i>

PEFC benchmark requirement	Assessment basis	YES /NO	Reference to system documentation (including quotation of relevant text)
			Conclusion: Minor non-conformity Justification: The SSP recognises utilisation of feedback submitted during the standard life span but does not require establishing and maintaining a permanent feedback mechanism.
	Process	N	Conclusion: Minor non-conformity Justification: General contact information is available on the UKWAS website, but this is not provided in the context of a permanent feedback mechanism intended for collecting and recording feedback on the standard.
8.2.2 All feedback received through all channels, including meetings, training courses, etc. shall be recorded and considered.	Procedures	N	<p>SSP: <i>D. Review and Revision of the Standard, D3 Elements of the Review: The review process should include as a minimum the following elements: ...</i></p> <p>c) <i>A Standard Users' Feedback Review</i></p> <ul style="list-style-type: none"> - <i>a consideration of feedback made directly to the UKWAS Steering Group</i> - <i>a consideration of feedback made to the certification schemes from certificate holders and accredited certification bodies. (To be provided by the certification schemes.)</i> <p>Conclusion: Minor non-conformity</p> <p>Justification: The PEFC ST 1001:2017 places broader requirements for feedback collection and utilisation than the SSP.</p>

PEFC benchmark requirement	Assessment basis	YES /NO	Reference to system documentation (including quotation of relevant text)
	Process	Y	Conclusion: Conformity Justification: Working Group and Steering Group members brought the feedback they had received on the standard on any forums to their respective group meetings for consideration. The feedback is recorded in the respective group's meeting minutes and/or in the documents featuring consolidated feedback.
8.3.1 At the start of a review, the standardising body shall evaluate the standard against appropriate PEFC International standards, national laws and regulations, and other relevant standards to identify potential gaps in the standard.	Procedures	Y	SSP: <i>D. Review and Revision of the Standard, D3 Elements of the Review: The review process should include as a minimum the following elements: ...</i> e) <i>A Certification Schemes' Requirements Review – a consideration of advice (to be provided by the certification schemes based on a gap analysis) on any new or revised policies, procedures or guidance that is relevant to the revision and any learnings from equivalent accredited standards of a similar geographical or ecological scope of application and similar forest conditions. National certification schemes should seek advice and guidance from their international body when compiling their advice.</i> Conclusion: Conformity Justification: The SSP meets the PEFC ST 1001:2017 requirements.
	Process	Y	Conclusion: Conformity Justification: The process was carried out accordingly, documented in <i>UKWAS Revision 2020-23 Issues Paper (Final).pdf</i>

PEFC benchmark requirement	Assessment basis	YES /NO	Reference to system documentation (including quotation of relevant text)
8.3.2 The standardising body shall consider the latest scientific knowledge, research and relevant emerging issues.	Procedures	Y	<p>SSP: <i>D. Review and Revision of the Standard, D3 Elements of the Review: The review process should include as a minimum the following elements: ...</i></p> <p><i>b) A Technical Review – a consideration of any new scientific or technical knowledge.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The SSP meets the PEFC ST 1001:2017 requirements.</p>
	Process	Y	<p>Conclusion: Conformity</p> <p>Justification: The process was carried out accordingly, documented in section <i>Technical review</i> in the document <i>UKWAS Revision 2020-23 Issues Paper (Final).pdf</i></p>
8.4.1 Where the feedback and the gap analysis do not identify a need to revise the standard, the standardising body shall organise stakeholder consultation to determine whether stakeholders see a need for revising the standard. The standardising body shall include the gap analysis in the stakeholder consultation.	Procedures	Y	<p>SSP: <i>B. Participatory Process, B3 Working Group, B3.1 General: ... The Working Group shall undertake the detailed review, and if deemed necessary, the revision and drafting of the standard</i></p> <p>Conclusion: Conformity</p> <p>Justification: The stakeholder consultation required by the PEFC ST 1001:2017 benchmark is covered by the Working Group process of the SSP.</p>
	Process	Y	<p>Conclusion: Conformity</p> <p>Justification: Working Group representing stakeholders was engaged as required.</p>

PEFC benchmark requirement	Assessment basis	YES /NO	Reference to system documentation (including quotation of relevant text)
8.4.2 At the start of a review, the standardising body shall update the stakeholder identification mapping (refer to clause 6.2).	Procedures	Y	<p>SSP: <i>B. Participatory Process, B3 Working Group, B3.3 Identification of Stakeholder Groups: The Steering Group shall undertake a stakeholder-identification mapping exercise to identify stakeholders relevant to the objectives and scope of the standard-setting exercise</i></p> <p>Conclusion: Conformity</p> <p>Justification: The SSP is in line with the PEFC ST 1001:2017.</p>
	Process	Y	<p>Conclusion: Conformity</p> <p>Justification: Stakeholder identification mapping was organised in the beginning of the process, documented in <i>Copy of UKWAS 5 - Stakeholders listings AW.xlsx</i> and <i>Copy of UKWAS 5 - expressions of interest in WG or consultee05.05.20.xlsx</i></p>
8.4.3 The standardising body shall organise:			
(a) a public consultation period of at least 30 days (following the requirements of clause 6.5.1) and/or,	Procedures	Y	<p>Conclusion: Conformity</p> <p>Justification: The benchmark requirement is given in the context of standard review for determining whether a standard revision is necessary. The SSP does not recognise a public consultation aimed for this purpose; however, the benchmark presents 8.4.3 (b) as an alternative to this benchmark requirement.</p>
	Process	NA	<p>Conclusion: Not applicable</p> <p>Justification: The process under benchmark 8.4.3 (b) substituted this benchmark requirement.</p>

PEFC benchmark requirement	Assessment basis	YES /NO	Reference to system documentation (including quotation of relevant text)
(b) stakeholder meetings.	Procedures	Y	<p>SSP: <i>B. Participatory Process, B3 Working Group, B3.7 Decision to revise the standard: The Working Group shall be responsible for undertaking the review process which should include as a minimum the elements set out in section D3. The review should conclude with a decision on whether or not the standard needs to be revised.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The SSP involves stakeholder participation through Working Group engagement.</p>
	Process	Y	<p>Conclusion: Conformity</p> <p>Justification: Working Group was engaged as stipulated by the SSP, meeting the benchmark requirement.</p>
8.4.4 The standardising body shall announce the review in a timely manner (refer to 6.3).	Procedures	Y	<p>SSP: <i>B. Participatory Process, B4 Transparency, B4.3 Public announcements: The Steering Group shall publicly announce the commencement of the review ...</i></p> <p><i>Stakeholder representatives shall be notified directly of the announcement in a timely manner. In addition, the announcement shall be publicised through the UKWAS website, certification schemes' websites and via trade media.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The SSP is in line with the PEFC ST 1001:2017.</p>
	Process	Y	<p>Conclusion: Conformity</p>

PEFC benchmark requirement	Assessment basis	YES /NO	Reference to system documentation (including quotation of relevant text)
			Justification: Stakeholders were publicly invited to participate in the review and revision process well before the first activities occurred, documented in e.g.: <i>News Release UKWAS review stakeholder reminder.docx</i> and online at https://ukwas.org.uk/public-announcement-of-ukwas-review-and-call-for-stakeholder-input/
8.5.1 Based on the feedback received during the period of a standard's implementation, the outcome of the gap analysis and the consultations, the standardising body shall decide whether to reaffirm the standard or whether a revision of the standard is necessary.	Procedures	Y	<p>SSP: B. Participatory Process, B3 Working Group, B3.7 Decision to revise the standard: <i>The Working Group shall be responsible for undertaking the review process which should include as a minimum the elements set out in section D3. The review should conclude with a decision on whether or not the standard needs to be revised.</i></p> <p>SSP: D. Review and Revision of the Standard, D3 Elements of the Review: <i>The review process should include as a minimum the following elements: ...</i></p> <p>c) <i>A Standard Users' Feedback Review</i></p> <ul style="list-style-type: none"> - <i>a consideration of feedback made directly to the UKWAS Steering Group</i> - <i>a consideration of feedback made to the certification schemes from certificate holders and accredited certification bodies. (To be provided by the certification schemes.) ...</i> <p>e) <i>A Certification Schemes' Requirements Review – a consideration of advice (to be provided by the certification schemes based on a gap analysis) on any new or revised policies, procedures or guidance that is relevant to the revision and any learnings from equivalent accredited standards of a similar geographical or ecological scope of application and similar forest conditions. National certification</i></p>

PEFC benchmark requirement	Assessment basis	YES /NO	Reference to system documentation (including quotation of relevant text)
			<p><i>schemes should seek advice and guidance from their international body when compiling their advice.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The SSP meets the PEFC ST 1001:2017 requirements.</p>
	Process	Y	<p>Conclusion: Conformity</p> <p>Justification: The Working Group decision to recommend standard revision is documented in meeting minutes: <i>UKWAS WG 1 Meeting Note (22.10.20).pdf</i>. The Steering Group acknowledged the issue, documented in meeting minutes: <i>UKWAS SG mtg minute DRAFT 5 November 2020.docx</i>.</p>
8.5.2 The decision shall be made at the highest decision-making level of the standardising body	Procedures	Y	<p>SSP: <i>B. Participatory Process, B3 Working Group, B3.7 Decision to revise the standard: The Working Group shall be responsible for undertaking the review process which should include as a minimum the elements set out in section D3. The review should conclude with a decision on whether or not the standard needs to be revised.</i></p> <p>Articles of Association of United Kingdom Woodland Assurance Standard (November 25, 2002): <i>Article 39: Subject to the provisions of the Act, the Memorandum and the Articles, the Steering Group shall be responsible for the following:- ... maintaining, amending and interpreting the Company's forest certification standard;</i></p> <p>Conclusion: Conformity</p> <p>Justification: Articles of Association for UKWAS establish Steering Group as the body ultimately responsible for amending the standard.</p>

PEFC benchmark requirement	Assessment basis	YES /NO	Reference to system documentation (including quotation of relevant text)
			<p>Thus, the decision to revise the standard shall also be made by the Steering Group.</p> <p>Comment: To avoid potential confusion, the wording of the SSP is recommended to be revised so that it clearly establishes Steering Group as the body responsible for the final decision on whether or not to revise the standard.</p>
	Process	Y	<p>Conclusion: Conformity</p> <p>Justification: The Steering Group acknowledged the Working Group recommendation to initiate standard revision process (<i>UKWAS SG mtg minute DRAFT 5 November 2020.docx</i>).</p> <p>Comment: While the working group recommendation is acknowledged, the meeting minutes do not document a decision-making process per se for initiation of the standard revision process, including, e.g. voting or documentation of unanimity. It is recommended that the decision-making process by the Steering Group is carried out and documented explicitly at the end of the next standard review.</p>
8.5.3 Where the decision is to reaffirm a standard, the standardising body shall provide a justification for the decision and make the justification publicly available.	Procedures	N	<p>SSP: <i>B. Participatory Process, B4 Transparency, B4.3 Public announcements: ... The Steering Group shall publicly announce a decision on whether or not it is to undertake a revision of the standard ...</i></p> <p>Conclusion: Minor non-conformity</p> <p>Justification: The SSP does not include a requirement for the standardising body to publicly justify their decision to reaffirm the standard.</p>

PEFC benchmark requirement	Assessment basis	YES /NO	Reference to system documentation (including quotation of relevant text)
			Comment: It is recognised that in practice, a decision to reaffirm the UKWAS would be very unlikely, as reflected by the concept of “reaffirming” not being featured in the SSP.
	Process	NA	Conclusion: Not applicable Justification: The standardising body decided to revise the standard.
8.5.4 Where the decision is to revise the standard, the standardising body shall specify the type of revision (normal or editorial revision).	Procedures	NA	Conclusion: Not applicable Justification: The SSP does not recognise an editorial revision. Normal revision is carried out for UKWAS by default. This standard revision process was carried out as normal revision.
	Process		
Revision of standards			
9.1 Procedures for revision of standard(s)/normative document(s) shall conform to those stated in section 6. A normal revision can occur at the periodic review, or between periodic reviews, but does not include editorial revisions and time-critical revisions.	Procedures	N	Conclusion: Minor non-conformity Justification: There are minor non-conformities under section 6 with the following benchmark requirements for procedures: 6.3.1 (e), 6.3.2, 6.4.2 (b)
	Process	N	Conclusion: Minor non-conformity Justification: There is a minor non-conformity with the benchmark 6.3.1 (e) requirements for process.
9.2 Editorial revisions can be made without triggering the normal revision process. The standardising body shall	Procedures	NA	Conclusion: Not applicable

PEFC benchmark requirement	Assessment basis	YES /NO	Reference to system documentation (including quotation of relevant text)
approve the editorial changes formally and publish an amendment or a new edition of the standard.	Process		Justification: See 8.5.4
9.3.1 A time-critical revision is a revision between two periodic reviews using a fast-track process.	Procedures	NA	Conclusion: Not applicable Justification: The SSP does not recognise a time-critical revision. Normal revision is carried out for UKWAS by default. This standard revision process was carried out as normal revision.
	Process		
9.3.2 A time-critical revision can be conducted only in the following situations:			
(a) Change in national laws and regulations affecting compliance with PEFC International requirements	Procedures	NA	Conclusion: Not applicable Justification: See 9.3.1
	Process		
(b) Instruction by PEFC International to comply with specific or new PEFC requirements within a timescale that is too short for a normal revision.	Procedures	NA	Conclusion: Not applicable Justification: See 9.3.1
	Process		
9.3.3 The time-critical revision shall follow these steps:			
(a) The standardising body shall draft the revised standard,	Procedures	NA	Conclusion: Not applicable Justification: See 9.3.1
	Process		
(b) The standardising body may consult stakeholders, but it is not mandatory,	Procedures	NA	Conclusion: Not applicable

PEFC benchmark requirement	Assessment basis	YES /NO	Reference to system documentation (including quotation of relevant text)
	Process		Justification: See 9.3.1
(c) The revised standard shall be approved formally at the highest appropriate decision-making level of the standardising body,	Procedures	NA	Conclusion: Not applicable Justification: See 9.3.1
	Process		
(d) The standardising body shall explain the justification for the urgent change(s) and make the justification publicly available.	Procedures	NA	Conclusion: Not applicable Justification: See 9.3.1
	Process		
9.4.1 A revision shall define the application date and transition period of the revised standard(s)/normative document(s).	Procedures	N	Conclusion: Minor non-conformity Justification: The SSP does not require definition of the application date and transition period.
	Process	Y	Conclusion: Conformity Justification: An estimated application date (“effective date”) is included in the UKWAS and will be replaced with the confirmed application date once the re-endorsement process is complete. One-year transition period is stipulated in the PEFC UK.
9.4.2 An application date shall not be more than one year after the publication of the standard. This allows time for endorsement of the revised standard(s)/normative document(s), introduction of change(s), information dissemination and training.	Procedures	N	Conclusion: Minor non-conformity Justification: The SSP does not place a requirement for there to be a maximum of one year between the standard publication and the application date.

PEFC benchmark requirement	Assessment basis	YES /NO	Reference to system documentation (including quotation of relevant text)
	Process	Y	Conclusion: Conformity Justification: The application date (effective date) of the UKWAS (April 1, 2023) is within one year of the standard publication (July 27, 2022).
9.4.3 The transition period shall not exceed one year. The standardising body may determine a longer period when justified by exceptional circumstances.	Procedures	N	Conclusion: Minor non-conformity Justification: The SSP places no requirements related to the duration of the transition period.
	Process	Y	Conclusion: Conformity Justification: One-year transition period is stipulated in the PEFC UK.

PEFC Checklist (3) - Sustainable Forest Management (PEFC ST 1003:2018)

1 Scope

This checklist covers requirements for sustainable forest management as defined in PEFC ST 1003:2018, *Sustainable Forest Management – Requirements*. Any inconsistencies between this text and the original referred to document will be overruled by the content and wording of the technical document.

PEFC UK Reference Documents:

Document type	Document name
Normative documents	PEFC UK Certification Scheme for Sustainable Forest Management, July 5, 2022. (hereafter “PEFC UK”), Update working version (from Dec 15, 2022), undated United Kingdom Woodland Assurance Standard, Fifth Edition (Pre-approval Draft) (Version 5.0), July 21, 2022 (hereafter “UKWAS”)

2 Checklist

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
Context of the national standard and the organisations applying a PEFC endorsed standard		
4.1 General		
The requirements for sustainable forest management defined by regional, national or sub-national forest management standards shall:		
a) include management and performance requirements that are applicable at the forest management unit level, or at another level as appropriate, to ensure that the intent of all requirements is achieved at the forest management unit level;	Y	UKWAS: <i>Introduction. The woodland management unit: The unit of certification is a woodland management unit (WMU). A WMU is a clearly defined woodland area, or areas, with mapped boundaries, managed to a set of explicit long-term objectives. The WMU is covered by the management planning documentation set out in section 2.2 of the certification standard.</i>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
Note: An example of a situation where a requirement can be defined as being at another level (e.g. group/regional) is monitoring of forest health. Through monitoring of forest health at regional level, and communicating of results at the FMU level, the objective of the requirement is met without the necessity to carry out the individual monitoring of each forest management unit.		Conclusion: Conformity Justification: The sustainable forest management and performance requirements of the UKWAS, as well as any additional requirements/specifications of the PEFC UK, are applicable at the forest management unit level.
b) be clear, performance based and auditable;	Y	Conclusion: Conformity Justification: The sustainable forest management and performance requirements of the UKWAS, as well as any additional requirements/specifications of the PEFC UK, are generally clear, performance-based and auditable.
c) apply to activities of all forest operators in the defined forest area who have an impact on achieving compliance with the requirements;	N	<p>UKWAS: <i>Introduction. Third-party rights - leases, burdens in title, ownership rights and legal restrictions on management: In certain situations, pre-existing leases, burdens in title and third-party ownership rights might restrict management actions in such a way that the owner/manager might not be able to fully meet all the requirements of the certification standard. For example:</i></p> <ul style="list-style-type: none"> • <i>Forestry-only or long-term sporting leases where sporting or access rights might be restricted</i> • <i>Timber leases under which the restocking obligation reverts to the landowner</i> • <i>Wayleaves, and servitude rights</i> • <i>Mineral extraction rights held by third parties</i> • <i>Traditional rights (e.g. peat cutting).</i> <p><i>In these circumstances conformance to the certification standard may still be achieved provided the owner/manager is able to demonstrate that:</i></p> <ul style="list-style-type: none"> • <i>The holder of the third-party rights has been made aware of those requirements of the standard which are relevant to the rights they hold and how they can assist with</i>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		<p><i>conformance. It is not however necessary for the third party to agree to conform to the requirements of the standard</i></p> <ul style="list-style-type: none"> <i>All reasonable measures have been taken to mitigate negative impacts caused by the holders of third-party rights</i> <i>The third-party rights have not been created intentionally to avoid conformance.</i> <p>Conclusion: Minor non-conformity</p> <p>Justification: The UKWAS SFM requirements do not necessarily apply for all activities done by third parties on a certified WMU. The UKWAS includes mechanisms to mitigate the sustainability risk resulting from such deviations, but the issue still presents a non-conformity with the PEFC requirements.</p>
d) require record-keeping that provides evidence of compliance with the requirements of the forest management standards;	Y	<p>UKWAS: 2. Management planning, 2.2 Documentation, 2.2.1: All areas in the WMU are covered by management planning documentation which is retained for at least ten years and incorporates:</p> <ul style="list-style-type: none"> a) A long-term policy for the woodland. b) Assessment of relevant components of the woodland resource, including potential wood or non-wood forest products and services which are consistent with the management objectives. c) Assessment of environmental values, including those outside the WMU potentially affected by management, sufficient to determine appropriate conservation measures and to provide a baseline for detecting possible positive and negative impacts. d) Identification of special characteristics and sensitivities of the woodland and appropriate treatments. e) Specific measures to maintain and where possible enhance those areas identified under sections 4.1-4.6 and 4.9, considering areas where either the extent of these areas or their sensitivity to operations might be unknown.

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		<p>f) <i>Identification of community and social needs and sensitivities.</i></p> <p>g) <i>Prioritised objectives, with verifiable targets to measure progress.</i></p> <p>h) <i>Rationale for management prescriptions.</i></p> <p>i) <i>Outline planned felling and regeneration over the next 20 years.</i></p> <p>j) <i>Where applicable, annual allowable harvest of non-wood forest products (NWFPs).</i></p> <p>k) <i>Rationale for the operational techniques to be used.</i></p> <p>l) <i>Plans for implementation, first five years in detail.</i></p> <p>m) <i>Appropriate maps.</i></p> <p>n) <i>Plans to monitor at least those elements identified under section 2.15.1 against the objectives.</i></p> <p>UKWAS: 2. Management planning, 2.15 Monitoring, 2.15.1: ...</p> <p>c) <i>The owner/manager where applicable monitors and records:</i></p> <ul style="list-style-type: none"> • <i>The implementation of policies and objectives and the achievement of verifiable targets</i> • <i>Implementation of woodland operations</i> • <i>Harvesting yields</i> • <i>Social impacts</i> • <i>Environmental impacts</i> • <i>Changes in environmental condition</i> • <i>Usage of pesticides, biological control agents and fertilisers and any adverse impacts</i> • <i>Environmentally appropriate disposal of waste materials.</i> <p>Conclusion: Conformity</p>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		Justification: The UKWAS record-keeping requirements meet the requirements of the PEFC ST 1003:2018.
e) specify “100% PEFC certified”, or another system specific claim, as claim to be used to communicate the origin of products in an area covered by the standard to customers with a PEFC chain of custody; Note: System specific claims of PEFC endorsed standards and PEFC Council approved abbreviations of such claims and the claim “100% PEFC certified”, and their translations into languages other than English, are published online on the PEFC website www.pefc.org .	Y	PEFC UK: <i>Section 6: Scheme Governance, 6.3.2 Individual Certification: ... The certificate owner shall ensure that the correct claims are made and only on material that originates in a PEFC certified woodland by ...</i> <ul style="list-style-type: none"> making claims of ‘x% PEFC certified’ and/or ‘100% PEFC origin’ for products only from certified woodlands Conclusion: Conformity Justification: The PEFC UK is in line with the PEFC ST 1003:2018.
f) require that where owners/managers of forests are selling products from areas other than covered by the standard, only products from areas covered by the standard are sold with the claim “100% PEFC-certified” or a system specific claim;	Y	PEFC UK: <i>Section 6: Scheme Governance, 6.3.2 Individual Certification: ... The certificate owner shall ensure that the correct claims are made and only on material that originates in a PEFC certified woodland by</i> <ul style="list-style-type: none"> verifying the origin of certified raw materials before and after handling and processing by appropriate documentation; ensuring that certified raw materials are clearly marked, physically separated or otherwise identified as certified when received; making claims of ‘x% PEFC certified’ and/or ‘100% PEFC origin’ for products only from certified woodlands Conclusion: Conformity Justification: The PEFC UK is in line with the PEFC ST 1003:2018.
g) require that claims on the origin of products in an area covered by the standard are only made by forest	Y	PEFC UK: <i>Section 6: Scheme Governance, 6.3.2 Individual Certification: ... The certificate owner shall ensure that the correct claims are made and only on material that originates in a PEFC certified woodland by</i>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
owners/managers covered by a PEFC recognised certificate issued against the standard;		<ul style="list-style-type: none"> • <i>verifying the origin of certified raw materials before and after handling and processing by appropriate documentation;</i> • <i>ensuring that certified raw materials are clearly marked, physically separated or otherwise identified as certified when received;</i> • <i>making claims of 'x% PEFC certified' and/or '100% PEFC origin' for products only from certified woodlands</i> <p>Conclusion: Conformity</p> <p>Justification: The PEFC UK is in line with the PEFC ST 1003:2018.</p>
h) specify requirements concerning the information which need to be provided to a PEFC chain of custody certified customer;	Y	<p>Conclusion: Conformity</p> <p>Justification: The PEFC UK has adopted the PEFC International Standard PEFC ST 2002:2020 for chain of custody requirements, which specifies the information required to be provided for a PEFC CoC-certified customer.</p>
i) include an overview of applicable legislation, if requirements of this benchmark are not reflected in the regional, national or sub-national standard, because they are already addressed through the legislation.	Y	<p>Conclusion: Conformity</p> <p>Justification: The UKWAS includes adequate references to applicable legislation. The relevant main legislation is also collected in the UKWAS section <i>References: Main legislation, regulations, guidelines and codes of practice referred to in the UKWAS.</i></p>
4.2 Understanding the needs and expectations of affected stakeholders		
The standard requires that the organisation shall determine:		
a) the affected stakeholders that are relevant to the sustainable forest management;	Y	<p>UKWAS: 2. Management planning, 2.3 Consultation and co-operation, 2.3.1:</p> <p>a) <i>Local people, relevant organisations and interested parties are identified ...</i></p> <p>Conclusion: Conformity</p>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		Justification: The UKWAS is in line with the PEFC ST 1003:2018.
b) the relevant needs and expectations of these stakeholders.	Y	<p>UKWAS: 2. <i>Management planning, 2.3 Consultation and co-operation, 2.3.1: ...</i></p> <p><i>c) The owner/manager consults appropriately with local people, relevant organisations and other interested parties, and provides opportunities for their engagement in planning and monitoring processes.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The UKWAS is in line with the PEFC ST 1003:2018.</p>
4.3 Determining the scope of the management system		
4.3.1 The standard requires that the organisation shall determine the boundaries and applicability of the management system to establish its scope.	Y	<p>UKWAS: <i>Introduction. The woodland management unit: The unit of certification is a woodland management unit (WMU). A WMU is a clearly defined woodland area, or areas, with mapped boundaries, managed to a set of explicit long-term objectives. The WMU is covered by the management planning documentation set out in section 2.2 of the certification standard.</i></p> <p>UKWAS: 1. <i>Legal compliance and UKWAS conformance, 1.1 Compliance and conformance, 1.1.3:</i></p> <p><i>a) The legal identity of the owner/manager is documented.</i></p> <p><i>b) The boundaries of the owner's/manager's legal ownership or tenure are documented.</i></p> <p><i>c) The scope of the owner's/manager's legal rights to manage the WMU and to harvest wood and non-wood forest products and/or supply services from within the WMU is documented.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The UKWAS meets the requirements of the PEFC ST 1003:2018.</p>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
<p>4.3.2 The standard requires that forest management shall comprise the cycle of inventory and planning, implementation, monitoring and evaluation, and shall include an appropriate assessment of the social, environmental and economic impacts of forest management practices. This shall form a basis for a cycle of continuous improvement.</p>	<p>Y</p>	<p>UKWAS: 2. Management planning, 2.1 Policy and objectives, 2.1.2: Woodland management planning takes full account of the short- and long-term positive and negative economic, environmental and social impacts of proposed operations, including potential impacts outside the WMU.</p> <p>UKWAS: 2. Management planning, 2.2 Documentation, 2.2.1: All areas in the WMU are covered by management planning documentation which is retained for at least ten years and incorporates:</p> <ul style="list-style-type: none"> a) A long-term policy for the woodland. b) Assessment of relevant components of the woodland resource, including potential wood or non-wood forest products and services which are consistent with the management objectives. c) Assessment of environmental values, including those outside the WMU potentially affected by management, sufficient to determine appropriate conservation measures and to provide a baseline for detecting possible positive and negative impacts. d) Identification of special characteristics and sensitivities of the woodland and appropriate treatments. ... f) Identification of community and social needs and sensitivities. ... l) Plans for implementation, first five years in detail. ... n) Plans to monitor at least those elements identified under section 2.15.1 against the objectives. <p>UKWAS: 2. Management planning, 2.5 Assessment of environmental impacts in existing woodland, 2.5.1:</p>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		<p>a) <i>During woodland management planning, the positive and negative impacts of proposed operations on environmental values are assessed in a manner appropriate to their scale and the sensitivity of the site.</i></p> <p>b) <i>The results of the environmental assessments are incorporated into planning and implementation in order to avoid adverse environmental impacts of management activities, and to minimise or repair impacts that do occur.</i></p> <p>UKWAS: 2. Management planning, 2.15 Monitoring, 2.15.1:</p> <p>a) <i>The owner/manager devises and implements a monitoring programme appropriate to the scale and intensity of management.</i></p> <p>b) <i>The monitoring programme is:</i></p> <ul style="list-style-type: none"> • <i>Part of the management planning documentation</i> • <i>Consistent and replicable over time to allow comparison of results and assessment of change ...</i> <p>c) <i>The owner/manager where applicable monitors and records:</i></p> <ul style="list-style-type: none"> • <i>The implementation of policies and objectives and the achievement of verifiable targets</i> • <i>Implementation of woodland operations</i> • <i>Harvesting yields</i> • <i>Social impacts</i> • <i>Environmental impacts</i> • <i>Changes in environmental condition ...</i> <p>UKWAS: 2. Management planning, 2.15 Monitoring, 2.15.2:</p> <p>a) <i>The owner/manager takes monitoring findings into account, particularly during revision of the management planning documentation and if necessary, revises management objectives, verifiable targets and/or management activities.</i></p>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		Conclusion: Conformity Justification: The UKWAS is in line with the PEFC ST 1003:2018.
5. Leadership		
5.1 The standard requires that the organisation shall provide a commitment:		
a) to comply with the sustainable forest management standard and other applicable requirements of the certification system;	Y	UKWAS: 1. <i>Legal compliance and UKWAS conformance, 1.1 Compliance and conformance, 1.1.5:</i> a) <i>The owner/manager:</i> <ul style="list-style-type: none"> • <i>Commits to conformance to this certification standard, and</i> • <i>Has declared an intention to protect and maintain the woodland management unit and its ecological integrity in the short and long term.</i> Conclusion: Conformity Justification: The UKWAS is in line with the PEFC ST 1003:2018.
b) to continuously improve the sustainable forest management system.	Y	UKWAS: <i>Introduction. Background and purpose: The UKWAS is designed to reflect... An ethos of continuous improvement.</i> UKWAS: 1. <i>Legal compliance and UKWAS conformance, 1.1 Compliance and conformance, 1.1.5:</i> a) <i>The owner/manager:</i> <ul style="list-style-type: none"> • <i>Commits to conformance to this certification standard, and</i> • <i>Has declared an intention to protect and maintain the woodland management unit and its ecological integrity in the short and long term.</i> UKWAS: 2. <i>Management planning, 2.1 Policy and objectives, 2.1.1:</i>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		<p>a) <i>The owner/manager has a long-term policy and management objectives which are environmentally positive, socially beneficial, economically viable and enhance forest resilience.</i></p> <p><i>Guidance: ... management planning should demonstrate a commitment to continuous improvement.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The UKWAS generally aims at continuous improvement of the forest management system, and the owner/manager is required to commit to this standard.</p>
5.2 The standard requires that this commitment shall be publicly available.	N	<p>UKWAS: 1. <i>Legal compliance and UKWAS conformance, 1.1 Compliance and conformance, 1.1.5: ...</i></p> <p>b) <i>A statement of these commitments is made publicly available upon request.</i></p> <p>Conclusion: Minor non-conformity</p> <p>Justification: Benchmark definition for <i>publicly available</i> is included in the PEFC ST 1001 2017 chapter 3 Terms and Definitions, which defines it as <i>generally accessible to the interested public in any form and without the need for a request</i>. In the UKWAS requirement, the availability of the commitments is subjected to a request.</p>
5.3 The standard requires that responsibilities for sustainable forest management shall be clearly defined and assigned.	Y	<p>PEFC UK: <i>Section 6: Scheme Governance, 6.3.2 Individual Certification: ... The responsibilities for sustainable forest management shall be clearly defined and assigned.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The PEFC UK is in line with the PEFC ST 1003:2018.</p>
6. Planning		
6.1 Actions to address risks and opportunities		

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
<p>6.1.1 The standard requires that the organisation shall consider risks and opportunities concerning compliance with the requirements for sustainable forest management. Size and scale of the operations of the organisation shall be considered.</p>	<p>Y</p>	<p>UKWAS: 2. Management planning, 2.1 Policy and objectives, 2.1.2: Woodland management planning takes full account of the short- and long-term positive and negative economic, environmental and social impacts of proposed operations, including potential impacts outside the WMU.</p> <p>UKWAS: 2. Management planning, 2.5 Assessment of environmental impacts in existing woodland, 2.5.1:</p> <ul style="list-style-type: none"> a) During woodland management planning, the positive and negative impacts of proposed operations on environmental values are assessed in a manner appropriate to their scale and the sensitivity of the site. b) The results of the environmental assessments are incorporated into planning and implementation in order to avoid adverse environmental impacts of management activities, and to minimise or repair impacts that do occur. <p>UKWAS: 2. Management planning, 2.5 Assessment of environmental impacts in existing woodland, 2.5.3:</p> <ul style="list-style-type: none"> a) The owner/manager assesses the potential negative impacts of natural hazards on the WMU, including drought, floods, wind, fire, non-native plant and animal species, and other pests and diseases. b) Management and restructuring plans are designed to mitigate the risk of damage from natural hazards. <p>UKWAS: 2. Management planning, 2.6 Woodland creation, 2.6.1:</p> <ul style="list-style-type: none"> a) During woodland management planning, the impacts of proposed woodland establishment operations on environmental values are assessed in a manner appropriate to their scale and the sensitivity of the site. <p>UKWAS: 2. Management planning, 2.8 Tree species selection, 2.8.1:</p>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		<p>a) <i>The range of species selected for new woodlands, and natural or artificial regeneration of existing woodlands is suited to the site and takes into consideration:</i></p> <ul style="list-style-type: none"> • <i>Improvement of long-term forest resilience including the potential impacts of climate change ...</i> <p>UKWAS: 2. Management planning, 2.10 Silvicultural systems, 2.10.1:</p> <p>a) <i>Appropriate silvicultural systems are adopted which are suited to species, sites, windthrow risk, tree health risks and management objectives and which stipulate soundly-based planting, establishment, thinning, felling and regeneration plans.</i></p> <p>UKWAS: 5. People, communities and workers, 5.2 Minimising adverse impacts, 5.2.1: <i>The owner/manager mitigates the risks to public health and safety and other negative impacts of woodland operations on local people and visitors.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The PEFC ST 1003:2018 benchmark requirement is not directly featured in the UKWAS but reflected through numerous sub-requirements of the UKWAS.</p>
6.1.2 The standard requires that inventory and mapping of forest resources shall be established and maintained, adequate to local and national conditions and in correspondence with the requirements described in this international benchmark standard.	Y	<p>UKWAS: 2. Management planning, 2.2 Documentation, 2.2.1: <i>All areas in the WMU are covered by management planning documentation which is retained for at least ten years and incorporates: ...</i></p> <p>b) <i>Assessment of relevant components of the woodland resource, including potential wood or non-wood forest products and services which are consistent with the management objectives. ...</i></p> <p>m) <i>Appropriate maps.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The UKWAS is in line with the PEFC ST 1003:2018.</p>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
6.2 Management plan		
6.2.1 The standard requires that management plans shall be:		
a) elaborated and periodically updated or continually adjusted;	Y	<p>UKWAS: 2. <i>Management planning</i>, 2.2 <i>Documentation</i>, 2.2.3:</p> <p>a) <i>Management planning documentation is kept current taking into account changes required as a result of:</i></p> <ul style="list-style-type: none"> • <i>Monitoring programme results</i> • <i>Results of audits</i> • <i>Results of stakeholder engagement</i> • <i>New research and technical information, and</i> • <i>Changed environmental, social, or economic circumstances.</i> <p>Conclusion: Conformity</p> <p>Justification: The UKWAS is in line with the PEFC ST 1003:2018.</p>
b) appropriate to the size and use of the forest area;	Y	<p>UKWAS: 2. <i>Management planning</i>, 2.2 <i>Documentation</i>, 2.2.1: <i>All areas in the WMU are covered by management planning documentation which is retained for at least ten years and incorporates: ...</i></p> <p>b) <i>Assessment of relevant components of the woodland resource, including potential wood or non-wood forest products and services which are consistent with the management objectives. ...</i></p> <p>d) <i>Identification of special characteristics and sensitivities of the woodland and appropriate treatments. ...</i></p> <p>f) <i>Identification of community and social needs and sensitivities.</i></p> <p>Conclusion: Conformity</p>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		Justification: The UKWAS is in line with the PEFC ST 1003:2018.
c) based on applicable local, national and international legislation as well as existing land-use or other official plans; and	Y	<p>UKWAS: 1. <i>Legal compliance and UKWAS conformance, 1.1 Compliance and conformance, 1.1.1: There is compliance with the law. There are no substantiated outstanding claims of non-compliance related to woodland management.</i></p> <p>UKWAS: 1. <i>Legal compliance and UKWAS conformance, 1.1 Compliance and conformance, 1.1.2: There is conformance to the spirit of any relevant codes of practice or good practice guidelines.</i></p> <p>UKWAS: 2. <i>Management planning, 2.3 Consultation and co-operation, 2.3.1: ...</i></p> <p>b) <i>The owner/manager ensures that there is full co-operation with the relevant forestry authority's consultation processes.</i></p> <p>c) <i>The owner/manager consults appropriately with local people, relevant organisations and other interested parties, and provides opportunities for their engagement in planning and monitoring processes.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The UKWAS meets the requirements of the PEFC ST 1003:2018. The UKWAS practically necessitates the management plan to be based on existing land use or other official plans through the requirements for compliance, conformance to codes of practice and appropriate consultations with relevant organisations.</p>
d) adequately covering forest resources.	Y	<p>UKWAS: 2. <i>Management planning, 2.2 Documentation, 2.2.1: All areas in the WMU are covered by management planning documentation which is retained for at least ten years and incorporates: ...</i></p> <p>a) <i>Assessment of relevant components of the woodland resource, including potential wood or non-wood forest products and services which are consistent with the management objectives. ...</i></p>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		Conclusion: Conformity Justification: The UKWAS is in line with the PEFC ST 1003:2018.
6.2.2 The standard requires that management plans shall take into account the different uses or functions of the managed forest area.	Y	<p>UKWAS: 2. <i>Management planning</i>, 2.2 <i>Documentation</i>, 2.2.1: <i>All areas in the WMU are covered by management planning documentation which is retained for at least ten years and incorporates: ...</i></p> <ul style="list-style-type: none"> <i>b) Assessment of environmental values, including those outside the WMU potentially affected by management, sufficient to determine appropriate conservation measures and to provide a baseline for detecting possible positive and negative impacts.</i> <i>c) Identification of special characteristics and sensitivities of the woodland and appropriate treatments.</i> <i>d) Specific measures to maintain and where possible enhance those areas identified under sections 4.1- 4.6 and 4.9 [Statutory nature conservation sites, Conservation of ancient semi-natural woodlands, Management of plantations on ancient woodland sites, Other priority habitats, Protection of conservation values in other woodlands and semi-natural habitats, Watershed management and erosion control, Protection of cultural and historic environment sites], considering areas where either the extent of these areas or their sensitivity to operations might be unknown.</i> <i>f) Identification of community and social needs and sensitivities. ...</i> <i>j) Where applicable, annual allowable harvest of non-wood forest products (NWFPs).</i> <p>Conclusion: Conformity Justification: The UKWAS is in line with the PEFC ST 1003:2018.</p>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
<p>6.2.3 The standard requires that management plans shall include at least a description of the current forest management unit, long-term objectives, and the average annual allowable cut, including its justification.</p>	<p>Y</p>	<p>UKWAS: 2. Management planning, 2.2 Documentation, 2.2.1: All areas in the WMU are covered by management planning documentation which is retained for at least ten years and incorporates:</p> <ul style="list-style-type: none"> a) A long-term policy for the woodland. b) Assessment of relevant components of the woodland resource, including potential wood or non-wood forest products and services which are consistent with the management objectives. c) Assessment of environmental values, including those outside the WMU potentially affected by management, sufficient to determine appropriate conservation measures and to provide a baseline for detecting possible positive and negative impacts. d) Identification of special characteristics and sensitivities of the woodland and appropriate treatments. ... g) Prioritised objectives, with verifiable targets to measure progress. <p>UKWAS: 2. Management planning, 2.4 Productive potential of the woodland management unit, 2.4.2:</p> <ul style="list-style-type: none"> a) Timber is normally harvested from the WMU at or below a level which can be permanently sustained. b) The average annual allowable cut is quantified, and actual harvesting levels are justified. c) Selective harvesting is not to the long-term detriment of the quality and value of stands. <p>Conclusion: Conformity</p> <p>Justification: The UKWAS is in line with the PEFC ST 1003:2018.</p>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
6.2.4 The standard requires that the annually allowable use of non-wood forest products shall be included in the management plan where forest management covers commercial use of non-wood forest products at a level which can have an impact on their long-term sustainability.	Y	<p>UKWAS: 2. Management planning, 2.2 Documentation, 2.2.1: All areas in the WMU are covered by management planning documentation which is retained for at least ten years and incorporates: ...</p> <p>j) Where applicable, annual allowable harvest of non-wood forest products (NWFPs).</p> <p>UKWAS: 2. Management planning, 2.4 Productive potential of the woodland management unit, 2.4.3:</p> <p>a) Harvesting of non-wood forest products (NWFPs) or use of ecosystem services from the WMU is at or below a level which can be permanently sustained.</p> <p>Conclusion: Conformity</p> <p>Justification: The UKWAS is in line with the PEFC ST 1003:2018.</p>
6.2.5 The standard requires that management plans specify ways and means to minimise the risk of degradation and damage to forest ecosystems.	Y	<p>UKWAS: 2. Management planning, 2.2 Documentation, 2.2.1: All areas in the WMU are covered by management planning documentation which is retained for at least ten years and incorporates: ...</p> <p>c) Assessment of environmental values, including those outside the WMU potentially affected by management, sufficient to determine appropriate conservation measures and to provide a baseline for detecting possible positive and negative impacts.</p> <p>d) Identification of special characteristics and sensitivities of the woodland and appropriate treatments.</p> <p>e) Specific measures to maintain and where possible enhance those areas identified under sections 4.1- 4.6 and 4.9 [Statutory nature conservation sites, Conservation of ancient semi-natural woodlands, Management of plantations on ancient woodland sites, Other priority habitats, Protection of conservation values in other woodlands and semi-natural habitats, Watershed management and erosion control, Protection of</p>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		<p>cultural and historic environment sites], <i>considering areas where either the extent of these areas or their sensitivity to operations might be unknown.</i></p> <p>UKWAS: 3. Woodland operations, 3.1 General, 3.1.2: <i>The planning of woodland operations includes:</i></p> <ul style="list-style-type: none"> • <i>Obtaining any relevant permission and giving any formal notification required</i> • <i>Assessing and taking into account on- and off-site impacts</i> • <i>Taking measures to protect water resources, soils and soil carbon and to prevent disturbance of and damage to priority species, habitats, ecosystems and landscape values, including adapting standard prescriptions where required. Any disturbance or damage which does occur is mitigated and/or repaired, and steps are taken to avoid recurrence</i> <p>Conclusion: Conformity</p> <p>Justification: The UKWAS is in line with the PEFC ST 1003:2018.</p>
6.2.6 The standard requires that management plans shall take into account the results of scientific research.	Y	<p>UKWAS: 2. Management planning, 2.2 Documentation, 2.2.3:</p> <p>a) <i>Management planning documentation is kept current taking into account changes required as a result of: ...</i></p> <ul style="list-style-type: none"> • <i>New research and technical information ...</i> <p>Conclusion: Conformity</p> <p>Justification: The UKWAS is in line with the PEFC ST 1003:2018.</p>
6.2.7 The standard requires that a summary of the management plan, appropriate to the scope and scale of forest management, shall be publicly available and shall include information on the general objectives and forest management principles.	Y	<p>UKWAS: 2. Management planning, 2.2 Documentation, 2.2.2: ...</p> <p>b) <i>While respecting the confidentiality of information, the owner/manager has a mechanism to make publicly available either:</i></p> <ul style="list-style-type: none"> • <i>Management planning documentation, or</i>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		<ul style="list-style-type: none"> • <i>A summary of the management planning documentation.</i> <p>Conclusion: Conformity</p> <p>Justification: The UKWAS is in line with the PEFC ST 1003:2018.</p>
6.2.8 The standard requires that the publicly available summary of the management plan may exclude confidential business and personal information and other information made confidential by applicable legislation or for the protection of cultural sites or sensitive natural resource features.	Y	<p>UKWAS: 2. <i>Management planning, 2.2 Documentation, 2.2.2: ...</i></p> <p>b) <i>While respecting the confidentiality of information, the owner/manager has a mechanism to make publicly available either:</i></p> <ul style="list-style-type: none"> • <i>Management planning documentation, or</i> • <i>A summary of the management planning documentation. ...</i> <p><i>Guidance: Examples of confidential information include data and content:</i></p> <ul style="list-style-type: none"> • <i>Related to investment decisions</i> • <i>About intellectual property rights</i> • <i>Which is client-confidential</i> • <i>Which is, by law, confidential including personal information covered by the UK General Data Protection Regulation (GDPR)</i> • <i>Whose dissemination could put at risk the protection of wildlife species and habitats.</i> <p>Conclusion: Conformity</p> <p>Justification: The UKWAS is in line with the PEFC ST 1003:2018.</p>
6.3 Compliance requirements		
6.3.1 Legal compliance		

