

December 2016

# PEFC Conformity Assessment

Swedish PEFC Certification System





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Document version	2
Date of document	9 December 2016
Reference	PEFC CA Sweden_RW



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## Acronyms

CAR	Corrective Action Request
CB	Certifying Body
CL	Christina Lundgren
CoC	Chain of Custody
EC	EC Skog
ENGO	Environmental Non-Governmental Organisation
FMP	Forest Management Plan
Forum TD	Revision Working Group
ha	Hectare
IAF	International Accreditation Forum
IEC	International Electrotechnical Commission
ISO	International Organization for Standardisation
MSB	Swedish Civil Contingencies Agent
m <sup>3</sup>	Cubic meter
N.A.	Not applicable
SS/EN	European Norm accepted as Swedish Standard
PEFC GD	Guidance Document of PEFC International
PEFC IGD	PEFC Informative Guide
PEFC ST	Standard Document of PEFC International
PEFC SWE System	Standard Document as part of the Swedish PEFC Certification System
PEFC	Programme for the Endorsement of Forest Certification
PEFCC TD	PEFC Council Technical Document
PEFCC	PEFC Council
PoE	Panel of Experts
Req.	Requirement
SCB	Statistics Sweden
SNF	Svenska Naturskyddsföreningen
SFM	Sustainable Forest Management
SSR	Svenska Samernas Riksförbund (Sami people federation)
SSRC	Standard and Scheme Requirement Checklist
Swedac	Swedish national accreditation body
WWF	World Wildlife Fund



## 1. Introduction

The Programme for Endorsement of Forest Certification schemes (PEFC) admits national standards for Sustainable Forest Management to the PEFC system, after the national standards are endorsed based on a positive evaluation by an independent assessor. Every five years, the endorsed national schemes need to be revised after which an independent consultant assesses whether the revised scheme is in conformity with the PEFC Council (PEFCC) requirements.

This report presents the results of the evaluation of the Swedish PEFC Certification System against PEFCC requirements for forest certification schemes. PEFC Sweden is the PEFC National Governing Body in Sweden. The Swedish PEFC Certification System was first endorsed by PEFCC in 2000 and since then the system has been revised twice. The latest revision took place from October 2014 to February 2016. The application for PEFC re-endorsement was submitted in May 2016. PEFCC appointed Form international (Form) as the independent consultant to carry out the assessment. This assessment report will be the basis for the PEFCC's decision, and provides a recommendation to the PEFC Board on the formal endorsement of the Swedish PEFC Certification System for Sustainable Forest Management (SFM).

### 1.1. Form international

The assessment benefited from Form's specific experience and expertise in certification and SFM. Form has implemented many studies in which national or international certification standards were analysed versus another standard or scheme, for example for FSC and Keurhout. Moreover, Form has carried out conformity assessments for PEFC, such as the Certification Schemes of Australia, Austria, Belgium, Czech Republic, Denmark, Finland, Gabon, Germany, Indonesia, Ireland, Malaysia (Forest plantation), Norway, Poland, Portugal, Spain, Sweden, Switzerland, UK, USA and Canada.

The conformity assessment team consisted of Mr. Rutger de Wolf, Mr. Andries Polinder and Ms. Marthe Tollenaar (Forestry Experts and Registered PEFC Assessors).

### 1.2. Scope of the assessment

The scope of this assessment is to assess the conformity of the Swedish PEFC Certification System with the PEFC standards and system requirements as presented in PEFC IGD 1007-01:2012.

### 1.3. Documents and resources used

Various documents and resources were used in this conformity assessment. The documents received from PEFC Sweden are shown in Table 1.1. Table 1.2 lists the



documents used from PEFC. Besides these documents, the website of PEFC Sweden ([www.pefc.se](http://www.pefc.se)) was consulted during the assessment, as well as additional clarifications provided by PEFC Sweden and stakeholders during the assessment process.

*Table 1.1 Documents used for the conformity assessment*

No.	Document type	Document name
ID 1	Application letter to PEFC Council	
ID 2	Overview of submitted materials	
ID 3	Development report	PEFC SWE 001-005 development report
ID 4*	Standard proposal	PEFC SWE 001:v2 Swedish PEFC - Certification System for Sustainable Forest Management
ID 5*	Standard proposal	PEFC SWE 002:v2 Swedish PEFC - Forest Standard
ID 6*	Standard proposal	PEFC SWE 003:v2 Swedish PEFC - Contractor Standard
ID 7*	Standard proposal	PEFC SWE 004:v2 Swedish PEFC -Requirements on Direct Certification and Group Certification
ID 8*	Standard proposal	PEFC SWE 005:v2 Swedish PEFC – Requirements for Certification Bodies
	Standard	PEFC SWE 006: PEFC Notification of Certification Bodies Operating Forest Management and / or Contractor and / or Chain of Custody Certification in Sweden
ID 9	PEFC Council Checklist	PEFC Standard and System Requirement Checklist
	PEFC Sweden response to draft report	Draft Report CA PEFC Sweden COMM PEFC SWE
	PEFC Sweden response letter to draft report	PEFC Sweden comments on draft report

\* The latest version is used, which includes amendments made during the conformity assessment process.

*Table 1.2 The PEFC Technical documents used.*

#	PEFC Council document	Date
1	PEFC GD 1007:2012: Endorsement and Mutual Recognition of National Systems and their Revision	16 November 2012
2	PEFCC TD Annex 1: Terms and Definitions	27 October 2006
3	PEFCC TD Annex 6: Certification and Accreditation Procedures	5 October 2007
4	PEFCC TD Annex 7: Endorsement and Mutual Recognition of National Schemes and their Revisions	5 October 2007
5	PEFC ST 1001:2010 Standard Setting – Requirements	26 November 2010
6	PEFC ST 1002:2010 Group Forest Management Certification – Requirements	26 November 2010
7	PEFC ST 1003:2010 Sustainable Forest Management –	26 November 2010





#	PEFC Council document	Date
	Requirements	
8	PEFC ST 2001:2008 v2 PEFC Logo usage rules - Requirements	26 November 2010
9	PEFC ST 2002:2013 Chain of Custody of Forest Based Products - Requirements	24 May 2013
10	PEFC ST 2003:2012 Requirements for Certification Bodies operating Certification against the PEFC International Chain of Custody Standard	16 July 2012
11	PEFC GD 1004:2009 Administration of PEFC scheme	5 October 2009
12	PEFC GD 1005:2012 Issuance of PEFC Logo Use Licenses by the PEFC Council	27 November 2012
13	PEFC IGD 1007-01:2012 PEFC Standard and System Requirement Checklist	6 May 2014
14	PEFC IGD 1007-03:2012 The Assessment Report	16 November 2012
15	PEFC Secretariat's clarification concerning the content of the assessment report (clarification 30/10/12).	30 October 2012

#### 1.4. Methodology adopted

The work consisted of a desk study in which an evaluation of the conformity was conducted. The assessment enabled the consultant to identify any missing information, similarities and differences between the Swedish PEFC Certification System and the PEFC standards and system requirements. Next to a general analysis of the structure of the scheme, the assessment consisted of:

##### a. Assessment of the standard setting procedures

This aspect is evaluated on the basis of PEFC ST 1001:2010 Standard Setting - Requirements. The checklist (part I of PEFC IGD 1007-01:2012) has been used to assess the compliance of the Swedish PEFC Certification System with the demands of PEFC concerning the standard setting procedures and the actual process. The criteria for the standard setting procedure have been assessed in two stages:

1. compliance of the scheme documented procedures ('Procedures')
2. compliance of the standard setting process itself ('Process')

To assess the process, the Development report (PEFC SWE 001-005 development report), additional evidential records and results of stakeholder consultations are used to evaluate compliance of the process.

The PEFC Council conducted an international public consultation, and a stakeholder survey was held by Form international through questionnaires that were sent out to members of the Forum and other relevant stakeholders identified by PEFC Sweden during the revision process.



**b. Assessment of the sustainable forest management standard**

The compliance of the Swedish PEFC Certification System with PEFC ST 1003:2010 Sustainable Forest Management was assessed based on part III of PEFC IGD 1007-01:2012.

**c. Assessment of the group certification procedures**

The compliance of the Swedish PEFC Certification System with PEFC ST 1002:2010, Group Forest Management Certification – Requirements was assessed based on part II of PEFC IGD 1007-01:2012.

**d. Assessment of the chain of custody standard**

The compliance of the Swedish PEFC Certification System with PEFC ST 2002:2010 – Chain of Custody of Forest Based Products – Requirements was assessed based on part V of PEFC IGD 1007-01:2012.

**e. Assessment of the certification and accreditation procedures**

The compliance of the Swedish PEFC Certification System with PEFC TD Annex 6 (Certification and accreditation procedures) and PEFC ST 2003:2012 was assessed based on part IV of PEFC IGD 1007-01:2012.

**f. Other aspects regarding functions and efficiency of the scheme**

The functions and efficiency of the Swedish PEFC Certification System were evaluated on the basis of descriptions and information obtained in correspondence with PEFC Sweden and stakeholders.

It shall be noted that, according to the tender procedure, no assessment was done of:

- the procedures for logo licensing;
- the complaints and dispute resolution procedures; and
- the procedures for notification of certification bodies.

The report is written in line with the guidelines of the PEFC, PEFC GD 1007-03:2012 for the content of an assessment report, and the additional PEFC's clarification of 30 October 2012.

## 1.5. Assessment process

The assessment process consisted of the following steps:

### 1. Public consultation

The international public consultation was held from June 1, 2016 to July 29, 2016. No comments were received.

The national stakeholder consultation was held from August 23, 2016 to September 10, 2016. Form sent out questionnaires to all stakeholders that were members of the Forum and additional stakeholders that were invited and/or participated in public



consultation meetings during the revision process. In total 60 questionnaires were sent out, 11 responses were received.

## **2. Technical desk study**

The technical desk study was carried out on the Swedish PEFC Certification System documentation. It comprised of a review of the documentation and a verification of the standards and system requirements checklist. During the assessment additional information and translations were requested from PEFC Sweden.

## **3. Elaboration of draft report**

The draft report was sent to PEFC Sweden and PEFC on September 21, 2016.

## **4. Elaboration of final draft report**

Based on the responses and additional references and clarifications to the draft report, a final draft report was sent to PEFC on October 26, 2016.

## **5. Review of the final draft report**

Members of PEFC's Panel of Experts contributed to the final report by providing their feedback and comments, which were received on 1 December 2016.

## **6. Final analysis and reporting**

The final report was elaborated taking into account the comments from Panel of Experts members and was sent to the PEFC on 9 December 2016.

### **1.6. Report structure**

Chapter 2 gives an explicit statement in the form of a recommendation whether or not the Board of Directors of PEFC should adopt the revised Swedish PEFC Certification System. In chapter 3, a summary of the findings is presented. Chapter 4 gives an overview of the key structures of the scheme, followed by the results of the assessment of the standard setting procedures and process in chapter 5. The assessment of the forest management standard and group certification procedures are presented in chapters 6 and 7. The Chain of Custody standard is quickly touched in Chapter 8. The assessment of certification and accreditation procedures is presented in chapter 9, and other aspects are discussed in chapter 10. The standards and system requirements checklist is enclosed in Annex 1. Results of the stakeholder survey and international consultation are presented in respectively Annex 2 and Annex 3, and the Panel of Experts Comments are enclosed in Annex 4.



## 2. Recommendation

Based on the results of this conformity assessment, Form international recommends the PEFC Board of Directors **to re-endorse the revised Swedish PEFC Certification System**, on the condition that the eight (8) identified non-conformities in the Sustainable Forest Management Standard and the two (2) identified non-conformities in the Standard Setting Procedures shall be corrected within six (6) months after re-endorsement. These non-conformities are all classified as ‘minor’.

In relation to the standard-setting process, six (6) non-conformities are identified. Based on the assessment, it is concluded that the non-conformities found in the process did not undermine or damage the standard revision process.



## 3. Summary of the Findings

### 3.1. Overall

The Swedish PEFC Certification System is in general quite complete and clear. There are however eight (8) non-conformities found in the Forest Management Standard, two (2) in the Standard Setting Procedures and six (6) in the revision process. No non-conformities were found in the Group Certification Procedures and in the Certification and Accreditation Procedures. This is in total sixteen (16) non-conformities. They are all classified as minor.

### 3.2. Structure of the System

PEFC Sweden was established in 2000, in the same year the Swedish PEFC Certification System has been endorsed by the PEFC Council. PEFC Sweden has six standard documents: Forest Standard, Forestry Contractor Standard, Direct Certification and Group Certification, Requirements for Certification Bodies, Notification of Certification Bodies, and Certification System for Sustainable Forest Management – which includes the Standard Setting Procedures and Complaints and Dispute Resolution Procedures). It further accepts three PEFC International standards: PEFC ST 2001:2008 Logo usage rules, PEFC ST 2002:2013 Chain of Custody for forest based products - requirements, and PEFC ST 2003:2012 Certification Body Requirements – Chain of Custody.

### 3.3. Standard Setting Procedures and Process

The Standard Setting Procedures are regulated in Appendix D of PEFC SWE 001. In total two (2) non-conformities are found (both classified as minor):

- The procedures do not regulate a balanced representation of stakeholders (req. 4.4b);
- The procedures insufficiently specify the contents of the announcement and/or invitation for the revision process (req. 5.3d);

The PEFC SWE 001-005 Development Report (TD IV) is a quite complete, clearly structured and concise report on the revision process. The report does contain a few references to records that are attached to the document. Additional records and minutes were provided upon request. In general, the process was conducted according to the standard-setting procedures. There are however six (6) non-conformities found (all are classified as minor):

- The Forum did not have a balanced representation of stakeholder categories, as no social or environmental NGOs (including Sami representatives) participated in the Forum. It shall however be noted that 9 NGO's were invited and PEFC Sweden showed their efforts to get the NGOs on board (req. 4.4b and 4.4c);
- The invitation does not specify the possibility to comment on the scope and standard-setting process (req. 5.3d);



- PEFC Sweden confirmed that a consensus was reached in forum meeting 6, using a face-to-face process. However, the process is not specified in the minutes (req. 5.8a);
- Minutes of the process do not specify that the Board's approval was based on evidence of consensus of the Forum (req. 5.11);
- The date of PEFC re-endorsement is later than the application date and therefore the transition period exceeds one year (req. 6.4).