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
<p>6.3.1.1 The standard requires that the organisation shall identify and have access to the legislation applicable to its forest management and determine how these compliance obligations apply to the organisation.</p> <p>Note: For a country which has signed a FLEGT Voluntary Partnership Agreement (VPA) between the European Union and the producing country, the "legislation applicable to forest management" is defined by the VPA agreement.</p>	Y	<p>UKWAS: 1. Legal compliance and UKWAS conformance, 1.1 Compliance and conformance, 1.1.1: There is compliance with the law. There are no substantiated outstanding claims of non-compliance related to woodland management.</p> <p>UKWAS: References. Main legislation, regulations, guidelines and codes of practice referred to in the UKWAS: The main legislation, guidelines and codes of practice relevant to the UK Woodland Assurance Standard are shown here. These are correct and as complete as possible as at August 2017 but should not be treated as an exhaustive list. It is important at all times to refer to the most recent and/or new documents and relevant websites should be checked frequently.</p> <p>Conclusion: Conformity</p> <p>Justification: The UKWAS requires organisations' compliance with legislation and provides reference to the relevant main legislation while allocating the responsibility to remain up to date on relevant legislation to the organisations themselves.</p>
<p>6.3.1.2 The standard requires that the organisation shall comply with applicable local, national and international legislation on forest management, including but not limited to forest management practices; nature and environmental protection; protected and endangered species; property, tenure and land-use rights for indigenous peoples, local communities or other affected stakeholders; health, labour and safety issues; anti-corruption and the payment of applicable royalties and taxes.</p>	Y	<p>UKWAS: Introduction. Background and purpose: The UKWAS is designed to reflect: The legal and good forestry practice requirements set out in the governmental UK Forestry Standard (UKFS) 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.</p> <p>UKWAS: 1. Legal compliance and UKWAS conformance, 1.1 Compliance and conformance, 1.1.1: There is compliance with the law. There are no substantiated outstanding claims of non-compliance related to woodland management.</p> <p>PEFC UK Appendix 2 lists ILO conventions and UN declarations ratified by the UK and upheld within the structure of UKWAS.</p> <p>Conclusion: Conformity</p> <p>Justification: The scheme meets the PEFC ST 1003:2018 requirements.</p>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		Comment: It is recommended that the requirement for the organisation to comply with applicable international legislation is made explicit under the UKWAS chapter 1, and that the section <i>Main legislation, regulations, guidelines and codes of practice referred to in the UKWAS</i> under References is updated to reflect international legislation.
6.3.1.3 The standard requires that where no anti-corruption legislation exists, the organisation must take alternative anti-corruption measures appropriate to the risk of corruption.	NA	Conclusion: Not applicable Justification: The UK has robust anti-corruption legislation.
6.3.1.4 The standard requires that measures shall be implemented to address protection of the forest from unauthorised activities such as illegal logging, illegal land use, illegally initiated fires, and other illegal activities.	Y	UKWAS: 1. <i>Legal compliance and UKWAS conformance</i> , 1.2 <i>Protection from illegal activities</i> , 1.2.1: <i>The owner/manager takes all reasonable measures, including engagement with the police and statutory bodies, to prevent or stop illegal or unauthorised uses of the woodland that could jeopardise fulfilment of the objectives of management.</i> Conclusion: Conformity Justification: The UKWAS is in line with the PEFC ST 1003:2018.
6.3.2 Legal, customary and traditional rights related to the forest land		
6.3.2.1 The standard requires that property rights, tree ownership and land tenure arrangements shall be clearly defined, documented and established for the relevant management unit. Likewise, legal, customary and traditional rights related to the forest land shall be clarified, recognised and respected. Note: Guidance for the handling of tenure arrangements can be obtained from the FAO Voluntary Guidelines on the Responsible Governance of Tenure of Land, Fisheries and Forests in the Context of National Food Security.	Y	UKWAS: 1. <i>Legal compliance and UKWAS conformance</i> , 1.1 <i>Compliance and conformance</i> , 1.1.3: a) <i>The legal identity of the owner/manager is documented.</i> b) <i>The boundaries of the owner's/manager's legal ownership or tenure are documented.</i> c) <i>The scope of the owner's/manager's legal rights to manage the WMU and to harvest wood and non-wood forest products and/or supply services from within the WMU is documented.</i> UKWAS: 5. <i>People, communities and workers</i> , 5.1 <i>Public access rights, permissive uses, traditional rights, and the health and wellbeing of local people, visitors and communities</i> , 5.1.2: <i>Permissive uses authorised by the owner/manager and traditional rights are</i>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		<p><i>identified and sustained except when such uses can be shown to threaten the integrity of the woodland or the achievement of the objectives of management.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The UKWAS is in line with the PEFC ST 1003:2018.</p>
<p>6.3.2.2 The standard requires that forest practices and operations shall be conducted in recognition of the established framework of legal, customary and traditional rights such as outlined in ILO 169 and the UN Declaration on the Rights of Indigenous Peoples, which shall not be infringed upon without the free, prior and informed consent of the holders of the rights, including the provision of compensation where applicable. Where the extent of rights is not yet resolved, or is in dispute, there are processes for just and fair resolution. In such cases forest managers shall, in the interim, provide meaningful opportunities for parties to be engaged in forest management decisions whilst respecting the processes and roles and responsibilities laid out in the policies and laws where the certification takes place.</p>	Y	<p>UKWAS: 2. Management planning, 2.3 Consultation and co-operation, 2.3.1: ...</p> <p>c) <i>The owner/manager consults appropriately with local people, relevant organisations and other interested parties, and provides opportunities for their engagement in planning and monitoring processes.</i></p> <p>UKWAS: 5. People, communities and workers, 5.1 Public access rights, permissive uses, traditional rights, and the health and wellbeing of local people, visitors and communities, 5.1.2: <i>Permissive uses authorised by the owner/manager and traditional rights are identified and sustained except when such uses can be shown to threaten the integrity of the woodland or the achievement of the objectives of management.</i></p> <p>UKWAS: 5. People, communities and workers, 5.1 Public access rights, permissive uses, traditional rights, and the health and wellbeing of local people, visitors and communities, 5.1.3: ...</p> <p>b) <i>Where there is a special demand for further public access, specific types of access provision or community use, the owner/manager makes reasonable efforts to meet this demand.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The UKWAS meets the requirements of the PEFC ST 1003:2018.</p>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
6.3.2.3 The standard requires that forest practices and operations shall respect human rights as defined by the Universal Declaration on Human Rights.	Y	<p>UKWAS: 5. <i>People, communities and workers</i>, 5.6 <i>Workers' rights</i>, 5.6.1:</p> <ul style="list-style-type: none"> a) <i>There is compliance with equality legislation.</i> b) <i>Owners/managers promote equality, so that all workers are able to access and enjoy the same rewards, resources and opportunities.</i> c) <i>There is no use of child labour except as permitted under employment legislation.</i> d) <i>There is compliance with modern slavery legislation.</i> e) <i>Workers are not deterred from joining a trade union or employee association.</i> f) <i>Direct employees are permitted to negotiate terms and conditions, including grievance procedures, collectively should they so wish.</i> g) <i>Workers have recourse to mechanisms for resolving grievances which meet the requirements of statutory codes of practice.</i> h) <i>Wages paid to workers meet or exceed the statutory national living wage.</i> <p>Conclusion: Conformity</p> <p>Justification: The UKWAS is in line with the PEFC ST 1003:2018.</p>
6.3.3 Fundamental ILO conventions		
<p>6.3.3.1 The standard requires that forest practices and operations shall comply with fundamental ILO conventions.</p> <p>Note: In countries where the fundamental ILO conventions have been ratified, the requirements of 6.3.3.1 apply. In countries where a fundamental convention has not been ratified and its content is not covered by applicable legislation, specific</p>	Y	<p>UKWAS: 5. <i>People, communities and workers</i>, 5.4. <i>Health and safety</i>, 5.4.1:</p> <ul style="list-style-type: none"> a) <i>There is:</i> <ul style="list-style-type: none"> • <i>Compliance with health and safety legislation</i> • <i>Conformance with associated codes of practice</i> • <i>Conformance with FISA guidance.</i>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
requirements shall be included in the forest management standard.		<p>Conclusion: Conformity</p> <p>Justification: The UK has signed 10 out of the 11 fundamental ILO instruments. The instrument not signed by the UK is C155 - Occupational Safety and Health Convention. The respective requirements are covered by applicable legislation and FISA (Forest Industry Safety Accord) guidance.</p>
6.3.4 Health, safety and working conditions		
6.3.4.1 The standard requires that forest operations shall be planned, organised and performed in a manner that enables health and accident risks to be identified and all reasonable measures to be applied to protect workers from work-related risks. Workers shall be informed about the risks involved with their work and about preventive measures.	Y	<p>UKWAS: 3. Woodland operations, 3.1 General, 3.1.3: <i>Operational plans are clearly communicated to all workers so that they understand and implement safety precautions, environmental protection plans, biosecurity protocols, emergency procedures, and prescriptions for the management of priority species, features of high conservation value and cultural and heritage assets.</i></p> <p>UKWAS: 5. People, communities and workers, 5.4 Health and safety, 5.4.1:</p> <p>a) <i>There is:</i></p> <ul style="list-style-type: none"> • <i>Compliance with health and safety legislation</i> • <i>Conformance with associated codes of practice</i> • <i>Conformance with FISA guidance.</i> <p>b) <i>There are contingency plans for any accidents.</i></p> <p>c) <i>There is appropriate competency.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The UKWAS is in line with the PEFC ST 1003:2018.</p>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
<p>6.3.4.2 The standard requires that working conditions shall be safe, and guidance and training in safe working practices shall be provided to all those assigned to a task in forest operations. Working hours and leave shall comply with national laws or applicable collective agreements.</p> <p>Note: Guidance for specifying national standards can be obtained from the ILO Code of Good Practice: Safety and Health in Forestry Work.</p>	Y	<p>UKWAS: 1. <i>Legal compliance and UKWAS conformance, 1.1 Compliance and conformance, 1.1.1: There is compliance with the law. There are no substantiated outstanding claims of non-compliance related to woodland management.</i></p> <p>UKWAS: 5. <i>People, communities and workers, 5.4 Health and safety, 5.4.1:</i></p> <p>a) <i>There is:</i></p> <ul style="list-style-type: none"> <i>Compliance with health and safety legislation</i> <i>Conformance with associated codes of practice</i> <i>Conformance with FISA guidance.</i> <p>b) <i>There are contingency plans for any accidents.</i></p> <p>c) <i>There is appropriate competency.</i></p> <p>UKWAS: 5. <i>People, communities and workers, 5.5 Training and continuing development, 5.5.1: All workers including volunteers have appropriate qualifications, training and/or experience to carry out their roles in conformance to the requirements of this standard, unless working under proper supervision if they are currently undergoing training.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The UKWAS is in line with the PEFC ST 1003:2018.</p>
<p>6.3.4.3 The standard requires that wages of local and migrant forest workers as well as of contractors and other operators operating in PEFC-certified areas shall meet or exceed at least legal, industry minimum standards or, where applicable, collective bargaining agreements.</p> <p>Note: Where wages are below the living wage of a country, steps should be taken to attain increased wages towards a living wage level over time in addition to increases for inflation.</p>	Y	<p>UKWAS: 5. <i>People, communities and workers, 5.6 Workers' rights, 5.6.1: ...</i></p> <p>e) <i>Workers are not deterred from joining a trade union or employee association.</i></p> <p>f) <i>Direct employees are permitted to negotiate terms and conditions, including grievance procedures, collectively should they so wish. ...</i></p> <p>h) <i>Wages paid to workers meet or exceed the statutory national living wage.</i></p> <p>Conclusion: Conformity</p>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		Justification: The UKWAS is in line with the PEFC ST 1003:2018.
6.3.4.4 The standard requires that the organisation is committed to equal opportunities, non-discrimination and freedom from workplace harassment. Gender equality shall be promoted.	Y	<p>UKWAS: 5. <i>People, communities and workers</i>, 5.6 <i>Workers' rights</i>, 5.6.1:</p> <p>a) <i>There is compliance with equality legislation.</i></p> <p>b) <i>Owners/managers promote equality, so that all workers are able to access and enjoy the same rewards, resources and opportunities. ...</i></p> <p><i>Guidance: UK equality legislation provides protection against discrimination, harassment and victimisation. Protected characteristics include age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, sex, and sexual orientation.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The UKWAS meets the requirements of the PEFC ST 1003:2018.</p>
7. Support		
7.1 Resources		
7.1.1 The standard requires that the organisation shall determine and provide the resources needed for the establishment, implementation, maintenance and continual improvement of the sustainable forest management system.	Y	<p>UKWAS: 2. <i>Management planning</i>, 2.1 <i>Policy and objectives</i>, 2.1.3: ...</p> <p>b) <i>The owner/manager aims to secure the necessary investment to implement the management plan in order to meet this standard and to ensure long-term economic viability.</i></p> <p>PEFC UK: <i>Section 6: Scheme Governance</i>, 6.3.2 <i>Individual Certification</i>: ... <i>The standard also requires that the organisation shall determine and provide the resources needed for the establishment, implementation, maintenance, internal audit and continual improvement of the sustainable forest management system.</i></p>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		Conclusion: Conformity Justification: The requirements set by the UKWAS and the PEFC UK are in line with the PEFC ST 1003:2018.
7.2 Competence		
7.2.1 The standard requires that forest managers, contractors, employees and forest owners shall be provided with sufficient information and kept up-to-date through continuous training in relation to sustainable forest management, as a precondition for all management planning and practices described in this benchmark.	y	UKWAS: 5. <i>People, communities and workers</i> , 5.5 <i>Training and continuing development</i> , 5.5.1: <i>All workers including volunteers have appropriate qualifications, training and/or experience to carry out their roles in conformance to the requirements of this standard, unless working under proper supervision if they are currently undergoing training.</i> Conclusion: Conformity Justification: The UKWAS is in line with the PEFC ST 1003:2018.
7.3 Communication		
7.3.1 The standard requires that effective communication and consultation with local communities, indigenous peoples and other stakeholders relating to sustainable forest management shall be provided.	y	UKWAS: 2. <i>Management planning</i> , 2.3 <i>Consultation and co-operation</i> , 2.3.1: ... b) <i>The owner/manager ensures that there is full co-operation with the relevant forestry authority's consultation processes.</i> c) <i>The owner/manager consults appropriately with local people, relevant organisations and other interested parties, and provides opportunities for their engagement in planning and monitoring processes.</i> d) <i>Methods of consultation and engagement are designed to ensure that local people, relevant organisations and other interested parties have reasonable opportunities to participate equitably and without discrimination.</i> Conclusion: Conformity Justification: The UKWAS is in line with the PEFC ST 1003:2018.

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
7.4 Complaints		
7.4.1 The standard requires that appropriate mechanisms are in place for resolving complaints and disputes relating to forest management operations, land use rights and work conditions.	Y	<p>UKWAS: 1. <i>Legal compliance and UKWAS conformance, 1.1 Compliance and conformance, 1.1.4:</i></p> <p>a) <i>Mechanisms are employed to identify, prevent and resolve disputes over tenure claims and use rights through appropriate consultation with interested parties.</i></p> <p>UKWAS: 5. <i>People, communities and workers, 5.2 Minimising adverse impacts, 5.2.1: The owner/manager responds constructively to complaints, seeks to resolve grievances through engagement with complainants in the first instance, and follows established legal process should this become necessary.</i></p> <p>UKWAS: 5. <i>People, communities and workers, 5.6 Workers' rights, 5.6.1: ...</i></p> <p>g) <i>Workers have recourse to mechanisms for resolving grievances which meet the requirements of statutory codes of practice.</i></p> <p>PEFC UK: <i>Section 6: Scheme Governance, 6.3.2 Individual Certification: ... Note: Individual certificate holders are also required to comply with sections 6.3.10 Support ... These sections shall be interpreted for use by Individual certificate holders.</i></p> <p>PEFC UK: <i>Section 6: Scheme Governance, 6.3.10 Support: ... The scheme requires that appropriate mechanisms shall be in place for resolving complaints and disputes relating to group management and sustainable forest management operations.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The UKWAS is in line with the PEFC ST 1003:2018.</p>
7.5 Documented Information		
7.5.1 The standard requires that the organisation's management system shall include documented information required by the	Y	<p>PEFC UK: <i>Section 6: Scheme Governance, 6.3.2 Individual Certification: ... The standard requires that the organisation's management system shall include documented information</i></p>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
standard and determined by the organisation as being necessary for the effectiveness of the sustainable forest management system.		<p><i>required by the standard and determined by the organisation to show that sustainable forest management system is effectively implemented, maintained and meets the requirements of UKWAS 5 and/or the TOF Appendix.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The PEFC UK is in line with the PEFC ST 1003:2018.</p>
7.5.2 The standard requires that the documented information is relevant, and updated as appropriate, to the activities of the organisation.	Y	<p>UKWAS: 2. Management planning, 2.2 Documentation, 2.2.3:</p> <p>a) <i>Management planning documentation is kept current taking into account changes required as a result of:</i></p> <ul style="list-style-type: none"> • <i>Monitoring programme results</i> • <i>Results of audits</i> • <i>Results of stakeholder engagement</i> • <i>New research and technical information, and</i> • <i>Changed environmental, social, or economic circumstances.</i> <p>Conclusion: Conformity</p> <p>Justification: The UKWAS is in line with the PEFC ST 1003:2018.</p>
8. Operation		
8.1 Criterion 1: Maintenance or appropriate enhancement of forest resources and their contribution to the global carbon cycle		
8.1.1 The standard requires that management shall aim to maintain or increase forests and their ecosystem services and maintain or enhance the economic, ecological, cultural and social values of forest resources.	Y	<p>UKWAS: 2. Management planning, 2.1 Policy and objectives, 2.1.1:</p> <p>a) <i>The owner/manager has a long-term policy and management objectives which are environmentally positive, socially beneficial, economically viable and enhance forest resilience.</i></p> <p>Conclusion: Conformity</p>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		Justification: The UKWAS is in line with the PEFC ST 1003:2018.
8.1.2 The standard requires that the quantity and quality of the forest resources and the capacity of the forest to store and sequester carbon shall be safeguarded in the medium and long term by balancing harvesting and growth rates, using appropriate silvicultural measures and preferring techniques that minimise adverse impacts on forest resources.	Y	<p>UKWAS: 2. Management planning, 2.4 Productive potential of the woodland management unit, 2.4.1: <i>The owner/manager plans and implements practices to maintain and/or enhance long-term soil, hydrological and ecological functions including soil carbon.</i></p> <p>UKWAS: 2. Management planning, 2.4 Productive potential of the woodland management unit, 2.4.2:</p> <ul style="list-style-type: none"> a) <i>Timber is normally harvested from the WMU at or below a level which can be permanently sustained.</i> b) <i>The average annual allowable cut is quantified, and actual harvesting levels are justified.</i> <p>UKWAS: 3. Woodland operations, 3.1 General, 3.1.2: <i>The planning of woodland operations includes: ...</i></p> <ul style="list-style-type: none"> • <i>Taking measures to protect water resources, soils and soil carbon and to prevent disturbance of and damage to priority species, habitats, ecosystems and landscape values, including adapting standard prescriptions where required. Any disturbance or damage which does occur is mitigated and/or repaired, and steps are taken to avoid recurrence</i> <p>UKWAS: 3. Woodland operations, 3.2 Harvesting and restocking, 3.2.1:</p> <ul style="list-style-type: none"> a) <i>Timber and non-wood forest products (NWFPs) are harvested and extracted efficiently and with minimum damage to environmental values and high conservation values.</i> b) <i>Timber harvesting particularly seeks to avoid:</i> <ul style="list-style-type: none"> • <i>Damage to soil and water courses including loss of soil carbon during felling, extraction and burning</i>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		<ul style="list-style-type: none"> • <i>Damage to standing trees, especially veteran trees and their root zones, during felling, extraction and burning</i> <p>Conclusion: Conformity</p> <p>Justification: The UKWAS is in line with the PEFC ST 1003:2018.</p>
8.1.3 The standard requires that climate positive practices in management operations, such as greenhouse gas emission reductions and efficient use of resources shall be encouraged.	Y	<p>UKWAS: 3. Woodland operations, 3.1 General, 3.1.2: <i>The planning of woodland operations includes: ...</i></p> <ul style="list-style-type: none"> • <i>Adopting, where practicable, operational practices to reduce carbon dioxide and other greenhouse gas emissions.</i> <p>Conclusion: Conformity</p> <p>Justification: The UKWAS is in line with the PEFC ST 1003:2018.</p>
8.1.4 The standard requires that forest conversion shall not occur unless in justified circumstances where the conversion:	N	<p>UKWAS: 2. Management planning, 2.13 Conversion, 2.13.1:</p> <ul style="list-style-type: none"> a) <i>Woodland identified in sections 4.1-4.4 is not converted to plantation or non-forested land.</i> b) <i>Areas converted from ancient semi-natural and other semi-natural woodlands to plantation or non-forested land after 1994 do not normally qualify for certification.</i> <p><i>Guidance: Certification of converted ancient and other semi-natural woodlands may be allowed in circumstances where sufficient evidence is submitted to the certification body that the owner/manager is not responsible directly or indirectly for such conversion.</i></p> <p>Conclusion: Minor non-conformity</p> <p>Justification: The PEFC ST 1003:2018 Appendix 1 requires that <i>forest plantations established by a forest conversion after 31 December 2010 in other than “justified circumstances” do not meet the requirement and are not eligible for certification.</i> However,</p>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		the guidance included in the UKWAS clause 2.13.1 appears to allow certification of areas converted to forest plantations after the cut-off date, in case the conversion has not been implemented by the current land owner.
a) is in compliance with national and regional policy and legislation applicable for land use and forest management and is a result of national or regional land-use planning governed by a governmental or other official authority including consultation with affected stakeholders; and	Y	<p>UKWAS: 1. <i>Legal compliance and UKWAS conformance, 1.1 Compliance and conformance, 1.1.1: There is compliance with the law. There are no substantiated outstanding claims of non-compliance related to woodland management.</i></p> <p>UKWAS: 1. <i>Legal compliance and UKWAS conformance, 1.1 Compliance and conformance, 1.1.2: There is conformance to the spirit of any relevant codes of practice or good practice guidelines.</i></p> <p>UKWAS: 2. <i>Management planning, 2.3 Consultation and co-operation, 2.3.1: ...</i></p> <p>b) <i>The owner/manager ensures that there is full co-operation with the relevant forestry authority's consultation processes.</i></p> <p>c) <i>The owner/manager consults appropriately with local people, relevant organisations and other interested parties, and provides opportunities for their engagement in planning and monitoring processes.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The UKWAS is in line with the PEFC ST 1003:2018.</p>
b) entails a small proportion (no greater than 5 %) of forest type within the certified area; and	N	<p>UKWAS: 2. <i>Management planning, 2.13 Conversion, 2.13.2: ...</i></p> <p>c) <i>Conversion exceeding 5% of the WMU by area or 500 ha in total takes place only with the prior approval of the relevant certification scheme(s).</i></p> <p>Conclusion: Minor non-conformity</p>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		<p>Justification: The benchmark allows for a maximum of 5 % of the concerned forest type within the certified area to be converted. This area limit is practically lower than the maximum of 5 % of the total woodland management unit area required by the UKWAS.</p> <p>Comment: The PEFC requirements related to forest conversion present a complex issue in the context of the UK. UKWAS did not find an appropriate definition of forest type to be applied with this benchmark requirement. Also, due to the UK land use history, on some locations the current forests may not represent the ecologically and culturally most valuable land use as opposed to a non-forested alternative. This renders conversion a sustainable and well-justified option.</p>
c) does not have negative impacts on ecologically important forest areas, culturally and socially significant areas, or other protected areas; and	Y	<p>UKWAS: 2. <i>Management planning</i>, 2.13 <i>Conversion</i>, 2.13.2: ...</p> <p><i>b) The new or restored land use is more valuable in terms of its biodiversity, landscape or historic environment benefits, and all the following conditions are met: ...</i></p> <ul style="list-style-type: none"> <i>The woodland is not identified as of high conservation value in sections 4.1-4.4 [Statutory nature conservation sites, Conservation of ancient semi-natural woodlands, Management of plantations on ancient woodland sites, Other priority habitats] and 4.6 [Watershed management and erosion control], nor identified as contributing to the cultural and historical values in section 4.9 [Protection of cultural and historic environment sites]</i> <p>Conclusion: Conformity</p> <p>Justification: The UKWAS meets the requirements of the PEFC ST 1003:2018.</p>
d) does not destroy areas of significantly high carbon stock; and	Y	<p>UKWAS: 2. <i>Management planning</i>, 2.13 <i>Conversion</i>, 2.13.2: ...</p> <p><i>b) The new or restored land use is more valuable in terms of its biodiversity, landscape or historic environment benefits, and all the following conditions are met:</i></p> <ul style="list-style-type: none"> <i>The conversion does not destroy areas of significantly high carbon stock</i>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		Conclusion: Conformity Justification: The UKWAS is in line with the PEFC ST 1003:2018.
e) makes a contribution to long-term conservation, economic, and social benefits.	N	UKWAS: 2. <i>Management planning</i> , 2.13 <i>Conversion</i> , 2.13.2: ... a) <i>The new or restored land use is more valuable in terms of its biodiversity, landscape or historic environment benefits, and all the following conditions are met: ...</i> <ul style="list-style-type: none"> <i>The woodland is not identified as of high conservation value in sections 4.1-4.4 and 4.6, nor identified as contributing to the cultural and historical values in section 4.9</i> <i>...</i> <i>The conversion and subsequent site management protect and substantially enhance at least one of the following:</i> <ul style="list-style-type: none"> <i>The condition of priority habitats and species</i> <i>The condition of statutory designated sites</i> <i>Important landscape features and character</i> <i>Important historic environment features and character</i> <i>Important carbon stores</i> Conclusion: Minor non-conformity Justification: The UKWAS does not reflect the PEFC ST 1003:2018 requirement for conversion to contribute to economic benefits.
8.1.5 The standard requires that afforestation of ecologically important non-forest ecosystems shall not occur unless in justified circumstances where the conversion:		
a) is in compliance with national and regional policy and legislation applicable for land use and forest management and is a result of national or regional land-use planning governed by a governmental or other official authority; and	NA	UKWAS: 4. <i>Natural, historical and cultural environment</i> , 4.1 <i>Statutory nature conservation sites</i> , 4.1.1: ...

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		<p>c) <i>Adopting a precautionary approach, the identified areas and features of high conservation value are maintained and where possible enhanced, in accordance with plans agreed with statutory nature conservation agencies.</i></p> <p>UKWAS: Glossary of terms. High conservation value: Ecologically important woodland and non-woodland areas and features of ecological and biodiversity interest or critical ecosystem services identified in sections 4.1-4.4 and 4.6.</p> <p>Conclusion: Not applicable</p> <p>Justification: The UKWAS defines ecologically important non-forest ecosystems as high conservation value areas, which are categorically excluded from afforestation activities based on the UKWAS clause 4.1.1 c. Consequently, the PEFC ST 1003:2018 benchmark 8.1.5 sub-requirements a–f, which describe exceptions of the afforestation ban, are not applicable with UKWAS.</p>
b) is established based on a decision-making basis where affected stakeholders have opportunities to contribute to the decision-making on conversion through transparent and participatory consultation processes; and	NA	<p>Conclusion: Not applicable</p> <p>Justification: See 8.1.5 (a)</p>
c) does not have negative impacts on threatened (including vulnerable, rare or endangered) nonforest ecosystems, culturally and socially significant areas, important habitats of threatened species or other protected areas; and	NA	<p>Conclusion: Not applicable</p> <p>Justification: See 8.1.5 (a)</p>
d) entails a small proportion of the ecologically important non-forest ecosystem managed by an organisation; and	NA	<p>Conclusion: Not applicable</p> <p>Justification: See 8.1.5 (a)</p>
e) does not destroy areas of significantly high carbon stock; and	NA	<p>Conclusion: Not applicable</p>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		Justification: See 8.1.5 (a)
f) makes a contribution to long-term conservation, economic, and social benefits.	NA	Conclusion: Not applicable Justification: See 8.1.5 (a)
8.1.6 The standard requires that if conversion of severely degraded forests to forest plantations is being considered, it must add economic, ecological, social and/or cultural value. Precondition of adding such value are circumstances where the conversion:		
a) is in compliance with national and regional policy and legislation applicable for land use and forest management and is a result of national or regional land-use planning governed by a governmental or other official authority; and	Y	UKWAS: 1. <i>Legal compliance and UKWAS conformance, 1.1 Compliance and conformance, 1.1.1: There is compliance with the law. There are no substantiated outstanding claims of non-compliance related to woodland management.</i> UKWAS: 1. <i>Legal compliance and UKWAS conformance, 1.1 Compliance and conformance, 1.1.2: There is conformance to the spirit of any relevant codes of practice or good practice guidelines.</i> Conclusion: Conformity Justification: The UKWAS is in line with the PEFC ST 1003:2018.
b) is established based on a decision-making basis where affected stakeholders have opportunities to contribute to the decision-making on conversion through transparent and participatory consultation processes; and	Y	UKWAS: 2. <i>Management planning, 2.3 Consultation and co-operation, 2.3.1: ...</i> e) <i>The owner/manager ensures that there is full co-operation with the relevant forestry authority's consultation processes.</i> f) <i>The owner/manager consults appropriately with local people, relevant organisations and other interested parties, and provides opportunities for their engagement in planning and monitoring processes.</i> g) <i>Methods of consultation and engagement are designed to ensure that local people, relevant organisations and other interested parties have reasonable opportunities to participate equitably and without discrimination.</i>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		Conclusion: Conformity Justification: The UKWAS is in line with the PEFC ST 1003:2018.
c) has a positive impact on long-term carbon sequestration capacity of forest vegetation; and	N	UKWAS: 2. <i>Management planning</i> , 2.6 <i>Woodland creation</i> , 2.6.1: ... b) <i>New woodlands are located and designed in ways that will:</i> <ul style="list-style-type: none"> • <i>Deliver economic goods and/or social benefits and/or ecosystem services</i> • <i>Maintain or enhance the visual, cultural and environmental values and character of the wider landscape</i> • <i>Ensure the creation of a diverse and resilient woodland over time, and</i> • <i>Seek to mitigate against the risk of damage from natural hazards.</i> Conclusion: Minor non-conformity Justification: A positive long-term impact on forest vegetation carbon sequestration is not explicitly required in the UKWAS in the context of replacing degraded forests with forest plantations.
d) does not have negative impacts on ecologically important forest areas, culturally and socially significant areas, or other protected areas; and	Y	UKWAS: 2. <i>Management planning</i> , 2.6 <i>Woodland creation</i> , 2.6.1: ... b) <i>New woodlands are located and designed in ways that will:</i> <ul style="list-style-type: none"> • <i>Deliver economic goods and/or social benefits and/or ecosystem services</i> • <i>Maintain or enhance the visual, cultural and environmental values and character of the wider landscape</i> • <i>Ensure the creation of a diverse and resilient woodland over time, and</i> • <i>Seek to mitigate against the risk of damage from natural hazards.</i> Conclusion: Conformity Justification: The UKWAS is in line with the PEFC ST 1003:2018.

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
e) safeguards protective functions of forests for society and other regulating or supporting ecosystem services; and	Y	<p>UKWAS: 2. <i>Management planning</i>, 2.6 <i>Woodland creation</i>, 2.6.1: ...</p> <p>b) <i>New woodlands are located and designed in ways that will:</i></p> <ul style="list-style-type: none"> • <i>Deliver economic goods and/or social benefits and/or ecosystem services</i> • <i>Maintain or enhance the visual, cultural and environmental values and character of the wider landscape</i> • <i>Ensure the creation of a diverse and resilient woodland over time, and</i> • <i>Seek to mitigate against the risk of damage from natural hazards.</i> <p>Conclusion: Conformity</p> <p>Justification: The UKWAS is in line with the PEFC ST 1003:2018.</p>
f) safeguards socio-economic functions of forests, including the recreational function and aesthetic values of forests and other cultural services; and	Y	<p>UKWAS: 2. <i>Management planning</i>, 2.6 <i>Woodland creation</i>, 2.6.1: ...</p> <p>b) <i>New woodlands are located and designed in ways that will:</i></p> <ul style="list-style-type: none"> • <i>Deliver economic goods and/or social benefits and/or ecosystem services</i> • <i>Maintain or enhance the visual, cultural and environmental values and character of the wider landscape</i> • <i>Ensure the creation of a diverse and resilient woodland over time, and</i> • <i>Seek to mitigate against the risk of damage from natural hazards.</i> <p>Conclusion: Conformity</p> <p>Justification: The UKWAS is in line with the PEFC ST 1003:2018.</p>
g) has a land history providing evidence that the degradation is not the consequence of deliberate poor forest management practices; and	Y	<p>Conclusion: Minor non-conformity</p> <p>Justification: The UKWAS has no corresponding requirement with that of the PEFC ST 1003:2018.</p>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
h) is based on credible evidence demonstrating that the area is neither recovered nor in the process of recovery.	Y	<p>Conclusion: Minor non-conformity</p> <p>Justification: The UKWAS has no corresponding requirement with that of the PEFC ST 1003:2018.</p>
8.2 Criterion 2: Maintenance of forest ecosystem health and vitality		
8.2.1 The standard requires that health and vitality of forest ecosystems shall be maintained or enhanced and degraded forest ecosystems shall be rehabilitated wherever and as far as economically feasible, by making best use of natural structures and processes and using preventive biological measures.	Y	<p>UKWAS: 1. <i>Legal compliance and UKWAS conformance, 1.1 Compliance and conformance, 1.1.5:</i></p> <p>a) <i>The owner/manager: ...</i></p> <ul style="list-style-type: none"> <i>Has declared an intention to protect and maintain the woodland management unit and its ecological integrity in the short and long term.</i> <p>UKWAS: 2. <i>Management planning, 2.7 Woodland structure, 2.7.1: Woodlands are managed or restructured to achieve an appropriate diversity of stand structure, species, sizes, ages, spatial scales, regeneration cycles and open space. This structural diversity is maintained or enhanced.</i></p> <p>UKWAS: 2. <i>Management planning, 2.14 Implementation, amendment and revision of the plan, 2.14.1: The implementation of the work programme is in close agreement with the details included in the management planning documentation. Any deviation from prescription or planned rate of progress is justified, overall objectives are still achieved, and the ecological integrity of the woodland is maintained.</i></p> <p>UKWAS: <i>Glossary of terms. Ecological integrity: The health and vitality of the woodland's physical and biological components.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The UKWAS is in line with the PEFC ST 1003:2018.</p>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
8.2.2 The standard requires that adequate genetic, species and structural diversity shall be encouraged or maintained to enhance the stability, vitality and resilience of the forests to adverse environmental factors and strengthen natural regulation mechanisms.	Y	<p>UKWAS: 2. Management planning, 2.7 Woodland structure, 2.7.1: Woodlands are managed or restructured to achieve an appropriate diversity of stand structure, species, sizes, ages, spatial scales, regeneration cycles and open space. This structural diversity is maintained or enhanced.</p> <p>UKWAS: 2. Management planning, 2.8 Tree species selection, 2.8.1:</p> <p>b) The range of species selected for new woodlands, and natural or artificial regeneration of existing woodlands is suited to the site and takes into consideration:</p> <ul style="list-style-type: none"> • Improvement of long-term forest resilience including the potential impacts of climate change • Management objectives • Requirements for conservation and enhancement of biodiversity (see section 4) • Requirements for enhancement and restoration of habitats (see section 4) • Landscape character. <p>Guidance: Results of research into site suitability of different species' origin and provenance and their resilience to climate change should be used to assist species choice.</p> <p>Conclusion: Conformity</p> <p>Justification: The UKWAS is in line with the PEFC ST 1003:2018.</p>
8.2.3 The standard requires that use of fire shall be limited to regions where fire is an essential tool in forest management for regeneration, wildfire protection and habitat management or a recognized practice of indigenous peoples. In these cases adequate management and control measures shall be taken.	Y	<p>UKWAS: 3. Woodland operations, 3.2 Harvesting and restocking, 3.2.1: ...</p> <p>c) Timber harvesting particularly seeks to avoid:</p> <ul style="list-style-type: none"> • Damage to soil and water courses including loss of soil carbon during felling, extraction and burning <p>UKWAS: 3. Woodland operations, 3.2 Harvesting and restocking, 3.2.4: Lop and top is burnt only where there is demonstrable management benefit, and where a full</p>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		<p><i>consideration of impacts shows that there are not likely to be any significant negative effects.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The UKWAS is in line with the PEFC ST 1003:2018.</p>
8.2.4 The standard requires that appropriate forest management practices such as reforestation and afforestation with tree species and provenances that are suited to the site conditions or the use of tending, harvesting and transport techniques that minimise tree and/or soil damages shall be applied.	Y	<p>UKWAS: 2. <i>Management planning, 2.8 Tree species selection, 2.8.1:</i></p> <p>a) <i>The range of species selected for new woodlands, and natural or artificial regeneration of existing woodlands is suited to the site and takes into consideration:</i></p> <ul style="list-style-type: none"> <i>Improvement of long-term forest resilience including the potential impacts of climate change</i> <i>Management objectives</i> <i>Requirements for conservation and enhancement of biodiversity (see section 4)</i> <i>Requirements for enhancement and restoration of habitats (see section 4)</i> <i>Landscape character.</i> <p>UKWAS: 3. <i>Woodland operations, 3.2 Harvesting and restocking, 3.2.1: ...</i></p> <p>b) <i>Timber harvesting particularly seeks to avoid:</i></p> <ul style="list-style-type: none"> <i>Damage to soil and water courses including loss of soil carbon during felling, extraction and burning</i> <i>Damage to standing trees, especially veteran trees and their root zones, during felling, extraction and burning</i> <p>Conclusion: Conformity</p> <p>Justification: The UKWAS is in line with the PEFC ST 1003:2018.</p>
8.2.5 The standard requires that the indiscriminate disposal of waste on forest land shall be strictly avoided. Non-organic waste	y	UKWAS: 3. <i>Woodland operations, 3.7 Materials and waste, 3.7.1:</i>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
and litter shall be collected, stored in designated areas and removed in an environmentally-responsible manner. The spillage of oil or fuel during forest management operations shall be prevented. Emergency procedures for the minimisation of risk of environmental harm arising from the accidental spillage shall be in place.		<p>a) <i>The owner/manager selects materials with consideration for material reduction and waste minimisation.</i></p> <p>b) <i>The owner/manager prepares and implements a plan to manage and remove redundant materials.</i></p> <p>UKWAS: 3. Woodland operations, 3.7 Materials and waste, 3.7.2: <i>Waste is produced, stored, transported and disposed of without harming the environment in accordance with current regulations.</i></p> <p>UKWAS: 3. Woodland operations, 3.8 Pollution, 3.8.1: <i>The owner/manager adopts management practices that minimise diffuse pollution arising from woodland operations.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The UKWAS is in line with the PEFC ST 1003:2018.</p>
8.2.6 The standard requires that integrated pest management, appropriate silviculture alternatives and other biological measures shall be preferred to minimise the use of pesticides.	Y	<p>UKWAS: 3. Woodland operations, 3.4 Integrated pest management, 3.4.1:</p> <p>a) <i>Integrated pest management (IPM) is used, giving priority:</i></p> <ul style="list-style-type: none"> <i>Firstly, to management practices which avoid pest problems</i> <i>Secondly, to non-chemical pest control methods including biological control agents</i> <i>Lastly, to chemical pesticides.</i> <p>Conclusion: Conformity</p> <p>Justification: The UKWAS is in line with the PEFC ST 1003:2018.</p>
8.2.7 The standard requires that any use of pesticides is documented.	Y	<p>UKWAS: 3. Woodland operations, 3.4 Integrated pest management, 3.4.5:</p> <p>a) <i>Records of pesticide use are documented and maintained ...</i></p> <p>Conclusion: Conformity</p>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		Justification: The UKWAS is in line with the PEFC ST 1003:2018.
8.2.8 The standard requires that the WHO Class 1A and 1B pesticides and other highly toxic pesticides shall be prohibited, except where no other viable alternative is available. Any exception to the usage of WHO Class 1A and 1B pesticides shall be defined in the national/regional standard.	Y	<p>UKWAS: 3. <i>Woodland operations</i>, 3.4 <i>Integrated pest management</i>, 3.4.3:</p> <p>a) <i>Specific pesticides are only used if their use is permitted by the owner's/manager's certification scheme.</i></p> <p>b) <i>Pesticides whose use is restricted by the owner's/manager's certification scheme are only used if:</i></p> <ul style="list-style-type: none"> <i>No effective, practicable and less hazardous alternatives are available</i> <i>Their use is sanctioned using a mechanism endorsed by the owner's/manager's certification scheme, and</i> <i>Any such mechanism provides for their use to be justified and for research to be carried out into less-hazardous alternatives.</i> <p>c) <i>Pesticides whose use is prohibited by the owner's/manager's certification scheme are only used in emergency situations or by government order, and in compliance with the requirements of the certification scheme.</i></p> <p>PEFC UK: <i>Section 6: Scheme Governance</i>, 6.3.18 <i>General Forest Management Requirements: With regard to pesticides the organisation will comply with the requirements of UKWAS. The WHO Class 1A and 1B pesticides and other highly toxic pesticides shall be prohibited. UKWAS 5 clearly defines that an Integrated Pest management plan should be in place and the standards requirements followed.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The requirement set by the UKWAS and the PEFC UK are in line with the PEFC ST 1003:2018.</p>
8.2.9 The standard requires that pesticides, such as chlorinated hydrocarbons whose derivatives remain biologically active and accumulate in the food chain beyond their intended use, and any	Y	UKWAS: 3. <i>Woodland operations</i> , 3.4 <i>Integrated pest management</i> , 3.4.3:

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
<p>pesticides banned by international agreement, shall be prohibited.</p> <p>Note: "Pesticides banned by international agreements" are defined in the Stockholm Convention on Persistent Organic Pollutants.</p>		<p>a) <i>Specific pesticides are only used if their use is permitted by the owner's/manager's certification scheme.</i></p> <p>b) <i>Pesticides whose use is restricted by the owner's/manager's certification scheme are only used if:</i></p> <ul style="list-style-type: none"> <i>No effective, practicable and less hazardous alternatives are available</i> <i>Their use is sanctioned using a mechanism endorsed by the owner's/manager's certification scheme, and</i> <i>Any such mechanism provides for their use to be justified and for research to be carried out into less-hazardous alternatives.</i> <p>c) <i>Pesticides whose use is prohibited by the owner's/manager's certification scheme are only used in emergency situations or by government order, and in compliance with the requirements of the certification scheme.</i></p> <p>PEFC UK: Section 6: Scheme Governance, 6.3.18 General Forest Management Requirements: With regard to pesticides the organisation will comply with the requirements of UKWAS. The WHO Class 1A and 1B pesticides and other highly toxic pesticides shall be prohibited. UKWAS 5 clearly defines that an Integrated Pest management plan should be in place and the standards requirements followed.</p> <p>Conclusion: Conformity</p> <p>Justification: The requirement set by the UKWAS and the PEFC UK are in line with the PEFC ST 1003:2018.</p>
<p>8.2.10 The standard requires that the use of pesticides shall follow the instructions given by the pesticide producer and be implemented with proper equipment by trained personnel.</p>	Y	<p>UKWAS: 3. Woodland operations, 3.4 Integrated pest management, 3.4.4:</p> <p>a) <i>The use of pesticides complies with legal requirements and non-legislative guidance for their use regarding transport, storage, handling, application, and emergency procedures for clean-up following accidental spillages.</i></p>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		<p><i>Example verifiers: Operators are trained, competent and hold pesticide operator certification.</i></p> <p>UKWAS: 5. People, communities and workers, 5.5 Training and continuing development, 5.5.1: <i>All workers including volunteers have appropriate qualifications, training and/or experience to carry out their roles in conformance to the requirements of this standard, unless working under proper supervision if they are currently undergoing training.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The national scheme is in line with the PEFC ST 1003:2018.</p>
8.2.11 The standard requires that where fertilisers are used, they shall be applied in a controlled manner and with due consideration for the environment. Fertilizer use shall not be an alternative to appropriate soil nutrient management.	Y	<p>UKWAS: 3. Woodland operations, 3.5 Fertilisers, 3.5.1:</p> <p>a) <i>The use of fertilisers is minimised or avoided.</i></p> <p>b) <i>Fertilisers are only used where they are necessary to secure establishment or to correct subsequent nutrient deficiencies.</i></p> <p>UKWAS: 3. Woodland operations, 3.5 Fertilisers, 3.5.2: ...</p> <p>f) <i>Damage to environmental values from fertiliser use is avoided. Any damage which does occur is mitigated and/or repaired, and steps are taken to avoid recurrence.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The national scheme is in line with the PEFC ST 1003:2018.</p>
8.3 Criterion 3: Maintenance and encouragement of productive functions of forests (wood and non-wood)		
8.3.1 The standard requires that the capability of forests to produce a range of wood and non-wood forest products and services on a sustainable basis shall be maintained.	Y	<p>UKWAS: 2. Management planning, 2.4 Productive potential of the woodland management unit, 2.4.2:</p>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		<p>a) <i>Timber is normally harvested from the WMU at or below a level which can be permanently sustained.</i></p> <p>b) <i>The average annual allowable cut is quantified, and actual harvesting levels are justified.</i></p> <p>c) <i>Selective harvesting is not to the long-term detriment of the quality and value of stands.</i></p> <p>UKWAS: 2. Management planning, 2.4 Productive potential of the woodland management unit, 2.4.3:</p> <p>a) <i>Harvesting of non-wood forest products (NWFPs) or use of ecosystem services from the WMU is at or below a level which can be permanently sustained.</i></p> <p>UKWAS: 2. Management planning, 2.14 Implementation, amendment and revision of the plan, 2.14.1: <i>The implementation of the work programme is in close agreement with the details included in the management planning documentation. Any deviation from prescription or planned rate of progress is justified, overall objectives are still achieved, and the ecological integrity of the woodland is maintained.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The UKWAS is in line with the PEFC ST 1003:2018.</p>
8.3.2 The standard requires that sound economic performance shall be pursued, taking into account possibilities for new markets and economic activities in connection with all relevant goods and services of forests.	Y	<p>UKWAS: 2. Management planning, 2.1 Policy and objectives, 2.1.1:</p> <p>a) <i>The owner/manager has a long-term policy and management objectives which are environmentally positive, socially beneficial, economically viable and enhance forest resilience.</i></p> <p><i>Guidance: Economic viability need not be based on, or solely on, the sale of products from woodland. Income from other sources, such as membership subscriptions, government</i></p>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		<p><i>funding or private investment, might be sufficient to achieve the policy and objectives of management.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The UKWAS is in line with the PEFC ST 1003:2018.</p>
8.3.3 The standard requires that management, harvesting and regeneration operations shall be carried out at a time, and in a way, that does not reduce the productive capacity of the site, for example by avoiding damage to soil and retained stands and trees.	Y	<p>UKWAS: 2. <i>Management planning, 2.4 Productive potential of the woodland management unit, 2.4.1: The owner/manager plans and implements practices to maintain and/or enhance long-term soil, hydrological and ecological functions including soil carbon.</i></p> <p>UKWAS: 3. <i>Woodland operations, 3.2 Harvesting and restocking, 3.2.1: ...</i></p> <p><i>b) Timber harvesting particularly seeks to avoid:</i></p> <ul style="list-style-type: none"> <i>• Damage to soil and water courses including loss of soil carbon during felling, extraction and burning</i> <i>• Damage to standing trees, especially veteran trees and their root zones, during felling, extraction and burning</i> <p>Conclusion: Conformity</p> <p>Justification: The UKWAS is in line with the PEFC ST 1003:2018.</p>
8.3.4 The standard requires that harvesting levels of both wood and non-wood forest products shall not exceed a rate that can be sustained in the long term, and optimum use shall be made of the harvested products.	Y	<p>UKWAS: 2. <i>Management planning, 2.4 Productive potential of the woodland management unit, 2.4.2:</i></p> <p><i>a) Timber is normally harvested from the WMU at or below a level which can be permanently sustained.</i></p> <p><i>b) The average annual allowable cut is quantified, and actual harvesting levels are justified.</i></p>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		<p>c) <i>Selective harvesting is not to the long-term detriment of the quality and value of stands.</i></p> <p>UKWAS: 2. Management planning, 2.4 Productive potential of the woodland management unit, 2.4.3:</p> <p>a) <i>Harvesting of non-wood forest products (NWFPs) or use of ecosystem services from the WMU is at or below a level which can be permanently sustained.</i></p> <p>UKWAS: 5. People, communities and workers, 5.3 Local economy, 5.3.1:</p> <p>a) <i>Consistent with their other objectives, the owner/manager makes the best use of the woodland's potential products and services.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The UKWAS is in line with the PEFC ST 1003:2018.</p>
8.3.5 The standard requires that adequate infrastructure such as roads, skid tracks or bridges shall be planned, established and maintained to ensure efficient delivery of goods and services while minimising negative impacts on the environment.	Y	<p>UKWAS: 3. Woodland operations, 3.3 Forest infrastructure, 3.3.2: Roads and timber extraction tracks, visitor access, and management, shooting and fisheries infrastructure, and associated drainage are designed, created, used and maintained in a manner that minimises their environmental impact.</p> <p><i>Guidance: ... All infrastructure should be planned to achieve a balance between facilitating the desired access or management objective and protecting and maintaining the environmental and cultural values of the WMU.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The UKWAS is in line with the PEFC ST 1003:2018.</p>
8.4 Criterion 4: Maintenance, conservation and appropriate enhancement of biological diversity in forest ecosystems		

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
<p>8.4.1 The standard requires that management planning shall aim to maintain, conserve or enhance biodiversity on landscape, ecosystem, species and genetic levels.</p>	<p>Y</p>	<p>UKWAS: 2. Management planning, 2.2 Documentation, 2.2.1: All areas in the WMU are covered by management planning documentation which is retained for at least ten years and incorporates: ...</p> <p>c) Assessment of environmental values, including those outside the WMU potentially affected by management, sufficient to determine appropriate conservation measures and to provide a baseline for detecting possible positive and negative impacts.</p> <p>d) Identification of special characteristics and sensitivities of the woodland and appropriate treatments.</p> <p>e) Specific measures to maintain and where possible enhance those areas identified under sections 4.1- 4.6 and 4.9 [Statutory nature conservation sites, Conservation of ancient semi-natural woodlands, Management of plantations on ancient woodland sites, Other priority habitats, Protection of conservation values in other woodlands and semi-natural habitats, Watershed management and erosion control, Protection of cultural and historic environment sites], considering areas where either the extent of these areas or their sensitivity to operations might be unknown.</p> <p>UKWAS: 2. Management planning, 2.4 Productive potential of the woodland management unit, 2.4.1: The owner/manager plans and implements practices to maintain and/or enhance long-term soil, hydrological and ecological functions including soil carbon.</p> <p>UKWAS: 2. Management planning, 2.8 Tree species selection, 2.8.1:</p> <p>a) The range of species selected for new woodlands, and natural or artificial regeneration of existing woodlands is suited to the site and takes into consideration:</p> <ul style="list-style-type: none"> • Improvement of long-term forest resilience including the potential impacts of climate change • Management objectives • Requirements for conservation and enhancement of biodiversity (see section 4) • Requirements for enhancement and restoration of habitats (see section 4)

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		<ul style="list-style-type: none"> <i>Landscape character.</i> <p>Conclusion: Conformity</p> <p>Justification: The UKWAS is in line with the PEFC ST 1003:2018.</p>
<p>8.4.2 The standard requires that inventory, mapping and planning of forest resources shall identify, protect, conserve or set aside ecologically important forest areas.</p> <p>Note: This does not prohibit forest management activities that do not damage the important ecologic values of those biotopes.</p>	Y	<p>UKWAS: 2. <i>Management planning, 2.2 Documentation, 2.2.1: All areas in the WMU are covered by management planning documentation which is retained for at least ten years and incorporates: ...</i></p> <p>c) <i>Assessment of environmental values, including those outside the WMU potentially affected by management, sufficient to determine appropriate conservation measures and to provide a baseline for detecting possible positive and negative impacts.</i></p> <p>d) <i>Identification of special characteristics and sensitivities of the woodland and appropriate treatments.</i></p> <p>e) <i>Specific measures to maintain and where possible enhance those areas identified under sections 4.1- 4.6 and 4.9 [Statutory nature conservation sites, Conservation of ancient semi-natural woodlands, Management of plantations on ancient woodland sites, Other priority habitats, Protection of conservation values in other woodlands and semi-natural habitats, Watershed management and erosion control, Protection of cultural and historic environment sites], considering areas where either the extent of these areas or their sensitivity to operations might be unknown.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The UKWAS is in line with the PEFC ST 1003:2018.</p>
<p>8.4.3 The standard requires that protected, threatened and endangered plant and animal species shall not be exploited for commercial purposes. Where necessary, measures shall be</p>	N	<p>UKWAS: 1. <i>Legal compliance and UKWAS conformance, 1.1 Compliance and conformance, 1.1.1: There is compliance with the law. There are no substantiated outstanding claims of non-compliance related to woodland management.</i></p>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
<p>taken for their protection and, where relevant, to increase their population.</p> <p>Note: The requirement does not preclude trade according to CITES requirements.</p>		<p>UKWAS: 2. <i>Management planning</i>, 2.4 <i>Productive potential of the woodland management unit</i>, 2.4.4: <i>Where applicable, priority species are not harvested or controlled without the consent of the relevant statutory body.</i></p> <p>UKWAS: 4. <i>Natural, historical and cultural environment</i>, 4.7 <i>Maintenance of biodiversity and ecological functions</i>, 4.7.1: <i>Appropriate measures are taken to protect identified priority species and their habitats.</i></p> <p>The UKWAS <i>Glossary of terms</i> defines priority species as <i>protected, rare and endangered species</i> and provides references to recognised regulatory documents and guidelines that identify these species.</p> <p>Conclusion: Minor non-conformity</p> <p>Justification: The UKWAS does not explicitly ban commercial exploitation of threatened or endangered species.</p>
<p>8.4.4 The standard requires that successful regeneration shall be ensured through natural regeneration or planting that is adequate to ensure the quantity and quality of the forest resources.</p>	Y	<p>UKWAS: 2. <i>Management planning</i>, 2.7 <i>Woodland structure</i>, 2.7.1: <i>Woodlands are managed or restructured to achieve an appropriate diversity of stand structure, species, sizes, ages, spatial scales, regeneration cycles and open space. This structural diversity is maintained or enhanced.</i></p> <p>UKWAS: 2. <i>Management planning</i>, 2.8 <i>Tree species selection</i>, 2.8.1: ...</p> <p>c) <i>Regeneration (natural or planted) restores stand composition in a timely manner to pre-harvesting or more natural conditions.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The UKWAS is in line with the PEFC ST 1003:2018.</p>
<p>8.4.5 The standard requires that for reforestation and afforestation origins of native species that are well-adapted to site conditions shall be preferred. Only those introduced species,</p>	Y	<p>UKWAS: 2. <i>Management planning</i>, 2.8 <i>Tree species selection</i>, 2.8.1:</p>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
<p>provenances or varieties shall be used whose impacts on the ecosystem and on the genetic integrity of native species and local provenances have been scientifically evaluated, and if negative impacts can be avoided or minimised.</p> <p>Note: CBD (Convention on Biological Diversity) Guiding Principles for the Prevention, Introduction, and Mitigation of Impacts of Alien Species that Threaten Ecosystems, Habitats or Species are recognised as guidance for avoidance of invasive species.</p>		<p>a) <i>The range of species selected for new woodlands, and natural or artificial regeneration of existing woodlands is suited to the site and takes into consideration:</i></p> <ul style="list-style-type: none"> • <i>Improvement of long-term forest resilience including the potential impacts of climate change</i> • <i>Management objectives</i> • <i>Requirements for conservation and enhancement of biodiversity (see section 4)</i> • <i>Requirements for enhancement and restoration of habitats (see section 4)</i> • <i>Landscape character.</i> <p>b) <i>Native species are preferred to non-native. If non-native species are used it is shown that they will clearly outperform native species in meeting the owner's objectives or in achieving long-term forest resilience. ...</i></p> <p>d) <i>In woodlands identified in sections 4.1, 4.2 and 4.4:</i></p> <ul style="list-style-type: none"> • <i>Native species are used for regeneration</i> • <i>Natural regeneration of non-native trees is removed in a timely manner.</i> <p>e) <i>In woodlands identified in section 4.3, regeneration of non-native trees is planned and managed to avoid threats to remnants and conservation features and to allow for increasing native woodland component.</i></p> <p>UKWAS: 2. Management planning, 2.9 Introduction of non-native species, 2.9.1:</p> <p>a) <i>Non-native tree species are only introduced to an individual woodland when evidence or experience shows that any invasive impacts can be controlled effectively.</i></p> <p>b) <i>Non-native tree species are not introduced to woodland identified in sections 4.1, 4.2 and 4.4.</i></p> <p>c) <i>Non-native trees species are only introduced to woodland identified in section 4.3 if, compared to the non-native species they are replacing, they will bring additional</i></p>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		<p><i>biodiversity benefits and will not degrade the potential for restoration to site-native species. ...</i></p> <p>e) <i>All new introductions are carefully monitored, and effective mitigation measures are implemented to control negative impacts outside the area in which they are established.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The UKWAS is in line with the PEFC ST 1003:2018.</p>
8.4.6 The standard requires that afforestation, reforestation and other tree planting activities that contribute to the improvement and restoration of ecological connectivity shall be promoted.	Y	<p>UKWAS: 2. Management planning, 2.5 Assessment of environmental impacts in existing woodland, 2.5.2: <i>The impacts of woodland plans are considered at a landscape level, taking due account of the interaction with adjoining land and nearby priority habitats and species.</i></p> <p>UKWAS: 2. Management planning, 2.6 Woodland creation, 2.6.1: ...</p> <p>b) <i>New woodlands are located and designed in ways that will:</i></p> <ul style="list-style-type: none"> <i>Deliver economic goods and/or social benefits and/or ecosystem services</i> <i>Maintain or enhance the visual, cultural and environmental values and character of the wider landscape ...</i> <p>UKWAS: 2. Management planning, 2.8 Tree species selection, 2.8.1:</p> <p>a) <i>The range of species selected for new woodlands, and natural or artificial regeneration of existing woodlands is suited to the site and takes into consideration:</i></p> <p>...</p> <ul style="list-style-type: none"> <i>Requirements for conservation and enhancement of biodiversity (see section 4)</i> <i>Requirements for enhancement and restoration of habitats (see section 4)</i> <i>Landscape character.</i> <p>Conclusion: Conformity</p>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		Justification: The UKWAS is in line with the PEFC ST 1003:2018.
<p>8.4.7 The standard requires that genetically-modified trees shall not be used.</p> <p>Note: The restriction on the usage of genetically-modified trees has been adopted by the PEFC General Assembly based on the Precautionary Principle. Until enough scientific data on genetically modified trees indicates that impacts on human and animal health and the environment are equivalent to, or more positive than, those presented by trees genetically improved by traditional methods, no genetically-modified trees will be used.</p>	Y	<p>UKWAS: 1. <i>Legal compliance and UKWAS conformance, 1.3 Genetically modified organisms, 1.3.1: Genetically modified organisms (GMOs) are not used.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The UKWAS is in line with the PEFC ST 1003:2018.</p>
<p>8.4.8 The standard requires that a diversity of both horizontal and vertical structures and the diversity of species such as mixed stands shall be promoted, where appropriate. The practices shall also aim to maintain or restore landscape diversity.</p>	Y	<p>UKWAS: 2. <i>Management planning, 2.7 Woodland structure, 2.7.1: Woodlands are managed or restructured to achieve an appropriate diversity of stand structure, species, sizes, ages, spatial scales, regeneration cycles and open space. This structural diversity is maintained or enhanced.</i></p> <p>UKWAS: 2. <i>Management planning, 2.6 Woodland creation, 2.6.1: ...</i></p> <p>b) <i>New woodlands are located and designed in ways that will: ...</i></p> <ul style="list-style-type: none"> <i>Maintain or enhance the visual, cultural and environmental values and character of the wider landscape</i> <i>Ensure the creation of a diverse and resilient woodland over time ...</i> <p>Conclusion: Conformity</p> <p>Justification: The UKWAS is in line with the PEFC ST 1003:2018.</p>
<p>8.4.9 The standard requires that traditional management practices that create valuable ecosystems on appropriate sites shall be supported, where appropriate.</p>	Y	<p>UKWAS: 4. <i>Natural, historical and cultural environment, 4.5 Protection of conservation values in other woodlands and semi-natural habitats, 4.5.2:</i></p>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		<p>a) <i>Valuable small-scale semi-natural habitats that have been colonised, planted, or incorporated into the WMU, but which have retained their ecological characteristics (or have a high potential to be restored), are identified and enhanced, restored or treated in a manner that does not lead to further degradation of their potential for restoration.</i></p> <p>UKWAS: 4. Natural, historical and cultural environment, 4.9 Protection of cultural and historic environment sites, 4.9.1: <i>Through engagement with the relevant statutory historic environment agencies, local authorities, local people and other interested parties, and using other relevant sources of information, the owner/manager:</i></p> <ul style="list-style-type: none"> • <i>Identifies significant heritage features and other aspects of special cultural and historical significance ...</i> • <i>Adopting a precautionary approach, devises and implements measures to maintain and/or enhance them</i> <p>Conclusion: Conformity</p> <p>Justification: The UKWAS is in line with the PEFC ST 1003:2018.</p>
8.4.10 The standard requires that tending and harvesting operations shall be conducted in a way that does not cause lasting damage to ecosystems. Wherever possible, practical measures shall be taken to maintain or improve biological diversity.	Y	<p>UKWAS: 3. Woodland operations, 3.1 General, 3.1.2: <i>The planning of woodland operations includes: ...</i></p> <ul style="list-style-type: none"> • <i>Assessing and taking into account on- and off-site impacts</i> • <i>Taking measures to protect water resources, soils and soil carbon and to prevent disturbance of and damage to priority species, habitats, ecosystems and landscape values, including adapting standard prescriptions where required. Any disturbance or damage which does occur is mitigated and/or repaired, and steps are taken to avoid recurrence</i> <p>UKWAS: 3. Woodland operations, 3.2 Harvesting and restocking, 3.2.1: ...</p> <p>b) <i>Timber harvesting particularly seeks to avoid:</i></p>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		<ul style="list-style-type: none"> • <i>Damage to soil and water courses including loss of soil carbon during felling, extraction and burning</i> • <i>Damage to standing trees, especially veteran trees and their root zones, during felling, extraction and burning</i> <p>Conclusion: Conformity</p> <p>Justification: The UKWAS is in line with the PEFC ST 1003:2018.</p>
8.4.11 The standard requires that infrastructure shall be planned and constructed in a way that minimizes damage to ecosystems, especially to rare, sensitive or representative ecosystems and genetic reserves, and that takes threatened or other key species – in particular their migration patterns – into consideration.	Y	<p>UKWAS: 3. <i>Woodland operations, 3.3 Forest infrastructure, 3.3.2: Roads and timber extraction tracks, visitor access, and management, shooting and fisheries infrastructure, and associated drainage are designed, created, used and maintained in a manner that minimises their environmental impact.</i></p> <p>UKWAS: 4. <i>Natural, historical and cultural environment, 4.7 Maintenance of biodiversity and ecological functions, 4.7.1: Appropriate measures are taken to protect identified priority species and their habitats.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The UKWAS is in line with the PEFC ST 1003:2018.</p>
8.4.12 The standard requires that, with due regard to management objectives, measures shall be taken to control the pressure of animal populations on forest regeneration and growth as well as on biodiversity.	Y	<p>UKWAS: 2. <i>Management planning, 2.12 Protection, 2.12.1:</i></p> <p>a) <i>Management of wild deer is based on a strategy that identifies the management objectives and aims to regulate the impact of deer.</i></p> <p>UKWAS: 2. <i>Management planning, 2.12 Protection, 2.12.3: The choice of tree protection methods and the products selected to achieve effective woodland establishment are appropriate to the herbivore risk and minimise environmental impacts.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The UKWAS is in line with the PEFC ST 1003:2018.</p>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
<p>8.4.13 The standard requires that standing and fallen dead wood, hollow trees, old groves and rare tree species shall be left in quantities and distribution necessary to safeguard biological diversity, taking into account the potential effect on the health and stability of forests and on surrounding ecosystems.</p>	Y	<p>UKWAS: 4. <i>Natural, historical and cultural environment</i>, 4.7 <i>Maintenance of biodiversity and ecological functions</i>, 4.7.5:</p> <ul style="list-style-type: none"> a) <i>The owner/manager plans and takes action to accumulate a diversity of both standing and fallen deadwood over time in all wooded parts of the WMU, including felled areas.</i> b) <i>The owner/manager identifies areas where deadwood is likely to be of greatest nature conservation benefit and plans and takes action to accumulate large dimension standing and fallen deadwood and deadwood in living trees in those areas.</i> <p>UKWAS: 4. <i>Natural, historical and cultural environment</i>, 4.1 <i>Statutory nature conservation sites</i>, 4.1.1: ...</p> <ul style="list-style-type: none"> c) <i>Adopting a precautionary approach, the identified areas and features of high conservation value are maintained and where possible enhanced, in accordance with plans agreed with statutory nature conservation agencies.</i> <p>UKWAS: 4. <i>Natural, historical and cultural environment</i>, 4.5 <i>Protection of conservation values in other woodlands and semi-natural habitats</i>, 4.5.1: ...</p> <ul style="list-style-type: none"> b) <i>The identified areas, species and features of conservation value are maintained and where possible enhanced.</i> <p>Conclusion: Conformity</p> <p>Justification: The UKWAS is in line with the PEFC ST 1003:2018.</p>
8.5 Criterion 5: Maintenance or appropriate enhancement of protective functions in forest management (notably soil and water)		
<p>8.5.1 The standard requires that protective functions of forests for society, such as their potential role in erosion control, flood prevention, water purification, climate regulation, carbon</p>	Y	<p>UKWAS: 2. <i>Management planning</i>, 2.4 <i>Productive potential of the woodland management unit</i>, 2.4.1: <i>The owner/manager plans and implements practices to maintain and/or enhance long-term soil, hydrological and ecological functions including soil carbon.</i></p>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
sequestration and other regulating or supporting ecosystem services shall be maintained or enhanced.		<p>UKWAS: 2. <i>Management planning</i>, 2.5 <i>Assessment of environmental impacts in existing woodland</i>, 2.5.2: <i>The impacts of woodland plans are considered at a landscape level, taking due account of the interaction with adjoining land and nearby priority habitats and species.</i></p> <p>UKWAS: 2. <i>Management planning</i>, 2.6 <i>Woodland creation</i>, 2.6.1: ...</p> <p>b) <i>New woodlands are located and designed in ways that will:</i></p> <ul style="list-style-type: none"> • <i>Deliver economic goods and/or social benefits and/or ecosystem services</i> • <i>Maintain or enhance the visual, cultural and environmental values and character of the wider landscape</i> • <i>Ensure the creation of a diverse and resilient woodland over time, and</i> • <i>Seek to mitigate against the risk of damage from natural hazards.</i> <p>UKWAS: 2. <i>Management planning</i>, 2.11 <i>Conservation</i>, 2.11.2:</p> <p>a) <i>Management strategies and actions are developed to maintain and, where possible, improve the condition of areas and features of high conservation value identified in the following sections: ...</i></p> <ul style="list-style-type: none"> • <i>Areas and features of critical importance for watershed management or erosion control</i> <p>Conclusion: Conformity</p> <p>Justification: The UKWAS does not explicitly feature protective functions of forests to society, but its sub-requirements can be considered to meet the requirements of the PEFC ST 1003:2018 in the context of the UK.</p>
8.5.2 The standard requires that areas that fulfil specific and recognised protective functions for society shall be mapped, and	Y	<p>UKWAS: 2. <i>Management planning</i>, 2.2 <i>Documentation</i>, 2.2.1: <i>All areas in the WMU are covered by management planning documentation which is retained for at least ten years and incorporates: ...</i></p>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
forest management plans and operations shall ensure the maintenance or enhancement of these functions.		<p><i>b) Assessment of relevant components of the woodland resource, including potential wood or non-wood forest products and services which are consistent with the management objectives. ...</i></p> <p><i>d) Identification of special characteristics and sensitivities of the woodland and appropriate treatments. ...</i></p> <p><i>f) Identification of community and social needs and sensitivities. ...</i></p> <p><i>m) Appropriate maps.</i></p> <p>UKWAS: 2. Management planning, 2.6 Woodland creation, 2.6.1: ...</p> <p><i>b) New woodlands are located and designed in ways that will:</i></p> <ul style="list-style-type: none"> <i>• Deliver economic goods and/or social benefits and/or ecosystem services</i> <p>UKWAS: 2. Management planning, 2.11 Conservation, 2.11.2:</p> <p><i>a) Management strategies and actions are developed to maintain and, where possible, improve the condition of areas and features of high conservation value identified in the following sections: ...</i></p> <ul style="list-style-type: none"> <i>• Areas and features of critical importance for watershed management or erosion control</i> <p>Conclusion: Conformity</p> <p>Justification: The UKWAS does not explicitly feature protective functions of forests to society, but its sub-requirements can be considered to meet the requirements of the PEFC ST 1003:2018 in the context of the UK.</p>
8.5.3 The standard requires that special care shall be given to forestry operations on sensitive soils and erosion-prone areas as well as in areas where operations might lead to excessive	Y	<p>UKWAS: 2. Management planning, 2.4 Productive potential of the woodland management unit, 2.4.1: <i>The owner/manager plans and implements practices to maintain and/or enhance long-term soil, hydrological and ecological functions including soil carbon.</i></p>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
<p>erosion of soil into watercourses. Techniques applied and the machinery used shall be suitable for such areas. Special measures shall be taken to minimise the pressure of animal populations on these areas.</p>		<p>UKWAS: 3. Woodland operations, 3.1 General, 3.1.2: <i>The planning of woodland operations includes: ...</i></p> <ul style="list-style-type: none"> • <i>Taking measures to protect water resources, soils and soil carbon and to prevent disturbance of and damage to priority species, habitats, ecosystems and landscape values, including adapting standard prescriptions where required. Any disturbance or damage which does occur is mitigated and/or repaired, and steps are taken to avoid recurrence</i> <p>UKWAS: 3. Woodland operations, 3.2 Harvesting and restocking, 3.2.1: ...</p> <p>b) <i>Timber harvesting particularly seeks to avoid:</i></p> <ul style="list-style-type: none"> • <i>Damage to soil and water courses including loss of soil carbon during felling, extraction and burning</i> <p>Conclusion: Conformity</p> <p>Justification: The UKWAS is in line with the PEFC ST 1003:2018.</p>
<p>8.5.4 The standard requires that special care shall be given to forestry operations in forest areas with water protection functions to avoid adverse effects on the quality and quantity of water resources. Inappropriate use of chemicals or other harmful substances or inappropriate silvicultural practices influencing water quality in a harmful way shall be avoided. Downstream water balance and water quality shall not be significantly affected by the operations.</p>	Y	<p>UKWAS: 2. Management planning, 2.4 Productive potential of the woodland management unit, 2.4.1: <i>The owner/manager plans and implements practices to maintain and/or enhance long-term soil, hydrological and ecological functions including soil carbon.</i></p> <p>UKWAS: 3. Woodland operations, 3.1 General, 3.1.2: <i>The planning of woodland operations includes: ...</i></p> <ul style="list-style-type: none"> • <i>Taking measures to protect water resources, soils and soil carbon and to prevent disturbance of and damage to priority species, habitats, ecosystems and landscape values, including adapting standard prescriptions where required. Any disturbance or damage which does occur is mitigated and/or repaired, and steps are taken to avoid recurrence</i> <p>UKWAS: 3. Woodland operations, 3.2 Harvesting and restocking, 3.2.1: ...</p>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		<p>b) <i>Timber harvesting particularly seeks to avoid:</i></p> <ul style="list-style-type: none"> • <i>Damage to soil and water courses including loss of soil carbon during felling, extraction and burning</i> <p>UKWAS: 3. Woodland operations, 3.8 Pollution, 3.8.1: <i>The owner/manager adopts management practices that minimise diffuse pollution arising from woodland operations.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The UKWAS is in line with the PEFC ST 1003:2018.</p>
8.5.5 The standard requires that construction of roads, bridges and other infrastructure shall be carried out in a manner that minimises bare soil exposure, avoids the introduction of soil into watercourses and preserves the natural level and function of water courses and river beds. Proper road drainage facilities shall be installed and maintained.	Y	<p>UKWAS: 2. Management planning, 2.4 Productive potential of the woodland management unit, 2.4.1: <i>The owner/manager plans and implements practices to maintain and/or enhance long-term soil, hydrological and ecological functions including soil carbon.</i></p> <p>UKWAS: 3. Woodland operations, 3.3 Forest infrastructure, 3.3.2: <i>Roads and timber extraction tracks, visitor access, and management, shooting and fisheries infrastructure, and associated drainage are designed, created, used and maintained in a manner that minimises their environmental impact.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The UKWAS reflects the PEFC ST 1003:2018 requirements.</p>
8.6 Criterion 6: Maintenance or appropriate enhancement of socio-economic functions and conditions		
8.6.1 The standard requires that forest management planning shall aim to respect all socio-economic functions of forests.	Y	<p>UKWAS: 2. Management planning, 2.1 Policy and objectives, 2.1.1:</p> <p>a) <i>The owner/manager has a long-term policy and management objectives which are environmentally positive, socially beneficial, economically viable and enhance forest resilience.</i></p> <p>UKWAS: 2. Management planning, 2.1 Policy and objectives, 2.1.2: <i>Woodland management planning takes full account of the short- and long-term positive and negative</i></p>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		<p><i>economic, environmental and social impacts of proposed operations, including potential impacts outside the WMU.</i></p> <p>UKWAS: 2. Management planning, 2.2 Documentation, 2.2.1: All areas in the WMU are covered by management planning documentation which is retained for at least ten years and incorporates: ...</p> <p>f) Identification of community and social needs and sensitivities.</p> <p>Conclusion: Conformity</p> <p>Justification: The UKWAS reflects the PEFC ST 1003:2018 requirements.</p>
8.6.2 The standard requires that adequate public access to forests for the purpose of recreation shall be provided, taking into account respect for ownership rights, safety and the rights of others, the effects on forest resources and ecosystems, as well as compatibility with other functions of the forest.	Y	<p>UKWAS: 5. People, communities and workers, 5.1 Public access rights, permissive uses, traditional rights, and the health and wellbeing of local people, visitors and communities, 5.1.1: There is compliance with public access legislation.</p> <p><i>Guidance: Across the UK, access rights include public rights of way through or beside the wood. In Scotland: In addition to public rights of way, the Land Reform (Scotland) Act (2003) provides for responsible access on foot, cycle or horse and also for responsible management of access by landowners and managers. The Scottish Outdoor Access Code provides guidance on responsible behaviour of those taking and managing access together with circumstances where access may be restricted. In addition, supplementary guidance is published on specific aspects such as events and core paths. In England and Wales: In addition to public rights of way, the Countryside and Rights of Way Act 2000 (CROW) provides for the voluntary dedication of woodland for public access.</i></p> <p>UKWAS: 5. People, communities and workers, 5.1 Public access rights, permissive uses, traditional rights, and the health and wellbeing of local people, visitors and communities, 5.1.2: Permissive uses authorised by the owner/manager and traditional rights are identified and sustained except when such uses can be shown to threaten the integrity of the woodland or the achievement of the objectives of management.</p>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		<p>UKWAS: 5. <i>People, communities and workers</i>, 5.1 <i>Public access rights, permissive uses, traditional rights, and the health and wellbeing of local people, visitors and communities</i>, 5.1.3:</p> <p>a) <i>There is provision for some public access subject only to limited exemptions.</i></p> <p>b) <i>Where there is a special demand for further public access, specific types of access provision or community use, the owner/manager makes reasonable efforts to meet this demand.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The UKWAS is in line with the PEFC ST 1003:2018.</p>
<p>8.6.3 The standard requires that sites with recognised specific historical, cultural or spiritual significance and areas fundamental to meeting the needs of indigenous peoples and local communities (e.g. health, subsistence) shall be protected or managed in a way that takes due regard of the significance of the site.</p>	Y	<p>UKWAS: 2. <i>Management planning</i>, 2.6 <i>Woodland creation</i>, 2.6.1: ...</p> <p>b) <i>New woodlands are located and designed in ways that will: ...</i></p> <ul style="list-style-type: none"> <i>Maintain or enhance the visual, cultural and environmental values and character of the wider landscape</i> <p>UKWAS: 4. <i>Natural, historical and cultural environment</i>, 4.9 <i>Protection of cultural and historic environment sites</i>, 4.9.1: <i>Through engagement with the relevant statutory historic environment agencies, local authorities, local people and other interested parties, and using other relevant sources of information, the owner/manager:</i></p> <ul style="list-style-type: none"> <i>Identifies significant heritage features and other aspects of special cultural and historical significance ...</i> <i>Adopting a precautionary approach, devises and implements measures to maintain and/or enhance them</i> <p>Conclusion: Conformity</p> <p>Justification: The UKWAS is in line with the PEFC ST 1003:2018.</p>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
8.6.4 The standard requires that management shall promote the long-term health and well-being of communities within or adjacent to the forest management area, where appropriate supported by engagement with local communities and indigenous peoples.	Y	<p>UKWAS: 2. <i>Management planning</i>, 2.2 <i>Documentation</i>, 2.2.1: <i>All areas in the WMU are covered by management planning documentation which is retained for at least ten years and incorporates: ...</i></p> <p>f) <i>Identification of community and social needs and sensitivities.</i></p> <p>UKWAS: 5. <i>People, communities and workers</i>, 5.3 <i>Local economy</i>, 5.3.1: <i>...</i></p> <p>b) <i>Consistent with their other objectives, the owner/manager is receptive to requests from local people or communities to make use of woodland products and services.</i></p> <p>c) <i>The owner/manager provides local people with equitable opportunities for employment and to supply goods and services.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The UKWAS is in line with the PEFC ST 1003:2018.</p>
8.6.5 The standard requires that the best use shall be made of forest-related experience and traditional knowledge, innovations and practices such as those of forest owners, NGOs, local communities, and indigenous peoples. Equitable sharing of the benefits arising from the utilization of such knowledge shall be encouraged.	N	<p>UKWAS: 2. <i>Management planning</i>, 2.3 <i>Consultation and co-operation</i>, 2.3.1: <i>...</i></p> <p>b) <i>The owner/manager ensures that there is full co-operation with the relevant forestry authority's consultation processes.</i></p> <p>c) <i>The owner/manager consults appropriately with local people, relevant organisations and other interested parties, and provides opportunities for their engagement in planning and monitoring processes.</i></p> <p>Conclusion: Minor non-conformity</p> <p>Justification: While the UKWAS requires a high level of consultation with stakeholders in general, it does not directly require utilisation of the information specified in the PEFC ST 1003:2018 and it takes no stand on the related benefit-sharing.</p>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		Comment: The benchmark requirement on utilising, benefitting and sharing the benefit from local/traditional knowledge is difficult to implement in the context of the UK.
8.6.6 The standard requires that management shall give due regard to the role of forestry in local economies. Special consideration shall be given to new opportunities for training and employment of local people, including indigenous peoples.	Y	<p>UKWAS: 5. People, communities and workers, 5.3 Local economy, 5.3.1: ...</p> <p>b) Consistent with their other objectives, the owner/manager is receptive to requests from local people or communities to make use of woodland products and services.</p> <p>c) The owner/manager provides local people with equitable opportunities for employment and to supply goods and services.</p> <p>Conclusion: Conformity</p> <p>Justification: The UKWAS is in line with the PEFC ST 1003:2018.</p>
8.6.7 The standard requires that forest management shall contribute to research activities and data collection needed for sustainable forest management or support relevant research activities carried out by other organisations, as appropriate.	N	<p>UKWAS: Introduction. Research: The owner/manager should consider contributing to and/or supporting relevant research activities which benefit the future management of woodlands.</p> <p>UKWAS: Introduction. Requirements: In recent editions of UKWAS, requirements were stated as 'shall'. This edition reverts to the simpler form of wording used in the first edition of UKWAS; this does not imply any change in the status of requirements, and these remain mandatory.</p> <p>Conclusion: Minor non-conformity</p> <p>Justification: The UKWAS introduction establishes that <i>should</i> states a mandatory requirement when applied under the column <i>Requirements</i>. However, the UKWAS does not meet the PEFC ST 1003:2018 requirement as it only requires the owner/manager to consider contributing to research activities (or supporting them).</p>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		Comment: To avoid potential different interpretations concerning the level of requirement, it is recommended that the use of terms <i>should</i> and <i>shall</i> in the UKWAS is harmonized with their use in the PEFC documents.
9. Performance evaluation		
9.1 Monitoring, measurement, analysis and evaluation		
9.1.1 The standard requires that monitoring of forest resources and evaluation of their management, including ecological, social and economic effects, shall be periodically performed, and results fed back into the planning process.	Y	<p>UKWAS: 2. Management planning, 2.15 Monitoring, 2.15.1:</p> <p>a) <i>The owner/manager devises and implements a monitoring programme appropriate to the scale and intensity of management.</i></p> <p>b) <i>The monitoring programme is:</i></p> <ul style="list-style-type: none"> • <i>Part of the management planning documentation</i> • <i>Consistent and replicable over time to allow comparison of results and assessment of change</i> • <i>Kept in a form that ensures that results are of use over the long term.</i> <p>c) <i>The owner/manager where applicable monitors and records:</i></p> <ul style="list-style-type: none"> • <i>The implementation of policies and objectives and the achievement of verifiable targets</i> • <i>Implementation of woodland operations</i> • <i>Harvesting yields</i> • <i>Social impacts</i> • <i>Environmental impacts</i> • <i>Changes in environmental condition</i> • <i>Usage of pesticides, biological control agents and fertilisers and any adverse impacts</i> • <i>Environmentally appropriate disposal of waste materials.</i>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		<p>UKWAS: 2. Management planning, 2.15 Monitoring, 2.15.2:</p> <p>a) <i>The owner/manager takes monitoring findings into account, particularly during revision of the management planning documentation and if necessary, revises management objectives, verifiable targets and/or management activities.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The UKWAS is in line with the PEFC ST 1003:2018.</p>
<p>9.1.2 The standard requires that health and vitality of forests shall be periodically monitored, especially key biotic and abiotic factors that potentially affect health and vitality of forest ecosystems, such as pests, diseases, overgrazing and overstocking, fire, and damage caused by climatic factors, air pollutants or by forest management operations.</p>	Y	<p>UKWAS: 2. Management planning, 2.5 Assessment of environmental impacts in existing woodland, 2.5.3:</p> <p>a) <i>The owner/manager assesses the potential negative impacts of natural hazards on the WMU, including drought, floods, wind, fire, non-native plant and animal species, and other pests and diseases.</i></p> <p>UKWAS: 2. Management planning, 2.15 Monitoring, 2.15.1: ...</p> <p>c) <i>The owner/manager where applicable monitors and records:</i></p> <ul style="list-style-type: none"> • <i>The implementation of policies and objectives and the achievement of verifiable targets</i> • <i>Implementation of woodland operations</i> • <i>Harvesting yields</i> • <i>Social impacts</i> • <i>Environmental impacts</i> • <i>Changes in environmental condition</i> • <i>Usage of pesticides, biological control agents and fertilisers and any adverse impacts</i> • <i>Environmentally appropriate disposal of waste materials.</i> <p>Conclusion: Conformity</p>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		Justification: The UKWAS meets the PEFC ST 1003:2018 requirements.
9.1.3 The standard requires that where it is the responsibility of the forest owner/manager and included in forest management, the use of non-wood forest products, including hunting and fishing, shall be regulated, monitored and controlled.	y	<p>UKWAS: 2. <i>Management planning, 2.2 Documentation, 2.2.1: All areas in the WMU are covered by management planning documentation which is retained for at least ten years and incorporates: ...</i></p> <p>j) <i>Where applicable, annual allowable harvest of non-wood forest products (NWFPs).</i></p> <p>UKWAS: 2. <i>Management planning, 2.4 Productive potential of the woodland management unit, 2.4.3:</i></p> <p>a) <i>Harvesting of non-wood forest products (NWFPs) or use of ecosystem services from the WMU is at or below a level which can be permanently sustained.</i></p> <p>UKWAS: 2. <i>Management planning, 2.15 Monitoring, 2.15.1: ...</i></p> <p>c) <i>The owner/manager where applicable monitors and records: ...</i></p> <ul style="list-style-type: none"> <i>The implementation of policies and objectives and the achievement of verifiable targets</i> <p>UKWAS: 3. <i>Woodland operations, 3.2 Harvesting and restocking, 3.2.1:</i></p> <p>a) <i>Timber and non-wood forest products (NWFPs) are harvested and extracted efficiently and with minimum damage to environmental values and high conservation values.</i></p> <p>UKWAS: 4. <i>Natural, historical and cultural environment, 4.10 Game-rearing, shooting and fisheries management, 4.10.1:</i></p> <p>a) <i>Game-rearing and release are carried out sustainably and in accordance with the spirit of codes of practice produced by relevant organisations.</i></p>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		<p>UKWAS: 4. <i>Natural, historical and cultural environment, 4.10 Game-rearing, shooting and fisheries management, 4.10.2: Shooting is carried out sustainably and in accordance with the spirit of codes of practice produced by relevant organisations.</i></p> <p>UKWAS: 4. <i>Natural, historical and cultural environment, 4.10 Game-rearing, shooting and fisheries management, 4.10.4: Fishing and associated activities are carried out sustainably and in accordance with the spirit of codes of practice produced by relevant organisations.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The UKWAS meets the PEFC ST 1003:2018 requirements.</p>
9.1.4 The standard requires that working conditions shall be regularly monitored and adapted as necessary.	Y	<p>UKWAS: 2. <i>Management planning, 2.15 Monitoring, 2.15.1: ...</i></p> <p>c) <i>The owner/manager where applicable monitors and records: ...</i></p> <ul style="list-style-type: none"> • <i>Implementation of woodland operations ...</i> • <i>Social impacts</i> <p>UKWAS: 5. <i>People, communities and workers, 5.4 Health and safety, 5.4.1:</i></p> <p>a) <i>There is:</i></p> <ul style="list-style-type: none"> • <i>Compliance with health and safety legislation</i> • <i>Conformance with associated codes of practice</i> • <i>Conformance with FISA guidance.</i> <p><i>Example verifiers:</i></p> <ul style="list-style-type: none"> • <i>Field observation that health and safety legislation and codes of practice are being implemented</i> • <i>Procedure for monitoring compliance with safety requirements (written for larger organisations) and for dealing with situations where safety requirements are not met</i>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		Conclusion: Conformity Justification: The UKWAS meets the PEFC ST 1003:2018 requirements.
9.2 Internal audit		
9.2.1 Objectives		
The standard requires that an internal audit programme at planned intervals shall provide information on whether the management system		
a) conforms to <ul style="list-style-type: none"> the organisation's requirements for its management system; the requirements of the national sustainable forest management standard 	Y	<p>PEFC UK: <i>Section 6: Scheme Governance, 6.3.2 Individual Certification: ... Internal audits of the system are required to ensure continued conformance with the forest management standard. (see section 6.3.13 for internal audit requirements and adapt for single site or entity).</i></p> <p>PEFC UK: <i>Section 6: Scheme Governance, 6.3.13 Internal audit: The Group manager/entity 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.</i></p> <p><i>The scheme requires that an annual internal audit programme shall provide information on whether the group management system:</i></p> <p>a) <i>conforms to</i></p> <ul style="list-style-type: none"> <i>i. the group organisation's own requirements for its group management system;</i> <i>ii. the requirements of the national group certification standard;</i> <p>Conclusion: Conformity Justification: The PEFC UK is in line with the PEFC ST 1003:2018.</p>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
b) is effectively implemented and maintained.	Y	<p>PEFC UK: <i>Section 6: Scheme Governance, 6.3.2 Individual Certification: ... Internal audits of the system are required to ensure continued conformance with the forest management standard. (see section 6.3.13 for internal audit requirements and adapt for single site or entity).</i></p> <p>PEFC UK: <i>Section 6: Scheme Governance, 6.3.13 Internal audit: ... The scheme requires that an annual internal audit programme shall provide information on whether the group management system: ...</i></p> <p><i>c) is effectively implemented and maintained.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The PEFC UK is in line with the PEFC ST 1003:2018.</p>
9.2.2 Organisation The standard requires that the organisation shall:		
a) plan, establish, implement and maintain 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;	Y	<p>PEFC UK: <i>Section 6: Scheme Governance, 6.3.2 Individual Certification: ... Internal audits of the system are required to ensure continued conformance with the forest management standard. (see section 6.3.13 for internal audit requirements and adapt for single site or entity).</i></p> <p>PEFC UK: <i>Section 6: Scheme Governance, 6.3.13 Internal audit: ... The scheme requires an internal audit programme which shall cover at least:</i></p> <p><i>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;</i></p> <p>Conclusion: Conformity</p>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		Justification: The PEFC UK is in line with the PEFC ST 1003:2018.
b) define the audit criteria and scope for each audit;	Y	<p>PEFC UK: <i>Section 6: Scheme Governance, 6.3.2 Individual Certification: ... Internal audits of the system are required to ensure continued conformance with the forest management standard. (see section 6.3.13 for internal audit requirements and adapt for single site or entity).</i></p> <p>PEFC UK: <i>Section 6: Scheme Governance, 6.3.13 Internal audit: ... The scheme requires an internal audit programme which shall cover at least: ...</i></p> <p><i>b) definition of the audit criteria and scope for each audit;</i></p> <p>Conclusion: Conformity</p> <p>Justification: The PEFC UK is in line with the PEFC ST 1003:2018.</p>
c) select the auditors and conduct audits to ensure objectivity and the impartiality of the audit process;	Y	<p>PEFC UK: <i>Section 6: Scheme Governance, 6.3.2 Individual Certification: ... Internal audits of the system are required to ensure continued conformance with the forest management standard. (see section 6.3.13 for internal audit requirements and adapt for single site or entity).</i></p> <p>PEFC UK: <i>Section 6: Scheme Governance, 6.3.13 Internal audit: ... The scheme requires an internal audit programme which shall cover at least: ...</i></p> <p><i>d) selection of auditors and conducting of audits to ensure objectivity and the impartiality of the audit process;</i></p> <p>Conclusion: Conformity</p> <p>Justification: The PEFC UK is in line with the PEFC ST 1003:2018.</p>
d) ensure that the results of the audits are reported to relevant management;	Y	<p>PEFC UK: <i>Section 6: Scheme Governance, 6.3.2 Individual Certification: ... Internal audits of the system are required to ensure continued conformance with the forest management</i></p>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		<p>standard. (see section 6.3.13 for internal audit requirements and adapt for single site or entity).</p> <p>PEFC UK: Section 6: Scheme Governance, 6.3.13 Internal audit: ... The scheme requires an internal audit programme which shall cover at least: ...</p> <p>e) ensuring that the results of the audits are reported to relevant group management;</p> <p>Conclusion: Conformity</p> <p>Justification: The PEFC UK is in line with the PEFC ST 1003:2018.</p>
e) retain documented information as evidence of the implementation of the audit programme and the audit results.	Y	<p>PEFC UK: Section 6: Scheme Governance, 6.3.2 Individual Certification: ... Internal audits of the system are required to ensure continued conformance with the forest management standard. (see section 6.3.13 for internal audit requirements and adapt for single site or entity).</p> <p>PEFC UK: Section 6: Scheme Governance, 6.3.13 Internal audit: ... The scheme requires an internal audit programme which shall cover at least: ...</p> <p>f) retaining of the documented information as evidence of the implementation of the audit programme and the audit results.</p> <p>Conclusion: Conformity</p> <p>Justification: The PEFC UK is in line with the PEFC ST 1003:2018.</p>
9.3 Management review		
9.3.1 The standard requires that an annual management review shall at least include		
a) the status of actions from previous management reviews;	Y	<p>PEFC UK: Section 6: Scheme Governance, 6.3.2 Individual Certification: ... Note: Individual certificate holders are also required to comply with sections ... 6.3.14</p>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		<p><i>Management Review ... These sections shall be interpreted for use by Individual certificate holders.</i></p> <p>PEFC UK: <i>Section 6: Scheme Governance, 6.3.14 Management Review: The scheme requires that an annual management review shall at least include:</i></p> <p><i>a) the status of actions from previous management reviews;</i></p> <p>Conclusion: Conformity</p> <p>Justification: The PEFC UK is in line with the PEFC ST 1003:2018.</p>
b) changes in external and internal issues that are relevant to the management system;	Y	<p>PEFC UK: <i>Section 6: Scheme Governance, 6.3.2 Individual Certification: ... Note: Individual certificate holders are also required to comply with sections ... 6.3.14 Management Review ... These sections shall be interpreted for use by Individual certificate holders.</i></p> <p>PEFC UK: <i>Section 6: Scheme Governance, 6.3.14 Management Review: The scheme requires that an annual management review shall at least include: ...</i></p> <p><i>b) changes in external and internal issues that are relevant to the group management system;</i></p> <p>Conclusion: Conformity</p> <p>Justification: The PEFC UK is in line with the PEFC ST 1003:2018.</p>
<p>c) information on the organisation's performance, including trends in:</p> <ul style="list-style-type: none"> • nonconformities and corrective actions; • monitoring and measurement results; • audit results; 	Y	<p>PEFC UK: <i>Section 6: Scheme Governance, 6.3.2 Individual Certification: ... Note: Individual certificate holders are also required to comply with sections ... 6.3.14 Management Review ... These sections shall be interpreted for use by Individual certificate holders.</i></p> <p>PEFC UK: <i>Section 6: Scheme Governance, 6.3.14 Management Review: The scheme requires that an annual management review shall at least include: ...</i></p>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		<p>d) <i>information on the group performance, including trends in:</i></p> <ul style="list-style-type: none"> <i>i. nonconformities and corrective actions;</i> <i>ii. monitoring and measurement results;</i> <i>iii. audit results;</i> <p>Conclusion: Conformity</p> <p>Justification: The PEFC UK is in line with the PEFC ST 1003:2018.</p>
d) opportunities for continual improvement	Y	<p>PEFC UK: <i>Section 6: Scheme Governance, 6.3.2 Individual Certification: ... Note: Individual certificate holders are also required to comply with sections ... 6.3.14 Management Review ... These sections shall be interpreted for use by Individual certificate holders.</i></p> <p>PEFC UK: <i>Section 6: Scheme Governance, 6.3.14 Management Review: The scheme requires that an annual management review shall at least include: ...</i></p> <p><i>e) opportunities for continual improvement.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The PEFC UK is in line with the PEFC ST 1003:2018.</p>
9.3.2 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 management system.	Y	<p>PEFC UK: <i>Section 6: Scheme Governance, 6.3.2 Individual Certification: ... Note: Individual certificate holders are also required to comply with sections ... 6.3.14 Management Review ... These sections shall be interpreted for use by Individual certificate holders.</i></p> <p>PEFC UK: <i>Section 6: Scheme Governance, 6.3.14 Management Review: ... The scheme 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.</i></p>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		Conclusion: Conformity Justification: The PEFC UK is in line with the PEFC ST 1003:2018.
9.3.3 The standard requires that documented information as evidence of the results of management reviews shall be retained.	Y	PEFC UK: <i>Section 6: Scheme Governance, 6.3.2 Individual Certification: ... Note: Individual certificate holders are also required to comply with sections ... 6.3.14 Management Review ... These sections shall be interpreted for use by Individual certificate holders.</i> PEFC UK: <i>Section 6: Scheme Governance, 6.3.14 Management Review: ... The scheme also requires that the group organisation shall retain documented information as evidence of the results of management reviews.</i> Conclusion: Conformity Justification: The PEFC UK is in line with the PEFC ST 1003:2018.
10. Improvement		
10.1 Nonconformity and corrective action		
10.1.1 The standard requires that when a nonconformity occurs, the organisation shall:		
a) react to the nonconformity and, as applicable: i. take action to control and correct it; ii. deal with the consequences;	Y	PEFC UK: <i>Section 6: Scheme Governance, 6.3.2 Individual Certification: ... Note: Individual certificate holders are also required to comply with sections ... 6.3.15 Continual Improvement ... These sections shall be interpreted for use by Individual certificate holders.</i> PEFC UK: <i>Section 6: Scheme Governance, 6.3.15 Continual Improvement: The scheme requires that when a nonconformity occurs ... the group organisation shall:</i> a) <i>react to the nonconformity and, as applicable:</i> i. <i>take action to control and correct it;</i>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		<i>ii. deal with the consequences;</i> Conclusion: Conformity Justification: The PEFC UK is in line with the PEFC ST 1003:2018.
b) evaluate the need for action to eliminate the causes of the nonconformity, in order that it does not recur or occur elsewhere, by: i. reviewing the nonconformity; ii. determining the causes of the nonconformity; iii. determining if similar nonconformities exist, or could potentially occur;	Y	PEFC UK: <i>Section 6: Scheme Governance, 6.3.2 Individual Certification: ... Note: Individual certificate holders are also required to comply with sections ... 6.3.15 Continual Improvement ... These sections shall be interpreted for use by Individual certificate holders.</i> PEFC UK: <i>Section 6: Scheme Governance, 6.3.15 Continual Improvement: The scheme requires that when a nonconformity occurs ... the group organisation shall: ...</i> <i>b) evaluate the need for action to eliminate the causes of the nonconformity, in order that it does not recur or occur elsewhere,</i> <i>i. reviewing the nonconformity;</i> <i>ii. determining the causes of the nonconformity;</i> <i>iii. determining if similar nonconformities exist, or could potentially occur;</i> Conclusion: Conformity Justification: The PEFC UK is in line with the PEFC ST 1003:2018.
c) implement any action needed;	Y	PEFC UK: <i>Section 6: Scheme Governance, 6.3.2 Individual Certification: ... Note: Individual certificate holders are also required to comply with sections ... 6.3.15 Continual Improvement ... These sections shall be interpreted for use by Individual certificate holders.</i> PEFC UK: <i>Section 6: Scheme Governance, 6.3.15 Continual Improvement: The scheme requires that when a nonconformity occurs ... the group organisation shall: ...</i> <i>c) implement any action needed;</i>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		Conclusion: Conformity Justification: The PEFC UK is in line with the PEFC ST 1003:2018.
d) review the effectiveness of any corrective action taken;	Y	<p>PEFC UK: <i>Section 6: Scheme Governance, 6.3.2 Individual Certification: ... Note: Individual certificate holders are also required to comply with sections ... 6.3.15 Continual Improvement ... These sections shall be interpreted for use by Individual certificate holders.</i></p> <p>PEFC UK: <i>Section 6: Scheme Governance, 6.3.15 Continual Improvement: The scheme requires that when a nonconformity occurs ... the group organisation shall: ...</i></p> <p>d) <i>review the effectiveness of any corrective action taken;</i></p> Conclusion: Conformity Justification: The PEFC UK is in line with the PEFC ST 1003:2018.
e) make changes to the management system, if necessary.	Y	<p>PEFC UK: <i>Section 6: Scheme Governance, 6.3.2 Individual Certification: ... Note: Individual certificate holders are also required to comply with sections ... 6.3.15 Continual Improvement ... These sections shall be interpreted for use by Individual certificate holders.</i></p> <p>PEFC UK: <i>Section 6: Scheme Governance, 6.3.15 Continual Improvement: The scheme requires that when a nonconformity occurs ... the group organisation shall: ...</i></p> <p>e) <i>make changes to the group management system, if necessary.</i></p> Conclusion: Conformity Justification: The PEFC UK is in line with the PEFC ST 1003:2018.
10.1.2 The standard requires that corrective actions shall be appropriate to the effects of the nonconformities encountered.	Y	<p>PEFC UK: <i>Section 6: Scheme Governance, 6.3.2 Individual Certification: ... Note: Individual certificate holders are also required to comply with sections ... 6.3.15 Continual</i></p>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		<p><i>Improvement ... These sections shall be interpreted for use by Individual certificate holders.</i></p> <p>PEFC UK: Section 6: Scheme Governance, 6.3.15 Continual Improvement: The scheme requires that when a nonconformity occurs, corrective actions shall be appropriate to the effects of the nonconformities encountered</p> <p>Conclusion: Conformity</p> <p>Justification: The PEFC UK is in line with the PEFC ST 1003:2018.</p>
10.1.3 The standard requires that the organisation shall retain documented information as evidence of:		
a) the nature of the nonconformities and any subsequent actions taken;	Y	<p>PEFC UK: Section 6: Scheme Governance, 6.3.2 Individual Certification: ... Note: Individual certificate holders are also required to comply with sections ... 6.3.15 Continual Improvement ... These sections shall be interpreted for use by Individual certificate holders.</p> <p>PEFC UK: Section 6: Scheme Governance, 6.3.15 Continual Improvement: ... The standard requires that the group organisation shall retain documented information as evidence of:</p> <p>a) the nature of the nonconformities and any subsequent actions taken;</p> <p>Conclusion: Conformity</p> <p>Justification: The PEFC UK is in line with the PEFC ST 1003:2018.</p>
b) the results of any corrective action.	Y	<p>PEFC UK: Section 6: Scheme Governance, 6.3.2 Individual Certification: ... Note: Individual certificate holders are also required to comply with sections ... 6.3.15 Continual Improvement ... These sections shall be interpreted for use by Individual certificate holders.</p>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		<p>PEFC UK: <i>Section 6: Scheme Governance, 6.3.15 Continual Improvement: ... The standard requires that the group organisation shall retain documented information as evidence of: ...</i></p> <p><i>b) the results of any corrective action.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The PEFC UK is in line with the PEFC ST 1003:2018.</p>
<p>10.2 Continual improvement</p> <p>The standard requires that the suitability, adequacy and effectiveness of the sustainable forest management system and the sustainable management of the forest shall be continuously improved.</p>	Y	<p>PEFC UK: <i>Section 6: Scheme Governance, 6.3.2 Individual Certification: ... Note: Individual certificate holders are also required to comply with sections ... 6.3.15 Continual Improvement ... These sections shall be interpreted for use by Individual certificate holders.</i></p> <p>PEFC UK: <i>Section 6: Scheme Governance, 6.3.15 Continual Improvement: ... The scheme requires that the suitability, adequacy and effectiveness of the group management system and the sustainable management of the forest shall be continuously improved.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The PEFC UK is in line with the PEFC ST 1003:2018.</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.