Based on the assessment, it is concluded that the non-conformities found in the process do not undermine or damage the standard revision process. It would therefore not be necessary to redo the process based on the non-conformities found in the process.

### 3.4. Forest Management Standard

The Sustainable Forest Management requirements are stipulated in PEFC SWE 002 (Forest Standard) and PEFC SWE 003 (Forestry Contractor Standard). The standards are based on the "Lisbon Declaration". It is observed that the standard is relatively specific and sometimes misses a more general approach. This imposes a risk of overseeing other details relevant within the PEFC requirements. In total eight (8) non-conformities are found (all classified as minor):

- No references were found sufficiently ensuring that the current condition of the forest management unit, long-term objectives and the average annual allowable cut, including its justification are included in the management plans or their equivalents for forest holdings with less than 20 ha productive forest land (req.5.1.5);
- It is insufficiently ensured that a summary of the forest management plan or its equivalent shall be publicly available (5.1.6);
- No references were found ensuring periodical monitoring of forest resources (5.1.7);
- The references insufficiently ensure that the conversion:
  - is a result of national or regional land-use planning governed by a governmental or other official authority including consultation with materially and directly interested persons and organisations;
  - does not have negative impacts on threatened forest ecosystems, culturally and socially significant areas, important habitats of threatened species or other protected areas;
  - makes a contribution to long-term conservation, economic, and social benefits.

Furthermore, the wording 'a limited extent' is not auditable and does therefore not sufficiently ensure that the conversion entails a small proportion of forest type (5.1.11).

- The references insufficiently ensure that management plans or their equivalents specify ways and means to minimize the risk of degradation of and damages to forest ecosystems (5.2.4);



- No reference is found ensuring the avoidance of waste and litter. Next, no references were found which ensure that (non-hazardous) non-organic waste and litter will be (1) collected and (2) stored in designated areas and removed in an environmentally-responsible manner (5.2.7);
- No references are found sufficiently ensuring that a sustainable harvesting rate of wood is applied during harvesting. Furthermore, no references are found ensuring that optimum use shall be made of the harvested forest products, with due regard to nutrient off-take (5.3.6);
- No references were found which ensure provision for effective communication and consultation with local people and other stakeholders relating to sustainable forest management in general (5.6.10).

### 3.5. Group Certification Procedures

The procedures on Group Certification are regulated in PEFC SWE 004. The procedures comply with the PEFC requirements, no non-conformities are found.

### 3.6. Chain of Custody Standard

The Swedish PEFC Certification System uses the PEFC ST 2002:2013 procedures. The procedures comply with the PEFC requirements, no non-conformities are found.

### 3.7. Certification and Accreditation Procedures

The requirements for accreditation and certification are regulated in PEFC SWE 005 and include references to ISO/IEC 17011:2004, ISO/IEC 17021:2015, ISO/IEC 17065:2012, other documents recognised by the EA and IAF, PEFC ST 2001:2008 PEFC Logo Usage Rules – Requirements and PEFC ST 2003:2012 Certification Bodies Requirements – Chain of Custody. The procedures comply with the PEFC requirements, no non-conformities are found.

### 3.8. Other aspects

With regards to Scheme Administration Procedures, the following procedures were found:

- Notification of Certification Procedures (PEFC SWE 006);
- Logo Usage Rules (PEFC ST 2001:2008);
- Complaints and Dispute Resolution Procedures (Chapter 13 of PEFC SWE 001).

These are not further assessed in detail, in accordance with the tender document for this assignment.



## 4. Structure of the Swedish PEFC Certification System

### 4.1. Introduction to the Swedish forestry sector<sup>1</sup>

The total land area of Sweden is nearly 41 million ha (hectares). Over 23 million ha is productive forest land with an annual growth of more than 1 m<sup>3</sup> standing volume per ha. Forest land, defined according to the Forestry Act, amounts to 28 million ha. The area of forest land is fairly constant in Sweden. Inventories show that net change of forest land area during the period 2005-2010 has been slightly positive (+ 0.1%).

Forest land with an annual growth of less than 1 m<sup>3</sup> standing volume per ha, which amounts to 5 million ha, may not, with certain exceptions, be used for productive forestry according to the Forestry Act. National parks, nature reserves, and nature conservation areas together encompass an area of 4.5 million ha, which corresponds to 11% of the total land area of Sweden. In these areas, 959,000 ha of productive forest falls under legal protection (Skogsdata, 2014). In addition, 60,000 ha is under habitat protection and nature conservation agreements, of which more than 49,000 ha is located on productive forest land. There are also voluntary set-asides for conservation, encompassing a total area of at least 1.1 million ha. Apart from formal and voluntary conservation, there is also so-called general environmental consideration. This means among other things that valuable trees and groups of trees are retained at harvesting.

Half of the Swedish forest land is owned by private forest owners, 25% is owned by private companies and 14% by publicly owned companies. Other private owners have 6 percent and other public owners 5 percent. The privately owned area consist of around 230 000 management units which are owned by 330 000 persons and it stands for 60 percent of harvested volumes in Sweden. The forest and forest industry is an important sector and its share of the Swedish value of exported goods amounted to 11% in 2013. The forest sector's contribution to Sweden's GDP was 2.6% in 2011 (SCB). In the year 2011, 95,100 persons were employed in forestry and the forest- and wood processing industry.

### 4.2. Organisation of PEFC Sweden<sup>2</sup>

The Swedish PEFC economic association was founded in 2000 with the purpose to develop a standard for sustainable forest management in Sweden. The Swedish PEFC Certification System safeguards an economic forest production, environmental consideration, the forest as a work place as well as respect for

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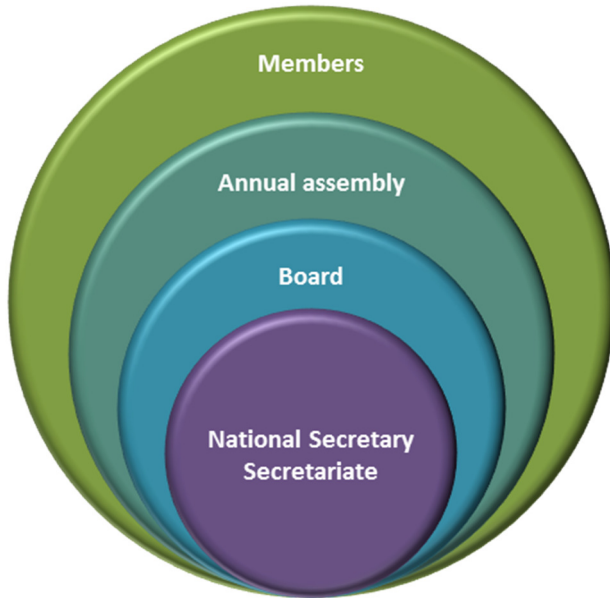
<sup>1</sup> The information in this paragraph is based on PEFC SWE 001 – 7.1 Swedish forests in figures

<sup>2</sup> The information in this paragraph is compiled from PEFC SWE 001 – 1.1 PEFC in Sweden, 7.4.5 SWEDAC, 8.1 Organization and 8.2 Implementation.





ownership and usage rights. The Swedish PEFC Certification System is functional both for larger forest companies and small-scale forestry. It is based on responsibility in the whole chain with PEFC certification requirements for forest owners, wood procurement organizations, forestry contractors with a clear and documented distribution of responsibilities. The organizational structure of PEFC Sweden is presented in **Figure 1**.



**Figure 1** Organization of the Swedish PEFC economic association

PEFC Sweden is, in accordance with its statutes, responsible for the development and operation of the certification scheme. Swedac is the national accreditation body in Sweden and the authority that accredits companies and organizations like laboratories, certification bodies and inspection bodies, according to international standards and regulations. The Swedish model for PEFC-certification is presented in **Figure 2**.

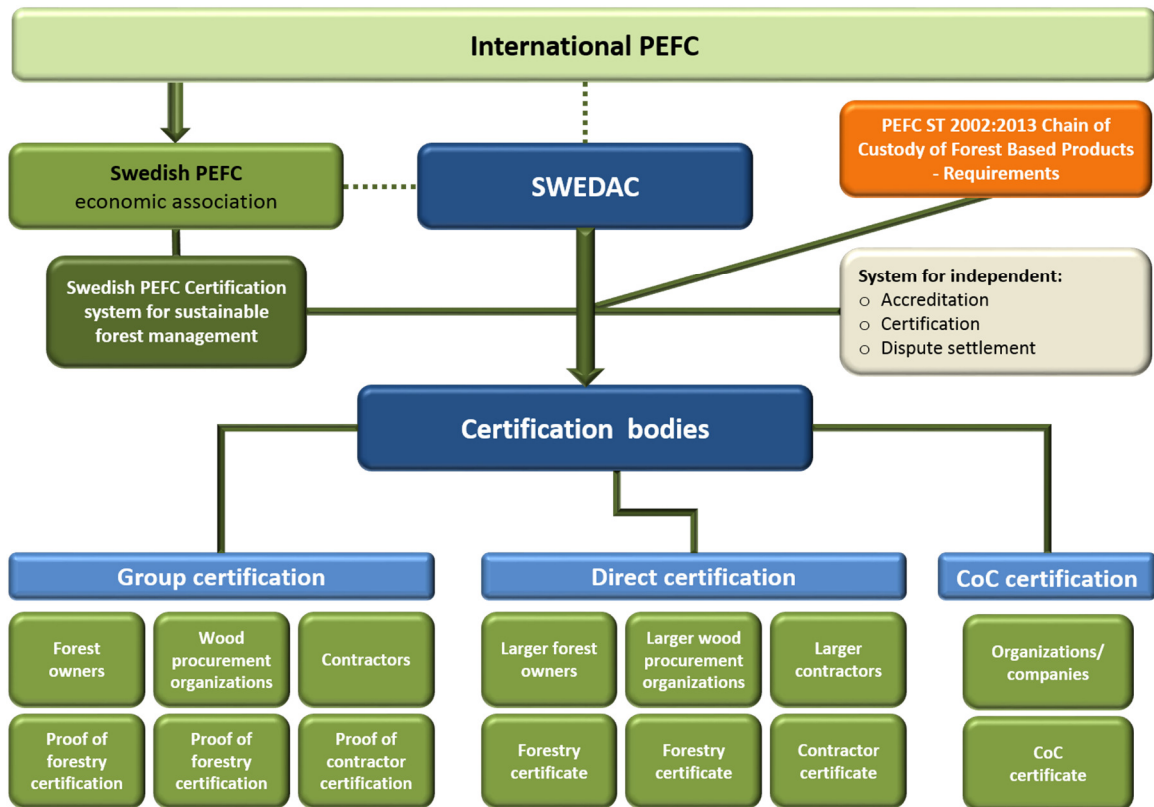


Figure 2 Certification model of PEFC Sweden.

### 4.3. The Swedish PEFC Certification System

The Swedish PEFC Certification System is based on a number of documents which define the requirements for forest and traceability certification. The document structure is shown in Figure 3.

Standards for operators	Standards for certifying bodies	Scheme governance
<p><b>PEFC SWE 002</b> Swedish PEFC forest standard</p> <p><b>PEFC SWE 003</b> Swedish PEFC forestry contractor standard</p> <p><b>PEFC SWE 004</b> Swedish PEFC requirements for direct certification and group certification</p> <p><b>PEFC ST 2002:2013</b> Chain of Custody for forest based products – requirements</p> <p><b>PEFC ST 2001:2008</b> Logo usage rules</p>	<p><b>PEFC SWE 005</b> Swedish PEFC requirements for certification bodies</p> <p><b>PEFC SWE 006</b> Guidance for notification of certification bodies</p> <p><b>PEFC ST 2003:2012</b> Certification Body Requirements - Chain of Custody</p>	<p><b>PEFC SWE 001</b> Swedish PEFC certification system for sustainable forest management</p>

**Figure 3** PEFC Sweden document structure



## 5. Standard Setting Procedures and Process

This chapter presents the non-conformities found in the Standard Setting Procedures and Process. There are eight (8) non-conformities found, two (2) related to the procedures, and six (6) related to the process. All non-conformities are classified as minor. They can be addressed by providing additional evidence and/or adjusting the procedures. The Standard and Scheme Requirement Checklist related to the Standard Setting Procedures and Process can be found in Annex 1 part I, which presents all the conformities, non-conformities and related references.

### 5.1. Analysis

The Standard Setting Procedures are described in Appendix D of the Swedish PEFC certification system for sustainable forest management (PEFC SWE 001), where the introduction reads: “Appendix 2 of the PEFC Council Technical Document requires that the national organizations responsible for the development of the standards for forest management and chain of custody shall develop its own written procedures (Appendix 2, paragraph 3.5.1). To comply with these requirements, the Swedish PEFC shall establish a temporary working group - a Standard Forum – in order to revise the forest standard every fifth year.

The Swedish PEFC System elaborated a country specific standard, which was assessed during the current assessment. The Swedish PEFC standard setting procedures are concise and clearly structured. They contain relevant information on the standard-setting procedures, but leave some gaps with regards to the details of the stakeholder processes. In total two (2) non-conformities are found in the procedures.

In general, the process was conducted according to the standard-setting procedures. The decision to start with the standard setting process was taken by the board on June 4, 2014. In October 2014, stakeholders were invited to participate in the working committee (Forum TD IV). A start-up meeting was organized on October 27, 2014. A board of trustees and three task forces were set up, consisting of a total of 29 participants. Between October 2014 and February 2015, the standards were revised. The public consultation was held from November 2014 to January 2015, after which the received comments were considered by the Working Committee. By February 2016, the Working Committee agreed on the contents of the final draft standards and submitted these to the Board of PEFC Sweden for formal approval, which took place on 20 April 2016.

A complaint on standard element PEFC SWE 003 (ID 6) clause 4.8.1 was received on March 21, 2016. The secretariat suggested a procedure to handle the complaint which was put forward to and accepted by the board of trustees. The complaint regarded a possible conflict with the regulation ADR S 2015. The competent authority (Swedish Civil Contingencies Agency) was consulted and the complaint



was dismissed as not being in conflict with the regulation. The complainant and the other affected stakeholders however agreed on a compromise which fully settled the concerns of the complainant and this solution was suggested to the board of trustees which accepted both the solution and the process.