‘PEFC Checklist (4) - 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.

PEFC UK Reference Documents:

Document type	Document name
Normative documents	PEFC UK Certification Scheme for Sustainable Forest Management, July 5, 2022. (hereafter “PEFC UK”), Update working version (from Dec 15, 2022), undated

2 Checklist

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)
4. Context of the group organisation		
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 b) other groups and/or c) whether there are any other specific circumstances which influence the implementation of the group	Y	<i>PEFC UK Scheme 6.3.3 Group Certification:</i> <i>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.</i>



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PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)
management system.		<p><u>Rationale:</u></p> <p>... 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.</p> <p>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.</p> <p>PEFC UK 6.3.6 Categories of Group Certification</p> <p>There are various categories of "groups" for which group certification under the scheme might be suitable, including for example:</p> <ul style="list-style-type: none"> • a formal or informal co-operative of neighbouring/regional forests 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 <p>Conclusion: Conformity</p> <p>Justification:</p> <p>PEFC UK define a general framework for group organisation.</p>
4.2 Understanding the needs and expectations of affected stakeholders		
4.2.1 The standard requires that the group organisation shall identify:		

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)
<p>a) the affected stakeholders that are relevant for the group management system and</p> <p>b) the relevant expectations of these affected stakeholders.</p>	Y	<p>PEFC UK:</p> <p><i>6.3.6 Categories of Group Certification</i></p> <p><i>The standard requires that the group organisation shall identify:</i></p> <p><i>a) the affected stakeholders that are relevant for the group management system and</i></p> <p><i>b) the relevant expectations of these affected stakeholders</i></p> <p>Conclusion: Conformity</p> <p>Justification:</p> <p>The definitions are equivalent to the PEFC ST 1002:2018.</p>
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:		
<p>a) the group organisation and the elements of the group organisation (group entity and participant),</p> <p>b) the certified area,</p> <p>c) the group certificate and</p> <p>d) the document confirming participation in group certification.</p>	Y	<p>PEFC UK:</p> <p><i>6.3.4 Basis of Group Certification</i></p> <p><i>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.</i></p> <p><i>Definitions of terms used within the scheme may be found in section 3 of PEFC ST 1002:2018</i></p> <p><i>6.3.5 Group Manager/Group Entity</i></p> <p><i>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.</i></p>



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PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)
		<p><i>Group Entity - A legal entity that represents the participants, with overall responsibility for ensuring the conformity of forest management in the certified area to the sustainable forest management standard and other applicable requirements of the forest certification system. For this purpose the group entity is using a group management system.</i></p> <p>6.3.6 Categories of Group Certification</p> <p><i>The Group manager/entity shall determine the scope of the group management system. The standard shall provide definitions relating to the following terms, which are in conformity with the definitions of those terms presented in chapter 3 of PEFC ST 1002:2018 Group Forest Management Certification:</i></p> <p><i>a) the group organisation and the elements of the group organisation (group entity and participant),</i></p> <p><i>b) the certified area,</i></p> <p><i>c) the group certificate</i></p> <p><i>d) d) the document confirming participation in group certification</i></p> <p>Conclusion: Conformity</p> <p>Justification:</p> <p>Group organisation is defined to include participants, the group entity and a potential group manager. The definitions are equivalent to the PEFC ST 1002:2018. PEFC UK refers directly to the PEFC ST 1002:2018 with regards to the definition of terms.</p>
<p>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.</p>	<p>Y</p>	<p>PEFC UK:</p> <p>6.3.5 Group Manager/Group Entity</p> <p><i>Group Entity - A legal entity that represents the participants, with overall responsibility for ensuring the conformity of forest management in the certified area to the sustainable forest management standard and other applicable requirements of the forest certification system. For this purpose the group entity is using a group management system.</i></p> <p>6.3.6 Categories of Group Certification</p>



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PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)
		<p><i>The Group manager/entity shall determine the scope of the group management system. The standard shall provide definitions relating to the following terms, which are in conformity with the definitions of those terms presented in chapter 3 of PEFC ST 1002:2018 Group Forest Management Certification:</i></p> <p><i>a) the group organisation and the elements of the group organisation (group entity and participant),</i></p> <p><i>b) the certified area,</i></p> <p><i>c) the group certificate</i></p> <p><i>d) d) the document confirming participation in group certification</i></p> <p>Conclusion: Conformity</p> <p>Justification:</p> <p>Requirements on the determination of group management system boundaries and applicability exists in PEFC UK through the definition of the group entity and requirements on the scope of the group management system.</p>
<p>4.3.3 The standard shall define which requirements of the sustainable forest management standard may be fulfilled on group level.</p>	<p>Y</p>	<p>PEFC UK:</p> <p><i>6.3.4 Basis for Group Certification</i></p> <p><i>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.</i></p> <p>Conclusion: Conformity</p> <p>Justification:</p> <p>The PEFC UK defines that all members of the group “<i>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.</i>” This implies that all requirements of the sustainable forest management standard are applicable on forest management unit level. PEFC UK does not include definitions on which SFM requirement that may be fulfilled on</p>

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)
		group level.
4.3.4 The standard requires that the scope shall be made available as documented information.	Y	<p>PEFC UK:</p> <p><i>6.3.4 Basis of Group Certification</i></p> <p><i>Definitions of terms used within the scheme may be found in section 3 of PEFC ST 1002:2018</i></p> <p><i>6.3.6 Categories of Group Certification</i></p> <p><i>The Group manager/entity shall determine the scope of the group management system</i></p> <p><i>The standard shall provide definitions relating to the following terms, which are in conformity with the definitions of those terms presented in chapter 3 of PEFC ST 1002:2018 Group Forest Management Certification:</i></p> <p><i>a) the group organisation and the elements of the group organisation (group entity and participant), b) the certified area,</i></p> <p><i>c) the group certificate and</i></p> <p><i>d) the document confirming participation in group certification</i></p> <p><i>6.3.7 Responsibilities of the Group Manager / Group Entity</i></p> <p><i>keep records of:</i></p> <ul style="list-style-type: none"> <i>o the group entity and participants' conformity with the requirements of the sustainable forest management standard, and other applicable requirements of the forest certification scheme,</i> <i>o all participants, including their contact details, identification of their forest property and its/their size(s),</i> <i>o the certified area,</i> <i>o the implementation of an internal monitoring programme, its review and any preventive and/or corrective actions taken;</i> <p>Conclusion: Conformity</p> <p>Justification:</p> <p>PEFC UK refers to PEFC ST 1002:2018 terminology, where “documented information” is defined as “information required to be controlled and maintained by an organisation using</p>



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PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)
		any format and media, from any source". The responsibility of the Group Manager / Group Entity in PEFC UK on record keeping in combination with PEFC UK requirements on the determination of the scope of the group management system fulfils the PEFC ST 1002:2018 requirements "that the scope shall be made available as documented information".
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.	Y	<p>PEFC UK</p> <p><i>6.3.3 Group Certification</i> <i>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</i></p> <p>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.</p> <p><i>6.3.6 Categories of Group Certification</i> <i>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.</i></p> <p><i>6.3.13 Internal audit</i> <i>The standard requires that the internal audit programme shall cover the group entity and all group participants.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The requirements in PEFC UK are in line with PEFC ST 1002:2018</p>

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)
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.	Y	<p>PEFC UK:</p> <p><i>6.3.6 Categories of Group Certification</i></p> <p><i>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.</i></p> <p>Conclusion: Conformity</p> <p>Justification:</p> <p>The PEFC UK requirements are identical to the PEFC ST 1002:2018</p>
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:		
a) to implement and maintain an effective management system covering all participants of the group;	Y	<p>PEFC UK</p> <p><i>6.3.7 Responsibilities of the Group Manager / Group Entity</i></p> <p><i>In order to be eligible to apply for group certification, the Group Entity must:</i></p> <ul style="list-style-type: none"> • <i>implement and maintain an effective management system covering all participants of the group</i> <p>Conclusion: Conformity</p> <p>Justification:</p> <p>The requirements in PEFC UK are identical to PEFC ST 1002:2018</p>
b) to represent the group organisation in the certification process, including in communications and relationships with the certification body, submission of an application for	Y	<p>PEFC UK</p> <p><i>6.3.7 Responsibilities of the Group Manager / Group Entity</i></p> <p><i>In order to be eligible to apply for group certification, the Group Entity must:</i></p>

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)
certification, and contractual relationship with the certification body;		<ul style="list-style-type: none"> • <i>represent</i> 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; <p>Conclusion: Conformity</p> <p>Justification:</p> <p>The requirements in PEFC UK are identical to PEFC ST 1002:2018</p>
c) to establish written procedures for the management of the group organisation;	Y	<p><i>6.3.7 Responsibilities of the Group Manager / Group Entity</i></p> <p><i>In order to be eligible to apply for group certification, the Group Entity must:</i></p> <ul style="list-style-type: none"> • <i>establish written procedures for the management of the group organisation</i> <p>Conclusion: Conformity</p> <p>Justification:</p> <p>The requirements in PEFC UK are identical to PEFC ST 1002:2018</p>
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)	Y	<p><i>6.3.7 Responsibilities of the Group Manager / Group Entity</i></p> <p><i>In order to be eligible to apply for group certification, the Group Entity must:</i></p> <ul style="list-style-type: none"> • <i>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);</i> <p>Conclusion: Conformity</p> <p>Justification:</p> <p>The requirements in PEFC UK are identical to PEFC ST 1002:2018</p>
e) to establish written procedures for the suspension and exclusion of participants who do not correct/close nonconformities. Group participants excluded from any	Y	<p><i>6.3.7 Responsibilities of the Group Manager / Group Entity</i></p> <p><i>In order to be eligible to apply for group certification, the Group Entity must:</i></p> <ul style="list-style-type: none"> • <i>establish written procedures for the suspension and exclusion of participants who do not correct/close nonconformities. Group participants excluded from any certification group</i>

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)
certification group based on nonconformities cannot be accepted within 12 months after exclusion		<p><i>based on nonconformities cannot be accepted within 12 months after exclusion;</i></p> <p>Conclusion: Conformity</p> <p>Justification:</p> <p>The requirements in PEFC UK are identical to PEFC ST 1002:2018</p>
<p>f) to keep documented information of:</p> <ul style="list-style-type: none"> 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, ii. all participants, including their contact details, identification of their forest property and its/their size(s), iii. the certified area, iv. the implementation of an internal monitoring programme, its review and any preventive and/or corrective actions taken; 	Y	<p><i>6.3.7 Responsibilities of the Group Manager / Group Entity</i></p> <p><i>In order to be eligible to apply for group certification, the Group Entity must:</i></p> <ul style="list-style-type: none"> • <i>keep records of:</i> <ul style="list-style-type: none"> ○ <i>the group entity and participants' conformity with the requirements of the sustainable forest management standard, and other applicable requirements of the forest certification scheme,</i> ○ <i>all participants, including their contact details, identification of their forest property and its/their size(s),</i> ○ <i>the certified area,</i> ○ <i>the implementation of an internal monitoring programme, its review and any preventive and/or corrective actions taken;</i> <p>Conclusion: Conformity</p> <p>Justification:</p> <p>The requirements in PEFC UK are identical to PEFC ST 1002:2018</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;	Y	<p><i>6.3.7 Responsibilities of the Group Manager / Group Entity</i></p> <p><i>In order to be eligible to apply for group certification, the Group Entity must:</i></p> <ul style="list-style-type: none"> • <i>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</i> <p><i>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</i></p>

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)
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><i>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.</i></p> <p>Conclusion: Conformity</p> <p>Justification:</p> <p>The requirements in PEFC UK are identical to PEFC ST 1002:2018</p>
h) to provide all participants with a document confirming participation in the group forest certification;	Y	<p><i>6.3.7 Responsibilities of the Group Manager / Group Entity</i></p> <p><i>In order to be eligible to apply for group certification, the Group Entity must:</i></p> <ul style="list-style-type: none"> <i>• provide participants with a document confirming participation in the group forest certification</i> <p>Conclusion: Conformity</p> <p>Justification:</p> <p>The requirements in PEFC UK are identical to PEFC ST 1002:2018</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;	Y	<p><i>6.3.7 Responsibilities of the Group Manager / Group Entity</i></p> <p><i>In order to be eligible to apply for group certification, the Group Entity must:</i></p> <ul style="list-style-type: none"> <i>• 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;</i> <p>Conclusion: Conformity</p> <p>Justification:</p> <p>The requirements in PEFC UK are in line with PEFC ST 1002:2018</p>
j) to address nonconformities reported from group members which were identified under other PEFC certifications than	Y	<p><i>6.3.6 Categories of group certification</i></p> <p><i>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</i></p>

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)
the particular group certification and to ensure implementation with all group members;		<p><i>the forest owner identified under one forest management certification scheme is addressed in any other forest management certification scheme that covers the forest owner.</i></p> <p>6.3.7 Responsibilities of the Group Manager / Group Entity</p> <p><i>In order to be eligible to apply for group certification, the Group Entity must:</i></p> <p>....</p> <ul style="list-style-type: none"> • <i>operate a management 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 including other PEFC certifications; corrective and preventive measures if required; and the evaluation of the effectiveness of corrective actions taken.</i> <p>Conclusion: Conformity</p> <p>Justification:</p> <p>The PEFC UK is in line with PEFC ST 1002:2018.</p>
k) to operate an internal monitoring programme that provides for the evaluation of the participants' conformity with the certification requirements;	Y	<p>6.3.12 Performance evaluation</p> <p><i>The scheme requires that an ongoing internal monitoring programme provides confidence in the conformity of the group organisation with the sustainable forest management standard.</i></p> <p>6.3.7 Responsibilities of the Group Manager / Group Entity</p> <p><i>In order to be eligible to apply for group certification, the Group Entity must:</i></p> <ul style="list-style-type: none"> • <i>operate an internal monitoring programme that provides for the evaluation of both the participants' and the entity's conformity with the certification requirements,</i> <p>Conclusion: Conformity</p> <p>Justification:</p> <p>The requirements in PEFC UK are in line with PEFC ST 1002:2018</p>

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)
l) to operate an annual internal audit programme covering both group members and group entity;	Y	<p>6.3.13 <i>Internal audit</i></p> <p><i>The Group manager/entity 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.</i></p> <p><i>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. The scheme requires an internal audit programme which shall cover at least...</i></p> <p>Conclusion: Conformity</p> <p>Justification:</p> <p>The requirements in PEFC UK are in line with PEFC ST 1002:2018</p>
m) to operate a management review of the group forest certification and acting on the results from the review;	Y	<p>6.3.7 <i>Responsibilities of the Group Manager / Group Entity</i></p> <p><i>In order to be eligible to apply for group certification, the Group Entity must:</i></p> <ul style="list-style-type: none"> <i>operate a management 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.</i> <p>Conclusion: Conformity</p> <p>Justification:</p> <p>The requirements in PEFC UK are in line with PEFC ST 1002:2018</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	Y	<p>6.3.7 <i>Responsibilities of the Group Manager / Group Entity</i></p> <p><i>In order to be eligible to apply for group certification, the Group Entity must:</i></p> <ul style="list-style-type: none"> <i>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</i>

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)
with formal audits or reviews or otherwise related or with implications for the management system.		<p>system.</p> <p>Conclusion: Conformity</p> <p>Justification:</p> <p>The requirements in PEFC UK are identical with PEFC ST 1002:2018</p>
<p>5.1.2 Function and responsibilities of participants</p> <p>The standard requires that the following functions and responsibilities of the participants shall be specified:</p>		
<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) To provide the group entity with information about previous group participation.</p> <p>c) to comply with the sustainable forest management standard and other applicable requirements of the</p>	Y	<p>PEFC UK</p> <p><i>6.3.8 Responsibility of Participants</i></p> <p><i>The Group manager shall define the following requirements for the participants:</i></p> <p><i>(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; group participants excluded from any certification group cannot apply for group membership within 12 months after exclusion. + note</i></p> <p><i>(b) to provide the group entity with information about previous group participation</i></p> <p><i>(c) To comply with the sustainable forest management standard and other applicable requirements of the forest certification scheme and management system</i></p> <p><i>(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;</i></p> <p><i>e) to inform the group entity about nonconformities identified under other PEFC certifications than the particular group certification</i></p> <p><i>f) to implement relevant corrective and preventive actions established by the group entity</i></p> <p>Conclusion: Conformity</p>

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)
<p>certification system as well as with the requirements of the management system;</p> <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> <p>e) to inform the group entity about nonconformities identified under other PEFC certifications than the particular group certification.</p> <p>f) to implement relevant corrective and preventive actions established by the group entity.</p>		<p>Justification:</p> <p>The requirements in PEFC UK are in line with PEFC ST 1002:2018</p>
5.2 Commitment and policy		
5.2.1 The standard requires that the group entity shall provide a commitment:		
<p>a) to comply with the sustainable forest management standard and other applicable requirements of the certification system;</p> <p>b) to integrate the group certification requirements in the group management system;</p> <p>c) to continuously improve the group management system;</p> <p>d) to continuously support the improvement of the sustainable management of the land/forests by the participants.</p>	Y	<p>PEFC UK</p> <p><i>6.3.9 Commitment and Policy</i></p> <p><i>The group entity shall provide a commitment:</i></p> <p><i>a) to comply with the sustainable forest management standard and other applicable requirements of the certification system;</i></p> <p><i>b) to integrate the group certification requirements in the group management system</i></p> <p><i>c) to continuously improve the group management system</i></p> <p><i>d) to continuously support the improvement of the sustainable management of the land/forests by the participants</i></p> <p>Conclusion: Conformity</p>



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PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)
		Justification: The requirements in PEFC UK are identical to PEFC ST 1002:2018
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.	Y	PEFC UK 6.3.9 <i>Commitment and Policy</i> <i>The commitment of the group entity may be part of a group management policy and shall be publicly available as documented information upon request</i> Conclusion: Conformity Justification: The requirements in PEFC UK are identical to PEFC ST 1002:2018
5.2.3 The standard requires that the participants shall provide a commitment		
a) to follow the rules of the management system; b) to implement the requirements of the sustainability standard in their operations in their area.	Y	PEFC UK 6.3.9 <i>Commitment and Policy</i> <i>The standard requires that the participants shall provide a commitment</i> a) <i>to follow the rules of the management system;</i> b) <i>to implement the requirements of the sustainability standard in their operations in their area</i> Conclusion: Conformity Justification: The requirements in PEFC UK are identical to PEFC ST 1002:2018
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.	Y	PEFC UK 6.3.4 <i>Basis of Group Certification</i>



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PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)
		<p><i>Definitions of terms used within the scheme may be found in section 3 of PEFC ST 1002:2018</i></p> <p>6.3.11 Operation</p> <p><i>The scheme requires that the group organisation shall plan, implement and control processes needed:</i></p> <p><i>a) to meet the requirements of the group certification standard and the sustainable forest management standard and</i></p> <p><i>b) to implement the actions determined in the management plan.</i></p> <p><i>The scheme requires that any changes to the group management system shall be included in the management plan and processes and shall be done by:</i></p> <p><i>a) defining the necessary processes and establishing criteria for those in the group;</i></p> <p><i>b) implementing control of the processes in accordance with the criteria;</i></p> <p><i>c) keeping documented information to the extent necessary to have confidence that the processes have been carried out as planned.</i></p> <p>Conclusion: Conformity</p> <p>Justification:</p> <p>PEFC UK requirements are in line with PEFC ST 1002:2018.</p> <p>Comment: PEFC UK defines the requirements as "scheme requirements", while PEFC ST 1002:2018 defines the requirements to be in the standard.</p>
<p>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.</p>	<p>Y</p>	<p>PEFC UK</p> <p>6.3.4 Basis for Group Certification</p> <p><i>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.</i></p> <p>6.3.11 Operation</p> <p><i>The scheme requires that the group organisation shall plan, implement and control processes needed:</i></p>

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)
		<p>a) to meet the requirements of the group certification standard and the sustainable forest management standard and</p> <p>b) to implement the actions determined in the management plan.</p> <p>Conclusion: Conformity</p> <p>Justification:</p> <p>PEFC UK defines that all members of the group must formally commit to complying with all the requirements of UKWAS in respect of all forests areas. This requirement hinders any consideration of moving the fulfilment of any requirements of the sustainable forest management standard up to the group level.</p> <p>PEFC UK requires that the group organisation shall plan, implement and control processes needed to meet the requirements of the sustainable forest management standard.</p> <p>Comment: Comment: PEFC UK defines the “the scheme requires” while PEFC ST 1002:2018 defines that “the standard requires”.</p>
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.	Y	<p>PEFC UK</p> <p>6.3.10 Support</p> <p><i>The scheme requires that resources needed for the establishment, implementation, maintenance and continual improvement of the group management system shall be determined and provided.</i></p> <p>Conclusion: Conformity</p> <p>Justification:</p> <p>The requirements in PEFC UK are identical to PEFC ST 1002:2018</p>
7.2 The standard shall define the necessary competence of persons doing work in the group management system.	Y	<p>PEFC UK</p> <p>6.3.10 Support</p>

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)
		<p><i>The scheme shall define the necessary competence of persons doing work in the group management system.</i></p> <p>Conclusion: Conformity</p> <p>Justification:</p> <p>The requirements in PEFC UK are in line with PEFC ST 1002:2018.</p> <p>Comment: PEFC UK defines the “the scheme requires” while PEFC ST 1002:2018 defines that “the standard requires”.</p>
<p>7.3 The standard requires that communication processes shall be in place to raise the awareness of participants concerning:</p> <p>a) the group management policy;</p> <p>b) the requirements of the sustainable forest management standard;</p> <p>c) their contribution to the effectiveness of the group management system and the sustainable forest management, including the benefits of improved group performance;</p> <p>d) the implications of not conforming with the group management system requirements.</p>	Y	<p>PEFC UK</p> <p><i>6.3.10 Support</i></p> <p><i>The scheme requires that communication processes shall be in place to raise the awareness of participants concerning:</i></p> <p><i>a) the group management policy;</i></p> <p><i>b) the requirements of the sustainable forest management standard</i></p> <p><i>c) their contribution to the effectiveness of the group management system and the sustainable forest management, including the benefits of improved group performance</i></p> <p><i>d) the implications of not conforming with the group management system requirements.</i></p> <p>Conclusion: Conformity</p> <p>Justification:</p> <p>The requirements in PEFC UK on communication processes are identical to PEFC ST 1002:2018.</p> <p>Comment: PEFC ST 1002:2018 defines that “the standard requires”, while PEFC UK defines that “the scheme requires”.</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;	Y	PEFC UK



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PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)
b) when to communicate; c) with whom to communicate; d) how to communicate.		<p><i>6.3.10 Support</i> <i>The scheme requires that the internal and external communications relevant to the group management system shall be determined. This includes:</i> <i>a) on what to communicate;</i> <i>b) when to communicate;</i> <i>c) with whom to communicate</i> <i>d) how to communicate</i></p> <p>Conclusion: Conformity</p> <p>Justification: PEFC UK include similar requirements on the determination of the internal and external communications as PEFC ST 1002:2018.</p> <p>Comment: there is a slight difference between PEFC ST 1002:2018 and PEFC UK with regards to the origin of the requirement. In PEFC ST 1002:2018 this is to be a requirement in the standard, while PEFC UK defines that this is a "scheme" requirement.</p>
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.	y	<p>PEFC UK</p> <p><i>6.3.10 Support</i> <i>The scheme requires that appropriate mechanisms shall be in place for resolving complaints and disputes relating to group management and sustainable forest management operations.</i></p> <p>Conclusion: Conformity</p> <p>Justification: PEFC UK include similar requirements on the mechanisms for complains and disputes as PEFC ST 1002:2018.</p>

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)
		Comment: there is a slight difference between PEFC ST 1002:2018 and PEFC UK with regards to the origin of the requirement. In PEFC ST 1002:2018 this is to be a requirement in the standard, while PEFC UK defines that this is a “scheme” requirement.
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) available and suitable for use, where and when it is needed; c) adequately protected against loss of confidentiality, improper use, or loss of integrity.	Y	<p>PEFC UK</p> <p><i>6.3.10 Support</i></p> <p><i>The scheme requires that the documented information relevant to the group management system and the conformance with the requirements of the sustainable forest management standard is:</i></p> <p><i>a) up to date;</i> <i>b) available and suitable for use, where and when it is needed;</i> <i>c) adequately protected against loss of confidentiality, improper use, or loss of integrity</i></p> <p>Conclusion: Conformity</p> <p>Justification:</p> <p>PEFC UK include similar requirements on the documented information as PEFC ST 1002:2018.</p> <p>Comment: there is a slight difference between PEFC ST 1002:2018 and PEFC UK with regards to the origin of the requirement. In PEFC ST 1002:2018 this is to be a requirement in the standard, while PEFC UK defines that this is a “scheme” requirement.</p>
8. Operation		
8.1 The standard requires that the group organisation shall plan, implement and control processes needed:		

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)
<p>a) to meet the requirements of the group certification standard and the sustainable forest management standard and</p> <p>b) to implement the actions determined in 6.</p>	Y	<p>PEFC UK</p> <p><i>6.3.11 Operation</i></p> <p><i>The scheme requires that the group organisation shall plan, implement and control processes needed:</i></p> <p><i>a) to meet the requirements of the group certification standard and the sustainable forest management standard and</i></p> <p><i>b) to implement the actions determined in the management plan.</i></p> <p>Conclusion: Conformity</p> <p>Justification:</p> <p>PEFC UK include similar requirements on the planning, implementation and controlling the processes as PEFC ST 1002:2018.</p> <p>Comment 1: there is a slight difference between PEFC ST 1002:2018 and PEFC UK with regards to the origin of the requirement. In PEFC ST 1002:2018 this is to be a requirement in the standard, while PEFC UK defines that this is a "scheme" requirement.</p> <p>Comment 2: Reference to chapter 6 (6.2) is not relevant for PEFC UK.</p>
8.2 The standard requires that this planning, implementing and controlling shall be done by:		
<p>a) defining the necessary processes and establishing criteria for those;</p> <p>b) implementing control of the processes in accordance with the criteria;</p> <p>c) keeping documented information to the extent necessary to have confidence that the processes have been carried out as planned.</p>	Y	<p>PEFC UK</p> <p><i>6.3.11 Operation</i></p> <p><i>The scheme requires that any changes to the group management system shall be included in the management plan and processes and shall be done by:</i></p> <p><i>a) defining the necessary processes and establishing criteria for those in the group;</i></p> <p><i>b) implementing control of the processes in accordance with the criteria;</i></p> <p><i>c) keeping documented information to the extent necessary to have confidence that the processes have been carried out as planned.</i></p>

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)
		<p>Conclusion: Conformity</p> <p>Justification:</p> <p>The requirements in PEFC UK is in line with PEFC ST 1002:2018.</p> <p>Comment: there is a slight difference between PEFC ST 1002:2018 and PEFC UK with regards to the origin of the requirement. In PEFC ST 1002:2018 this is to be a requirement in the standard, while PEFC UK defines that this is a “scheme” requirement.</p>
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:		
<p>a) what shall be monitored and measured;</p> <p>b) the methods for monitoring, measurement, analysis and evaluation, as applicable, to ensure valid results;</p> <p>c) when the monitoring and measuring shall be performed;</p> <p>d) when the results from monitoring and measurement shall be analysed and evaluated;</p> <p>e) what documented information shall be available as evidence of the results.</p>	Y	<p>PEFC UK</p> <p><i>6.3.12 Performance evaluation</i></p> <p><i>The scheme 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:</i></p> <p><i>a) what shall be monitored and measured;</i></p> <p><i>b) the methods for monitoring, measurement, analysis and evaluation, as applicable, to ensure valid results</i></p> <p><i>c) when the monitoring and measuring shall be performed</i></p> <p><i>d) when the results from monitoring and measurement shall be analysed and evaluated</i></p> <p><i>e) what documented information shall be available as evidence of the results</i></p> <p>Conclusion: Conformity</p> <p>Justification:</p>



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PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)
		<p>PEFC UK include similar requirements on the ongoing internal monitoring programme as PEFC ST 1002:2018.</p> <p>Comment: there is a slight difference between PEFC ST 1002:2018 and PEFC UK with regards to the origin of the requirement. In PEFC ST 1002:2018 this is to be a requirement in the standard, while PEFC UK defines that this is a “scheme” requirement.</p>
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.	Y	<p>PEFC</p> <p><i>UK Performance evaluation</i></p> <p><i>6.3.12 The scheme 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.</i></p> <p>Conclusion: Conformity</p> <p>Justification:</p> <p>PEFC UK include similar requirements on the evaluation of the group management performance and the effectiveness of the group management system as PEFC ST 1002:2018.</p> <p>Comment: there is a slight difference between PEFC ST 1002:2018 and PEFC UK with regards to the origin of the requirement. In PEFC ST 1002:2018 this is to be a requirement in the standard, while PEFC UK defines that this is a “scheme” requirement.</p>
9.2 Internal audit		
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;	Y	<p>PEFC UK</p> <p><i>6.3.13 Internal audit</i></p> <p><i>The Group manager/entity shall define requirements for an annual internal monitoring programme that provides sufficient confidence in the conformity of the whole group</i></p>

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)
<p>ii. the requirements of the national group certification standard;</p> <p>b) ensures the implementation of the sustainable forest management standard on the participant level;</p> <p>c) is effectively implemented and maintained.</p>		<p><i>organisation with the sustainable forest management standard.</i></p> <p><i>The scheme requires that an annual internal audit programme shall provide information on whether the group management system:</i></p> <p><i>a) conforms to</i></p> <p><i>i. the group organisation's own requirements for its group management system;</i></p> <p><i>ii. the requirements of the national group certification standard;</i></p> <p><i>b) ensures the implementation of the sustainable forest management standard on the participant level;</i></p> <p><i>c) is effectively implemented and maintained</i></p> <p>Conclusion: Conformity</p> <p>Justification:</p> <p>PEFC UK include similar requirements on the information from the internal audit programme on the group management system as PEFC ST 1002:2018.</p> <p>Comment: there is a slight difference between PEFC ST 1002:2018 and PEFC UK with regards to the origin of the requirement. In PEFC ST 1002:2018 this is to be a requirement in the standard, while PEFC UK defines that this is a "scheme" requirement.</p>
<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>	Y	<p>PEFC UK</p> <p><i>6.3.13 Internal audit</i></p> <p><i>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.</i></p> <p>Conclusion: Conformity</p> <p>Justification:</p> <p>PEFC UK requirements are identical to PEFC ST 1002:2018.</p>

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)
9.2.2 Organisation		
The standard requires an internal audit programme which shall cover at least:		
<p>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> <p>b) definition of the audit criteria and scope for each audit;</p> <p>c) competence of internal auditor (forest knowledge, standard knowledge);</p> <p>d) selection of auditors and conducting of audits to ensure objectivity and the impartiality of the audit process;</p> <p>e) ensuring that the results of the audits are reported to relevant group management;</p> <p>f) retaining of the documented information as evidence of the implementation of the audit programme and the audit results.</p>	Y	<p>PEFC UK</p> <p><i>6.3.13 Internal audit</i></p> <p><i>The scheme requires an internal audit programme which shall cover at least:</i></p> <p><i>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;</i></p> <p><i>b) definition of the audit criteria and scope for each audit;</i></p> <p><i>c) competence of internal auditor (forest knowledge, standard knowledge);</i></p> <p><i>d) selection of auditors and conducting of audits to ensure objectivity and the impartiality of the audit process;</i></p> <p><i>e) ensuring that the results of the audits are reported to relevant group management;</i></p> <p><i>f) retaining of the documented information as evidence of the implementation of the audit programme and the audit results.</i></p> <p>Conclusion: Conformity</p> <p>Justification:</p> <p>PEFC UK include similar requirements on the coverage of the internal audit programme as PEFC ST 1002:2018.</p> <p>Comment: there is a slight difference between PEFC ST 1002:2018 and PEFC UK with regards to the origin of the requirement. In PEFC ST 1002:2018 this is to be a requirement in the standard, while PEFC UK defines that this is a "scheme" requirement.</p>
9.3 Selection of participants in the internal audit programme		

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)
9.3.1 General		
<p>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:</p> <p>a) determination of the sample size (9.3.2);</p> <p>b) determination of sample categories(9.3.3);</p> <p>c) distribution of the sample to the categories (9.3.4);</p> <p>d) selection of the participants (9.3.5).</p>	Y	<p>PEFC UK</p> <p><i>6.3.13 Internal audit</i></p> <p><i>The scheme requires the establishment of requirements for the selection of participants in the internal audit programme. These requirements shall include the following procedures for:</i></p> <p><i>a) determination of the sample size;</i></p> <p><i>b) determination of sample categories;</i></p> <p><i>c) distribution of the sample to the categories;</i></p> <p><i>d) selection of the participants</i></p> <p>Conclusion: Conformity</p> <p>Justification:</p> <p>PEFC UK include similar requirements on the procedures with regards to the internal audit programme as PEFC ST 1002:2018.</p> <p>Comment: there is a slight difference between PEFC ST 1002:2018 and PEFC UK with regards to the origin of the requirement. In PEFC ST 1002:2018 this is to be a requirement in the standard, while PEFC UK defines that this is a “scheme” requirement.</p>
9.3.1.2 The standard may define additional requirements on the regional, national or sub-national level.	N/a	<p>Conclusion: Not applicable</p> <p>Justification:</p> <p>This is not a requirement in the PEFC ST 1002:2018 but a proposal (“may”).</p>
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.	Y	<p>PEFC ST 1002.2018</p> <p><i>3. Terms and definitions</i></p> <p><i>3.16 Participant: A forest owner/manager covered by the group forest certificate, who has the ability to implement the requirements of the sustainable forest management standard in a certified areas.</i></p>

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)
		<p>PEFC UK</p> <p>6.4.6. <i>Basis for group certification</i></p> <p><i>Definitions of terms used within the scheme may be found in section 3 of PEFC ST 1002:2018</i></p> <p>6.3.6 <i>Categories for Group Certification</i></p> <p><i>There are various categories of “groups” for which group certification under the scheme might be suitable, including for example:</i></p> <ul style="list-style-type: none"> • <i>a formal or informal co-operative of neighbouring/regional forests or other forest owners;</i> • <i>a forest owners association or sub-set of the association;</i> • <i>a forest manager/private practitioner or forest management company or other management practice managing woodlands on behalf of different owners;</i> • <i>A legal entity that represents the participants, with overall responsibility for compliance of the sustainable forest management standard and this PEFC UK scheme document;</i> • <i>a timber marketing co-operative</i> <p>6.3.13 <i>Internal audit</i></p> <p><i>The Group manager/entity 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.</i></p> <p><i>The standard requires that the internal audit programme shall cover the group entity and all group participants. ...The participants may be selected on a sample basis.</i></p> <p><i>The scheme requires the establishment of requirements for the selection of participants in the internal audit programme. These requirements shall include the following procedures for:</i></p> <p><i>a) determination of the sample size</i></p> <p><i>b) determination of sample categories;</i></p> <p><i>c) distribution of the sample to the categories</i></p>

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)
		<p>d) selection of the participants</p> <p><i>The sample size shall be calculated for the participants of the group organisation.</i></p> <p><i>The sample categories shall be established based on the results of a risk assessment. The indicators:</i></p> <p><i>... d) d) operations, processes and products of potential group participants;</i></p> <p>Conclusion: Conformity</p> <p>Justification:</p> <p>PEFC UK refers to PEFC ST 1002: 2018 with regards to definition. Here “participant” is defined as being the forest owner/manager.</p> <p>The PEFC UK requirements with regards to the internal audit refers to “the participant” in the requirements on the sampling. In the requirements. Therefore, by definition, all sampling will require considering the forest owners/manager level regardless of being a direct member of the certificate or in-directly through an organisation.</p>
9.3.2 Determination of the sample size		
9.3.2.1 The sample size shall be calculated for the participants of the group organisation.	Y	<p>PEFC UK</p> <p>6.3.13 Internal audit</p> <p><i>The sample size shall be calculated for the participants of the group organisation</i></p> <p>Conclusion: Conformity</p> <p>Justification:</p> <p>PEFC UK requirements are identical to PEFC 1002:2018</p>
9.3.2.2 The size of the sample generally should be the square root of the number of participants: ($y=\sqrt{x}$), rounded to the upper whole number.	Y	<p>PEFC UK</p> <p>6.3.13 Internal audit</p>

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)
		<p><i>The sample size shall be calculated for the participants of the group organisation. The size of the sample generally should be the square root of the number of participants: $(y=\sqrt{x})$, rounded to the upper whole number.</i></p> <p>Conclusion: Conformity</p> <p>Justification:</p> <p>PEFC UK requirements are identical to PEFC 1002:2018</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:		
<p>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;</p> <p>b) results of internal audits or previous certification audits;</p> <p>c) quality / level of confidence of the internal monitoring programme;</p> <p>d) use of technologies allowing the gathering of information concerning specified requirements;</p> <p>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.</p> <p>e) based on other means of gathering information about activities on the ground.</p> <p>Note: One way could be a survey with participants who provide some information about their activities on the ground.</p>	Y	<p>PEFC UK</p> <p><i>6.3.13 Internal audit</i></p> <p><i>The size of the sample may be adapted by taking into account one or more of the following indicators:</i></p> <p><i>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;</i></p> <p><i>b) results of internal audits or previous certification audits;</i></p> <p><i>c) quality / level of confidence of the internal monitoring programme;</i></p> <p><i>d) use of technologies allowing the gathering of information concerning specified requirements;</i></p> <p><i>e) based on other means of gathering information about activities on the ground.</i></p> <p>Conclusion: Conformity</p> <p>Justification:</p> <p>PEFC UK requirements are identical to PEFC 1002:2018</p>

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)
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); b) size of management units (different size classes); c) biogeographic region (e.g. lowlands, low mountain range, high mountain range); d) operations, processes and products of potential group participants; e) deforestation and forest conversion; f) rotation period(s); g) richness of biological diversity; h) recreation and other socio-economic functions of the forest; i) dependence of and interaction with local communities and indigenous people; j) available resources for administration, operations, training and research; k) governance and law enforcement.	Y	<p>PEFC UK</p> <p><i>6.3.13 Internal audit</i></p> <p><i>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:</i></p> <p><i>a) ownership type (e.g. state forest, communal forest, private forest);</i></p> <p><i>b) size of management units (different size classes);</i></p> <p><i>c) biogeographic region (e.g. lowlands, low mountain range, high mountain range);</i></p> <p><i>d) operations, processes and products of potential group participants;</i></p> <p><i>e) deforestation and forest conversion;</i></p> <p><i>f) rotation period(s);</i></p> <p><i>g) richness of biological diversity;</i></p> <p><i>h) recreation and other socio-economic functions of the forest;</i></p> <p><i>i) dependence of and interaction with local communities</i></p> <p><i>j) available resources for administration, operations, training and research;</i></p> <p><i>k) governance and law enforcement</i></p> <p>Conclusion: Conformity</p> <p>Justification:</p> <p>PEFC UK requirements are identical to PEFC 1002:2018</p>



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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.	Y	<p>PEFC UK</p> <p><i>6.3.13 Internal audit</i></p> <p><i>Conditions which constitute risk for each indicator on low, medium and high level and the respective consequences for the sampling shall be defined.</i></p> <p>Conclusion: Conformity</p> <p>Justification:</p> <p>PEFC UK requirements are identical to PEFC 1002:2018</p>
<p>9.3.4 Distribution of the sample</p> <p>The sample shall be distributed to the categories according to the result of the risk assessment.</p>	Y	<p>PEFC UK</p> <p><i>6.3.13 Internal audit</i></p> <p><i>The sample shall be distributed to the categories according to the result of the risk assessment.</i></p> <p>Conclusion: Conformity</p> <p>Justification:</p> <p>PEFC UK requirements are identical to PEFC 1002:2018</p>
9.3.5 Selection of the participants		
9.3.5.1 At least 25% of the sample should be selected at random.	Y	<p>PEFC UK</p> <p><i>6.3.13 Internal audit</i></p> <p><i>At least 25% of the sample should be selected at random.</i></p> <p>Conclusion: Conformity</p> <p>Justification:</p> <p>PEFC UK requirements are identical to PEFC 1002:2018</p>

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)
9.3.5.2 A risk-based procedure for the selection of the participants shall be specified.	Y	<p>PEFC UK</p> <p><i>6.3.13 Internal audit</i></p> <p><i>A risk-based procedure for the selection of the participants shall be specified.</i></p> <p>Conclusion: Conformity</p> <p>Justification:</p> <p>PEFC UK requirements are identical to PEFC 1002:2018</p>
9.4 Management review		
9.4.1 The standard requires that an annual management review shall at least include:		
<p>a) the status of actions from previous management reviews;</p> <p>b) changes in external and internal issues that are relevant to the group management system;</p> <p>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 surveillance;</p> <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>e) opportunities for continual improvement.</p>	Y	<p>PEFC UK</p> <p><i>6.3.14 Management Review</i></p> <p><i>The scheme requires that an annual management review shall at least include:</i></p> <p><i>a) the status of actions from previous management reviews;</i></p> <p><i>b) changes in external and internal issues that are relevant to the group management system;</i></p> <p><i>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 surveillance;</i></p> <p><i>d) information on the group performance, including trends in:</i></p> <p><i>i. nonconformities and corrective actions;</i></p> <p><i>ii. monitoring and measurement results;</i></p> <p><i>iii. audit results;</i></p> <p><i>e) opportunities for continual improvement.</i></p> <p>Conclusion: Conformity</p>

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)
		<p>Justification:</p> <p>PEFC UK include similar requirements on the coverage of the annual management review as PEFC ST 1002:2018.</p> <p>Comment: there is a slight difference between PEFC ST 1002:2018 and PEFC UK with regards to the origin of the requirement. In PEFC ST 1002:2018 this is to be a requirement in the standard, while PEFC UK defines that this is a “scheme” requirement.</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.	Y	<p>PEFC UK</p> <p><i>6.3.14 Management Review</i></p> <p><i>The scheme 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.</i></p> <p>Conclusion: Conformity</p> <p>Justification:</p> <p>PEFC UK include similar requirements on the outputs of the management review as PEFC ST 1002:2018.</p> <p>Comment: there is a slight difference between PEFC ST 1002:2018 and PEFC UK with regards to the origin of the requirement. In PEFC ST 1002:2018 this is to be a requirement in the standard, while PEFC UK defines that this is a “scheme” requirement.</p>
9.4.3 The standard requires that the group organisation shall retain documented information as evidence of the results of management reviews.	Y	<p>PEFC UK</p> <p><i>6.3.14 Management Review</i></p> <p><i>The scheme also requires that the group organisation shall retain documented information as evidence of the results of management reviews</i></p> <p>Conclusion: Conformity</p> <p>Justification:</p>

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)
		<p>PEFC UK include similar requirements on the retaining of documented information as PEFC ST 1002:2018.</p> <p>Comment: there is a slight difference between PEFC ST 1002:2018 and PEFC UK with regards to the origin of the requirement. In PEFC ST 1002:2018 this is to be a requirement in the standard, while PEFC UK defines that this is a “scheme” requirement.</p>
10. Improvement		
10.1 Nonconformity and corrective action		
10.1.1 The standard requires when a nonconformity occurs, the group organisation shall:		
<p>a) react to the nonconformity and, as applicable:</p> <p>i. take action to control and correct it;</p> <p>ii. deal with the consequences;</p> <p>b) evaluate the need for action to eliminate the causes of the nonconformity, in order that it does not recur or occur elsewhere, by:</p> <p>i. reviewing the nonconformity;</p> <p>ii. determining the causes of the nonconformity;</p> <p>iii. determining if similar nonconformities exist, or could potentially occur;</p> <p>c) implement any action needed;</p> <p>d) review the effectiveness of any corrective action taken;</p> <p>e) make changes to the group management system, if necessary.</p>	Y	<p>PEFC UK</p> <p><i>6.3.15 Continual Improvement</i></p> <p><i>a) react to the nonconformity and, as applicable:</i></p> <p><i>i. take action to control and correct it;</i></p> <p><i>ii. deal with the consequences;</i></p> <p><i>b) evaluate the need for action to eliminate the causes of the nonconformity, in order that it does not recur or occur elsewhere,</i></p> <p><i>i. reviewing the nonconformity;</i></p> <p><i>ii. determining the causes of the nonconformity;</i></p> <p><i>iii. determining if similar nonconformities exist, or could potentially occur;</i></p> <p><i>c) implement any action needed;</i></p> <p><i>d) review the effectiveness of any corrective action taken;</i></p> <p><i>e) make changes to the group management system, if necessary.</i></p> <p>Conclusion: Conformity</p> <p>Justification:</p> <p>The requirement in PEFC UK are in line with PEFC ST 1002:2018.</p>

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)
		Comment: there is a slight difference between PEFC ST 1002:2018 and PEFC UK with regards to the origin of the requirement. In PEFC ST 1002:2018 this is to be a requirement in the standard, while PEFC UK defines that this is a “scheme” requirement.
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) the results of any corrective action.	Y	<p>PEFC UK</p> <p><i>6.3.15 Continual Improvement</i></p> <p><i>The standard requires that the group organisation shall retain documented information as evidence of:</i></p> <p><i>a) the nature of the nonconformities and any subsequent actions taken;</i></p> <p><i>b) the results of any corrective action.</i></p> <p>Conclusion: Conformity</p> <p>Justification:</p> <p>PEFC UK requirements are identical to PEFC 1002:2018</p>
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.	Y	<p>PEFC UK</p> <p><i>6.3.15 Continual Improvement</i></p> <p><i>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.</i></p> <p>Conclusion: Conformity</p> <p>Justification:</p> <p>PEFC UK requirements are identical to PEFC 1002:2018</p>
10.2 Continual improvement	Y	<p>PEFC UK</p> <p><i>6.3.15 Continual Improvement</i></p>



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PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)
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.		<i>The scheme requires that the suitability, adequacy and effectiveness of the group management system and the sustainable management of the forest shall be continuously improved.</i> Conclusion: Conformity Justification: PEFC UK requirements are identical to PEFC 1002:2018

* 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.

PEFC Checklist (5) - Standard Setting Process for TOF (PEFC ST 1001:2017)

1 Scope

This checklist covers the requirements for standard setting process as defined in the revised 2017 issue of PEFC ST 1001, *Standard Setting – Requirements*.

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

This checklist has been modified from the default PEFC ST 1001:2017 checklist template to include only the process assessment. Assessment of the standard-setting procedures is left out of the scope, as the PEFC UK TOF adopted the procedures stipulated by the UKWAS Standard-Setting Process Version 3.0. The conformance of these procedures is assessed in conjunction with the UKWAS standard-setting, included in checklist 2.

PEFC UK Reference Documents:

Document type	Document name
Normative documents	UKWAS Standard-Setting Process Version 3.0 (November 21, 2019) (hereafter “SSP”) PEFC UK – Trees Outside Forests Certification Standard, July 5, 2022. (hereafter “PEFC UK TOF”) United Kingdom Woodland Assurance Standard, Fifth Edition (Pre-approval Draft) (Version 5.0), July 21, 2022 (hereafter “UKWAS”) PEFC UK Certification Scheme for Sustainable Forest Management (July 5, 2022) (hereafter “PEFC UK”), Update working version (from Dec 15, 2022), undated
Other documents	Consultation 2 comments.docx Copy of RT-FM-001a-06 PEFC TOF RT SCC Pilot MA 2021 – FINAL.xls Copy of UKWAS 5 - expressions of interest in WG or consultee05.05.20.xlsx Copy of UKWAS 5 - Stakeholders listings AW.xlsx Draft Minutes of the July 2022 Board Meeting.docx Notes from TOF working group.docx PC 1 Comments in order TOF.docx TOF Working Group.docx TOF Working Group Notes Day 2.docx UKWAS PEFC ToF - V10.docx UKWAS PEFC ToF - V14.docx UKWAS SG mtg minute DRAFT 21 Nov 2019.doc UKWAS SSP review paper for Steering Grp (05.06.19).pdf WG notes 01 April 2022.docx

2 Checklist

PEFC benchmark requirement	Assessment basis	YES /NO	Reference to system documentation (including quotation of relevant text)
Standardising Body			
5.1.2 The standardising body shall make its standard-setting procedures publicly available and shall review its standard-setting procedures regularly. The review shall consider feedback from stakeholders.	Process	Y	Conclusion: Conformity Justification: The SSP was published on the UKWAS website (https://ukwas.org.uk/wp-content/uploads/2019/12/UKWAS-Standard-Setting-Process-Version-3.0-FINAL-22.11.19.pdf). This is the 3 rd revision of the SSP, finalised prior to the UKWAS review (21.11.2019). The revision of the SSP is documented in, e.g., <i>UKWAS SSP review paper for Steering Grp (05.06.19).pdf</i> and <i>UKWAS SG mtg minute DRAFT 21 Nov 2019.doc</i> . The latter also documents stakeholder feedback discussion in the Steering Group meeting.
5.2.1 The standardising body shall keep documented information relevant to the standard-setting and review process. Evidence of compliance with the requirements of this standard and the standardising body's own procedures includes:			
(a) Standard-setting procedures,	Process	Y	Conclusion: Conformity Justification: The standard-setting procedures are documented in the SSP.
(b) Stakeholder identification mapping,	Process	Y	Conclusion: Conformity Justification: The composition of the TOF working group was selected using the UKWAS stakeholder mapping exercise (documented in, e.g., <i>Copy of UKWAS 5 - Stakeholders listings AW.xlsx</i> and <i>Copy of UKWAS 5 - expressions of interest in WG or consultee05.05.20.xlsx</i>) plus discussions with interested parties about individuals with experience of managing urban trees. These individuals were then contacted to see if

PEFC benchmark requirement	Assessment basis	YES /NO	Reference to system documentation (including quotation of relevant text)
			they would participate. Results are documented in the WG emails and other documentation. Given the context of this standard development, the process can be considered adequate against the benchmark 5.2.1 (b) requirements.
(c) Contacted and/or invited stakeholders,	Process	Y	Conclusion: Conformity Justification: The Working Group composition (<i>TOF Working Group.docx</i>) practically documents the invited stakeholders.
(d) Stakeholders involved in standard-setting activities including participants in each working group meeting,	Process	Y	Conclusion: Conformity Justification: Due to the special nature of the TOF standard development as well as the covid-19 pandemic, the Working Group operated generally by e-mail correspondence and conference calls, developing and agreeing on each updated version of the standard. Participation is documented in the emails.
(e) Feedback received and a synopsis of how feedback was addressed,	Process	Y	Conclusion: Conformity Justification: Consolidated feedback is included in documents <i>PC 1 Comments in order TOF.docx</i> and <i>Consultation 2 comments.docx</i> . The response to the feedback is documented in the different draft versions of the standard (17 versions altogether) as well as in, e.g., <i>WG notes 01 April 2022.docx</i> . While not a synopsis per se, this can be considered an adequate response to the feedback in the context of the TOF pilot.
(f) All drafts and final versions of the standard,	Process	Y	Conclusion: Conformity

PEFC benchmark requirement	Assessment basis	YES /NO	Reference to system documentation (including quotation of relevant text)
			Justification: All 17 versions are kept by the PEFC UK.
(g) Outcomes from working group considerations,	Process	Y	Conclusion: Conformity Justification: Outcomes from the Working Group considerations are documented in meeting notes, i.e., <i>Notes from TOF working group.docx</i> , <i>TOF Working Group Notes Day 2.docx</i> , <i>WG notes 01 April 2022.docx</i> . Further documentation is indicated to be available in the Working Group email communication.
(h) Evidence of consensus on the final version of the standard(s),	Process	Y	Conclusion: Conformity Justification: An email to the Working Group on July 12, 2022, requested the WG members to provide their views on the final draft. No sustained opposition was raised.
(i) Evidence relating to the review process, and	Process	Y	Conclusion: Conformity Justification: Included in the Working Group meeting notes and the numerous working drafts of the standard (e.g., <i>UKWAS PEFC ToF - V10.docx</i> , <i>UKWAS PEFC ToF - V14.docx</i>).
(j) Final approval by the standardising body.	Process	Y	Conclusion: Conformity Justification: Documented in the PEFC UK Board meeting minutes: <i>Draft Minutes of the July 2022 Board Meeting.docx</i> .
5.2.2 Documented information shall be kept until completion of the next review or revision of the standard to which they refer. Otherwise the documented information must be kept for a minimum of five years after publication of the standard.	Process	NA	Conclusion: Not applicable Justification: The process can only be assessed after the period defined in the benchmark.

PEFC benchmark requirement	Assessment basis	YES /NO	Reference to system documentation (including quotation of relevant text)
5.2.3 Documented information shall be available to interested parties upon request.	Process	Y	Conclusion: Conformity Justification: The availability of the documented information is stated publicly and there is no indication that this would have been restricted in practice.
5.3.1 The standardising body shall establish procedure(s) for dealing with any substantial and process complaints and appeals relating to its standard-setting activities. It must make procedure(s) accessible to stakeholders. Upon receipt of a complaint or appeal, the standardising body shall:			
(a) acknowledge receipt of the complaint or appeal to the complainant,	Process	Y	Conclusion: Conformity Justification: The SSP was made publicly available on the UKWAS website. No complaints related to the standard-setting activities have been received.
(b) gather and verify all necessary information to validate the complaint or appeal, evaluate the subject matter of the complaint or appeal impartially and objectively, and make a decision regarding the complaint or appeal,	Process	NA	Conclusion: Not applicable Justification: No complaints related to the standard-setting activities were received.
(c) formally communicate the decision on the complaint or appeal to the complainant and describe the handling process.	Process	NA	Conclusion: Not applicable Justification: No complaints related to the standard-setting activities were received.
5.3.2 The standardising body shall establish at least one contact point for enquiries, complaints and appeals relating to its standard-setting activities. The contact point shall be easy to access and readily available.	Process	Y	Conclusion: Conformity Justification: A contact point for the TOF process was provided on the PEFC UK website. E.g., https://www.pefc.co.uk/news_articles/pefc-trees-outside-forests-consultation-2/

PEFC benchmark requirement	Assessment basis	YES /NO	Reference to system documentation (including quotation of relevant text)
Standard-setting process			
6.1.1 For the creation of a new standard, the standardising body shall develop a proposal including:			
(a) the scope of the standard,	Process	N	<p>Conclusion: Minor non-conformity</p> <p>Justification: The PEFC UK did not create a formal proposal equivalent to the PEFC ST 1001:2017 requirement.</p> <p>Comment: The lack of proposal is attributable to the pilot nature of the TOF standard development. There were evidently little instructions available for the process of developing requirements for TOF certification as the system is still new and shaping up within PEFC. At the time when the PEFC UK TOF requirements were being developed they were assumed to comprise an annex to the main scheme. It was only after this process was complete when instructions were received from PEFC to develop TOF requirements into an individual standard. At that stage, many standard development process requirements set by the PEFC ST 1001:2017 could not be applied retrospectively to their regular full extent.</p>
(b) a justification of the need for the standard,	Process	N	<p>Conclusion: Minor non-conformity</p> <p>Justification: See 6.1.1 (a)</p>
(c) a clear description of the intended outcomes	Process	N	<p>Conclusion: Minor non-conformity</p> <p>Justification: See 6.1.1 (a)</p>

PEFC benchmark requirement	Assessment basis	YES /NO	Reference to system documentation (including quotation of relevant text)
<p>(d) a risk assessment of potential negative impacts arising from implementing the standard, such as</p> <ul style="list-style-type: none"> • factors that could affect the achievement of the outcomes negatively, • unintended consequences of implementation, • actions to address the identified risks, and 	Process	N	<p>Conclusion: Minor non-conformity</p> <p>Justification: See 6.1.1 (a)</p>
<p>(e) a description of the stages of standard development and their expected timetable.</p> <p>NOTE Guidance for development of a proposal and justification is given in ISO Directives, Part 1, Annex C and Annex SL (Appendix 1).</p>	Process	N	<p>Conclusion: Minor non-conformity</p> <p>Justification: See 6.1.1 (a)</p>
<p>6.1.2 For the revision of a standard the proposal shall cover at least (a) and (e) of clause 6.1.1.</p>	Process	NA	<p>Conclusion: Not applicable</p> <p>Justification: The process concerned development of a new standard and not standard revision.</p>
<p>6.2.1 The standardising body shall identify stakeholders relevant to the objectives and scope of the standard-setting activities by means of a stakeholder identification mapping exercise. It shall define which stakeholder groups are relevant to the subject matter and why. For each stakeholder group the standardising body shall identify the likely key issues, key stakeholders, and which means of communication would be best to reach them.</p>	Process	Y	<p>Conclusion: Conformity</p> <p>Justification: The TOF standard-setting process utilised the results of the UKWAS stakeholder mapping exercise (documented in, e.g., <i>Copy of UKWAS 5 - Stakeholders listings AW.xlsx</i> and <i>Copy of UKWAS 5 - expressions of interest in WG or consultee05.05.20.xlsx</i>). Discussions were held with interested parties about individuals with experience of managing urban trees. These individuals were then contacted to see if they would participate. Given the context of this standard development, the process can be considered adequate against the benchmark 6.2.1 requirements.</p>

PEFC benchmark requirement	Assessment basis	YES /NO	Reference to system documentation (including quotation of relevant text)
<p>6.2.2 Identification of stakeholder groups shall be based on nine major stakeholder groups as defined by Agenda 21 of the <i>United Nations Conference on Environment and Development</i> (UNCED) in Rio de Janeiro in 1992. At least the following groups shall be included in the stakeholder mapping:</p> <ul style="list-style-type: none"> • forest owners, • business and industry, • indigenous people, • non-government organisations, • scientific and technological community, • workers and trade unions. <p>Other groups shall be added if relevant to the scope of standard-setting activities.</p> <p>NOTE The full list of nine major stakeholder groups defined by Agenda 21 of the <i>United Nations Conference on Environment and Development</i> consists of: (i) business and industry, (ii) children and youth, (iii) forest owners, (iv) indigenous peoples, (v) local authorities, (vi) non-government organisations, (vii) scientific and technological community, (viii) women, and (ix) workers and trade unions.</p>	Process	Y	<p>Conclusion: Conformity</p> <p>Justification: Stakeholder groups were identified in line with the required principles during the UKWAS stakeholder mapping. The latter was used as the basis for the PEFC UK TOF stakeholder identification.</p>
<p>6.2.3 The standardising body shall identify disadvantaged stakeholders and key stakeholders and address any constraints to their participation in standard-setting activities.</p> <p>NOTE A stakeholder can be both a disadvantaged and a key stakeholder at the same time.</p>	Process	Y	<p>Conclusion: Conformity</p> <p>Justification: The standardising body identified individuals with experience of managing urban trees and contacted them directly to ask them to participate in standard setting.</p>

PEFC benchmark requirement	Assessment basis	YES /NO	Reference to system documentation (including quotation of relevant text)
<p>6.3.1 The standardising body shall make a public announcement of the start of the standard-setting process and include an invitation to stakeholders to participate in the process. The announcement shall be made in a timely manner through suitable media, as appropriate, to give stakeholders an opportunity for meaningful contributions.</p> <p>NOTE 1 <i>In a timely manner</i> means (at the latest) four weeks before the first standard-setting activity is scheduled to occur.</p> <p>NOTE 2 <i>Through suitable media</i> means at least through the standardising body's website and by email and/or letter to identified stakeholders. Other media includes press releases, news articles, features in trade-press, information sent to branch organisations, social media, digital media, etc.</p>	Process	N	<p>Conclusion: Minor non-conformity</p> <p>Justification: There was no formal public announcement of the start of the standard-setting process.</p> <p>Comment: The lack of public announcement is attributable to the pilot nature of the TOF standard development – see comment under 6.1.1 (a). Updates of the process and its objectives were, however, frequently communicated in journals and online. A dedicated page on the PEFC UK website was being updated as the process moved ahead (https://www.pefc.co.uk/forestry/exploring-certification-solutions-for-trees-outside-forests/).</p>
6.3.1 The announcement and invitation shall include:			
(a) overview of the standard-setting process,	Process	N	<p>Conclusion: Minor non-conformity</p> <p>Justification: See 6.3.1 above.</p>
(b) access to the proposal for the standard (refer to 6.1),	Process	N	<p>Conclusion: Minor non-conformity</p> <p>Justification: See 6.3.1 above, and 6.1.1.</p>
(c) information about opportunities for stakeholders to participate in the process,	Process	N	<p>Conclusion: Minor non-conformity</p> <p>Justification: See 6.3.1 above.</p>

PEFC benchmark requirement	Assessment basis	YES /NO	Reference to system documentation (including quotation of relevant text)
(d) requests to stakeholders to nominate their representative(s) or themselves to the working group (refer to 6.4). The request to disadvantaged stakeholders and key stakeholders shall be made in a manner that ensures that the information reaches intended recipients and in a format that is easy to understand,	Process	N	Conclusion: Minor non-conformity Justification: See 6.3.1 above.
(e) explicit invitation and clear instruction on how to submit feedback on the scope and standard-setting process, and	Process	N	Conclusion: Minor non-conformity Justification: See 6.3.1 above.
(f) access to the standard-setting procedures.	Process	N	Conclusion: Minor non-conformity Justification: See 6.3.1 above.
6.3.2 The standardising body shall review the standard-setting process based on feedback received in response to the public announcement.	Process	Y	Conclusion: Conformity Justification: No feedback on the standard-setting process was received.
6.4.1 The standardising body shall establish a permanent or temporary working group or adjust the composition of an already existing working group based on nominations it received. Acceptance and refusal of nominations shall be justified in relation to the requirements for balanced representation of the working group, considerations of an appropriate gender balance, relevance of the organisation, an individual's competence, an individual's relevant experience and resources available for standard-setting.	Process	Y	Conclusion: Conformity Justification: The TOF standard-setting process utilised the results of the UKWAS stakeholder mapping exercise (documented in, e.g., <i>Copy of UKWAS 5 - Stakeholders listings AW.xlsx</i> and <i>Copy of UKWAS 5 - expressions of interest in WG or consultee05.05.20.xlsx</i>). Discussions were held with interested parties about individuals with experience of managing urban trees. These individuals were then contacted to see if they would participate. The realised WG composition demonstrated balance with regards to gender, experience, competence and organisational representation. Given the context of the standard development, the process can be considered adequate.

PEFC benchmark requirement	Assessment basis	YES /NO	Reference to system documentation (including quotation of relevant text)
6.4.2 The working group shall:			
(a) have balanced representation and decision-making by stakeholder categories, relevant to the subject matter and geographical scope of the standard, where no single concerned stakeholder group can dominate, nor be dominated in the process, and	Process	Y	Conclusion: Conformity Justification: See 6.4.1.
(b) include stakeholders with expertise relevant to the subject matter of the standard, those that affected by the standard, and those that can influence implementation of the standard. The affected stakeholders shall be represented in an appropriate proportion among participants.	Process	Y	Conclusion: Conformity Justification: The PEFC UK Ltd notes that the TOF working group was smaller than the UKWAS WG and selected for their experience in working with urban trees and certification and ability to adapt the UKWAS 5 document.
6.4.3 In order to achieve balanced representation, the standardising body shall strive to have all identified stakeholder groups (refer to 6.2) represented. The standardising body shall set targets for the participation of key stakeholders and proactively seek their participation by using outreach such as (but not limited to) personal emails, phone calls, meeting invitations etc. NOTE When a stakeholder group is not represented and key stakeholders cannot be encouraged to participate, the standardising body may consider alternative options.	Process	Y	Conclusion: Conformity Justification: See 6.4.1.
6.4.4 Activities of the working group shall be organised in an open and transparent manner where:			
(a) working drafts shall be available to all members of the working group,	Process	Y	Conclusion: Conformity

PEFC benchmark requirement	Assessment basis	YES /NO	Reference to system documentation (including quotation of relevant text)
			Justification: The working drafts have evidently been available to all members of the Working Group.
(b) all members of the working group shall be given meaningful opportunities to contribute to the development or revision of the standard and to provide feedback on working drafts, and	Process	Y	Conclusion: Conformity Justification: The available documentation, i.e., Working Group meeting notes, indicates that WG members have had meaningful opportunities to participate.
(c) feedback and views given by any member of the working group shall be considered in an open and transparent way where the outcome of these considerations is recorded.	Process	Y	Conclusion: Conformity Justification: It is understood that the TOF standard was developed through a swifter and more scaled-down approach compared to the UKWAS revision, carried out by a small expert working group. The information available on the WG internal communication was scarce but the benchmark requirement is seen as met in this context. Outcomes of the WG considerations are documented in the WG meeting notes.
6.4.5 The decision of the working group to recommend the final draft for formal approval shall be taken on the basis of consensus. In order to determine whether there is any sustained opposition, the working group can utilise the following methods:			
(a) face-to face meeting(s) where there is a verbal yes/no vote, a show of hands for a yes/no vote; a statement on consensus from the Chair when there are no dissenting voices or hands (votes); a formal ballot, etc.,	Process	NA	Conclusion: Not applicable Justification: The Working Group did not have face-to-face meetings due to the pandemic.
(b) telephone conference meeting(s) where there is a verbal yes/no vote,	Process	NA	Conclusion: Not applicable Justification: Not applied for the final draft.

PEFC benchmark requirement	Assessment basis	YES /NO	Reference to system documentation (including quotation of relevant text)
(c) e-mail request to the working group for agreement or objection where the members provide a formal (written) response (vote),	Process	Y	Conclusion: Conformity Justification: An email to the Working Group on July 12, 2022, requested the WG members to provide their views on the final draft. No sustained opposition was raised.
(d) combinations of these methods.	Process	NA	Conclusion: Not applicable Justification: Not applied for the final draft.
6.4.6 Where a vote is used in decision-making, the standard-setting procedures shall determine and include decision-making thresholds that quantifies consensus. The threshold must be consistent with the consensus definition (refer to 3.1). However, a majority vote cannot override sustained opposition in order to achieve consensus.	Process	NA	Conclusion: Not applicable Justification: There is no indication of a need and use of vote within the Working Group during the process.
6.4.7 When there is sustained opposition to a substantial issue, the issue shall be resolved using the following methods:			
(a) finding a compromise through discussion and negotiation on the disputed issue within the working group,	Process	NA	Conclusion: Not applicable Justification: The Working Group process did not include sustained opposition to a substantial issue.
(b) finding a compromise through direct negotiation between the stakeholder(s) making the objection and other stakeholders with different views on the disputed issue,	Process	NA	Conclusion: Not applicable Justification: See 6.4.7 (a)

PEFC benchmark requirement	Assessment basis	YES /NO	Reference to system documentation (including quotation of relevant text)
(c) additional round(s) of public consultation (if necessary) where further stakeholder input can help to achieve consensus on unresolved issues. The standardising body determines the scope and duration of any additional public consultation.	Process	NA	Conclusion: Not applicable Justification: See 6.4.7 (a)
6.4.8 When a substantial issue cannot be resolved and sustained opposition persists, the standardising body shall initiate dispute resolution in accordance with its procedures for impartial and objective action.	Process	NA	Conclusion: Not applicable Justification: See 6.4.7 (a)
6.5.1 The standardising body shall organise public consultation on the enquiry draft and shall ensure that:			
(a) the start and the end dates of public consultation are announced in a timely manner through suitable media, NOTE <i>In a timely manner</i> means (at the latest) the day before the start of public consultation.	Process	N	Conclusion: Minor non-conformity Justification: Announcements were made in social media and published online: https://www.pefc.co.uk/news_articles/pefc-trees-outside-forests-consultation/ . The announcement was published on the same day when the public consultation begun, which does not explicitly meet the benchmark requirement.
(b) a direct invitation to comment on the enquiry draft is sent to each stakeholder identified by stakeholder identification mapping (refer to 6.2) aiming for a balanced participation of stakeholder groups,	Process	Y	Conclusion: Conformity Justification: According to the PEFC UK Ltd, information on the consultation was sent to both the UKWAS stakeholders and contacts of the WG members.
(c) invitations are sent to disadvantaged and key stakeholders by methods that ensure they reach recipients and are easy to understand,	Process	Y	Conclusion: Conformity Justification: See 6.5.1 (b)

PEFC benchmark requirement	Assessment basis	YES /NO	Reference to system documentation (including quotation of relevant text)
(d) the enquiry draft is made publicly available,	Process	Y	Conclusion: Conformity Justification: The draft was made available online on the PEFC UK website: https://www.pefc.co.uk/news_articles/pefc-trees-outside-forests-consultation/
(e) public consultation is for at least 60 days,	Process	Y	Conclusion: Conformity Justification: The public consultation lasted 60 days.
(f) all feedback is considered by the working group in an objective manner, and	Process	Y	Conclusion: Conformity Justification: The received feedback was consolidated and utilised with the subsequent standard drafts.
(g) a synopsis of feedback is compiled for each material issue, including the outcome of considering the issue. The synopsis is made publicly available (e.g. on a website) and is sent to each stakeholder/party that gave feedback. NOTE For clarity the standardising body's synopsis may aggregate responses on material issues where there was similar feedback from different stakeholders. However, best practice would be to publish each piece of original feedback and the response, to allow each stakeholder to identify its own feedback.	Process	N	Conclusion: Minor non-conformity Justification: Feedback from the public consultation was compiled (<i>PC 1 Comments in order TOF.docx</i>). Outcomes of considering the issues were included in the subsequent standard draft. The feedback synopsis was not made publicly available or sent to stakeholders. Comment: The issues related to the feedback synopsis are attributable to the pilot nature of the TOF standard development – see comment under 6.1.1 (a).
6.5.2 For new standards the standardising body shall organise a second round of public consultation lasting at least 30 days.	Process	Y	Conclusion: Conformity Justification: A second round of public consultation was organised, lasting over 30 days. https://www.pefc.co.uk/news_articles/pefc-trees-outside-forests-consultation-2/

PEFC benchmark requirement	Assessment basis	YES /NO	Reference to system documentation (including quotation of relevant text)
<p>6.6 The standardising body shall organise pilot testing of new standard(s) to assess the clarity, auditability and feasibility of the requirements. The working group shall consider the outcome of pilot testing.</p> <p>NOTE Pilot testing is not required for revision of an existing standard when experience from its usage can substitute for pilot testing.</p>	Process	Y	<p>Conclusion: Conformity</p> <p>Justification: The TOF standard was piloted in Sheffield. Audit report is available (<i>Copy of RT-FM-001a-06 PEFC TOF RT SCC Pilot MA 2021 – FINAL.xls</i>)</p>
Approval and Publication			
7.1 The standardising body shall approve the standard(s)/normative document(s) formally when there is evidence of consensus among the working group.	Process	Y	<p>Conclusion: Conformity</p> <p>Justification: An email to the Working Group on July 12, 2022, requested the WG members to provide their views on the final draft. No sustained opposition was raised.</p>
7.2.1 The formally approved standard(s)/normative document(s) shall be published and made publicly available at no cost within 14 days of approval, or as otherwise defined by the standardising body.	Process	Y	<p>Conclusion: Conformity</p> <p>Justification: The formally approved standard will be published online when endorsed. An advanced draft is available on the PEFC UK website.</p>
7.2.2 Standard(s) shall include:			
(a) identification and contact information for the standardising body,	Process	N	<p>Conclusion: Minor non-conformity</p> <p>Justification: The PEFC UK TOF identifies PEFC UK Ltd as the standardising body but includes no contact information.</p> <p>The issue is subject to corrective action.</p>

PEFC benchmark requirement	Assessment basis	YES /NO	Reference to system documentation (including quotation of relevant text)
(b) official language of the standard,	Process	Y	Conclusion: Conformity Justification: The official language of the standard is not explicitly stated in the PEFC UK TOF. However, the context of the standard unambiguously establishes English as the official language.
(c) a note that when there is inconsistency between versions, the English version of the standard as endorsed by the PEFC Council is the reference.	Process	NA	Conclusion: Not applicable Justification: With English as the official language of the standard, this benchmark requirement is irrelevant.
(d) The approval date and the date of next periodic review NOTE The date of next periodic review may be within a shorter period than five years based on (for example) stakeholder expectations or other foreseen developments.	Process	N	Conclusion: Minor non-conformity Justification: The date of the next periodic review is not included in the standard. The issue is subject to corrective action.
7.2.3 Printed copies shall be made available upon request at a price that covers no more than administrative costs (if any)	Process	Y	Conclusion: Conformity Justification: According to the PEFC UK Ltd statement, printed copies will be available for free.
7.2.4 The standardising body shall make the development report (refer to PEFC GD 1007) publicly available	Process	N	Conclusion: Minor non-conformity Justification: The development report has so far not been made publicly available. The issue is subject to corrective action.

PEFC benchmark requirement	Assessment basis	YES /NO	Reference to system documentation (including quotation of relevant text)
Periodic review of standards			
8.1 The standard(s)/normative document(s) shall be reviewed at intervals that do not exceed a five-year period. The review shall be based on consideration of feedback received during the standard's implementation and a gap analysis. If necessary, a stakeholder consultation shall be organised to obtain further feedback and input.	Process	NA	Conclusion: Not applicable Justification: The standard-setting process concerned development of a new standard.
8.2.1 The standardising body shall establish and maintain a permanent mechanism for collecting and recording feedback on a standard. This mechanism shall be accessible on the website of the standardising body and/or PEFC National Governing Body with clear directions for providing feedback. NOTE Feedback can be sent in various formats: comments, requests for clarification and/or interpretation, complaints, etc.	Process	NA	Conclusion: Not applicable Justification: See 8.1
8.2.2 All feedback received through all channels, including meetings, training courses, etc. shall be recorded and considered.	Process	NA	Conclusion: Not applicable Justification: See 8.1
8.3.1 At the start of a review, the standardising body shall evaluate the standard against appropriate PEFC International standards, national laws and regulations, and other relevant standards to identify potential gaps in the standard.	Process	NA	Conclusion: Not applicable Justification: See 8.1
8.3.2 The standardising body shall consider the latest scientific knowledge, research and relevant emerging issues.	Process	NA	Conclusion: Not applicable Justification: See 8.1

PEFC benchmark requirement	Assessment basis	YES /NO	Reference to system documentation (including quotation of relevant text)
8.4.1 Where the feedback and the gap analysis do not identify a need to revise the standard, the standardising body shall organise stakeholder consultation to determine whether stakeholders see a need for revising the standard. The standardising body shall include the gap analysis in the stakeholder consultation.	Process	NA	Conclusion: Not applicable Justification: See 8.1
8.4.2 At the start of a review, the standardising body shall update the stakeholder identification mapping (refer to clause 6.2).	Process	NA	Conclusion: Not applicable Justification: See 8.1
8.4.3 The standardising body shall organise:			
(a) a public consultation period of at least 30 days (following the requirements of clause 6.5.1) and/or,	Process	NA	Conclusion: Not applicable Justification: See 8.1
(b) stakeholder meetings.	Process	NA	Conclusion: Not applicable Justification: See 8.1
8.4.4 The standardising body shall announce the review in a timely manner (refer to 6.3).	Process	NA	Conclusion: Not applicable Justification: See 8.1
8.5.1 Based on the feedback received during the period of a standard's implementation, the outcome of the gap analysis and the consultations, the standardising body shall decide whether to reaffirm the standard or whether a revision of the standard is necessary.	Process	NA	Conclusion: Not applicable Justification: See 8.1

PEFC benchmark requirement	Assessment basis	YES /NO	Reference to system documentation (including quotation of relevant text)
8.5.2 The decision shall be made at the highest decision-making level of the standardising body	Process	NA	Conclusion: Not applicable Justification: See 8.1
8.5.3 Where the decision is to reaffirm a standard, the standardising body shall provide a justification for the decision and make the justification publicly available.	Process	NA	Conclusion: Not applicable Justification: See 8.1
8.5.4 Where the decision is to revise the standard, the standardising body shall specify the type of revision (normal or editorial revision).	Process	NA	Conclusion: Not applicable Justification: See 8.1
Revision of standards			
9.1 Procedures for revision of standard(s)/normative document(s) shall conform to those stated in section 6. A normal revision can occur at the periodic review, or between periodic reviews, but does not include editorial revisions and time-critical revisions.	Process	NA	Conclusion: Not applicable Justification: The standard-setting process concerned development of a new standard.
9.2 Editorial revisions can be made without triggering the normal revision process. The standardising body shall approve the editorial changes formally and publish an amendment or a new edition of the standard.	Process	NA	Conclusion: Not applicable Justification: See 9.1
9.3.1 A time-critical revision is a revision between two periodic reviews using a fast-track process.	Process	NA	Conclusion: Not applicable Justification: See 9.1.
9.3.2 A time-critical revision can be conducted only in the following situations:			

PEFC benchmark requirement	Assessment basis	YES /NO	Reference to system documentation (including quotation of relevant text)
(a) Change in national laws and regulations affecting compliance with PEFC International requirements	Process	NA	Conclusion: Not applicable Justification: See 9.1.
(b) Instruction by PEFC International to comply with specific or new PEFC requirements within a timescale that is too short for a normal revision.	Process	NA	Conclusion: Not applicable Justification: See 9.1.
9.3.3 The time-critical revision shall follow these steps:			
(a) The standardising body shall draft the revised standard,	Process	NA	Conclusion: Not applicable Justification: See 9.1.
(b) The standardising body may consult stakeholders, but it is not mandatory,	Process	NA	Conclusion: Not applicable Justification: See 9.1.
(c) The revised standard shall be approved formally at the highest appropriate decision-making level of the standardising body,	Process	NA	Conclusion: Not applicable Justification: See 9.1.
(d) The standardising body shall explain the justification for the urgent change(s) and make the justification publicly available.	Process	NA	Conclusion: Not applicable Justification: See 9.1.
9.4.1 A revision shall define the application date and transition period of the revised standard(s)/normative document(s).	Process	NA	Conclusion: Not applicable Justification: See 9.1.