In spite of repeated efforts from PEFC Sweden to get both Environmental NGOs and Sami people representatives on board in the forum, the NGOs declined. The Forum therefore did not contain representatives of environmental NGO's nor Sami people representatives.

The standard setting process went relatively well, however, six (6) non-conformities are found in the process. Based on the assessment, it is concluded that the non-conformities found in the process did not undermine or damage the standard revision process. It would therefore not be necessary to redo the process based on the non-conformities found in the process.

## 5.2. Results: Non-Conformities

The non-conformities in the procedures are presented in the tables below, followed by the non-conformities in the process.

<b>Requirement</b>	<b>4.4 The working group/committee shall: b) have balanced representation and decision-making by stakeholder categories relevant to the subject matter and geographical scope of the standard where single concerned interests shall not dominate nor be dominated in the process</b>
<b>Evidence</b>	<p><b>Procedures; PEFC SWE 001 Appendix D 1. Setting up of the Standard Forum</b></p> <p>“All members and non-members (...) with an interest in promoting forest certification in accordance with the PEFC-system, shall have the possibility to participate in the Forum:</p> <ul style="list-style-type: none"> <li>I. Forestry including transports of roundwood to industry/ terminal</li> <li>II. Wood processing including distribution and trade in forest products in the value chain up to consumer</li> <li>III. Organizations for social, environmental and cultural interests, linked to sustainable forest management</li> </ul> <p>A mapping of interested stakeholders shall be made which identifies the relevant sectors and why they are relevant, probable key issues for each sector shall be identified, as well as by which means of communication these stakeholders are best reached.</p> <p>A general invitation to these organized stakeholders shall be published on the web; <a href="http://www.pefc.se">www.pefc.se</a>. Members of the Swedish PEFC shall be invited by letter. Invitation letters shall also be sent to stakeholders with special interests/competences for the standard setting procedure, including national ENGOs and national organizations representing the Sami people. All invitations shall be sent out three weeks prior to the first</p>



	<p>Forum meeting, as a minimum. (...)</p> <p>In addition to the stakeholders defined above (I-III), experts (scientists and other experts) may be invited to the Forum in order to bring in needed expertise."</p> <p><b>PEFC SWE 001 Appendix D 3 Development of the standard, consultation</b></p> <p>"The Forum shall call the type of stakeholders listed in paragraph 1 above to open seminars to discuss the standard setting and offer interested stakeholders to take part in the working groups described below. A stakeholder should not be represented by more than one person when members are appointed to the working groups. The size of the working groups should be restricted to 8-12 participants. Acceptance or rejection of nominations shall be motivated in relation to the requirements for a balanced representation in the working group/committee and available resources for development of the standard."</p>
<b>Assessors' comments</b>	The standard of PEFC Sweden requires that all interested stakeholder shall have the possibility to participate in the Forum, promoting the representation of a wide range of stakeholders. It does however not specify how this will be balanced to ensure that certain interest shall not dominate nor be dominated in the process. The balanced representation is only regulated for the task forces, not for the Forum itself.
<b>Result</b>	Does not conform - minor
<b>CAR</b>	Provide evidence to show conformity or update the standard

<b>Requirement</b>	<b>5.3 The announcement and invitation shall include: d) an invitation to comment on the scope and the standard-setting process</b>
<b>Evidence</b>	<p><b>Procedures; PEFC SWE 001 Appendix D 1. Setting up of the Standard Forum</b></p> <p>"The invitation shall also include the standard setting procedures (or a reference or a link) and information about the possibility to submit comments on the standard setting procedures."</p>
<b>Assessors' comments</b>	Although the standard makes reference to an invitation for stakeholders to comment on the standard-setting <b>procedure</b> , no reference was found that the invitation/announcement shall include an invitation to comment on the standard-setting <b>scope and process</b> .
<b>Result</b>	Does not conform - minor
<b>CAR</b>	Provide evidence to show conformity or update the standard

The non-conformities found in the process are presented in the tables below.

<b>Requirement</b>	<b>4.4 The working group/committee shall: b) have balanced representation and decision-making by stakeholder categories relevant to the subject matter and geographical scope of the standard where single concerned interests shall not dominate nor be dominated in the process</b>
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<b>Evidence</b>	<p><b>Process; Minutes from forum 1</b></p> <p>7. The Swedish procedure for preparation of the PEFC standard          “Christina Lundgren reported how the revision will be implemented and who will / should be involved. Then the goal is to get as many relevant stakeholders as possible the forum asked Christina Lundgren to continue contacting stakeholders, environmental organizations and indigenous people to get them into appropriate groups. Invited environmental organizations and Sami Association has to date officially to the invitations made.”</p> <p>9. Reporting from groups          “Selection of the views of the group work and subsequent discussion in plenary:          (...) - The importance of environmental NGOs are present in the process”</p> <p>11. Registration of participants in the working groups          “Participants in the working group was appointed (Appendix 3 [ref.: list of participants]).          (...) The working groups' production and environment "and Social Issues" left room for any additional stakeholders from the environmental movement.”</p>
<b>Assessors' comments</b>	<p>The Forum did not have a balanced representation of stakeholder categories. The list of participants in the forum includes materially and directly affected stakeholders (forest owners, employees and employers organizations, industry and trade, timber purchase / trade). However, no social or environmental NGOs participated in the forum. This also raised concern among some of the respondents to the stakeholder survey, in particular with respect to environmental NGOs and Sami representatives. It shall however be noted that 9 NGO's were invited and PEFC Sweden showed their efforts to get the NGOs on board; multiple invitations and reminders, phone calls, offers to compensate expenses, etc. Respondents to the stakeholder survey confirmed that efforts were made to get them on board.</p>
<b>Result</b>	Does not conform - minor

<b>Requirement</b>	<p>4.4 The working group/committee shall: c) include stakeholders with expertise relevant to the subject matter of the standard, those that are materially affected by the standard, and those that can influence the implementation of the standard. The materially affected stakeholders shall represent a meaningful segment of the participants.</p>
<b>Evidence</b>	<b>Process; (lists of participants to the Forum)</b>
<b>Assessors' comments</b>	<p>Forest owners and companies in the forest product chain represent a meaningful segment of the participants. However, environmental NGOs are not represented, nor the Sami people representatives, although they may be materially affected.</p>
<b>Result</b>	Does not conform - minor



<b>Requirement</b>	<b>5.3 The announcement and invitation shall include: d) an invitation to comment on the scope and the standard-setting process</b>
<b>Evidence</b>	<b>Process; (invitation letter)</b>
<b>Assessors' comments</b>	The invitation does not specify the possibility to comment on the scope and standard-setting process.
<b>Result</b>	Does not conform - minor

<b>Requirement</b>	<b>5.8 In order to reach a consensus the working group/committee can utilise the following alternative processes to establish whether there is opposition: a) a face-to face meeting where there is a verbal yes/no vote, show of hands for a yes/no vote; a statement on consensus from the Chair where there are no dissenting voices or hands (votes); a formal balloting process, etc.</b>
<b>Evidence</b>	<p><b>Process; Letter: On the passing of decisions in the Swedish PEFC standard revision</b></p> <p>“During its’ six meetings the forum has passed numerous decisions on great and small issues. All decisions, unless otherwise specifically stated in the minutes, has been passed by me declaring consensus after comprehensive discussions. The most important decision was of course the acceptance of the final draft on the 6<sup>th</sup> forum meeting 3 February 2016. The decision was unanimously accepted with no opposition at the meeting.”</p> <p><b>Minutes Forum 6. 11 Adjournment</b></p> <p>“The Forum approved the proposed new PEFC standard (TD IV), with modifications made under this Protocol, to be forwarded to the PEFC Board of Directors.”</p>
<b>Assessors' comments</b>	PEFC Sweden confirmed that a consensus was reached in forum meeting 6. However, the process for reaching consensus is not specified.
<b>Result</b>	Does not conform - minor

<b>Requirement</b>	<b>5.11 The standardising body shall formally approve the standards/normative documents based on evidence of consensus reached by the working group/committee.</b>
<b>Evidence</b>	<p><b>Process; Letter: On the passing of decisions in the Swedish PEFC standard revision</b></p> <p>“During its’ six meetings the forum has passed numerous decisions on great and small issues. All decisions, unless otherwise specifically stated in the minutes, has been passed by me declaring consensus after comprehensive discussions. The most important decision was of course the acceptance of the final draft on the 6<sup>th</sup> forum meeting 3 February 2016. The decision was unanimously accepted with no opposition at the meeting.”</p> <p><b>Minutes PEFC SWE Board 2016-04-20 11. Standard Audit - decision on the application</b></p> <p>”PEFC standard audit forum decided at its meeting February 3, 2016 to submit the proposal to the new PEFC standard for the Board of Swedish PEFC. The board was thereby given the authority to handle the</p>





	outstanding questions (protocol paragraphs 7-10) and to send standard to international PEFC for endorsement. Swedish PEFC Board of Directors decided to approve the Forum's proposed new PEFC standard (PEFC TD IV document PEFC SWE 001 - PEFC SWE 005) for application for the approval of the international PEFC. Application date was set to 16 May, 2016.”
<b>Assessors' comments</b>	The letter was only written and sent to the Assessor during the conformity assessment. Evidence for consensus is not found in the records of the process itself, whereas it is explicitly requested by the requirement. Although it might have worked according to the requirements, this shall be recorded to show conformity, not only to the Assessor, but to all stakeholders.
<b>Result</b>	Does not conform - minor

<b>Requirement</b>	<b>6.4 The transition date shall not exceed a period of one year except in justified exceptional circumstances where the implementation of the revised standards/normative documents requires a longer period.</b>
<b>Evidence</b>	<p><b>Process; PEFC SWE 001 p.2</b></p> <p>“Application: 2016-05-16 Transition date: One year from the PEFC re-endorsement decision Date”</p> <p><b>PEFC SWE 001 3. Validity and transition rules</b></p> <p>“TD III is valid for already issued PEFC-certification during a transition period of 1 year after the entering into force of the new and revised TD IV.”</p>
<b>Assessors' comments</b>	The date of PEFC re-endorsement is later than the application date and therefore the transition period exceeds one year.
<b>Result</b>	Does not conform - minor

### 5.3. Results: Selection of Conformities

In the tables below, a selection of conformities is presented that to the opinion of the assessment team are sensitive issues in the Swedish context and/or illustrative examples of the Standard Setting Procedures and Process.

<b>Requirement</b>	<b>4.4 The standardising body shall establish a permanent or temporary working group/committee responsible for standard-setting activities.</b>
<b>Evidence</b>	<p><b>Process; Minutes forum 1 TD IV 2014-10-27</b></p> <p>“11. Registration of participants in the working groups. Participants in the working group was appointed (Appendix 3). Working group secretaries are:</p> <ul style="list-style-type: none"> <li>• Production and environment - Patrik Hansson</li> <li>• Social issues - Gabriele Bodegård</li> <li>• Structural issues - Christina Lundgren.</li> </ul> <p>The working groups' production and environment "and Social Issues" left</p>



	room for any additional stakeholders from the environmental movement.”
<b>Assessors' comments</b>	(none)
<b>Result</b>	Does conform

<b>Requirement</b>	<b>4.4 The working group/committee shall: a) be accessible to materially and directly affected stakeholders</b>
<b>Evidence</b>	<b>Process; Notice of the audit of the Swedish PEFC certification for sustainable Forestry - TD Forum IV</b> “For the audit of the standard are invited anyone with an interest in promoting forest certification under PEFC system.”
<b>Assessors' comments</b>	The stakeholder contact list includes materially and directly affected stakeholders (forest owners, employees and employers organizations, industry and trade, timber purchase / trade).
<b>Result</b>	Does conform

<b>Requirement</b>	<b>4.5 Upon receipt of the complaint, the standard-setting body shall: b) gather and verify all necessary information to validate the complaint, impartially and objectively evaluate the subject matter of the complaint, and make a decision upon the complaint, and</b>
<b>Evidence</b>	<b>Process; Investigation on complaint ADR</b> “Forum Board adopted CL's proposals to address the issue: 1. Confirm that the EC forestry complaints have been submitted to the Board and will be treated 2. CL ask MSB to watch our standard text on dangerous goods, and particularly the section on education 3. CL reconnects the results to the Forum's board with a proposal on how the issue should be handled on”
<b>Assessors' comments</b>	(none)
<b>Result</b>	Does conform

<b>Requirement</b>	<b>5.2 The standardising body shall identify disadvantaged and key stakeholders. The standardising body shall address the constraints of their participation and proactively seek their participation and contribution in the standard-setting activities.</b>
<b>Evidence</b>	<b>Process; PEFC SWE 001-005 Development Report 3.3 Announcement of the standard-setting and invitation of stakeholders</b> “The stakeholders were invited by mail (...), and the invitation was placed on the website of PEFC Sweden. Key stakeholders not previously engaged in PEFC were also approached by phone. The following stakeholders were contacted by both mail and phone and even though declining to join the process they provided contact persons whom were willing to receive information on the process and to be notified of the general and the public consultation: Greenpeace, WWF, SNF, SSR and the Sami Parliament.”



	<p><b>Example of individual letter to ENGO</b></p> <p>“(…) It is still not too late to participate! For Swedish PEFC account, we invite your organization to participate in the next forum meeting 25 March. (…)”</p> <p><b>Letter from SSR</b></p> <p>“Thanks for the invitation. SSR has chosen to work with FSC standards in forestry issues and therefore thank no to participate in the audit process for PEFC.”</p> <p><b>Letter to SSR</b></p> <p>“Thank you for your response to the invitation to the Swedish PEFC standard revision. We think it's sad that you have decided to abstain. I would like to re-emphasize that the meeting times / locations or compensation can be discussed if it would be practical issues that are the reason for your decision.</p> <p>We respect your position and would love to bring about a continued open dialogue with you. Some arguments for reindeer herding and PEFC could benefit from a continuation of the dialogue:</p> <ul style="list-style-type: none"> <li>• There are many landowners who are not yet certified but efforts are made to get the others. It will benefit your cause if you have been given to influence the PEFC requirements will impose upon them for them to be involved in the system.</li> <li>• In northern Sweden can be reached in the current situation, only companies with FSC, which means only half of the forest land.</li> </ul> <p>I would love to visit you to take part of your position and your comments. This would be noncommittal for you but very valuable for us. Would it be possible for me to visit you in Umeå at the moment?”</p> <p><b>Minutes from forum 1</b></p> <p>7. The Swedish procedure for preparation of the PEFC standard          “Christina Lundgren reported how the revision will be implemented and who will / should be involved. Then the goal is to get as many relevant stakeholders as possible the forum asked Christina Lundgren to continue contacting stakeholders, environmental organizations and indigenous people to get them into appropriate groups. Invited environmental organizations and Sami Association has to date officially to the invitations made.”</p> <p>9. Reporting from groups          “Selection of the views of the group work and subsequent discussion in plenary:          (…)- The importance of environmental NGOs are present in the process”</p> <p>11. Registration of participants in the working groups          “Participants in the working group was appointed (Appendix 3 [ref.: list of participants]).          (…)- The working groups' production and environment "and Social Issues" left room for any additional stakeholders from the environmental movement.”</p>
<p><b>Assessors' comments</b></p>	<p>The identified and invited stakeholders include key and disadvantaged stakeholders. The invitation letters sent to the NGOs indicate that PEFC</p>