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PEFC benchmark requirement	Assessment basis	YES /NO	Reference to system documentation (including quotation of relevant text)
9.4.2 An application date shall not be more than one year after the publication of the standard. This allows time for endorsement of the revised standard(s)/normative document(s), introduction of change(s), information dissemination and training.	Process	NA	Conclusion: Not applicable Justification: See 9.1.
9.4.3 The transition period shall not exceed one year. The standardising body may determine a longer period when justified by exceptional circumstances.	Process	NA	Conclusion: Not applicable Justification: See 9.1.

PEFC Checklist (6) - Sustainable Forest Management, Trees outside Forests (PEFC ST 1003:2018, Appendix 2)

1 Scope

This checklist covers requirements for sustainable forest management as defined in PEFC ST 1003:2018, *Sustainable Forest Management – Requirements*. Any inconsistencies between this text and the original referred to document will be overruled by the content and wording of the technical document.

PEFC UK Reference Documents:

Document type	Document name
Normative documents	PEFC UK – Trees Outside Forests Certification Standard, July 5, 2022. (hereafter “PEFC UK TOF”) PEFC UK Certification Scheme for Sustainable Forest Management, July 5, 2022. (hereafter “PEFC UK”), Update working version (from Dec 15, 2022), undated United Kingdom Woodland Assurance Standard, Fifth Edition (Pre-approval Draft) (Version 5.0), July 21, 2022 (hereafter “UKWAS”)

2 Checklist

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
Context of the national standard and the organisations applying a PEFC endorsed standard		
4.1 General		
The requirements for sustainable forest management defined by regional, national or sub-national forest management standards shall:		
a) include management and performance requirements that are applicable at the forest management unit level, or at another level as appropriate, to ensure that the intent of all requirements is achieved at the forest management unit level; Note: An example of a situation where a requirement can be defined as being at another level (e.g. group/regional) is	Y	PEFC UK TOF: <i>Introduction. The Tree Management Unit – Scope: The unit of certification is a Tree Management Unit (TMU) given as an area where trees are in an urban environment (street trees) for the purpose of this Appendix. ... A TMU is a clearly defined area, or areas, with mapped boundaries, managed to a set of explicit long-term objectives. The TMU is covered by management planning documentation.</i>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
monitoring of forest health. Through monitoring of forest health at regional level, and communicating of results at the FMU level, the objective of the requirement is met without the necessity to carry out the individual monitoring of each forest management unit.		Conclusion: Conformity Justification: The sustainable forest management and performance requirements of the PEFC UK TOF are applicable at the forest management unit level, defined as a <i>Tree Management Unit</i> in the context of TOF.
b) be clear, performance based and auditable;	Y	Conclusion: Conformity Justification: The sustainable forest management and performance requirements of the PEFC UK TOF are generally clear, performance-based and auditable.
c) apply to activities of all forest operators in the defined forest area who have an impact on achieving compliance with the requirements;	Y	PEFC UK TOF: <i>Introduction. The Tree Management Unit – Scope: ... All activities, products produced and all operators within the scope of the certificate will be subject to all requirements of this standard.</i> Conclusion: Conformity Justification: The sustainable forest management and performance requirements of the PEFC UK TOF generally cover all operations with relevance to achieving compliance with the scheme requirements.
d) require record-keeping that provides evidence of compliance with the requirements of the forest management standards;	Y	PEFC UK TOF: <i>2. Management planning, 2.2 Documentation, 2.2.1: All parts of the certified area shall be covered by management planning documentation which shall be retained for at least ten years and shall incorporate:</i> a) <i>A long-term policy for tree management.</i> b) <i>Assessment of relevant components of the resource, including potential products and services which are consistent with the management objectives.</i> c) <i>Assessment of environmental values, including those outside the certified area potentially affected by management, sufficient to determine appropriate conservation measures and to provide a baseline for detecting possible negative impacts.</i> d) <i>Identification of special characteristics and sensitivities of the trees and appropriate treatments.</i>



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PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		<p>e) <i>Identification of community and social needs and sensitivities.</i></p> <p>f) <i>Prioritised objectives, with verifiable targets to measure progress.</i></p> <p>g) <i>Rationale for management prescriptions.</i></p> <p>h) <i>Where applicable, annual allowable harvest of Non-Wood Tree Products (NWTPs).</i></p> <p>i) <i>Rationale for the operational techniques to be used.</i></p> <p>j) <i>Plans for implementation, first five years in detail.</i></p> <p>k) <i>Appropriate maps.</i></p> <p>l) <i>Plans to monitor at least those elements identified under section 2.9.1 against the objectives.</i></p> <p>PEFC UK TOF: 2. Management planning, 2.9 Monitoring, 2.9.1: ...</p> <p>c) <i>The owner/manager shall where applicable monitor and record:</i></p> <ul style="list-style-type: none"> • <i>The implementation of policies and objectives and the achievement of verifiable targets</i> • <i>Implementation of operations</i> • <i>Tree cover</i> • <i>Social impacts</i> • <i>Environmental impacts</i> • <i>Changes in environmental condition</i> • <i>Usage of pesticides, biological control agents and fertilisers and any adverse impacts</i> • <i>Environmentally appropriate disposal of waste materials.</i> <p>Conclusion: Conformity</p> <p>Justification: The PEFC UK TOF record-keeping requirements meet the requirements of the PEFC ST 1003:2018.</p>



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PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
<p>e) specify “100% PEFC certified”, or another system specific claim, as claim to be used to communicate the origin of products in an area covered by the standard to customers with a PEFC chain of custody;</p> <p>Note: System specific claims of PEFC endorsed standards and PEFC Council approved abbreviations of such claims and the claim “100% PEFC certified”, and their translations into languages other than English, are published online on the PEFC website www.pefc.org.</p>	Y	<p>PEFC UK: <i>Section 6: Scheme Governance, 6.3.2 Individual Certification: ... The certificate owner shall ensure that the correct claims are made and only on material that originates in a PEFC certified woodland by ...</i></p> <ul style="list-style-type: none"> <i>making claims of ‘x% PEFC certified’ and/or ‘100% PEFC origin’ for products only from certified woodlands</i> <p>Conclusion: Conformity</p> <p>Justification: The PEFC UK is in line with the PEFC ST 1003:2018.</p>
<p>f) require that where owners/managers of forests are selling products from areas other than covered by the standard, only products from areas covered by the standard are sold with the claim “100% PEFC-certified” or a system specific claim;</p>	Y	<p>PEFC UK: <i>Section 6: Scheme Governance, 6.3.2 Individual Certification: ... The certificate owner shall ensure that the correct claims are made and only on material that originates in a PEFC certified woodland by</i></p> <ul style="list-style-type: none"> <i>verifying the origin of certified raw materials before and after handling and processing by appropriate documentation;</i> <i>ensuring that certified raw materials are clearly marked, physically separated or otherwise identified as certified when received;</i> <i>making claims of ‘x% PEFC certified’ and/or ‘100% PEFC origin’ for products only from certified woodlands</i> <p>Conclusion: Conformity</p> <p>Justification: The PEFC UK is in line with the PEFC ST 1003:2018.</p>
<p>g) require that claims on the origin of products in an area covered by the standard are only made by forest owners/managers covered by a PEFC recognised certificate issued against the standard;</p>	Y	<p>PEFC UK: <i>Section 6: Scheme Governance, 6.3.2 Individual Certification: ... The certificate owner shall ensure that the correct claims are made and only on material that originates in a PEFC certified woodland by</i></p> <ul style="list-style-type: none"> <i>verifying the origin of certified raw materials before and after handling and processing by appropriate documentation;</i> <i>ensuring that certified raw materials are clearly marked, physically separated or otherwise identified as certified when received;</i>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		<ul style="list-style-type: none"> <i>making claims of 'x% PEFC certified' and/or '100% PEFC origin' for products only from certified woodlands</i> <p>Conclusion: Conformity Justification: The PEFC UK is in line with the PEFC ST 1003:2018.</p>
h) specify requirements concerning the information which need to be provided to a PEFC chain of custody certified customer;	Y	<p>Conclusion: Conformity Justification: The PEFC UK has adopted the PEFC International Standard PEFC ST 2002:2020 for chain of custody requirements, which specifies the information required to be provided for a PEFC CoC-certified customer.</p>
i) include an overview of applicable legislation, if requirements of this benchmark are not reflected in the regional, national or sub-national standard, because they are already addressed through the legislation.	Y	<p>Conclusion: Conformity Justification: The PEFC UK TOF refers to legislation on a thematic level when relevant. The UKWAS, which is the reference standard of the PEFC UK for sustainable forest management, includes references to main relevant legislation and presents the main relevant legislation collected as an annex.</p>
4.2 Understanding the needs and expectations of affected stakeholders		
The standard requires that the organisation shall determine:		
a) the affected stakeholders that are relevant to the sustainable forest management;	Y	<p>PEFC UK TOF: 2. <i>Management planning</i>, 2.3 <i>Consultation and co-operation</i>, 2.3.1: a) <i>Local people, relevant organisations and interested parties shall be identified ...</i></p> <p>Conclusion: Conformity Justification: The PEFC UK TOF is in line with the PEFC ST 1003:2018.</p>
b) the relevant needs and expectations of these stakeholders.	Y	<p>PEFC UK TOF: 2. <i>Management planning</i>, 2.3 <i>Consultation and co-operation</i>, 2.3.1: ...</p>



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PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		<p>c) <i>The owner/manager shall consult appropriately with local people, relevant organisations and other interested parties, and provide opportunities for their engagement in planning, sharing knowledge and monitoring processes.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The PEFC UK TOF is in line with the PEFC ST 1003:2018.</p>
4.3 Determining the scope of the management system		
4.3.1 The standard requires that the organisation shall determine the boundaries and applicability of the management system to establish its scope.	N	<p>PEFC UK TOF: <i>Introduction. The Tree Management Unit – Scope: The unit of certification is a Tree Management Unit (TMU) given as an area where trees are in an urban environment (street trees) for the purpose of this Appendix. ... A TMU is a clearly defined area, or areas, with mapped boundaries, managed to a set of explicit long-term objectives. The TMU is covered by management planning documentation.</i></p> <p>PEFC UK TOF: <i>Introduction. Flexibility in meeting requirements: Not all requirements will be applicable to every TMU.</i></p> <p><i>While all applicable requirements must be met, there may be flexibility in exactly how requirements are fulfilled. Any different approach taken must be an equally or more effective way of achieving the objectives intended by the requirement. The impacts of the approach taken shall be carefully monitored and recorded.</i></p> <p><i>The certification body carrying out the audit shall make a professional judgement as to the acceptability of the flexibility.</i></p> <p>PEFC UK TOF: <i>1. Legal compliance and PEFC TOF standard conformance, 1.1 Compliance and conformance, 1.1.3:</i></p> <p>a) <i>The legal identity of the owner/manager shall be documented.</i></p> <p>b) <i>The boundaries of the owner's/manager's legal ownership or tenure shall be documented.</i></p> <p>c) <i>The scope of the owner's/manager's legal rights to manage the trees and to harvest products and/or supply services from within the certified area shall be documented.</i></p>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		<p><i>The scope of the certified area, including the boundaries of the TMU shall also be documented.</i></p> <p>Conclusion: Minor non-conformity</p> <p>Justification: The PEFC UK TOF allows for flexibility in meeting the standard requirements leaving the interpretation to CBs, which means that practically different scope-setting requirements may apply for different TMUs.</p>
<p>4.3.2 The standard requires that TOF management shall comprise the cycle of inventory and planning, implementation, monitoring and evaluation and shall include an appropriate assessment of the social, environmental and economic impacts of TOF management practices. This shall form a basis for a cycle of continuous improvement.</p>	Y	<p>PEFC UK TOF: 2. Management planning, 2.1 Long-term policy and objectives, 2.1.2: <i>Management planning shall take fully into account the positive and negative economic, environmental and social impacts of proposed operations, including potential impacts outside the certified area.</i></p> <p>PEFC UK TOF: 2. Management planning, 2.2 Documentation, 2.2.1: <i>All parts of the certified area shall be covered by management planning documentation which shall be retained for at least ten years and shall incorporate:</i></p> <ul style="list-style-type: none"> a) <i>A long-term policy for tree management.</i> b) <i>Assessment of relevant components of the resource, including potential products and services which are consistent with the management objectives.</i> c) <i>Assessment of environmental values, including those outside the certified area potentially affected by management, sufficient to determine appropriate conservation measures and to provide a baseline for detecting possible negative impacts.</i> d) <i>Identification of special characteristics and sensitivities of the trees and appropriate treatments.</i> e) <i>Identification of community and social needs and sensitivities. ...</i> j) <i>Plans for implementation, first five years in detail. ...</i> l) <i>Plans to monitor at least those elements identified under section 2.9.1 against the objectives.</i>



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PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		<p>PEFC UK TOF: 2. <i>Management planning</i>, 2.5 <i>Assessment of environmental impacts</i>, 2.5.1:</p> <p>a) <i>The impacts of new planting and other plans on environmental values shall be assessed before operations are implemented, in a manner appropriate to the scale of the operations and the sensitivity of the site.</i></p> <p>b) <i>The results of the environmental assessments shall be incorporated into planning and implementation in order to avoid adverse environmental impacts of management activities, and to minimise or repair impacts that do occur.</i></p> <p>PEFC UK TOF: 2. <i>Management planning</i>, 2.9 <i>Monitoring</i>, 2.9.1:</p> <p>a) <i>The owner/manager shall devise and implement a monitoring programme appropriate to the scale and intensity of management.</i></p> <p>b) <i>The monitoring programme shall be:</i></p> <ul style="list-style-type: none"> • <i>Part of the management planning documentation</i> • <i>Consistent and replicable over time to allow comparison of results and assessment of change ...</i> <p>c) <i>The owner/manager shall where applicable monitor and record:</i></p> <ul style="list-style-type: none"> • <i>The implementation of policies and objectives and the achievement of verifiable targets</i> • <i>Implementation of operations</i> • <i>Tree cover</i> • <i>Social impacts</i> • <i>Environmental impacts</i> • <i>Changes in environmental condition ...</i> <p>PEFC UK TOF: 2. <i>Management planning</i>, 2.9 <i>Monitoring</i>, 2.9.2: <i>The owner/manager shall take monitoring findings into account, particularly during revision of the management planning documentation, and if necessary shall revise management objectives, verifiable targets and/or management activities.</i></p> <p>Conclusion: Conformity</p>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		Justification: The PEFC UK TOF is in line with the PEFC ST 1003:2018.
5. Leadership		
5.1 The standard requires that the organisation shall provide a commitment:		
a) to comply with the sustainable forest management standard and other applicable requirements of the certification system;	Y	<p>PEFC UK TOF: 1. <i>Legal compliance and PEFC TOF standard conformance, 1.1 Compliance and conformance, 1.1.5:</i></p> <p>a) <i>The owner/manager shall:</i></p> <ul style="list-style-type: none"> • <i>Commit to conformance to this certification standard, and</i> • <i>Have declared an intention to protect and maintain the trees and their ecological integrity</i> <p>Conclusion: Conformity</p> <p>Justification: The PEFC UK TOF is in line with the PEFC ST 1003:2018.</p>
b) to continuously improve the sustainable forest management system.	Y	<p>PEFC UK TOF: <i>Introduction. Background and purpose: ... This TOF Appendix is designed to reflect an ethos of continuous improvement.</i></p> <p>PEFC UK TOF: 2. <i>Management planning, 2.1 Long-term policy and objectives, 2.1.1: ...</i></p> <p>c) <i>The owner/manager shall provide a publicly available commitment to continuously improve the Tree Management Unit (TMU) and its management system.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The PEFC UK TOF is in line with the PEFC ST 1003:2018.</p>
5.2 The standard requires that this commitment shall be publicly available.	Y	<p>PEFC UK TOF: 2. <i>Management planning, 2.1 Long-term policy and objectives, 2.1.1: ...</i></p> <p>c) <i>The owner/manager shall provide a publicly available commitment to continuously improve the Tree Management Unit (TMU) and its management system.</i></p>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		Conclusion: Conformity Justification: The PEFC UK is in line with the PEFC ST 1003:2018.
5.3 The standard requires that responsibilities for sustainable forest management shall be clearly defined and assigned.	Y	PEFC UK: <i>Section 6: Scheme Governance, 6.3.2 Individual Certification: ... The responsibilities for sustainable forest management shall be clearly defined and assigned.</i> Conclusion: Conformity Justification: The PEFC UK is in line with the PEFC ST 1003:2018.
6. Planning		
6.1 Actions to address risks and opportunities		
6.1.1 The standard requires that the organisation shall consider risks and opportunities concerning compliance with the requirements for sustainable forest management. Size and scale of the operations of the organisation shall be considered.	Y	PEFC UK TOF: 2. <i>Management planning, 2.1 Long-term policy and objectives, 2.1.2: Management planning shall take fully into account the positive and negative economic, environmental and social impacts of proposed operations, including potential impacts outside the certified area.</i> PEFC UK TOF: 2. <i>Management planning, 2.5 Assessment of environmental impacts, 2.5.1:</i> a) <i>The impacts of new planting and other plans on environmental values shall be assessed before operations are implemented, in a manner appropriate to the scale of the operations and the sensitivity of the site.</i> b) <i>The results of the environmental assessments shall be incorporated into planning and implementation in order to avoid adverse environmental impacts of management activities, and to minimise or repair impacts that do occur.</i> PEFC UK TOF: 2. <i>Management planning, 2.5 Assessment of environmental impacts, 2.5.2:</i> a) <i>The owner/manager shall assess the potential negative impacts of natural hazards on the trees and their associated eco-system services, including drought, floods, wind, fire, invasive plant and animal species, and other pests and diseases.</i>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		<p><i>b) Planting plans shall be designed to mitigate the risk of damage from natural hazards.</i></p> <p>PEFC UK TOF: 2. Management planning, 2.6 Tree species selection, 2.6.1:</p> <p><i>a) The range of species and genetic provenance selected for new planting shall be suited to the site and shall take into consideration:</i></p> <ul style="list-style-type: none"> <i>Improvement of long-term tree resilience ...</i> <p>PEFC UK TOF: 5. People, communities and workers, 5.2 Minimising adverse impacts, 5.2.1: <i>The owner/manager shall mitigate the risks to public health and safety and other negative impacts of operations on local people.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The PEFC ST 1003:2018 benchmark requirement is not directly featured in the PEFC UK TOF but reflected through sub-requirements of the PEFC UK TOF.</p>
6.1.2 The standard requires that inventory and mapping of forest resources shall be established and maintained, adequate to local and national conditions and in correspondence with the requirements described in this international benchmark standard.	Y	<p>PEFC UK TOF: 2. Management planning, 2.2 Documentation, 2.2.1: <i>All parts of the certified area shall be covered by management planning documentation which shall be retained for at least ten years and shall incorporate: ...</i></p> <p><i>b) Assessment of relevant components of the resource, including potential products and services which are consistent with the management objectives. ...</i></p> <p><i>k) Appropriate maps.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The PEFC UK TOF is in line with the PEFC ST 1003:2018.</p>
6.2 Management plan		
6.2.1 The standard requires that management plans shall be:		
a) elaborated and periodically updated or continually adjusted;	Y	PEFC UK TOF: 2. Management planning, 2.2 Documentation, 2.2.3:

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		<p>a) <i>Management planning documentation shall be kept current taking into account changes required as a result of:</i></p> <ul style="list-style-type: none"> • <i>Monitoring results</i> • <i>Results of certification audits</i> • <i>Results of stakeholder engagement</i> • <i>New research and technical information, and</i> • <i>Changed environmental, social, or economic circumstances.</i> <p>Conclusion: Conformity</p> <p>Justification: The PEFC UK TOF is in line with the PEFC ST 1003:2018.</p>
b) appropriate to the size and use of the forest area;	Y	<p>PEFC UK TOF: 2. <i>Management planning, 2.2 Documentation, 2.2.1: All parts of the certified area shall be covered by management planning documentation which shall be retained for at least ten years and shall incorporate: ...</i></p> <p>b) <i>Assessment of relevant components of the resource, including potential products and services which are consistent with the management objectives. ...</i></p> <p>d) <i>Identification of special characteristics and sensitivities of the trees and appropriate treatments.</i></p> <p>e) <i>Identification of community and social needs and sensitivities.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The PEFC UK TOF is in line with the PEFC ST 1003:2018.</p>
c) based on applicable local, national and international legislation as well as existing land-use or other official plans; and	Y	<p>PEFC UK TOF: 1. <i>Legal compliance and PEFC TOF standard conformance, 1.1 Compliance and conformance, 1.1.1: There shall be compliance with the law. There shall be no substantiated outstanding claims of non-compliance related to tree management.</i></p> <p>PEFC UK TOF: 1. <i>Legal compliance and PEFC TOF standard conformance, 1.1 Compliance and conformance, 1.1.2: There shall be conformance to the spirit of any relevant codes of practice or good practice guidelines.</i></p>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		<p>PEFC UK TOF: 2. <i>Management planning, 2.3 Consultation and co-operation, 2.3.1: ...</i></p> <p><i>b) The owner/manager shall ensure that there is full co-operation with the relevant authority's consultation processes.</i></p> <p><i>c) The owner/manager shall consult appropriately with local people, relevant organisations and other interested parties, and provide opportunities for their engagement in planning, sharing knowledge and monitoring processes.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The PEFC UK TOF meets the requirements of the PEFC ST 1003:2018. The PEFC UK TOF practically necessitates the management plan to be based on existing land use or other official plans through the requirements for compliance, conformance to codes of practice and appropriate consultations with relevant organisations.</p>
d) adequately covering forest resources.	Y	<p>PEFC UK TOF: 2. <i>Management planning, 2.2 Documentation, 2.2.1: All parts of the certified area shall be covered by management planning documentation which shall be retained for at least ten years and shall incorporate: ...</i></p> <p><i>b) Assessment of relevant components of the resource, including potential products and services which are consistent with the management objectives. ...</i></p> <p>Conclusion: Conformity</p> <p>Justification: The PEFC UK TOF is in line with the PEFC ST 1003:2018.</p>
6.2.2 The standard requires that management plans shall take into account the different uses or functions of the managed forest area.	Y	<p>PEFC UK TOF: 2. <i>Management planning, 2.2 Documentation, 2.2.1: All parts of the certified area shall be covered by management planning documentation which shall be retained for at least ten years and shall incorporate: ...</i></p> <p><i>c) Assessment of environmental values, including those outside the certified area potentially affected by management, sufficient to determine appropriate conservation measures and to provide a baseline for detecting possible negative impacts.</i></p>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		<p>d) <i>Identification of special characteristics and sensitivities of trees and appropriate treatments.</i></p> <p>e) <i>Identification of community and social needs and sensitivities. ...</i></p> <p>h) <i>Where applicable, annual allowable harvest of Non-Wood Tree Products (NWTPs).</i></p> <p>Conclusion: Conformity</p> <p>Justification: The PEFC UK TOF is in line with the PEFC ST 1003:2018.</p>
6.2.3 The standard requires that management plans shall include at least a description of the current forest management unit, long-term objectives, and the average annual allowable cut, including its justification.	Y	<p>PEFC UK TOF: 2. <i>Management planning</i>, 2.2 <i>Documentation</i>, 2.2. 1: <i>All parts of the certified area shall be covered by management planning documentation which shall be retained for at least ten years and shall incorporate:</i></p> <p>a) <i>A long-term policy for tree management.</i></p> <p>b) <i>Assessment of relevant components of the resource, including potential products and services which are consistent with the management objectives.</i></p> <p>c) <i>Assessment of environmental values, including those outside the certified area potentially affected by management, sufficient to determine appropriate conservation measures and to provide a baseline for detecting possible negative impacts.</i></p> <p>d) <i>Identification of special characteristics and sensitivities of the trees and appropriate treatments. ...</i></p> <p>f) <i>Prioritised objectives, with verifiable targets to measure progress.</i></p> <p>PEFC UK TOF: 2. <i>Management planning</i>, 2.4 <i>Productive potential of the management unit (TMU)</i>, 2.4.1:</p> <p>a) <i>Harvesting of Products including timber and Non-Wood Tree Products (NWTPs) or use of ecosystem services from the TMU shall be at or below a level which can be permanently sustained.</i></p>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		<p>b) <i>The average annual allowable cut is quantified and justified unless the TMU is undergoing significant restructuring.</i></p> <p>c) <i>The average annual allowable cut is quantified, and actual harvesting levels are justified.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The PEFC UK TOF is in line with the PEFC ST 1003:2018.</p>
6.2.4 The standard requires that the annually allowable use of non-wood forest products shall be included in the management plan where forest management covers commercial use of non-wood forest products at a level which can have an impact on their long-term sustainability.	Y	<p>PEFC UK TOF: 2. <i>Management planning</i>, 2.2 <i>Documentation</i>, 2.2.1: <i>All parts of the certified area shall be covered by management planning documentation which shall be retained for at least ten years and shall incorporate: ...</i></p> <p>h) <i>Where applicable, annual allowable harvest of Non-Wood Tree Products (NWTPs).</i></p> <p>UKWAS: 2. <i>Management planning</i>, 2.4 <i>Productive potential of the woodland management unit</i>, 2.4.1:</p> <p>a) <i>Harvesting of non-wood forest products (NWFPs) or use of ecosystem services from the WMU is at or below a level which can be permanently sustained.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The PEFC UK TOF is in line with the PEFC ST 1003:2018.</p>
6.2.5 The standard requires that management plans specify ways and means to minimise the risk of degradation of and damages to natural ecosystems.	Y	<p>PEFC UK TOF: 2. <i>Management planning</i>, 2.2 <i>Documentation</i>, 2.2.1: <i>All parts of the certified area shall be covered by management planning documentation which shall be retained for at least ten years and shall incorporate: ...</i></p> <p>c) <i>Assessment of environmental values, including those outside the certified area potentially affected by management, sufficient to determine appropriate conservation measures and to provide a baseline for detecting possible negative impacts.</i></p> <p>d) <i>Identification of special characteristics and sensitivities of the trees and appropriate treatments.</i></p>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		<p>PEFC UK TOF: 3. Operations, 3.1 General, 3.1.2:</p> <p>a) <i>The planning of operations shall include:</i></p> <ul style="list-style-type: none"> • <i>Obtaining any relevant permission and giving any formal notification required</i> • <i>Assessing and taking into account on and off-site impacts</i> • <i>Taking measures to protect water resources and soils, and prevent disturbance of and damage to priority species, habitats, ecosystems and landscape values, including adapting standard prescriptions where required. Any disturbance or damage which does occur shall be mitigated and/or repaired, and steps shall be taken to avoid recurrence.</i> <p>Conclusion: Conformity</p> <p>Justification: The PEFC UK TOF is in line with the PEFC ST 1003:2018.</p>
6.2.6 The standard requires that management plans shall take into account the results of scientific research.	Y	<p>PEFC UK TOF: 2. Management planning, 2.2 Documentation, 2.2.3:</p> <p>a) <i>Management planning documentation shall be kept current taking into account changes required as a result of: ...</i></p> <ul style="list-style-type: none"> • <i>New research and technical information ...</i> <p>Conclusion: Conformity</p> <p>Justification: The PEFC UK TOF is in line with the PEFC ST 1003:2018.</p>
6.2.7 The standard requires that a summary of the management plan, appropriate to the scope and scale of forest management, shall be publicly available and shall include information on the general objectives and forest management principles.	Y	<p>PEFC UK TOF: 2. Management planning, 2.2 Documentation, 2.2.2: ...</p> <p>b) <i>While respecting the confidentiality of information, the owner/manager shall, have a mechanism to make publicly available either:</i></p> <ul style="list-style-type: none"> • <i>Management planning documentation, or</i> • <i>A summary of the management planning documentation.</i> <p>Conclusion: Conformity</p>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		Justification: The PEFC UK TOF is in line with the PEFC ST 1003:2018.
6.2.8 The standard requires that the publicly available summary of the management plan may exclude confidential business and personal information and other information made confidential by applicable legislation or for the protection of cultural sites or sensitive natural resource features.	Y	<p>PEFC UK TOF: 2. <i>Management planning</i>, 2.2 <i>Documentation</i>, 2.2.2: ...</p> <p>b) <i>While respecting the confidentiality of information, the owner/manager has a mechanism to make publicly available either:</i></p> <ul style="list-style-type: none"> • <i>Management planning documentation, or</i> • <i>A summary of the management planning documentation.</i> <p>Conclusion: Conformity</p> <p>Justification: The PEFC UK TOF is in line with the PEFC ST 1003:2018.</p>
6.3 Compliance requirements		
6.3.1 Legal compliance		
<p>6.3.1.1 The standard requires that the organisation shall identify and have access to the legislation applicable to its TOF management and determine how these compliance obligations apply to the organisation.</p> <p>Note: Only where TOF is within the scope of a Country's FLEGT Voluntary Partnership Agreement (VPA) between the European Union and the producing country, is the "legislation applicable to TOF area" defined by the VPA agreement.</p>	Y	<p>PEFC UK TOF: 1. <i>Legal compliance and PEFC TOF standard conformance</i>, 1.1 <i>Compliance and conformance</i>, 1.1.1: <i>There shall be compliance with the law. There shall be no substantiated outstanding claims of non-compliance related to tree management.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The PEFC UK TOF requires that organisations retain compliance with law, which practically necessitates that implications of the applicable legislation are analysed by the organisation. The PEFC UK scheme leans mainly on UKWAS for its sustainable forest management requirements, and the UKWAS standard document provides a list of main applicable legislation pre-identified for organisations.</p>
6.3.1.2 The standard requires that the organisation shall comply with applicable local, national or international legislation applicable to TOF area including but not limited to: agriculture and agroforestry; nature and environmental protection; protected and endangered species; property, tenure and land-use rights for indigenous peoples, local communities or other affected	Y	PEFC UK TOF: <i>Introduction. Background and purpose: Primarily, the UKWAS certification standard was designed to reflect the applicable requirements for Forestry 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</i>



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PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
stakeholders; health, labour and safety issues; crop damage compensation; anti-corruption and the payment of royalties and taxes.		<p><i>Guidelines (PEOLG) subsequently adopted at Lisbon in 1998 and other relevant international agreements.</i></p> <p>PEFC UK TOF: 1. <i>Legal compliance and PEFC TOF standard conformance, 1.1 Compliance and conformance, 1.1.1: There shall be compliance with the law. There shall be no substantiated outstanding claims of non-compliance related to tree management.</i></p> <p>PEFC UK Appendix 2 lists ILO conventions and UN declarations ratified by the UK and upheld within the structure of UKWAS, thus relevant also for PEFC UK TOF.</p> <p>Conclusion: Conformity</p> <p>Justification: The scheme meets the PEFC ST 1003:2018 requirements.</p>
6.3.1.3 The standard requires that where no anti-corruption legislation exists, the organisation must take alternative anti-corruption measures appropriate to the risk of corruption.	NA	<p>Conclusion: Not applicable</p> <p>Justification: The UK has robust anti-corruption legislation.</p>
6.3.1.4 The standard requires that measures shall be implemented to address protection of the forest from unauthorised activities such as illegal logging, illegal land use, illegally initiated fires, and other illegal activities.	Y	<p>PEFC UK TOF: 1. <i>Legal compliance and PEFC TOF standard conformance, 1.2 Protection from illegal activities, 1.2.1: The owner/manager shall take all reasonable measures, including engagement with the police and statutory bodies, to prevent or stop illegal or unauthorised uses of the trees that could jeopardise fulfilment of the objectives of management.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The PEFC UK TOF is in line with the PEFC ST 1003:2018.</p>
6.3.2 Legal, customary and traditional rights related to the forest land		
6.3.2.1 The standard requires that property rights, tree ownership and land tenure arrangements shall be clearly defined, documented and established for the relevant management unit. Likewise, legal, customary and traditional	Y	<p>PEFC UK TOF: 1. <i>Legal compliance and PEFC TOF standard conformance, 1.1 Compliance and conformance, 1.1.3:</i></p> <p>a) <i>The legal identity of the owner/manager shall be documented.</i></p>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
<p>rights related to the forest land shall be clarified, recognised and respected.</p> <p>Note: Guidance for the handling of tenure arrangements can be obtained from the FAO Voluntary Guidelines on the Responsible Governance of Tenure of Land, Fisheries and Forests in the Context of National Food Security.</p>		<p>b) <i>The boundaries of the owner's/manager's legal ownership or tenure shall be documented.</i></p> <p>c) <i>The scope of the owner's/manager's legal rights to manage the trees and to harvest products and/or supply services from within the certified area shall be documented. The scope of the certified area, including the boundaries of the TMU shall also be documented.</i></p> <p>PEFC UK TOF: 5. People, communities and workers, 5.1 Access and recreation including traditional and permissive use rights, 5.1.1:</p> <p>a) <i>Existing permissive or traditional uses of the trees shall be identified and sustained except when such uses can be shown to threaten their integrity or the achievement of the objectives of management.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The PEFC UK TOF is in line with the PEFC ST 1003:2018.</p>
<p>6.3.2.2 The standard requires that forest practices and operations shall be conducted in recognition of the established framework of legal, customary and traditional rights such as outlined in ILO 169 and the UN Declaration on the Rights of Indigenous Peoples, which shall not be infringed upon without the free, prior and informed consent of the holders of the rights, including the provision of compensation where applicable. Where the extent of rights is not yet resolved, or is in dispute, there are processes for just and fair resolution. In such cases forest managers shall, in the interim, provide meaningful opportunities for parties to be engaged in forest management decisions whilst respecting the processes and roles and responsibilities laid out in the policies and laws where the certification takes place.</p>	Y	<p>PEFC UK TOF: 2. Management planning, 2.3 Consultation and co-operation, 2.3.1: ...</p> <p>c) <i>The owner/manager shall consult appropriately with local people, relevant organisations and other interested parties, and provide opportunities for their engagement in planning, sharing knowledge and monitoring processes.</i></p> <p>PEFC UK TOF: 5. People, communities and workers, 5.1 Access and recreation including traditional and permissive use rights, 5.1.1:</p> <p>a) <i>Existing permissive or traditional uses of the trees shall be identified and sustained except when such uses can be shown to threaten their integrity or the achievement of the objectives of management.</i></p> <p>PEFC UK TOF: 5. People, communities and workers, 5.1 Access and recreation including traditional and permissive use rights, 5.1.2: ...</p>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		<p><i>b) Where there is a special demand for further public access for the purpose of specific types of access provision or community use, the owner/manager shall make reasonable efforts to meet this demand.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The PEFC UK TOF meets the requirements of the PEFC ST 1003:2018.</p>
6.3.2.3 The standard requires that forest practices and operations shall respect human rights as defined by the Universal Declaration on Human Rights.	Y	<p>PEFC UK TOF: 5. People, communities and workers, 5.6 Workers' rights, 5.6.1:</p> <p><i>a) There shall be compliance with workers' rights legislation, including equality legislation.</i></p> <p><i>b) Owners/managers promote equality, so that all workers are able to access and enjoy the same rewards, resources and opportunities.</i></p> <p><i>c) There is no use of child labour except as permitted under employment legislation.</i></p> <p><i>d) There is compliance with modern slavery legislation.</i></p> <p><i>e) Workers shall not be deterred from joining a trade union or employee association.</i></p> <p><i>f) Direct employees shall be permitted to negotiate terms and conditions, including grievance procedures, collectively should they so wish.</i></p> <p><i>g) Workers shall have recourse to mechanisms for resolving grievances which meet the requirements of statutory codes of practice</i></p> <p><i>h) Wages paid to workers shall meet or exceed the statutory national living wage.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The PEFC UK TOF is in line with the PEFC ST 1003:2018.</p>
6.3.3 Fundamental ILO conventions		



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PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
<p>6.3.3.1 The standard requires that forest practices and operations shall comply with fundamental ILO conventions.</p> <p>Note: In countries where the fundamental ILO conventions have been ratified, the requirements of 6.3.3.1 apply. In countries where a fundamental convention has not been ratified and its content is not covered by applicable legislation, specific requirements shall be included in the forest management standard.</p>	Y	<p>PEFC UK TOF: 5. <i>People, communities and workers</i>, 5.4. <i>Health and safety</i>, 5.4.1:</p> <p>a) <i>There shall be:</i></p> <ul style="list-style-type: none"> • <i>Compliance with health and safety legislation</i> • <i>Conformance with associated codes of practice</i> <p>Conclusion: Conformity</p> <p>Justification: The UK has signed 10 out of the 11 fundamental ILO instruments. The instrument not signed by the UK is C155 - Occupational Safety and Health Convention. The respective requirements are covered by applicable national legislation.</p>
6.3.4 Health, safety and working conditions		
<p>6.3.4.1 The standard requires that forest operations shall be planned, organised and performed in a manner that enables health and accident risks to be identified and all reasonable measures to be applied to protect workers from work-related risks. Workers shall be informed about the risks involved with their work and about preventive measures.</p>	Y	<p>PEFC UK TOF: 3. <i>Operations</i>, 3.1 <i>General</i>, 3.1.3: <i>Operational plans shall be clearly communicated to all workers so that they understand and implement safety precautions, environmental protection plans, biosecurity protocols, emergency procedures, and prescriptions for the management of features of high conservation value.</i></p> <p>PEFC UK TOF: 5. <i>People, communities and workers</i>, 5.4 <i>Health and safety</i>, 5.4.1:</p> <p>a) <i>There shall be:</i></p> <ul style="list-style-type: none"> • <i>Compliance with health and safety legislation</i> • <i>Conformance with associated codes of practice</i> <p>b) <i>There shall be contingency plans for any accidents.</i></p> <p>c) <i>There shall be appropriate competency.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The PEFC UK TOF meets the requirements of the PEFC ST 1003:2018.</p>



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PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
<p>6.3.4.2 The standard requires that working conditions shall be safe, and guidance and training in safe working practices shall be provided to all those assigned to a task in forest operations. Working hours and leave shall comply with national laws or applicable collective agreements.</p> <p>Note: Guidance for specifying national standards can be obtained from the ILO Code of Good Practice: Safety and Health in Forestry Work.</p>	Y	<p>PEFC UK TOF: 1. <i>Legal compliance and PEFC TOF standard conformance, 1.1 Compliance and conformance, 1.1.1: There shall be compliance with the law. There shall be no substantiated outstanding claims of non-compliance related to tree management.</i></p> <p>PEFC UK TOF: 5. <i>People, communities and workers, 5.4 Health and safety, 5.4.1:</i></p> <p>a) <i>There shall be:</i></p> <ul style="list-style-type: none"> <i>Compliance with health and safety legislation</i> <i>Conformance with associated codes of practice</i> <p>b) <i>There shall be contingency plans for any accidents.</i></p> <p>c) <i>There shall be appropriate competency.</i></p> <p>PEFC UK TOF: 5. <i>People, communities and workers, 5.5 Training and continuing development, 5.5.1:</i></p> <p>a) <i>All workers including volunteers shall have appropriate qualifications, training and/or experience to carry out their roles in conformance to the requirements of this standard, unless working under proper supervision if they are currently undergoing training.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The PEFC UK TOF is in line with the PEFC ST 1003:2018.</p>
<p>6.3.4.3 The standard requires that wages of local and migrant forest workers as well as of contractors and other operators operating in PEFC-certified areas shall meet or exceed at least legal, industry minimum standards or, where applicable, collective bargaining agreements.</p> <p>Note: Where wages are below the living wage of a country, steps should be taken to attain increased wages towards a living wage level over time in addition to increases for inflation.</p>	Y	<p>PEFC UK TOF: 5. <i>People, communities and workers, 5.6 Workers' rights, 5.6.1: ...</i></p> <p>e) <i>Workers shall not be deterred from joining a trade union or employee association.</i></p> <p>f) <i>Direct employees shall be permitted to negotiate terms and conditions, including grievance procedures, collectively should they so wish. ...</i></p> <p>h) <i>Wages paid to workers shall meet or exceed the statutory national living wage.</i></p> <p>Conclusion: Conformity</p>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		Justification: The PEFC UK TOF meets the requirements of the PEFC ST 1003:2018.
6.3.4.4 The standard requires that the organisation is committed to equal opportunities, non-discrimination and freedom from workplace harassment. Gender equality shall be promoted.	Y	<p>PEFC UK TOF: 5. <i>People, communities and workers</i>, 5.6 <i>Workers' rights</i>, 5.6.1:</p> <p>a) <i>There shall be compliance with workers' rights legislation, including equality legislation.</i></p> <p>b) <i>Owners/managers promote equality, so that all workers are able to access and enjoy the same rewards, resources and opportunities. ...</i></p> <p><i>Guidance: UK equality legislation provides protection against discrimination, harassment and victimisation. Protected characteristics include age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, sex, and sexual orientation.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The PEFC UK TOF meets the requirements of the PEFC ST 1003:2018.</p>
7. Support		
7.1 Resources		
7.1.1 The standard requires that the organisation shall determine and provide the resources needed for the establishment, implementation, maintenance and continual improvement of the sustainable forest management system.	Y	<p>PEFC UK TOF: 2. <i>Management planning</i>, 2.1 <i>Long-term policy and objectives</i>, 2.1.3: <i>The owner/manager shall aim to secure the necessary investment to implement the management plan in order to meet this standard and to ensure long-term economic viability.</i></p> <p>PEFC UK: <i>Section 6: Scheme Governance</i>, 6.3.2 <i>Individual Certification</i>: ... <i>The standard also requires that the organisation shall determine and provide the resources needed for the establishment, implementation, maintenance, internal audit and continual improvement of the sustainable forest management system.</i></p> <p>Conclusion: Conformity</p>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		Justification: The requirements set by the national scheme are in line with the PEFC ST 1003:2018.
7.2 Competence		
7.2.1 The standard requires that land managers, contractors, employees and land owners shall be provided with sufficient information and required to keep up-to-date through continuous training in relation to agroforestry, good agriculture practices and forestry techniques as a precondition for all management planning and practices described in this benchmark.	Y	<p>PEFC UK TOF: 5. <i>People, communities and workers</i>, 5.5 <i>Training and continuing development</i>, 5.5.1:</p> <p>a) <i>All workers including volunteers shall have appropriate qualifications, training and/or experience to carry out their roles in conformance to the requirements of this standard, unless working under proper supervision if they are currently undergoing training.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The PEFC UK TOF is in line with the PEFC ST 1003:2018.</p>
7.3 Communication		
7.3.1 The standard requires that effective communication and consultation with local communities, indigenous peoples and other stakeholders relating to sustainable forest management shall be provided.	Y	<p>PEFC UK TOF: 2. <i>Management planning</i>, 2.3 <i>Consultation and co-operation</i>, 2.3.1: ...</p> <p>b) <i>The owner/manager shall ensure that there is full co-operation with the relevant authority's consultation processes.</i></p> <p>c) <i>The owner/manager shall consult appropriately with local people, relevant organisations and other interested parties, and provide opportunities for their engagement in planning, sharing knowledge and monitoring processes.</i></p> <p>d) <i>Methods of consultation and engagement shall be designed to ensure that local people, relevant organisations and other interested parties have reasonable opportunities to participate equitably and without discrimination.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The PEFC UK TOF is in line with the PEFC ST 1003:2018.</p>