	Sweden pro-actively sought their participation, however, no NGOs or ENGOs participated in the forum, see req. 4.4b (process).
<b>Result</b>	Does conform

<b>Requirement</b>	<b>5.4 The standardising body shall review the standard-setting process based on comments received from the public announcement and establish a working group/committee or adjust the composition of an already existing working group/committee based on received nominations. The acceptance and refusal of nominations shall be justifiable in relation to the requirements for balanced representation of the working group/committee and resources available for the standard-setting.</b>
<b>Evidence</b>	<p><b>Process; Minutes from forum 1</b></p> <p>7. The Swedish procedure for preparation of the PEFC standard  “Christina Lundgren reported how the revision will be implemented and who will / should be involved. Then the goal is to get as many relevant stakeholders as possible the forum asked Christina Lundgren to continue contacting stakeholders, environmental organizations and indigenous people to get them into appropriate groups. Invited environmental organizations and Sami Association has to date officially to the invitations made.”</p> <p>9. Reporting from groups  “Selection of the views of the group work and subsequent discussion in plenary:  (...) - The importance of environmental NGOs are present in the process”</p> <p>11. Registration of participants in the working groups  “Participants in the working group was appointed (Appendix 3 [ref.: list of participants]).  (...) The working groups' production and environment "and Social Issues" left room for any additional stakeholders from the environmental movement.”</p> <p><b>Additional explanation provided by PEFC Sweden</b></p> <p>“There were no comments on the procedure before the revision process started. However after the revision we have had some comments and the Swedish board have decided to write a guide for next standard revision. The nature of these will probably not affect the written procedures which are basic, sound and functional but will be a useful guidance to use as a compliment to the written procedures.”</p>
<b>Assessors' comments</b>	As the invitation did not contain an invitation to comment on the scope and the standard-setting process (see 5.3.d above), it is obvious that no direct reference could be found in minutes regarding any comments received on the process. However, the Forum requested to continue contacting stakeholders to participate in the Forum, which was conducted by PEFC Sweden.
<b>Result</b>	Does conform



<b>Requirement</b>	<p>5.5 The work of the working group/committee shall be organised in an open and transparent manner where:</p> <p>c) comments and views submitted by any member of the working group/committee shall be considered in an open and transparent way and their resolution and proposed changes shall be recorded.</p>
<b>Evidence</b>	<p><b>Process; Minutes forum 2 PEFC TV IV 2015—03-25</b></p> <p><b>“Modifications of the PEFC 004:</b></p> <p>Expanded to include both direct certification (3) and group certification</p> <p>The task force proposes that the 12-month exemption for hiring o-certified contractors removed. The group has discussed for example, a course is not given during the current season should be the umbrella organization could issue a conditional certificate</p> <p>Development of handling larger deviations in the group certification with Suspended evidence and final dismissal (Appendix 1)</p> <p><u>Discussions and conclusions:</u></p> <p>Arguments both for and against the 12-month exemption for non-certified contractors was performed. The organizations that hire contractors sent a clear message that they do not want conditional proof because they have no way to know what possible shortcomings. A slight overweight to support the working group's proposal to abolish the exemption prevailed. Objections were raised to the proposal of deviation and Suspended evidence and the question is taken back to the working group.”</p>
<b>Assessors' comments</b>	<p>The above presents an example of an open and transparent consideration of views submitted by members of the forum. Records of proposed changes were presented by PEFC Sweden. Respondents to the questionnaire agreed that the comments were considered in an open and transparent way.</p>
<b>Result</b>	<p>Does conform</p>



## 6. Forest Management Standard

This chapter presents the findings of the assessment of the Sustainable Forest Management Standard. In total eight (8) non-conformities are found, which are all classified as minor. Corrective action requests are formulated for each of the non-conformities raised. The Standard and Scheme Requirement Checklist related to the Sustainable Forest Management Standard can be found in Annex 1 part III, which presents all the conformities, non-conformities and related references.

### 6.1. Analysis

The Sustainable Forest Management requirements are stipulated in the Swedish PEFC Forest standard (PEFC SWE 002:4). This standard is structured in 3 sub-standards: (1) Forest management standard, (2) Social standard, and (3) Environmental standard. The individual requirements start with a brief description of what it aims to achieve. These descriptions are followed by detailed descriptions of specific requirements which focus on forest management practices, often specified for specific situations or areas. The standard is complemented with applicable legislation as listed in the Swedish PEFC certification system for sustainable forest management (PEFC SWE 001:4).

The responsibility to comply with the requirements of the forest standard falls on the forest owner. In order to make it easier for the forest owner to comply with standard's requirements, the Swedish PEFC system requires forestry certification on the part of wood procurement organizations, and contractor certification on the part of forestry contractors. This means that the implementation of particular activities within the forest management may be delegated to certified contractors. Certification of forestry contractors is conducted in accordance with Swedish PEFC forestry contractor standard (PEFC SWE 003:4). PEFC SWE 004 stipulates that “certified forest owners and wood procurement organizations undertaking operations on forest land owned by certified forest owners shall comply with the requirements of the Swedish PEFC forest standard (PEFC SWE 002) and applicable parts of the Swedish PEFC forestry contractor standard (PEFC SWE 003).”

Larger organizations are normally certified directly by a certification body. For forest owners, wood procurement organizations, and contractors, there is the possibility to associate with a group certification, where a central body, an umbrella organization, assists with expertise, administration, control, and follow-up of group members. A difference between a group-certificate and a direct-certificate is that the group consists of several actors and that the forest land is not embraced by a uniform ownership. Depending on the type of certification, different requirements apply to management system and organization. Requirements on management system and organization are specified in the Swedish PEFC requirements on direct certification and group certification (PEFC SWE 004:4).



The Swedish PEFC forest management requirements often focus on specific forest management practices, in many cases for specific cases. As a result the overall compliance with the more generic principles of the PEFC meta-standard (PEFC ST 1003:2010, Sustainable Forest Management – Requirements) could sometimes hardly be demonstrated. In several cases the Swedish PEFC requirements cover elements of a general principle, but do not fully cover the full principle. A clear example is the following PEFC International’s criterion:

*5.3.6 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 forest products, with due regard to nutrient off-take.*

The provided references are the following:

*PEFC SWE 002:4 – 3 Forest management standard*

*“3.2 Productive capacity of the forest land*

*An important component in a sustainable forestry is the long-term productive capacity of the forest land, which shall be made use of and managed at forestry operations. Cleaning of ditches and fertilization are examples of measures to enhance production that may be of importance on land which is suitable for this.*

*3.2.2 Sustainable annual allowable cut shall be documented in the forest management plan.”*

There is in this case no specific reference to the application of a sustainable harvesting level, and optimum use of harvested forest products with due regard to nutrient off-take.