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PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
7.4 Complaints		
7.4.1 The standard requires that appropriate mechanisms are in place for resolving complaints and disputes relating to forest management operations, land use rights and work conditions.	Y	<p>PEFC UK TOF: 1. <i>Legal compliance and PEFC TOF standard conformance, 1.1 Compliance and conformance, 1.1.4:</i></p> <p>a) <i>Mechanisms shall be employed to identify, prevent and resolve disputes over tenure claims and use rights through appropriate consultation with interested parties.</i></p> <p>PEFC UK TOF: 5. <i>People, communities and workers, 5.2 Minimising adverse impacts, 5.2.2: The owner/manager shall respond constructively to complaints, seek to resolve grievances through engagement with complainants in the first instance, and follow established legal process should this become necessary.</i></p> <p>PEFC UK TOF: 5. <i>People, communities and workers, 5.6 Workers' rights, 5.6.1: ...</i></p> <p>g) <i>Workers shall have recourse to mechanisms for resolving grievances which meet the requirements of statutory codes of practice.</i></p> <p>PEFC UK: <i>Section 6: Scheme Governance, 6.3.2 Individual Certification: ... Note: Individual certificate holders are also required to comply with sections 6.3.10 Support ... These sections shall be interpreted for use by Individual certificate holders.</i></p> <p>PEFC UK: <i>Section 6: Scheme Governance, 6.3.10 Support: ... The scheme requires that appropriate mechanisms shall be in place for resolving complaints and disputes relating to group management and sustainable forest management operations.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The PEFC UK TOF meets the requirements of the PEFC ST 1003:2018.</p>
7.5 Documented Information		
7.5.1 The standard requires that the organisation's management system shall include documented information required by the standard and determined by the organisation as being	Y	<p>PEFC UK: <i>Section 6: Scheme Governance, 6.3.2 Individual Certification: ... The standard requires that the organisation's management system shall include documented information required by the standard and determined by the organisation to show that sustainable</i></p>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
necessary for the effectiveness of the sustainable forest management system.		<p><i>forest management system is effectively implemented, maintained and meets the requirements of UKWAS 5 and/or the TOF Appendix.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The PEFC UK is in line with the PEFC ST 1003:2018.</p>
7.5.2 The standard requires that the documented information is relevant, and updated as appropriate, to the activities of the organisation.	Y	<p>PEFC UK TOF: 2. <i>Management planning</i>, 2.2 <i>Documentation</i>, 2.2.3:</p> <p>a) <i>Management planning documentation shall be kept current taking into account changes required as a result of:</i></p> <ul style="list-style-type: none"> • <i>Monitoring results</i> • <i>Results of certification audits</i> • <i>Results of stakeholder engagement</i> • <i>New research and technical information, and</i> • <i>Changed environmental, social, or economic circumstances.</i> <p>Conclusion: Conformity</p> <p>Justification: The PEFC UK TOF is in line with the PEFC ST 1003:2018.</p>
8. Operation		
8.1 Criterion 1: Maintenance or appropriate enhancement of forest resources and their contribution to the global carbon cycle		
<p>8.1.1 The standard requires that management shall aim to maintain or increase the cover, value and/or diversity of trees in the landscape and their related ecosystem services in ways that enhance the economic, ecological, cultural and social values and are aligned with existing land-use regimes.</p> <p>Note: When the requirement is not achievable within individual, TOF-extensive areas, it can be considered at landscape level.</p>	Y	<p>PEFC UK TOF: 2. <i>Management planning</i>, 2.1 <i>Long-term policy and objectives</i>, 2.1.1:</p> <p>a) <i>The owner/manager shall have a long-term policy and management objectives which are environmentally positive, socially beneficial and economically viable and take full account of the need to embed tree resilience.</i></p> <p>PEFC UK TOF: 2. <i>Management planning</i>, 2.4 <i>Productive potential of the management unit (TMU)</i>, 2.4.1:</p>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		<p>a) <i>Harvesting of Products including timber and Non-Wood Tree Products (NWTPs) or use of ecosystem services from the TMU shall be at or below a level which can be permanently sustained. ...</i></p> <p>d) <i>The owner/manager shall maintain and enhance eco-system services that arise from the TMU</i></p> <p>PEFC UK TOF: 4. Natural, historical and cultural environment, 4.1 Environmental Statutory designations and protected species, 4.1.1: ...</p> <p>b) <i>Adopting a precautionary approach, the identified areas, species and features of high conservation value shall be maintained and, where possible, enhanced.</i></p> <p>PEFC UK TOF: 4. Natural, historical and cultural environment, 4.2 Watershed management and erosion control, 4.2.2: <i>The owner/manager shall plan and take action to maintain continuity of veteran tree habitat by:</i></p> <ul style="list-style-type: none"> • <i>Keeping existing veteran trees, and</i> • <i>Managing or establishing suitable trees to eventually take the place of existing veterans.</i> <p>PEFC UK TOF: 4. Natural, historical and cultural environment, 4.3 Protection of cultural and historic environment sites, 4.3.1: <i>... the owner/manager shall:</i></p> <ul style="list-style-type: none"> • <i>Identify sites and features of special cultural and historical significance, ...</i> • <i>Adopting a precautionary approach, devise and implement measures to maintain and/or enhance them.</i> <p>Conclusion: Conformity</p> <p>Justification: The PEFC UK TOF is in line with the PEFC ST 1003:2018.</p>
8.1.2 The standard requires that management shall maintain or enhance TOF resources and their capacity to capture and store carbon in the medium and long term by balancing harvesting	Y	<p>PEFC UK TOF: 2. Management planning, 2.4 Productive potential of the management unit (TMU), 2.4.1:</p>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
<p>and growth rates, and by minimising direct or indirect damage to ecosystem resources.</p> <p>Note: When the requirement is not achievable within individual, TOF-extensive areas, it can be considered at landscape level.</p>		<p>a) <i>Harvesting of Products including timber and Non-Wood Tree Products (NWTPs) or use of ecosystem services from the TMU shall be at or below a level which can be permanently sustained.</i></p> <p>b) <i>The average annual allowable cut is quantified and justified unless the TMU is undergoing significant restructuring.</i></p> <p>c) <i>The average annual allowable cut is quantified, and actual harvesting levels are justified.</i></p> <p>PEFC UK TOF: 3. Operations, 3.1 General, 3.1.2:</p> <p>a) <i>The planning of operations shall include: ...</i></p> <ul style="list-style-type: none"> <i>Taking measures to protect water resources and soils, and prevent disturbance of and damage to priority species, habitats, ecosystems and landscape values, including adapting standard prescriptions where required. Any disturbance or damage which does occur shall be mitigated and/or repaired, and steps shall be taken to avoid recurrence.</i> <p>PEFC UK TOF: 3. Operations, 3.2 Harvest operations, 3.2.1:</p> <p>a) <i>Timber and Non-Wood Tree Products (NWTPs) shall be harvested efficiently and with minimum loss or damage to environmental values.</i></p> <p>b) <i>Timber harvesting shall particularly seek to avoid:</i></p> <ul style="list-style-type: none"> <i>Damage to soil and water courses including loss of soil carbon during felling, extraction and burning</i> <i>Damage to standing trees, especially veteran trees and their root zones, during felling, extraction and burning</i> <i>Degrade in felled timber.</i> <p>Conclusion: Conformity</p> <p>Justification: The PEFC UK TOF is in line with the PEFC ST 1003:2018.</p>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
8.1.3 The standard requires that climate positive practices in management operations, such as greenhouse gas emission reductions and efficient use of resources shall be encouraged.	Y	<p>PEFC UK TOF: 3. Operations, 3.1 General, 3.1.2:</p> <p>a) <i>The planning of operations shall include: ...</i></p> <ul style="list-style-type: none"> • <i>Assessing and taking into account on and off-site impacts</i> <p><i>Guidance: ... Consideration may be given to the choice of materials and fuels used in tree management operations. Particular attention should be given to the use of high embedded-carbon products such as:</i></p> <ul style="list-style-type: none"> • <i>fertilisers</i> • <i>pesticides</i> • <i>plastics.</i> <p><i>Particular attention should be given to reducing the use of high embedded-carbon products and the adoption of lower emission vehicles.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The PEFC UK TOF meets the requirements of the PEFC ST 1003:2018.</p>
<p>8.1.4 TOF areas established by a forest conversion after 31 December 2010 in other than “justified circumstances” do not meet the requirement and are not eligible for certification.</p> <p>The standard requires that conversion to TOF shall not occur unless in justified circumstances where the conversion:</p>		
a) is in compliance with national and regional policy and legislation applicable for land use and forest management and is a result of national or regional land-use planning governed by a governmental or other official authority including consultation with affected stakeholders; and	NA	<p>Conclusion: Not applicable</p> <p>Justification: The scope of the PEFC UK TOF involves urban street trees. Parks are not within the scope. The concept of conversion (e.g., conversion of forest or ecologically important non-forest area) to TOF is not practically applicable in this context.</p>
b) entails a small proportion (no greater than 5 %) of forest type within the certified area; and	NA	<p>Conclusion: Not applicable</p> <p>Justification: See 8.1.4 (a)</p>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
c) does not have negative impacts on ecologically important forest areas, culturally and socially significant areas, or other protected areas; and	NA	Conclusion: Not applicable Justification: See 8.1.4 (a)
d) does not destroy areas of significantly high carbon stock; and	NA	Conclusion: Not applicable Justification: See 8.1.4 (a)
e) makes a contribution to long-term conservation, economic, and social benefits.	NA	Conclusion: Not applicable Justification: See 8.1.4 (a)
<p>8.1.5 TOF areas established by a conversion after 31 December 2010 in other than “justified circumstances” do not meet the requirement and are not eligible for certification.</p> <p>The standard requires that conversion of ecologically important non-forest ecosystems to TOF areas shall not occur unless in justified circumstances where the conversion:</p>		
a) is in compliance with national and regional policy and legislation applicable for land use and forest management and is a result of national or regional land-use planning governed by a governmental or other official authority; and	NA	Conclusion: Not applicable Justification: See 8.1.4 (a)
b) is established based on a decision-making basis where affected stakeholders have opportunities to contribute to the decision-making on conversion through transparent and participatory consultation processes; and	NA	Conclusion: Not applicable Justification: See 8.1.4 (a)
c) does not have negative impacts on threatened (including vulnerable, rare or endangered) nonforest ecosystems, culturally and socially significant areas, important habitats of threatened species or other protected areas; and	NA	Conclusion: Not applicable Justification: See 8.1.4 (a)

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
d) entails a small proportion of the ecologically important non-forest ecosystem managed by an organisation; and	NA	Conclusion: Not applicable Justification: See 8.1.4 (a)
e) does not destroy areas of significantly high carbon stock; and	NA	Conclusion: Not applicable Justification: See 8.1.4 (a)
f) makes a contribution to long-term conservation, economic, and social benefits.	NA	Conclusion: Not applicable Justification: See 8.1.4 (a)
8.1.6 The standard requires that if conversion of severely degraded forests to forest plantations is being considered, it must add economic, ecological, social and/or cultural value. Precondition of adding such value are circumstances where the conversion:		
a) is in compliance with national and regional policy and legislation applicable for land use and forest management and is a result of national or regional land-use planning governed by a governmental or other official authority; and	NA	Conclusion: Not applicable Justification: Requirement 8.1.6 is not applicable with TOF, as per the PEFC ST 1003:2018 Appendix 2 guidelines for the interpretation of requirements for TOF.
b) is established based on a decision-making basis where affected stakeholders have opportunities to contribute to the decision-making on conversion through transparent and participatory consultation processes; and	NA	Conclusion: Not applicable Justification: See 8.1.6 (a)
c) has a positive impact on long-term carbon sequestration capacity of forest vegetation; and	NA	Conclusion: Not applicable Justification: See 8.1.6 (a)
d) does not have negative impacts on ecologically important forest areas, culturally and socially significant areas, or other protected areas; and	NA	Conclusion: Not applicable Justification: See 8.1.6 (a)

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
e) safeguards protective functions of forests for society and other regulating or supporting ecosystem services; and	NA	Conclusion: Not applicable Justification: See 8.1.6 (a)
f) safeguards socio-economic functions of forests, including the recreational function and aesthetic values of forests and other cultural services; and	NA	Conclusion: Not applicable Justification: See 8.1.6 (a)
g) has a land history providing evidence that the degradation is not the consequence of deliberate poor forest management practices; and	NA	Conclusion: Not applicable Justification: See 8.1.6 (a)
h) is based on credible evidence demonstrating that the area is neither recovered nor in the process of recovery.	NA	Conclusion: Not applicable Justification: See 8.1.6 (a)
8.2 Criterion 2: Maintenance of forest ecosystem health and vitality		
8.2.1 The standard requires that health and vitality of TOF areas shall be maintained or enhanced and degraded lands shall be rehabilitated whenever this is feasible, by making best use of landscape features, natural processes and using preventive biological measures.	Y	<p>PEFC UK TOF: 1. <i>Legal compliance and PEFC TOF standard conformance, 1.1 Compliance and conformance, 1.1.5:</i></p> <p>a) <i>The owner/manager shall:</i></p> <ul style="list-style-type: none"> • <i>Commit to conformance to this certification standard, and</i> • <i>Have declared an intention to protect and maintain the trees and their ecological integrity</i> <p>PEFC UK TOF: 2. <i>Management planning, 2.6 Tree species selection, 2.6.1:</i></p> <p>a) <i>The range of species and genetic provenance selected for new planting shall be suited to the site and shall take into consideration:</i></p> <ul style="list-style-type: none"> • <i>Improvement of long-term tree resilience</i> • <i>Management objectives</i> • <i>Landscape character.</i>



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PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		<p>PEFC UK TOF: 2. <i>Management planning</i>, 2.8 <i>Implementation, amendment and revision of the plan</i>, 2.8.1: <i>The implementation of the work programme shall be in close agreement with the details included in the management planning documentation. Any deviation from prescription or planned rate of progress shall be justified, overall objectives shall still be achieved and the ecological integrity of the trees maintained.</i></p> <p>PEFC UK TOF: 3. <i>Operations</i>, 3.1 <i>General</i>, 3.1.2:</p> <p>a) <i>The planning of operations shall include: ...</i></p> <ul style="list-style-type: none"> <i>Taking measures to protect water resources and soils, and prevent disturbance of and damage to priority species, habitats, ecosystems and landscape values, including adapting standard prescriptions where required. Any disturbance or damage which does occur shall be mitigated and/or repaired, and steps shall be taken to avoid recurrence.</i> <p>The UKWAS standard document, section <i>Glossary of terms</i>, defines ecological integrity as follows: <i>The health and vitality of the woodland's physical and biological components.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The PEFC UK TOF meets the requirements of the PEFC ST 1003:2018 up to an extent that is relevant with urban street trees.</p>
8.2.2 The standard requires that adequate genetic, species and structural diversity shall be encouraged or maintained to enhance the stability, vitality and resilience of the TOF area.	Y	<p>PEFC UK TOF: 2. <i>Management planning</i>, 2.6 <i>Tree species selection</i>, 2.6.1:</p> <p>a) <i>The range of species and genetic provenance selected for new planting shall be suited to the site and shall take into consideration:</i></p> <ul style="list-style-type: none"> <i>Improvement of long-term tree resilience</i> <i>Management objectives</i> <i>Landscape character.</i> <p>b) <i>Native species shall be preferred to non-native. If non-native species are used it shall be shown that they will clearly outperform native species in meeting the owner/manager's objectives or in achieving long-term resilience.</i></p>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		Conclusion: Conformity Justification: The PEFC UK TOF meets the requirements of the PEFC ST 1003:2018.
8.2.3 The standard requires that use of fire shall be limited to regions where fire is an essential tool in forest management for regeneration, wildfire protection and habitat management or a recognized practice of indigenous peoples. In these cases adequate management and control measures shall be taken.	Y	PEFC UK TOF: 3. Operations, 3.2 Harvest operations, 3.2.4: <i>The use of fire shall be limited to regions where fire is an essential tool in tree management for regeneration, wildfire protection and habitat management. In these cases adequate management and control measures shall be taken.</i> Conclusion: Conformity Justification: The PEFC UK TOF is in line with the PEFC ST 1003:2018.
8.2.4 The standard requires that appropriate TOF management practices shall use tree, crop and animal species and provenances that are suited to the site conditions and the use of tending, harvesting and transport techniques that minimise tree and/or soil damage shall be applied.	Y	PEFC UK TOF: 2. Management planning, 2.5 Assessment of environmental impacts, 2.5.1: ... a) <i>The results of the environmental assessments shall be incorporated into planning and implementation in order to avoid adverse environmental impacts of management activities, and to minimise or repair impacts that do occur.</i> PEFC UK TOF: 2. Management planning, 2.6 Tree species selection, 2.6.1: a) <i>The range of species and genetic provenance selected for new planting shall be suited to the site and shall take into consideration:</i> <ul style="list-style-type: none"> • <i>Improvement of long-term tree resilience</i> • <i>Management objectives</i> • <i>Landscape character.</i> b) <i>Native species shall be preferred to non-native. If non-native species are used it shall be shown that they will clearly outperform native species in meeting the owner/manager's objectives or in achieving long-term resilience.</i> PEFC UK TOF: 3. Operations, 3.2 Harvest operations, 3.2.1: a) <i>Timber and Non-Wood Tree Products (NWTPs) shall be harvested efficiently and with minimum loss or damage to environmental values.</i>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		<p>b) <i>Timber harvesting shall particularly seek to avoid:</i></p> <ul style="list-style-type: none"> • <i>Damage to soil and water courses including loss of soil carbon during felling, extraction and burning</i> • <i>Damage to standing trees, especially veteran trees and their root zones, during felling, extraction and burning</i> • <i>Degrade in felled timber.</i> <p>Conclusion: Conformity</p> <p>Justification: The PEFC UK TOF is in line with the PEFC ST 1003:2018.</p>
8.2.5 The standard requires that the indiscriminate disposal of waste on forest land shall be strictly avoided. Non-organic waste and litter shall be collected, stored in designated areas and removed in an environmentally-responsible manner. The spillage of oil or fuel during forest management operations shall be prevented. Emergency procedures for the minimisation of risk of environmental harm arising from the accidental spillage shall be in place.	Y	<p>PEFC UK TOF: 3. Operations, 3.4 Waste, 3.4.2:</p> <p>a) <i>The owner/manager shall prepare and implement a prioritised plan to manage and progressively remove redundant materials.</i></p> <p>b) <i>Waste is produced, stored, transported and disposed of without harming the environment in accordance with current regulations.</i></p> <p>PEFC UK TOF: 3. Operations, 3.5 Pollution, 3.5.1: <i>The owner/manager shall adopt management practices that minimise diffuse pollution arising from operations.</i></p> <p>PEFC UK TOF: 3. Operations, 3.5 Pollution, 3.5.2: <i>Plans and equipment shall be in place to deal with accidental spillages of fuels, oils, fertilisers or other chemicals.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The PEFC UK TOF meets the requirements of the PEFC ST 1003:2018.</p>
8.2.6 The standard requires that integrated pest management, appropriate silviculture alternatives and other biological measures shall be preferred to minimise the use of pesticides.	Y	<p>PEFC UK TOF: 3. Operations, 3.3 Pesticides, biological control agents and fertilisers, 3.3.2:</p> <p>a) <i>The owner/manager shall prepare and implement an effective integrated pest management strategy that:</i></p> <ul style="list-style-type: none"> • <i>Is appropriate to the scale of the certified area and the intensity of management</i>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		<ul style="list-style-type: none"> Adopts management systems that shall promote the development and application of non-chemical methods of pest and crop management by placing primary reliance on prevention and, where this is not practicable, biological control methods Takes account of the importance of safeguarding the value of sites and features with special biodiversity attributes when considering methods of control, and Demonstrates knowledge of the latest published advice and its appropriate application. <p>b) The strategy shall specify aims for the minimisation or elimination of pesticide usage, taking into account considerations of cost (economic, social and environmental), and the cyclical nature of management operations.</p> <p>c) Where pesticides and biological control agents are to be used the strategy shall justify their use demonstrating that there is no practicable alternative, in terms of economic, social and environmental costs.</p> <p>d) The strategy shall include a description of all known use over the previous five years, or the duration of the current ownership if that is less than five years.</p> <p>Conclusion: Conformity</p> <p>Justification: The PEFC UK TOF is in line with the PEFC ST 1003:2018.</p>
8.2.7 The standard requires that any use of pesticides is documented.	Y	<p>PEFC UK TOF: 3. Operations, 3.3 Pesticides, biological control agents and fertilisers, 3.3.2: ...</p> <p>d) The strategy shall include a description of all known use over the previous five years, or the duration of the current ownership if that is less than five years.</p> <p>Conclusion: Conformity</p> <p>Justification: The PEFC UK TOF is in line with the PEFC ST 1003:2018.</p>
8.2.8 The standard requires that the WHO Class 1A and 1B pesticides and other highly toxic pesticides shall be prohibited,	Y	<p>PEFC UK TOF: 3. Operations, 3.3 Pesticides, biological control agents and fertilisers, 3.3.4: ...</p>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
except where no other viable alternative is available. Any exception to the usage of WHO Class 1A and 1B pesticides shall be defined in the national/regional standard.		<p>b) <i>Pesticides categorised as Type 1A and 1B by the World Health Organization shall not be used unless:</i></p> <ul style="list-style-type: none"> <i>No effective and practicable alternatives are available</i> <i>Operational plans incorporate the results of TMU-level risk assessments in the Integrated Pest management strategy</i> <i>Any such mechanism provides for their use to be justified and on the condition that usage shall be discontinued once effective and practicable alternatives are available.</i> <p>PEFC UK: Section 6: Scheme Governance, 6.3.18 General Forest Management Requirements: <i>With regard to pesticides the organisation will comply with the requirements of UKWAS. The WHO Class 1A and 1B pesticides and other highly toxic pesticides shall be prohibited. UKWAS 5 clearly defines that an Integrated Pest management plan should be in place and the standards requirements followed.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The national scheme is in line with the PEFC ST 1003:2018.</p> <p>Note: The requirements set by the PEFC UK regarding the WHO Class 1A and 1B pesticides and other highly toxic pesticides are stricter than those of the PEFC UK TOF.</p>
<p>8.2.9 The standard requires that pesticides, such as chlorinated hydrocarbons whose derivatives remain biologically active and accumulate in the food chain beyond their intended use, and any pesticides banned by international agreement, shall be prohibited.</p> <p>Note: "Pesticides banned by international agreements" are defined in the Stockholm Convention on Persistent Organic Pollutants.</p>	Y	<p>PEFC UK TOF: 3. Operations, 3.3 Pesticides, biological control agents and fertilisers, 3.3.4:</p> <p>a) <i>Pesticides and biological control agents shall only be used if:</i></p> <ul style="list-style-type: none"> <i>They are approved for use by the UK regulatory authorities</i> <i>They are not banned by international agreement,</i> <p>PEFC UK: Section 6: Scheme Governance, 6.3.18 General Forest Management Requirements: <i>With regard to pesticides the organisation will comply with the requirements of UKWAS. The WHO Class 1A and 1B pesticides and other highly toxic pesticides shall be prohibited. UKWAS 5 clearly defines that an Integrated Pest management plan should be in place and the standards requirements followed.</i></p>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		<p>Conclusion: Conformity</p> <p>Justification: The national scheme is in line with the PEFC ST 1003:2018.</p>
8.2.10 The standard requires that the use of pesticides shall follow the instructions given by the pesticide producer and be implemented with proper equipment by trained personnel.	Y	<p>PEFC UK TOF: 3. Operations, 3.3 Pesticides, biological control agents and fertilisers, 3.3.4:</p> <p>a) <i>Pesticides and biological control agents shall only be used if: ...</i></p> <ul style="list-style-type: none"> <i>The producer's instructions are followed and applied with the correct equipment and training</i> <p>Conclusion: Conformity</p> <p>Justification: The PEFC UK TOF is in line with the PEFC ST 1003:2018.</p>
8.2.11 The standard requires that where fertilisers are used, they shall be applied in a controlled manner and with due consideration for the environment. Fertilizer use shall not be an alternative to appropriate soil nutrient management.	Y	<p>PEFC UK TOF: 3. Operations, 3.3 Pesticides, biological control agents and fertilisers, 3.3.5:</p> <p>a) <i>Fertilisers (inorganic and organic) shall only be used where they are necessary to secure establishment or to correct subsequent nutrient deficiencies.</i></p> <p>b) <i>Where fertilisers are to be used the owner/manager and workers shall be aware of and shall be implementing legal requirements and best practice guidance for their use.</i></p> <p>c) <i>No fertilisers shall be applied:</i></p> <ul style="list-style-type: none"> <i>In priority habitats</i> <i>Around priority plant species, or</i> <i>Around veteran trees.</i> <p>d) <i>In addition, bio-solids shall only be used following an assessment of environmental impacts in accordance with section 2.5.</i></p> <p>Conclusion: Conformity</p>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		Justification: The PEFC UK TOF is in line with the PEFC ST 1003:2018.
8.3 Criterion 3: Maintenance and encouragement of productive functions of forests (wood and non-wood)		
8.3.1 The standard requires that the capability of the TOF area to provide wood products, non-wood forest products and/or services from trees on a sustainable basis shall be maintained.	Y	<p>PEFC UK TOF: 2. <i>Management planning</i>, 2.4 <i>Productive potential of the management unit (TMU)</i>, 2.4.1:</p> <p>a) <i>Harvesting of Products including timber and Non-Wood Tree Products (NWTPs) or use of ecosystem services from the TMU shall be at or below a level which can be permanently sustained.</i></p> <p>PEFC UK TOF: 2. <i>Management planning</i>, 2.8 <i>Implementation, amendment and revision of the plan</i>, 2.8.1: <i>The implementation of the work programme shall be in close agreement with the details included in the management planning documentation. Any deviation from prescription or planned rate of progress shall be justified, overall objectives shall still be achieved and the ecological integrity of the trees maintained.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The PEFC UK TOF is in line with the PEFC ST 1003:2018.</p>
8.3.2 The standard requires that sound economic performance shall be pursued, taking into account possibilities for new markets and economic activities in connection with all relevant goods and services of forests.	Y	<p>PEFC UK TOF: 2. <i>Management planning</i>, 2.1 <i>Long-term policy and objectives</i>, 2.1.1:</p> <p>a) <i>The owner/manager shall have a long-term policy and management objectives which are environmentally positive, socially beneficial and economically viable and take full account of the need to embed tree resilience.</i></p> <p><i>Guidance: Economic viability need not be based on, or solely on, the sale of products from woodland. Income from other sources, such as membership subscriptions, government funding or private investment, might be sufficient to achieve the policy and objectives of management.</i></p> <p>PEFC UK TOF: 2. <i>Management planning</i>, 2.1 <i>Long-term policy and objectives</i>, 2.1.3: <i>The owner/manager shall aim to secure the necessary investment to implement the management plan in order to meet this standard and to ensure long-term economic viability.</i></p>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		Conclusion: Conformity Justification: The PEFC UK TOF is in line with the PEFC ST 1003:2018.
8.3.3 The standard requires that management, harvesting and regeneration operations shall be carried out at a time, and in a way, that does not reduce the productive capacity of the site, for example by avoiding damage to soil and retained stands and trees.	Y	PEFC UK TOF: 2. <i>Management planning</i> , 2.4 <i>Productive potential of the management unit (TMU)</i> , 2.4.1: a) <i>Harvesting of Products including timber and Non-Wood Tree Products (NWTPs) or use of ecosystem services from the TMU shall be at or below a level which can be permanently sustained.</i> PEFC UK TOF: 3. <i>Operations</i> , 3.2 <i>Harvest operations</i> , 3.2.1: a) <i>Timber and Non-Wood Tree Products (NWTPs) shall be harvested efficiently and with minimum loss or damage to environmental values.</i> b) <i>Timber harvesting shall particularly seek to avoid:</i> <ul style="list-style-type: none"> <i>Damage to soil and water courses including loss of soil carbon during felling, extraction and burning</i> <i>Damage to standing trees, especially veteran trees and their root zones, during felling, extraction and burning</i> Conclusion: Conformity Justification: The PEFC UK TOF is in line with the PEFC ST 1003:2018.
8.3.4 The standard requires that harvesting levels of both wood and non-wood forest products shall not exceed a rate that can be sustained in the long term, and optimum use shall be made of the harvested products.	Y	PEFC UK TOF: 2. <i>Management planning</i> , 2.4 <i>Productive potential of the management unit (TMU)</i> , 2.4.1: a) <i>Harvesting of Products including timber and Non-Wood Tree Products (NWTPs) or use of ecosystem services from the TMU shall be at or below a level which can be permanently sustained.</i> PEFC UK TOF: 5. <i>People, communities and workers</i> , 5.3 <i>Local economy</i> , 5.3.1: <i>The owner/manager shall promote the integration of operations into the local economy by:</i>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		<ul style="list-style-type: none"> <i>Making the best use of the trees' potential products and services consistent with other objectives</i> <p>Conclusion: Conformity</p> <p>Justification: The PEFC UK TOF is in line with the PEFC ST 1003:2018.</p>
8.3.5 The standard requires that adequate infrastructure such as roads, skid tracks or bridges shall be planned, established and maintained to ensure efficient delivery of goods and services while minimising negative impacts on the environment.	NA	<p>Conclusion: Not applicable</p> <p>Justification: The requirement is not applicable in the context of urban street trees. Development and maintenance of the infrastructure referred to in the benchmark is likely to be within responsibilities of a different department than management of the trees.</p>
8.4 Criterion 4: Maintenance, conservation and appropriate enhancement of biological diversity in forest ecosystems		
<p>8.4.1 The standard requires that management planning shall aim to maintain, conserve or enhance biodiversity on landscape, ecosystem, species and genetic levels.</p> <p>Note: When the requirement is not achievable within individual, TOF-extensive areas, it can be considered at landscape level or through group certification.</p>	Y	<p>PEFC UK TOF: 2. <i>Management planning</i>, 2.4 <i>Productive potential of the management unit (TMU)</i>, 2.4.1: ...</p> <p>d) <i>The owner/manager shall maintain and enhance eco-system services that arise from the TMU</i></p> <p>PEFC UK TOF: 2. <i>Management planning</i>, 2.6 <i>Tree species selection</i>, 2.6.1:</p> <p>a) <i>The range of species and genetic provenance selected for new planting shall be suited to the site and shall take into consideration:</i></p> <ul style="list-style-type: none"> <i>Improvement of long-term tree resilience</i> <i>Management objectives</i> <i>Landscape character.</i> <p>PEFC UK TOF: 4. <i>Natural, historical and cultural environment</i>, 4.1 <i>Environmental Statutory designations and protected species</i>, 4.1.1:</p> <p>a) <i>Areas and features of high conservation value having particular significance for biodiversity shall be identified by reference to statutory designations at national or regional level and/or through assessment on the ground.</i></p>



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PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		<p><i>b) Adopting a precautionary approach, the identified areas, species and features of high conservation value shall be maintained and, where possible, enhanced.</i></p> <p>PEFC UK TOF: 4. Natural, historical and cultural environment, 4.1 Environmental Statutory designations and protected species, 4.1.2: <i>Appropriate measures shall be taken to protect identified priority habitats and species in accordance with plans agreed with nature conservation agencies. ...</i></p> <p>Conclusion: Conformity</p> <p>Justification: The PEFC UK TOF is in line with the PEFC ST 1003:2018.</p>
<p>8.4.2 The standard requires that inventory, mapping and planning of forest resources shall identify, protect, conserve or set aside ecologically important forest areas.</p> <p>Note: This does not prohibit forest management activities that do not damage the important ecologic values of those biotopes.</p>	Y	<p>PEFC UK TOF: 4. Natural, historical and cultural environment, 4.1 Environmental Statutory designations and protected species, 4.1.1:</p> <p><i>a) Areas and features of high conservation value having particular significance for biodiversity shall be identified by reference to statutory designations at national or regional level and/or through assessment on the ground.</i></p> <p><i>b) Adopting a precautionary approach, the identified areas, species and features of high conservation value shall be maintained and, where possible, enhanced.</i></p> <p>PEFC UK TOF: 4. Natural, historical and cultural environment, 4.1 Environmental Statutory designations and protected species, 4.1.2: <i>Appropriate measures shall be taken to protect identified priority habitats and species in accordance with plans agreed with nature conservation agencies. ...</i></p> <p>Conclusion: Conformity</p> <p>Justification: The PEFC UK TOF is in line with the PEFC ST 1003:2018.</p>
<p>8.4.3 The standard requires that protected, threatened and endangered plant and animal species shall not be exploited for commercial purposes. Where necessary, measures shall be taken for their protection and, where relevant, to increase their population.</p>	NA	<p>Conclusion: Not applicable</p> <p>Justification: The requirement is not considered to be applicable in the context of urban street trees.</p>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
Note: The requirement does not preclude trade according to CITES requirements.		
8.4.4 The standard requires that successful regeneration shall be ensured through natural regeneration or planting that is adequate to ensure the quantity and quality of the forest resources.	N	<p>Conclusion: Minor non-conformity</p> <p>Justification: The PEFC UK TOF does not place requirements regarding regeneration of trees.</p> <p>Comment: The benchmark requirement on regeneration of trees is not well applicable with urban street trees. Responding to it adequately in this context requires more detailed guidelines.</p>
<p>8.4.5 The standard requires that for reforestation and afforestation origins of native species that are well-adapted to site conditions shall be preferred. Only those introduced species, provenances or varieties shall be used whose impacts on the ecosystem and on the genetic integrity of native species and local provenances have been scientifically evaluated, and if negative impacts can be avoided or minimised.</p> <p>Note: CBD (Convention on Biological Diversity) Guiding Principles for the Prevention, Introduction, and Mitigation of Impacts of Alien Species that Threaten Ecosystems, Habitats or Species are recognised as guidance for avoidance of invasive species.</p>	NA	<p>Conclusion: Not applicable</p> <p>Justification: The requirement is not considered to be applicable in the context of urban street trees.</p>
8.4.6 The standard requires that afforestation, reforestation and other tree planting activities that contribute to the improvement and restoration of ecological connectivity shall be promoted.	Y	<p>PEFC UK TOF: 2. <i>Management planning</i>, 2.5 <i>Assessment of environmental impacts</i>, 2.5.1: ...</p> <p>c) <i>Tree planting activities that contribute to the improvement and restoration of ecological connectivity shall be promoted.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The PEFC UK TOF is in line with the PEFC ST 1003:2018.</p>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
<p>8.4.7 The standard requires that genetically-modified trees shall not be used.</p> <p>Note: The restriction on the usage of genetically-modified trees has been adopted by the PEFC General Assembly based on the Precautionary Principle. Until enough scientific data on genetically modified trees indicates that impacts on human and animal health and the environment are equivalent to, or more positive than, those presented by trees genetically improved by traditional methods, no genetically-modified trees will be used.</p>	Y	<p>PEFC UK TOF: 1. <i>Legal compliance and PEFC TOF standard conformance</i>, 1.3 <i>Genetically modified organisms</i>, 1.3.1: <i>Genetically modified organisms (GMOs) shall not be used.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The PEFC UK TOF is in line with the PEFC ST 1003:2018.</p>
<p>8.4.8 The standard requires that a diversity of both horizontal and vertical structures and the diversity of species such as mixed stands shall be promoted, where appropriate. The practices shall also aim to maintain or restore landscape diversity.</p>	Y	<p>PEFC UK TOF: 2. <i>Management planning</i>, 2.6 <i>Tree species selection</i>, 2.6.1:</p> <p>a) <i>The range of species and genetic provenance selected for new planting shall be suited to the site and shall take into consideration:</i></p> <ul style="list-style-type: none"> <i>Improvement of long-term tree resilience</i> <i>Management objectives</i> <i>Landscape character.</i> <p>b) <i>Native species shall be preferred to non-native. If non-native species are used it shall be shown that they will clearly outperform native species in meeting the owner/manager's objectives or in achieving long-term resilience.</i></p> <p>PEFC UK TOF: 4. <i>Natural, historical and cultural environment</i>, 4.1 <i>Environmental Statutory designations and protected species</i>, 4.1.1: ...</p> <p>b) <i>Adopting a precautionary approach, the identified areas, species and features of high conservation value shall be maintained and, where possible, enhanced.</i></p> <p>PEFC UK TOF: 4. <i>Natural, historical and cultural environment</i>, 4.2 <i>Watershed management and erosion control</i>, 4.2.2: <i>The owner/manager shall plan and take action to maintain continuity of veteran tree habitat by:</i></p> <ul style="list-style-type: none"> <i>Keeping existing veteran trees, and</i>



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PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		<ul style="list-style-type: none"> Managing or establishing suitable trees to eventually take the place of existing veterans. <p>PEFC UK TOF: 4. Natural, historical and cultural environment, 4.2 Watershed management and erosion control, 4.2.3:</p> <p>a) The owner/manager shall plan and take action to accumulate a diversity of both standing and fallen deadwood over time.</p> <p>PEFC UK TOF: Glossary of terms. Veteran tree: A tree that is of interest biologically, culturally or aesthetically because of its age, size or condition, including the presence of deadwood micro-habitats.</p> <p>Conclusion: Conformity</p> <p>Justification: The PEFC UK TOF meets the requirements of the PEFC ST 1003:2018.</p>
8.4.9 The standard requires that traditional management practices that create valuable ecosystems on appropriate sites shall be supported, where appropriate.	Y	<p>PEFC UK TOF: 5. People, communities and workers, 5.1 Access and recreation including traditional and permissive use rights, 5.1.1:</p> <p>a) Existing permissive or traditional uses of the trees shall be identified and sustained except when such uses can be shown to threaten their integrity or the achievement of the objectives of management.</p> <p>Conclusion: Conformity</p> <p>Justification: The PEFC UK TOF is in line with the PEFC ST 1003:2018.</p>
8.4.10 The standard requires that tending and harvesting operations shall be conducted in a way that does not cause lasting damage to ecosystems. Wherever possible, practical measures shall be taken to maintain or improve biological diversity.	Y	<p>PEFC UK TOF: 3. Operations, 3.1 General, 3.1.2:</p> <p>a) The planning of operations shall include: ...</p> <ul style="list-style-type: none"> Taking measures to protect water resources and soils, and prevent disturbance of and damage to priority species, habitats, ecosystems and landscape values, including adapting standard prescriptions where required. Any disturbance or



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PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		<p><i>damage which does occur shall be mitigated and/or repaired, and steps shall be taken to avoid recurrence.</i></p> <p>PEFC UK TOF: 3. Operations, 3.2 Harvest operations, 3.2.1:</p> <p>a) <i>Timber and Non-Wood Tree Products (NWTPs) shall be harvested efficiently and with minimum loss or damage to environmental values.</i></p> <p>b) <i>Timber harvesting shall particularly seek to avoid:</i></p> <ul style="list-style-type: none"> • <i>Damage to soil and water courses including loss of soil carbon during felling, extraction and burning</i> • <i>Damage to standing trees, especially veteran trees and their root zones, during felling, extraction and burning</i> • <i>Degrade in felled timber.</i> <p>PEFC UK TOF: 4. Natural, historical and cultural environment, 4.1 Environmental Statutory designations and protected species, 4.1.1: ...</p> <p>b) <i>Adopting a precautionary approach, the identified areas, species and features of high conservation value shall be maintained and, where possible, enhanced.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The PEFC UK TOF is in line with the PEFC ST 1003:2018.</p>
<p>8.4.11 The standard requires that infrastructure shall be planned and constructed in a way that minimizes damage to ecosystems, especially to rare, sensitive or representative ecosystems and genetic reserves, and that takes threatened or other key species – in particular their migration patterns – into consideration.</p>	<p>Y</p>	<p>PEFC UK TOF: 3. Operations, 3.1 General, 3.1.2: ...</p> <p>b) <i>Roads and any timber extraction tracks, visitor access infrastructure and associated drainage shall be designed, created, used and maintained in a manner that minimises their environmental impact.</i></p> <p>PEFC UK TOF: 4. Natural, historical and cultural environment, 4.1 Environmental Statutory designations and protected species, 4.1.1: ...</p> <p>b) <i>Adopting a precautionary approach, the identified areas, species and features of high conservation value shall be maintained and, where possible, enhanced.</i></p>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		<p>Conclusion: Conformity</p> <p>Justification: The PEFC UK TOF is in line with the PEFC ST 1003:2018.</p>
8.4.12 The standard requires that, with due regard to management objectives, measures shall be taken to balance the effect of domesticated and wild animals on the regeneration and growth of trees, as well as on biodiversity and the control of fire.	Y	<p>PEFC UK TOF: 2. <i>Management planning</i>, 2.5 <i>Assessment of environmental impacts</i>, 2.5.2:</p> <p>a) <i>The owner/manager shall assess the potential negative impacts of natural hazards on the trees and their associated eco-system services, including drought, floods, wind, fire, invasive plant and animal species, and other pests and diseases.</i></p> <p>b) <i>Planting plans shall be designed to mitigate the risk of damage from natural hazards.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The PEFC UK TOF meets the requirements of the PEFC ST 1003:2018.</p>
8.4.13 The standard requires that standing and fallen dead wood, hollow trees, old groves and rare tree species shall be left in quantities and distribution necessary to safeguard biological diversity, taking into account the potential effect on the health and stability of forests and on surrounding ecosystems.	Y	<p>PEFC UK TOF: 4. <i>Natural, historical and cultural environment</i>, 4.1 <i>Environmental Statutory designations and protected species</i>, 4.1.1: ...</p> <p>b) <i>Adopting a precautionary approach, the identified areas, species and features of high conservation value shall be maintained and, where possible, enhanced.</i></p> <p>PEFC UK TOF: 4. <i>Natural, historical and cultural environment</i>, 4.2 <i>Watershed management and erosion control</i>, 4.2.2: <i>The owner/manager shall plan and take action to maintain continuity of veteran tree habitat by:</i></p> <ul style="list-style-type: none"> <i>Keeping existing veteran trees, and</i> <i>Managing or establishing suitable trees to eventually take the place of existing veterans.</i> <p>PEFC UK TOF: 4. <i>Natural, historical and cultural environment</i>, 4.2 <i>Watershed management and erosion control</i>, 4.2.3:</p> <p>a) <i>The owner/manager shall plan and take action to accumulate a diversity of both standing and fallen deadwood over time.</i></p>



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PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		<p>b) <i>The owner/manager shall identify areas where deadwood is likely to be of greatest nature conservation benefit and shall plan and take action to accumulate large dimension standing and fallen deadwood and deadwood in living trees in those areas.</i></p> <p>PEFC UK TOF: <i>Glossary of terms. Veteran tree: A tree that is of interest biologically, culturally or aesthetically because of its age, size or condition, including the presence of deadwood micro-habitats.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The PEFC UK TOF is in line with the PEFC ST 1003:2018.</p>
8.5 Criterion 5: Maintenance or appropriate enhancement of protective functions in forest management (notably soil and water)		
8.5.1 The standard requires that the protective functions of trees within the agriculture and settlement landscape shall be maintained or enhanced.	Y	<p>PEFC UK TOF: 2. <i>Management planning</i>, 2.4 <i>Productive potential of the management unit (TMU)</i>, 2.4.1: ...</p> <p>d) <i>The owner/manager shall maintain and enhance eco-system services that arise from the TMU</i></p> <p>Conclusion: Conformity</p> <p>Justification: The PEFC UK TOF is in line with the PEFC ST 1003:2018.</p>
8.5.2 The standard requires that areas that fulfil specific and recognised protective functions for society shall be mapped, and forest management plans and operations shall ensure the maintenance or enhancement of these functions.	Y	<p>PEFC UK TOF: 2. <i>Management planning</i>, 2.2 <i>Documentation</i>, 2.2.1: <i>All parts of the certified area shall be covered by management planning documentation which shall be retained for at least ten years and shall incorporate: ...</i></p> <p>b) <i>Assessment of relevant components of the resource, including potential products and services which are consistent with the management objectives. ...</i></p> <p>d) <i>Identification of special characteristics and sensitivities of the trees and appropriate treatments.</i></p> <p>e) <i>Identification of community and social needs and sensitivities. ...</i></p> <p>k) <i>Appropriate maps.</i></p>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		<p>PEFC UK TOF: 2. <i>Management planning</i>, 2.4 <i>Productive potential of the management unit (TMU)</i>, 2.4.1: ...</p> <p>d) <i>The owner/manager shall maintain and enhance eco-system services that arise from the TMU</i></p> <p>PEFC UK TOF: 3. <i>Operations</i>, 3.1 <i>General</i>, 3.1.2:</p> <p>a) <i>The planning of operations shall include: ...</i></p> <ul style="list-style-type: none"> <i>Taking measures to protect water resources and soils, and prevent disturbance of and damage to priority species, habitats, ecosystems and landscape values, including adapting standard prescriptions where required. Any disturbance or damage which does occur shall be mitigated and/or repaired, and steps shall be taken to avoid recurrence.</i> <p>Conclusion: Conformity</p> <p>Justification: The PEFC UK TOF is in line with the PEFC ST 1003:2018.</p>
8.5.3 The standard requires that special care shall be given to forestry operations on sensitive soils and erosion-prone areas as well as in areas where operations might lead to excessive erosion of soil into watercourses. Techniques applied and the machinery used shall be suitable for such areas. Special measures shall be taken to minimise the pressure of animal populations on these areas.	Y	<p>PEFC UK TOF: 3. <i>Operations</i>, 3.1 <i>General</i>, 3.1.2:</p> <p>a) <i>The planning of operations shall include: ...</i></p> <ul style="list-style-type: none"> <i>Taking measures to protect water resources and soils, and prevent disturbance of and damage to priority species, habitats, ecosystems and landscape values, including adapting standard prescriptions where required. Any disturbance or damage which does occur shall be mitigated and/or repaired, and steps shall be taken to avoid recurrence.</i> <p>PEFC UK TOF: 3. <i>Operations</i>, 3.2 <i>Harvest operations</i>, 3.2.1:</p> <p>a) <i>Timber and Non-Wood Tree Products (NWTPs) shall be harvested efficiently and with minimum loss or damage to environmental values.</i></p> <p>b) <i>Timber harvesting shall particularly seek to avoid:</i></p>



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PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		<ul style="list-style-type: none"> • <i>Damage to soil and water courses including loss of soil carbon during felling, extraction and burning</i> <p>PEFC UK TOF: 3. Operations, 3.2 Harvest operations, 3.2.3: <i>Stump removal shall be practised only where there is demonstrable management benefit, and where a full consideration of impacts shows that there are not likely to be any significant negative effects.</i></p> <p>PEFC UK TOF: 4. Natural, historical and cultural environment, 4.2 Watershed management and erosion control, 4.2.1:</p> <p>a) <i>Areas and features of critical importance for watershed management or erosion control shall be identified in consultation with relevant statutory bodies.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The PEFC UK TOF is in line with the PEFC ST 1003:2018.</p>
<p>8.5.4 The standard requires that special care shall be given to forestry operations in forest areas with water protection functions to avoid adverse effects on the quality and quantity of water resources. Inappropriate use of chemicals or other harmful substances or inappropriate silvicultural practices influencing water quality in a harmful way shall be avoided. Downstream water balance and water quality shall not be significantly affected by the operations.</p>	Y	<p>PEFC UK TOF: 3. Operations, 3.1 General, 3.1.2:</p> <p>b) <i>The planning of operations shall include: ...</i></p> <ul style="list-style-type: none"> • <i>Taking measures to protect water resources and soils, and prevent disturbance of and damage to priority species, habitats, ecosystems and landscape values, including adapting standard prescriptions where required. Any disturbance or damage which does occur shall be mitigated and/or repaired, and steps shall be taken to avoid recurrence.</i> <p>PEFC UK TOF: 3. Operations, 3.2 Harvest operations, 3.2.1:</p> <p>a) <i>Timber and Non-Wood Tree Products (NWTPs) shall be harvested efficiently and with minimum loss or damage to environmental values.</i></p> <p>b) <i>Timber harvesting shall particularly seek to avoid:</i></p> <ul style="list-style-type: none"> • <i>Damage to soil and water courses including loss of soil carbon during felling, extraction and burning</i>



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PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		<p>PEFC UK TOF: 3. Operations, 3.2 Harvest operations, 3.2.3: <i>Stump removal shall be practised only where there is demonstrable management benefit, and where a full consideration of impacts shows that there are not likely to be any significant negative effects.</i></p> <p>PEFC UK TOF: 3. Operations, 3.3 Pesticides, biological control agents and fertilisers, 3.3.1: ...</p> <p>c) <i>Damage to environmental values from pesticide and biological control agent use shall be avoided, mitigated and/or repaired, and steps shall be taken to avoid recurrence.</i></p> <p>PEFC UK TOF: 3. Operations, 3.5 Pollution, 3.5.1: <i>The owner/manager shall adopt management practices that minimise diffuse pollution arising from operations.</i></p> <p>PEFC UK TOF: 4. Natural, historical and cultural environment, 4.2 Watershed management and erosion control, 4.2.1:</p> <p>a) <i>Areas and features of critical importance for watershed management or erosion control shall be identified in consultation with relevant statutory bodies.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The PEFC UK TOF is in line with the PEFC ST 1003:2018.</p>
8.5.5 The standard requires that construction of roads, bridges and other infrastructure shall be carried out in a manner that minimises bare soil exposure, avoids the introduction of soil into watercourses and preserves the natural level and function of water courses and river beds. Proper road drainage facilities shall be installed and maintained.	NA	<p>Conclusion: Not applicable</p> <p>Justification: The requirement is not applicable in the context of urban street trees. Development and maintenance of the infrastructure referred to in the benchmark is likely to be within responsibilities of a different department than management of the trees.</p>
8.6 Criterion 6: Maintenance or appropriate enhancement of socio-economic functions and conditions		
8.6.1 The standard requires that forest management planning shall aim to respect all socio-economic functions of forests.	Y	PEFC UK TOF: 2. Management planning, 2.1 Long-term policy and objectives, 2.1.2: <i>Management planning shall take fully into account the positive and negative economic,</i>



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PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		<p><i>environmental and social impacts of proposed operations, including potential impacts outside the certified area.</i></p> <p>PEFC UK TOF: 2. <i>Management planning, 2.2 Documentation, 2.2.1: All parts of the certified area shall be covered by management planning documentation which shall be retained for at least ten years and shall incorporate: ...</i></p> <p><i>e) Identification of community and social needs and sensitivities.</i></p> <p>PEFC UK TOF: 5. <i>People, communities and workers, 5.1 Access and recreation including traditional and permissive use rights, 5.1.1:</i></p> <p><i>a) Existing permissive or traditional uses of the trees shall be identified and sustained except when such uses can be shown to threaten their integrity or the achievement of the objectives of management.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The PEFC UK TOF reflects the PEFC ST 1003:2018 requirements.</p>
<p>8.6.2 The standard requires that adequate public access to forests for the purpose of recreation shall be provided, taking into account respect for ownership rights, safety and the rights of others, the effects on forest resources and ecosystems, as well as compatibility with other functions of the forest.</p>	<p>Y</p>	<p>PEFC UK TOF: 5. <i>People, communities and workers, 5.1 Access and recreation including traditional and permissive use rights, 5.1.1:</i></p> <p><i>a) Existing permissive or traditional uses of the trees shall be identified and sustained except when such uses can be shown to threaten their integrity or the achievement of the objectives of management.</i></p> <p>PEFC UK TOF: 5. <i>People, communities and workers, 5.1 Access and recreation including traditional and permissive use rights, 5.1.2:</i></p> <p><i>a) There shall be provision for some public access subject only to limited exemptions.</i></p> <p><i>b) Where there is a special demand for further public access for the purpose of specific types of access provision or community use, the owner/manager shall make reasonable efforts to meet this demand.</i></p> <p>Conclusion: Conformity</p>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		Justification: The PEFC UK TOF reflects the PEFC ST 1003:2018 requirements.
8.6.3 The standard requires that sites with recognised specific historical, cultural or spiritual significance and areas fundamental to meeting the needs of indigenous peoples and local communities (e.g. health, subsistence) shall be protected or managed in a way that takes due regard of the significance of the site.	Y	<p>PEFC UK TOF: 4. <i>Natural, historical and cultural environment</i>, 4.3 <i>Protection of cultural and historic environment sites</i>, 4.3.1: ... <i>the owner/manager shall:</i></p> <ul style="list-style-type: none"> • <i>Identify sites and features of special cultural and historical significance, ...</i> • <i>Adopting a precautionary approach, devise and implement measures to maintain and/or enhance them.</i> <p>Conclusion: Conformity</p> <p>Justification: The PEFC UK TOF is in line with the PEFC ST 1003:2018.</p>
8.6.4 The standard requires that management shall promote the long-term health and well-being of communities within or adjacent to the forest management area, where appropriate supported by engagement with local communities and indigenous peoples.	Y	<p>PEFC UK TOF: 2. <i>Management planning</i>, 2.2 <i>Documentation</i>, 2.2.1: <i>All parts of the certified area shall be covered by management planning documentation which shall be retained for at least ten years and shall incorporate: ...</i></p> <p>e) <i>Identification of community and social needs and sensitivities.</i></p> <p>PEFC UK TOF: 2. <i>Management planning</i>, 2.3 <i>Consultation and co-operation</i>, 2.3.1: ...</p> <p>c) <i>The owner/manager shall consult appropriately with local people, relevant organisations and other interested parties, and provide opportunities for their engagement in planning, sharing knowledge and monitoring processes.</i></p> <p>PEFC UK TOF: 5. <i>People, communities and workers</i>, 5.3 <i>Local economy</i>, 5.3.1: <i>The owner/manager shall promote the integration of operations into the local economy by: ...</i></p> <ul style="list-style-type: none"> • <i>Providing local people with equitable opportunities for employment and to supply goods and services.</i> <p>Conclusion: Conformity</p> <p>Justification: The PEFC UK TOF meets the requirements of the PEFC ST 1003:2018.</p>
8.6.5 The standard requires that traditional knowledge and recognized best practice for agroforestry & TOF management be	N	PEFC UK TOF: 2. <i>Management planning</i> , 2.3 <i>Consultation and co-operation</i> , 2.3.1: ...



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PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
utilized. Equitable sharing of the benefits arising from the utilization of such knowledge, innovations and practices shall be encouraged.		<p>c) <i>The owner/manager shall consult appropriately with local people, relevant organisations and other interested parties, and provide opportunities for their engagement in planning, sharing knowledge and monitoring processes.</i></p> <p>Conclusion: Minor non-conformity</p> <p>Justification: The PEFC UK TOF requires a high level of consultation with stakeholders in general. However, it takes no stand on the benefit-sharing related to utilisation of the information referred to in the PEFC ST 1003:2018.</p> <p>Comment: The benchmark requirement on utilising, benefitting and sharing the benefit from local/traditional knowledge is not well applicable with urban street trees.</p>
8.6.6 The standard requires that management shall give due regard to the role of forestry in local economies. Special consideration shall be given to new opportunities for training and employment of local people, including indigenous peoples.	Y	<p>PEFC UK TOF: 5. People, communities and workers, 5.3 Local economy, 5.3.1: <i>The owner/manager shall promote the integration of operations into the local economy by: ...</i></p> <ul style="list-style-type: none"> • <i>Providing local people with equitable opportunities for employment and to supply goods and services.</i> <p>PEFC UK TOF: 5. People, communities and workers, 5.5 Training and continuing development, 5.5.2: <i>The owner/manager shall promote training and encourage and support new recruits to the industry.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The PEFC UK TOF is in line with the PEFC ST 1003:2018.</p>
8.6.7 The standard requires that forest management shall contribute to research activities and data collection needed for sustainable forest management or support relevant research activities carried out by other organisations, as appropriate.	N	<p>PEFC UK TOF: <i>Introduction. Research: The owner/manager should consider contributing to and/or supporting relevant research activities which benefit the future management of trees.</i></p> <p>Conclusion: Minor non-conformity</p> <p>Justification: Stating <i>should</i> instead of <i>shall</i>, the PEFC UK TOF has a lower level of requirement than the PEFC ST 1003:2018.</p>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
9. Performance evaluation		
9.1 Monitoring, measurement, analysis and evaluation		
<p>9.1.1 The standard requires that monitoring of forest resources and evaluation of their management, including ecological, social and economic effects, shall be periodically performed, and results fed back into the planning process.</p>	Y	<p>PEFC UK TOF: 2. <i>Management planning</i>, 2.9 <i>Monitoring</i>, 2.9.1:</p> <p>a) <i>The owner/manager shall devise and implement a monitoring programme appropriate to the scale and intensity of management.</i></p> <p>b) <i>The monitoring programme shall be:</i></p> <ul style="list-style-type: none"> • <i>Part of the management planning documentation</i> • <i>Consistent and replicable over time to allow comparison of results and assessment of change</i> • <i>Kept in a form that ensures that results are of use over the long term.</i> <p>c) <i>The owner/manager shall where applicable monitor and record:</i></p> <ul style="list-style-type: none"> • <i>The implementation of policies and objectives and the achievement of verifiable targets</i> • <i>Implementation of operations</i> • <i>Tree cover</i> • <i>Social impacts</i> • <i>Environmental impacts</i> • <i>Changes in environmental condition</i> • <i>Usage of pesticides, biological control agents and fertilisers and any adverse impacts</i> • <i>Environmentally appropriate disposal of waste materials.</i> <p>PEFC UK TOF: 2. <i>Management planning</i>, 2.9 <i>Monitoring</i>, 2.9.2: <i>The owner/manager shall take monitoring findings into account, particularly during revision of the management planning documentation, and if necessary shall revise management objectives, verifiable targets and/or management activities.</i></p> <p>Conclusion: Conformity</p>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		Justification: The PEFC UK TOF is in line with the PEFC ST 1003:2018.
9.1.2 The standard requires that health and vitality of forests shall be periodically monitored, especially key biotic and abiotic factors that potentially affect health and vitality of forest ecosystems, such as pests, diseases, overgrazing and overstocking, fire, and damage caused by climatic factors, air pollutants or by forest management operations.	Y	<p>PEFC UK TOF: 2. <i>Management planning</i>, 2.5 <i>Assessment of environmental impacts</i>, 2.5.2:</p> <p>a) <i>The owner/manager shall assess the potential negative impacts of natural hazards on the trees and their associated eco-system services, including drought, floods, wind, fire, invasive plant and animal species, and other pests and diseases.</i></p> <p>PEFC UK TOF: 2. <i>Management planning</i>, 2.9 <i>Monitoring</i>, 2.9.1: ...</p> <p>c) <i>The owner/manager shall where applicable monitor and record:</i></p> <ul style="list-style-type: none"> • <i>The implementation of policies and objectives and the achievement of verifiable targets</i> • <i>Implementation of operations</i> • <i>Tree cover ...</i> • <i>Environmental impacts</i> • <i>Changes in environmental condition</i> <p>d) <i>Monitoring targets shall fully consider any special features of the certified area.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The PEFC UK TOF meets the requirements of the PEFC ST 1003:2018.</p>
9.1.3 The standard requires that where it is the responsibility of the forest owner/manager and included in forest management, the use of non-wood forest products, including hunting and fishing, shall be regulated, monitored and controlled.	Y	<p>PEFC UK TOF: 2. <i>Management planning</i>, 2.2 <i>Documentation</i>, 2.2.1: <i>All parts of the certified area shall be covered by management planning documentation which shall be retained for at least ten years and shall incorporate: ...</i></p> <p>h) <i>Where applicable, annual allowable harvest of Non-Wood Tree Products (NWTPs).</i></p> <p>PEFC UK TOF: 2. <i>Management planning</i>, 2.4 <i>Productive potential of the management unit (TMU)</i>, 2.4.1:</p> <p>a) <i>Harvesting of Products including timber and Non-Wood Tree Products (NWTPs) or use of ecosystem services from the TMU shall be at or below a level which can be permanently sustained.</i></p>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		<p>PEFC UK TOF: 2. <i>Management planning</i>, 2.9 <i>Monitoring</i>, 2.9.1: ...</p> <p>c) <i>The owner/manager shall where applicable monitor and record:</i></p> <ul style="list-style-type: none"> <i>The implementation of policies and objectives and the achievement of verifiable targets</i> <p>PEFC UK TOF: 3. <i>Operations</i>, 3.2 <i>Harvest operations</i>, 3.2.1:</p> <p>a) <i>Timber and Non-Wood Tree Products (NWTPs) shall be harvested efficiently and with minimum loss or damage to environmental values.</i></p> <p>PEFC UK TOF: 4. <i>Natural, historical and cultural environment</i>, 4.4 <i>Game and fisheries management</i>, 4.4.1: <i>Game rearing and release, shooting and fishing shall be carried out in accordance with the spirit of codes of practice produced by relevant organisations.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The PEFC UK TOF meets the requirements of the PEFC ST 1003:2018.</p>
9.1.4 The standard requires that working conditions shall be regularly monitored and adapted as necessary.	Y	<p>PEFC UK TOF: 2. <i>Management planning</i>, 2.9 <i>Monitoring</i>, 2.9.1: ...</p> <p>c) <i>The owner/manager shall where applicable monitor and record: ...</i></p> <ul style="list-style-type: none"> <i>Implementation of operations ...</i> <i>Social impacts</i> <p>PEFC UK TOF: 5. <i>People, communities and workers</i>, 5.4 <i>Health and safety</i>, 5.5.1:</p> <p>a) <i>There shall be:</i></p> <ul style="list-style-type: none"> <i>Compliance with health and safety legislation</i> <i>Conformance with associated codes of practice</i> <p><i>Example verifiers:</i></p> <ul style="list-style-type: none"> <i>Field observation that health and safety legislation and codes of practice are being implemented ...</i>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		<ul style="list-style-type: none"> <i>Procedure for monitoring compliance with safety requirements (written for larger organisations) and for dealing with situations where safety requirements are not met</i> <p>Conclusion: Conformity</p> <p>Justification: The PEFC UK TOF meets the requirements of the PEFC ST 1003:2018.</p>
9.2 Internal audit		
9.2.1 Objectives		
The standard requires that an internal audit programme at planned intervals shall provide information on whether the management system		
<p>a) conforms to</p> <ul style="list-style-type: none"> the organisation's requirements for its management system; the requirements of the national sustainable forest management standard 	Y	<p>PEFC UK: <i>Section 6: Scheme Governance, 6.3.2 Individual Certification: ... Internal audits of the system are required to ensure continued conformance with the forest management standard. (see section 6.3.13 for internal audit requirements and adapt for single site or entity).</i></p> <p>PEFC UK: <i>Section 6: Scheme Governance, 6.3.13 Internal audit: The Group manager/entity 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.</i></p> <p><i>The scheme requires that an annual internal audit programme shall provide information on whether the group management system:</i></p> <p>a) <i>conforms to</i></p> <p>i. <i>the group organisation's own requirements for its group management system;</i></p> <p>ii. <i>the requirements of the national group certification standard;</i></p> <p>Conclusion: Conformity</p> <p>Justification: The PEFC UK is in line with the PEFC ST 1003:2018.</p>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
b) is effectively implemented and maintained.	Y	<p>PEFC UK: <i>Section 6: Scheme Governance, 6.3.2 Individual Certification: ... Internal audits of the system are required to ensure continued conformance with the forest management standard. (see section 6.3.13 for internal audit requirements and adapt for single site or entity).</i></p> <p>PEFC UK: <i>Section 6: Scheme Governance, 6.3.13 Internal audit: ... The scheme requires that an annual internal audit programme shall provide information on whether the group management system: ...</i></p> <p><i>c) is effectively implemented and maintained.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The PEFC UK is in line with the PEFC ST 1003:2018.</p>
<p>9.2.2 Organisation</p> <p>The standard requires that the organisation shall:</p>		
a) plan, establish, implement and maintain 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;	Y	<p>PEFC UK: <i>Section 6: Scheme Governance, 6.3.2 Individual Certification: ... Internal audits of the system are required to ensure continued conformance with the forest management standard. (see section 6.3.13 for internal audit requirements and adapt for single site or entity).</i></p> <p>PEFC UK: <i>Section 6: Scheme Governance, 6.3.13 Internal audit: ... The scheme requires an internal audit programme which shall cover at least:</i></p> <p><i>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;</i></p> <p>Conclusion: Conformity</p> <p>Justification: The PEFC UK is in line with the PEFC ST 1003:2018.</p>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
b) define the audit criteria and scope for each audit;	Y	<p>PEFC UK: <i>Section 6: Scheme Governance, 6.3.2 Individual Certification: ... Internal audits of the system are required to ensure continued conformance with the forest management standard. (see section 6.3.13 for internal audit requirements and adapt for single site or entity).</i></p> <p>PEFC UK: <i>Section 6: Scheme Governance, 6.3.13 Internal audit: ... The scheme requires an internal audit programme which shall cover at least: ...</i></p> <p><i>b) definition of the audit criteria and scope for each audit;</i></p> <p>Conclusion: Conformity</p> <p>Justification: The PEFC UK is in line with the PEFC ST 1003:2018.</p>
c) select the auditors and conduct audits to ensure objectivity and the impartiality of the audit process;	Y	<p>PEFC UK: <i>Section 6: Scheme Governance, 6.3.2 Individual Certification: ... Internal audits of the system are required to ensure continued conformance with the forest management standard. (see section 6.3.13 for internal audit requirements and adapt for single site or entity).</i></p> <p>PEFC UK: <i>Section 6: Scheme Governance, 6.3.13 Internal audit: ... The scheme requires an internal audit programme which shall cover at least: ...</i></p> <p><i>d) selection of auditors and conducting of audits to ensure objectivity and the impartiality of the audit process;</i></p> <p>Conclusion: Conformity</p> <p>Justification: The PEFC UK is in line with the PEFC ST 1003:2018.</p>
d) ensure that the results of the audits are reported to relevant management;	Y	<p>PEFC UK: <i>Section 6: Scheme Governance, 6.3.2 Individual Certification: ... Internal audits of the system are required to ensure continued conformance with the forest management standard. (see section 6.3.13 for internal audit requirements and adapt for single site or entity).</i></p> <p>PEFC UK: <i>Section 6: Scheme Governance, 6.3.13 Internal audit: ... The scheme requires an internal audit programme which shall cover at least: ...</i></p>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		<p>e) ensuring that the results of the audits are reported to relevant group management;</p> <p>Conclusion: Conformity</p> <p>Justification: The PEFC UK is in line with the PEFC ST 1003:2018.</p>
e) retain documented information as evidence of the implementation of the audit programme and the audit results.	Y	<p>PEFC UK: <i>Section 6: Scheme Governance, 6.3.2 Individual Certification: ... Internal audits of the system are required to ensure continued conformance with the forest management standard. (see section 6.3.13 for internal audit requirements and adapt for single site or entity).</i></p> <p>PEFC UK: <i>Section 6: Scheme Governance, 6.3.13 Internal audit: ... The scheme requires an internal audit programme which shall cover at least: ...</i></p> <p>f) retaining of the documented information as evidence of the implementation of the audit programme and the audit results.</p> <p>Conclusion: Conformity</p> <p>Justification: The PEFC UK is in line with the PEFC ST 1003:2018.</p>
9.3 Management review		
9.3.1 The standard requires that an annual management review shall at least include		
a) the status of actions from previous management reviews;	Y	<p>PEFC UK: <i>Section 6: Scheme Governance, 6.3.2 Individual Certification: ... Note: Individual certificate holders are also required to comply with sections ... 6.3.14 Management Review ... These sections shall be interpreted for use by Individual certificate holders.</i></p> <p>PEFC UK: <i>Section 6: Scheme Governance, 6.3.14 Management Review: The scheme requires that an annual management review shall at least include:</i></p> <p>a) the status of actions from previous management reviews;</p> <p>Conclusion: Conformity</p>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		Justification: The PEFC UK is in line with the PEFC ST 1003:2018.
b) changes in external and internal issues that are relevant to the management system;	Y	<p>PEFC UK: <i>Section 6: Scheme Governance, 6.3.2 Individual Certification: ... Note: Individual certificate holders are also required to comply with sections ... 6.3.14 Management Review ... These sections shall be interpreted for use by Individual certificate holders.</i></p> <p>PEFC UK: <i>Section 6: Scheme Governance, 6.3.14 Management Review: The scheme requires that an annual management review shall at least include: ...</i></p> <p><i>b) changes in external and internal issues that are relevant to the group management system;</i></p> <p>Conclusion: Conformity</p> <p>Justification: The PEFC UK is in line with the PEFC ST 1003:2018.</p>
c) information on the organisation's performance, including trends in: <ul style="list-style-type: none"> • nonconformities and corrective actions; • monitoring and measurement results; • audit results; 	Y	<p>PEFC UK: <i>Section 6: Scheme Governance, 6.3.2 Individual Certification: ... Note: Individual certificate holders are also required to comply with sections ... 6.3.14 Management Review ... These sections shall be interpreted for use by Individual certificate holders.</i></p> <p>PEFC UK: <i>Section 6: Scheme Governance, 6.3.14 Management Review: The scheme requires that an annual management review shall at least include: ...</i></p> <p><i>d) information on the group performance, including trends in:</i></p> <p><i>iv. nonconformities and corrective actions;</i></p> <p><i>v. monitoring and measurement results;</i></p> <p><i>vi. audit results;</i></p> <p>Conclusion: Conformity</p> <p>Justification: The PEFC UK is in line with the PEFC ST 1003:2018.</p>
d) opportunities for continual improvement	Y	<p>PEFC UK: <i>Section 6: Scheme Governance, 6.3.2 Individual Certification: ... Note: Individual certificate holders are also required to comply with sections ... 6.3.14</i></p>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		<p><i>Management Review ... These sections shall be interpreted for use by Individual certificate holders.</i></p> <p>PEFC UK: <i>Section 6: Scheme Governance, 6.3.14 Management Review: The scheme requires that an annual management review shall at least include: ...</i></p> <p><i>e) opportunities for continual improvement.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The PEFC UK is in line with the PEFC ST 1003:2018.</p>
9.3.2 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 management system.	Y	<p>PEFC UK: <i>Section 6: Scheme Governance, 6.3.2 Individual Certification: ... Note: Individual certificate holders are also required to comply with sections ... 6.3.14 Management Review ... These sections shall be interpreted for use by Individual certificate holders.</i></p> <p>PEFC UK: <i>Section 6: Scheme Governance, 6.3.14 Management Review: ... The scheme 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.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The PEFC UK is in line with the PEFC ST 1003:2018.</p>
9.3.3 The standard requires that documented information as evidence of the results of management reviews shall be retained.	Y	<p>PEFC UK: <i>Section 6: Scheme Governance, 6.3.2 Individual Certification: ... Note: Individual certificate holders are also required to comply with sections ... 6.3.14 Management Review ... These sections shall be interpreted for use by Individual certificate holders.</i></p> <p>PEFC UK: <i>Section 6: Scheme Governance, 6.3.14 Management Review: ... The scheme also requires that the group organisation shall retain documented information as evidence of the results of management reviews.</i></p> <p>Conclusion: Conformity</p>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		Justification: The PEFC UK is in line with the PEFC ST 1003:2018.
10. Improvement		
10.1 Nonconformity and corrective action		
10.1.1 The standard requires that when a nonconformity occurs, the organisation shall:		
a) react to the nonconformity and, as applicable: i. take action to control and correct it; ii. deal with the consequences;	Y	<p>PEFC UK: <i>Section 6: Scheme Governance, 6.3.2 Individual Certification: ... Note: Individual certificate holders are also required to comply with sections ... 6.3.15 Continual Improvement ... These sections shall be interpreted for use by Individual certificate holders.</i></p> <p>PEFC UK: <i>Section 6: Scheme Governance, 6.3.15 Continual Improvement: The scheme requires that when a nonconformity occurs, the group organisation shall:</i></p> <p>a) <i>react to the nonconformity and, as applicable:</i></p> <p>i. <i>take action to control and correct it;</i></p> <p>ii. <i>deal with the consequences;</i></p> <p>Conclusion: Conformity</p> <p>Justification: The PEFC UK is in line with the PEFC ST 1003:2018.</p>
b) evaluate the need for action to eliminate the causes of the nonconformity, in order that it does not recur or occur elsewhere, by: i. reviewing the nonconformity; ii. determining the causes of the nonconformity; iii. determining if similar nonconformities exist, or could potentially occur;	Y	<p>PEFC UK: <i>Section 6: Scheme Governance, 6.3.2 Individual Certification: ... Note: Individual certificate holders are also required to comply with sections ... 6.3.15 Continual Improvement ... These sections shall be interpreted for use by Individual certificate holders.</i></p> <p>PEFC UK: <i>Section 6: Scheme Governance, 6.3.15 Continual Improvement: The scheme requires that when a nonconformity occurs, the group organisation shall: ...</i></p> <p>b) <i>evaluate the need for action to eliminate the causes of the nonconformity, in order that it does not recur or occur elsewhere,</i></p> <p>i. <i>reviewing the nonconformity;</i></p>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		<p>ii. determining the causes of the nonconformity; iii. determining if similar nonconformities exist, or could potentially occur;</p> <p>Conclusion: Conformity</p> <p>Justification: The PEFC UK is in line with the PEFC ST 1003:2018.</p>
c) implement any action needed;	Y	<p>PEFC UK: Section 6: Scheme Governance, 6.3.2 Individual Certification: ... Note: Individual certificate holders are also required to comply with sections ... 6.3.15 Continual Improvement ... These sections shall be interpreted for use by Individual certificate holders.</p> <p>PEFC UK: Section 6: Scheme Governance, 6.3.15 Continual Improvement: The scheme requires that when a nonconformity occurs, the group organisation shall: ...</p> <p>c) implement any action needed;</p> <p>Conclusion: Conformity</p> <p>Justification: The PEFC UK is in line with the PEFC ST 1003:2018.</p>
d) review the effectiveness of any corrective action taken;	Y	<p>PEFC UK: Section 6: Scheme Governance, 6.3.2 Individual Certification: ... Note: Individual certificate holders are also required to comply with sections ... 6.3.15 Continual Improvement ... These sections shall be interpreted for use by Individual certificate holders.</p> <p>PEFC UK: Section 6: Scheme Governance, 6.3.15 Continual Improvement: The scheme requires that when a nonconformity occurs, the group organisation shall: ...</p> <p>d) review the effectiveness of any corrective action taken;</p> <p>Conclusion: Conformity</p> <p>Justification: The PEFC UK is in line with the PEFC ST 1003:2018.</p>
e) make changes to the management system, if necessary.	Y	<p>PEFC UK: Section 6: Scheme Governance, 6.3.2 Individual Certification: ... Note: Individual certificate holders are also required to comply with sections ... 6.3.15 Continual</p>



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PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		<p><i>Improvement ... These sections shall be interpreted for use by Individual certificate holders.</i></p> <p>PEFC UK: <i>Section 6: Scheme Governance, 6.3.15 Continual Improvement: The scheme requires that when a nonconformity occurs, the group organisation shall: ...</i></p> <p><i>e) make changes to the group management system, if necessary.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The PEFC UK is in line with the PEFC ST 1003:2018.</p>
10.1.2 The standard requires that corrective actions shall be appropriate to the effects of the nonconformities encountered.	Y	<p>PEFC UK: <i>Section 6: Scheme Governance, 6.3.2 Individual Certification: ... Note: Individual certificate holders are also required to comply with sections ... 6.3.15 Continual Improvement ... These sections shall be interpreted for use by Individual certificate holders.</i></p> <p>PEFC UK: <i>Section 6: Scheme Governance, 6.3.15 Continual Improvement: The scheme requires that when a nonconformity occurs, corrective actions shall be appropriate to the effects of the nonconformities encountered</i></p> <p>Conclusion: Conformity</p> <p>Justification: The PEFC UK is in line with the PEFC ST 1003:2018.</p>
10.1.3 The standard requires that the organisation shall retain documented information as evidence of:		
a) the nature of the nonconformities and any subsequent actions taken;	Y	<p>PEFC UK: <i>Section 6: Scheme Governance, 6.3.2 Individual Certification: ... Note: Individual certificate holders are also required to comply with sections ... 6.3.15 Continual Improvement ... These sections shall be interpreted for use by Individual certificate holders.</i></p> <p>PEFC UK: <i>Section 6: Scheme Governance, 6.3.15 Continual Improvement: ... The standard requires that the group organisation shall retain documented information as evidence of:</i></p>

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		<p>a) <i>the nature of the nonconformities and any subsequent actions taken;</i></p> <p>Conclusion: Conformity</p> <p>Justification: The PEFC UK is in line with the PEFC ST 1003:2018.</p>
b) the results of any corrective action.	Y	<p>PEFC UK: <i>Section 6: Scheme Governance, 6.3.2 Individual Certification: ... Note: Individual certificate holders are also required to comply with sections ... 6.3.15 Continual Improvement ... These sections shall be interpreted for use by Individual certificate holders.</i></p> <p>PEFC UK: <i>Section 6: Scheme Governance, 6.3.15 Continual Improvement: ... The standard requires that the group organisation shall retain documented information as evidence of: ...</i></p> <p>b) <i>the results of any corrective action.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The PEFC UK is in line with the PEFC ST 1003:2018.</p>
<p>10.2 Continual improvement</p> <p>The standard requires that the suitability, adequacy and effectiveness of the sustainable forest management system and the sustainable management of the forest shall be continuously improved.</p>	Y	<p>PEFC UK: <i>Section 6: Scheme Governance, 6.3.2 Individual Certification: ... Note: Individual certificate holders are also required to comply with sections ... 6.3.15 Continual Improvement ... These sections shall be interpreted for use by Individual certificate holders.</i></p> <p>PEFC UK: <i>Section 6: Scheme Governance, 6.3.15 Continual Improvement: ... The scheme requires that the suitability, adequacy and effectiveness of the group management system and the sustainable management of the forest shall be continuously improved.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The PEFC UK is in line with the PEFC ST 1003:2018.</p>
Additional requirement for Trees outside Forests (Refer to the PEFC ST 1003:2018 Appendix 2, chapter C)		

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
The standard requires that management of the agricultural components within a TOF system shall follow good agricultural practice and available guidelines.	NA	<p>PEFC UK TOF: <i>Introduction. The Tree Management Unit – Scope: The unit of certification is a Tree Management Unit (TMU) given as an area where trees are in an urban environment (street trees) for the purpose of this Appendix.</i></p> <p>Conclusion: Not applicable</p> <p>Justification: The PEFC UK TOF limits the scope of the TOF certification to urban street trees (TOF-settlement). This leaves agricultural components out of the scope.</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.

PEFC Checklist – Complementary Trees outside Forests (PEFC ST 1003:2018, Appendix 2)

1 Scope

Following the PEFC Board decision on 8th March 2023, the National Governing Bodies seeking endorsement through mutual recognition are required to comply with the below system requirements with their Trees outside Forest standards.

2 Checklist

PEFC requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
All national systems shall reach consensus during the standard setting process on the following definitions:		
Forest	N	<p>UKWAS: Glossary of terms. Forest: Synonymous with woodland. See Woodland.</p> <p>UKWAS: Glossary of terms. Woodland: Predominantly tree-covered land whether in large tracts (generally called forests) or smaller units (known by a variety of terms such as woodlands, woods, copses and shelterbelts). ...</p> <p>PEFC UK TOF: Glossary of terms. Forest: In the UK The National Forest Inventory covers any forest or woodland in Great Britain of at least 0.5 hectares in area with a minimum width of 20m, which has at least 20% tree canopy cover (or the potential to achieve this).</p> <p>PEFC UK TOF: Glossary of terms. Trees Outside Forests (TOF): Trees growing outside areas of nationally designated forest land. Such areas will normally be classified as 'agriculture' or 'settlement' (urban).</p> <p>Conclusion: Minor non-conformity</p> <p>Justification: The Scheme has more than one definition for forest and these definitions may allow for different interpretations.</p>
Forest plantation	Y	<p>UKWAS: Glossary of terms. Woodland: ... Those woodlands which are derived principally from the human activity of planting, sowing or intensive silvicultural treatment but lack most of the principal characteristics and key elements of semi-natural woodland are generally referred to as plantations or</p>

PEFC requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		<p>woodlands of planted origin. They often include a proportion of naturally regenerated trees and are often managed to become more like natural woodlands over time.</p> <p>Conclusion: Conformity</p> <p>Justification: The UKWAS definition for woodland includes specifications to differentiate forest plantations (also referred to as woodlands of planted origin in the UK context) from other types of woodland. The UKWAS was developed through a consensus-based process.</p>
Trees outside Forests	Y	<p>PEFC UK TOF: <i>Glossary of terms. Trees Outside Forests (TOF): Trees growing outside areas of nationally designated forest land. Such areas will normally be classified as 'agriculture' or 'settlement' (urban).</i></p> <p>PEFC UK TOF: <i>Glossary of terms. Forest: In the UK The National Forest Inventory covers any forest or woodland in Great Britain of at least 0.5 hectares in area with a minimum width of 20m, which has at least 20% tree canopy cover (or the potential to achieve this).</i></p> <p>Conclusion: Conformity</p> <p>Justification: The PEFC UK TOF includes a definition for trees outside forests. The document was developed through a consensus-based process.</p>
Trees outside Forests – Agriculture category (if the scope of the national system is only Trees outside Forests – Settlement category, this is not required)	NA	<p>Conclusion: Not applicable</p> <p>Justification: The PEFC UK scope does not currently include ToF agriculture.</p>
Trees outside Forests – Settlement category (if the scope of the national system is only Trees outside Forests – Agriculture category, this is not required)	Y	<p>PEFC UK TOF: <i>Glossary of terms. Trees Outside Forests (TOF): Trees growing outside areas of nationally designated forest land. Such areas will normally be classified as 'agriculture' or 'settlement' (urban).</i></p> <p>PEFC UK TOF: <i>Introduction. The Tree Management Unit – Scope: The unit of certification is a Tree Management Unit (TMU) given as an area where trees are in an urban environment (street trees) for the purpose of this Appendix.</i></p> <p>Conclusion: Conformity</p>

PEFC requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		Justification: The PEFC UK TOF defines TOF settlement as street trees. The document was developed through a consensus-based process.
Ecologically important non-forest areas	Y	<p>UKWAS: <i>Glossary of terms. High conservation value: Ecologically important woodland and non-woodland areas and features of ecological and biodiversity interest or critical ecosystem services identified in sections 4.1-4.4 and 4.6.</i></p> <p>The sections with relevance to ecologically important non-woodland areas are <i>4.1 Statutory nature conservation sites</i> and <i>4.4 Other priority habitats</i>.</p> <p>UKWAS: <i>Glossary of terms. Priority habitat: Habitats identified by statutory nature conservation and countryside agencies as required under Section 41 (England) of the Natural Environment and Rural Communities (NERC) Act 2006, Section 7 of the Environment (Wales) Act 2016, Section 2(4) of the Nature Conservation (Scotland) Act 2004, and Section 3(1) of the Wildlife and Natural Environment Act (Northern Ireland) 2011. Lists of habitats identified by statutory agencies are published differently in each country; see the appendix of references.</i></p> <p>Conclusion: Conformity</p> <p>Justification: The Scheme does not feature a direct definition for ecologically important non-forest areas, but other definitions included in the UKWAS practically establish these as nature conservation sites and priority habitats on areas that are not classified as woodlands.</p>
Defining intensive and extensive categories		
Trees outside Forests – Intensive agriculture category	NA	<p>Conclusion: Not applicable</p> <p>Justification: The PEFC UK scope does not currently include ToF agriculture.</p>
Trees outside Forests – Extensive agriculture category	NA	<p>Conclusion: Not applicable</p> <p>Justification: The PEFC UK scope does not currently include ToF agriculture.</p>
Trees outside Forests – Intensive settlement category	Y	<p>PEFC UK TOF: <i>Introduction. Establishing the threshold for intensive and extensive TOF systems at the National level: ... the working group and the consultation decided that all instances of urban TOF systems within the UK, will be deemed to be 'extensive'. Elsewhere where income generation is a</i></p>

PEFC requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		<p>primary objective of the TMU and at least one threshold stated below is met, the TOF system will be intensive.</p> <p>PEFC UK TOF: <i>Introduction. The intensive threshold:</i></p> <ul style="list-style-type: none"> Where income generation is a primary objective of the TOF management unit Where annual income from the TOF management unit exceeds £200,000 <p>Conclusion: Conformity</p> <p>Justification: The PEFC UK TOF provides definitions to differentiate between intensive and extensive TOF settlement categories.</p> <p>Comment: Annual income from a tree management unit may vary above and below the established threshold of GBP 200 000 between individual years. It is recommended that the threshold definition is developed further to allow for consistent interpretation in such cases.</p>
Trees outside Forests – Extensive settlement category	Y	<p>Conclusion: Conformity</p> <p>Justification: See the intensive settlement category above.</p>
Certified area		
National systems shall develop appropriate mechanisms to monitor the ToF areas, where the requirements are implemented. Certified area shall cover the ToF areas with specifications developed according to the ToF categories the system is using for ToF implementation. As a minimum, the definition of the ToF area should relate to the number of hectares covered by the certified area. Certified area information shall be collected for each ToF categories separately.	N	<p>PEFC UK TOF: <i>Introduction. The Tree Management Unit – Scope: The unit of certification is a Tree Management Unit (TMU) given as an area where trees are in an urban environment (street trees) for the purpose of this Appendix. ... A TMU is a clearly defined area, or areas, with mapped boundaries, managed to a set of explicit long-term objectives. The TMU is covered by management planning documentation.</i></p> <p><i>The scope of the TMU will be established by the certified entity and their certification body. The scope may be limited to a department, or departments within an organisation where management control prevents a whole organisation becoming certified.</i></p> <p>PEFC UK TOF: <i>Glossary of terms. Tree Management Unit (TMU): A TMU is a clearly defined area, or areas, with mapped boundaries, managed to a set of explicit long-term objectives. Defined as an area where trees are in an urban environment (street trees), parkland, orchards or other TOF</i></p>



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PEFC requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
If a certificate includes as part of the certified area ToF and non ToF areas, the ToF and the non ToF areas shall be clearly identified.		<p>PEFC UK TOF: <i>Introduction. Establishing the threshold for intensive and extensive TOF systems at the National level: ... the working group and the consultation decided that all instances of urban TOF systems within the UK, will be deemed to be 'extensive'. Elsewhere where income generation is a primary objective of the TMU and at least one threshold stated below is met, the TOF system will be intensive.</i></p> <p>Conclusion: Minor non-conformity</p> <p>Justification: While the SFM certification (WMUs) and TOF certification (TMUs) are practically considered separately under the Scheme (e.g., separate documentation and different scope), the Scheme does not make an explicit requirement for their areas not to overlap.</p>

Annex 2

Field Visit Programme

PEFC UK Conformity Assessment

Field visit 7 December – 9 December, 2022

Date	Organisation	Issues discussed
Dec 7		
9.30 - 12	British Association for Shooting and Conservation (BASC)	Standard setting process, definition of HCV and priority species, bird pens for releasing for hunting
	Country Landowners' Association (CLA)	
15 - 17	PEFC UK	Scheme revision process and debated issues
Dec 8		
9 - 9.30	Soil Association Certification Auditor in pilot audit	Pilot testing, applicability of TOF std in audit (SA checklist), TOF std requirement relevance, Accreditation to FM and procedures to expand to TOF...
11 - 11.50	Forest and Land Ltd Consultant, TOF WG	TOF std development process, Implementation Important aspects in TOF
13 - 16	PEFC UK	Continues from Wednesday Continues... UKWAS std final decision making process: information on changes to WG members and SG, evidence Pilot testing
Dec 9		
8.55 - 9.25	Head of tree management section in contractor Amey – managing Sheffield highways incl street trees under 25 yr contract	Current management principles and approaches in consultations Challenges in mngmnt cycle Legislative framework Pilot testing
9.25 - 9.55	Environmental and Technical Officer, Sheffield City Council	Objectives for highway and street tree maintenance Challenges Pilot certification take aways Regulatory and policy framework Partnership arrangements
12 - 13.30	Street Tree Action Group (STAG)	Objectives of STAG Standard setting process TOF std Outcome – pilot certification
13.30 - 14.30	Wrap up of the discussion, to do list	

Annex 3

Stakeholder Feedback Form

Helsinki, November 4, 2022

Stakeholder Questionnaire on the Revision of the United Kingdom Woodland Assurance Standard (UKWAS)



In 2022 the UKWAS revised its forest management standard.

This questionnaire is prepared by Indufor as the 3rd part consultant to collect stakeholders' views on the development of **the UK Woodland Assurance Standard, Fifth Edition**.

The questionnaire focuses on stakeholder engagement in the UKWAS standard revision and on the information sharing and decision-making processes. Your view is important because:

PEFC requires, among other, that standard development shall be transparent and open to all interested stakeholders; different views shall be discussed and documented and decisions on certification criteria shall be made in consensus.

The questionnaire will be sent to all invited and participating parties having an interest in forest certification standard revision, and potentially to other key interest groups. All answers will be treated as strictly confidential. The identity of the replier will not be disclosed in any instance.

We hope you can share your views on the standard revision process and thus improve the quality and value of impartial scheme assessment under the PEFC framework.

We highly appreciate your contribution and thank you in advance for your effort!



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Preliminary Question

Which of the following stakeholder categories best describes you and/or your organisation?

I represent:	Stakeholder categories
	Administration
	Authority
	Forest and timber industry
	Industry association / lobby organisation
	Forest owner / manager
	Research institute
	Environmental NGO
	Social NGO
	Trade Union
	Retailer
	Media
	Consumer organisation
	Financial sector
	Member Organisation
	Other (<i>please specify</i>):



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Questionnaire on the Revision of the UK Woodland Assurance Standard, Fifth Edition

1. Did you participate in the standard revision?

Standard	Yes	No	Comment (If no – why not?)
UK Woodland Assurance Standard, Fifth Edition			
Would you have been interested to participate?			

2. By whom and when were you invited to participate to the revision of the UKWAS 5?

By whom:	Comments
When:	Comments

3. What was your main interest to consider participation in standard revision?

Comments

4. In your view, have all interested parties relevant to standard development been proactively identified and invited and given the possibility to participate and contribute to the process? ¹⁾

Yes	No	I don't know	Comments

¹⁾ Including also disadvantaged interest groups

5. Did the organiser provide you with adequate material before the process?

Yes	No	I don't know	Comments



- 6. Did the stakeholders in the standard setting working group represent the different interests in a balanced way?**

Yes	No	I don't know	Comment, If no - why not?

- 7. Did the revision process follow the procedures that were communicated with participants in advance?**

Yes	No	I don't know	Comment, If no - why not?

- 8. Were you aware of any substantive or procedural complaints by any stakeholder on standard revision?**

Yes	No	I don't know	Comment, If no - why not?

- 9. Are you aware of any dispute settlement procedures in case of conflicting views in standard revision?**

Yes	No	I don't know	Comment, If no - why not?

- 10. Do you believe any aspects of the standard or its revision process deserve further consideration?**

Yes	No	I don't know	Comment, If no - why not?

IF you participated in standard development, please continue to questions 11 to 15.

- 11. Have you been given a meaningful opportunity to contribute to standard formulation and to submit comments for further consideration?**

Yes	No	I don't know	Comment, If no - why not?



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- 12. Were the views and comments submitted by any participant in the Standard Setting Working Group considered in an open and transparent way?**

Yes	No	I don't know	Comment, If no - why not?

- 13. Have all comments received in public consultations been discussed and addressed in an objective and transparent way?**

Yes	No	I don't know	Comment, If no - why not?

- 14. Were the criteria (requirements) in the standard agreed on in consensus?**

Yes	No	I don't know	Comment, If no - why not?

- 15. Other comments and/or remarks:**

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Thank you for your time and contribution!

Please send your replies preferably by **November 27, 2022** to arttu.pienimaki@induforgroup.com or Indufor@induforgroup.com

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