One observation is identified: PEFC SWE 002:4 clause 4.1.2 refers to clause 4.4.1, which does not exist. It is assumed this should be 4.1.1.

## 6.2. Results: Non-Conformities

The non-conformities found in the Forest Management Standard are presented in the tables below.

<b>Requirement</b>	<b>5.1.5 Management plans or their equivalents shall include at least a description of the current condition of the forest management unit, long-term objectives; and the average annual allowable cut, including its justification and, where relevant, the annually allowable exploitation of non-timber forest products.</b>
<b>Evidence</b>	<p><b>PEFC SWE 002:4 – 3 Forest management standard</b></p> <p>“3.1.2 Forest holdings with less than 20 ha productive forest land must have an overview map showing the location of voluntary set-asides as well as key-habitats, sites with conservation values, and ancient/cultural remains that are registered by concerned authority.</p> <p>3.2.2 Sustainable annual allowable cut shall be documented in the forest management plan.”</p> <p><b>PEFC SWE 002:4 - Appendix 1. PEFC-adapted forest management</b></p>



	<p><b>plan</b></p> <p>“A forest management plan shall provide a detailed description of the forest holding as a whole, as well as for each compartment, including information like average stand age, soil fertility, and management needs for the compartments. Each compartment shall be assigned a “forestry objective”, indicating the long-term management objective. (...)</p> <p>Requirements for general information in the forest management plan: (...)</p> <p>14. information on sustainable annual allowable cut”</p>
<b>Assessors’ comments</b>	For forest holdings with less than 20 ha productive forest land, no references were found sufficiently ensuring that the current condition of the forest management unit, long-term objectives and the average annual allowable cut, including its justification are included in the management plans or their equivalents.
<b>Result</b>	Does not conform – minor
<b>CAR</b>	Provide evidence to show conformity or update the standard

<b>Requirement</b>	<p><b>5.1.6 A summary of the forest management plan or its equivalent appropriate to the scope and scale of forest management, which contains information about the forest management measures to be applied, is publicly available. The summary may exclude confidential business and personal information and other information made confidential by national legislation or for the protection of cultural sites or sensitive natural resource features.</b></p>
<b>Evidence</b>	<p><b>PEFC SWE 004:4 Swedish PEFC requirements on direct certification and group certification</b></p> <p>“3.2 Direct certification of forestry</p> <p>3.2.1.8 In the case of external request about the certification, make available information on forest land set aside for conservation purposes/ actions taken within requested specific local geographic area. Information on the holding’s economic conditions such as growth and timber volumes is not public, neither are results from assessments of conservation values or information on vulnerable species.</p> <p>4.4 Responsibility of affiliated forestry- and wood procurement organizations at group certification</p> <p>4.4.1.10 In the case of an external request about the certification, information on areas set aside for conservation purposes/actions taken within requested specific local geographic area, shall be made available, either directly or by the umbrella organization. Information on the holding’s economic conditions such as growth and timber volumes is not public, neither are results from assessments of conservation values or information on vulnerable species.”</p>
<b>Assessors’ comments</b>	It is insufficiently assured that a summary of the forest management plan (or its equivalent) is publicly available, as the clauses only provide for information on set aside areas and actions taken. A summary of an FMP will also contain information on e.g. objectives, zonation, plans and current status of the forests.
<b>Result</b>	Does not conform – minor
<b>CAR</b>	Provide evidence to show conformity or update the standard





<b>Requirement</b>	<b>5.1.7 Monitoring of forest resources and evaluation of their management shall be periodically performed, and results fed back into the planning process.</b>
<b>Evidence</b>	<p><b>PEFC SWE 002:4 - Appendix 1. PEFC-adapted forest management plan</b></p> <p>“Requirements for general information in the forest management plan:                  (...) 4. time for undertaking of the inventory.</p> <p>The plan is normally valid for a plan period of 10 years. If the plan period has expired, a forest management plan may be considered up to date, after the quality of the plan has been examined by umbrella organization or certification body, and provided that any of the following is met:</p> <ul style="list-style-type: none"> <li>- At a good follow-up, i.e. where field-visits form the basis for continuous up-dating and incorporation of new actions.</li> </ul> <p>A forest management plan is not up to date when: (1) The plan period has expired, proposed actions have been taken, but follow-up has not been carried out.”</p>
<b>Assessors’ comments</b>	No references were found ensuring periodical monitoring of forest resources, since field visits are not necessarily the same as forest resources monitoring.
<b>Result</b>	Does not conform – minor
<b>CAR</b>	Provide evidence to show conformity or update the standard

<b>Requirement</b>	<p><b>5.1.11 Conversion of forests to other types of land use, including conversion of primary forests to forest plantations, shall not occur unless in justified circumstances where the conversion:</b></p> <ul style="list-style-type: none"> <li>a) <b>is in compliance with national and regional policy and legislation relevant 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 materially and directly interested persons and organisations; and</b></li> <li>b) <b>entails a small proportion of forest type; and</b></li> <li>c) <b>does not have negative impacts on threatened (including vulnerable, rare or endangered) forest ecosystems, culturally and socially significant areas, important habitats of threatened species or other protected areas; and</b></li> <li>d) <b>makes a contribution to long-term conservation, economic, and social benefits.</b></li> </ul>
<b>Evidence</b>	<p><b>PEFC SWE 001:4 – 7 Forestry in Sweden</b></p> <p>“7.3.1 The Forestry Act</p> <p>7.3.1.2 Notification of regeneration felling</p> <p>Regeneration felling comprising areas of 0,5 hectares and larger should be notified to the Forest Agency six weeks in advance at the latest. As regeneration felling does not count thinning and pre-commercial thinning</p>



	<p>which promotes forest development.</p> <p>(...) A forest owner is obliged to regenerate the forest after clearcutting (§ 8 Forestry Act).”</p> <p><b>Additional explanation provided by PEFC Sweden</b></p> <p>“This means that any conversion is prohibited unless done with permission from the authorities so any regulations via the PEFC standard is on top of that prohibition.”</p> <p><b>PEFC SWE 001:4 – 7 Forestry in Sweden</b></p> <p>“7.3.2.2 Notification of consultation</p> <p>Any forestry operation that may affect the natural environment in a significant way shall be notified to the Forest Agency for consultation. Failure to do so is a criminal offence. Operations encompassed by the Forest Agency’s provisions and general advice (2013:3) on obligation to notify consultation according to chapter 12, § 6 of the Environmental Code regarding forestry are: • Forestry operations in areas of special significance to flora and fauna (equals key-habitats); (...)</p> <p>Apart from these operations, there is also a general obligation to notify any operation that may imply significant changes to the natural environment.”</p> <p><b>PEFC SWE 002:4 – 3 Forest management standard</b></p> <p>“3.10 Conversion of forest land</p> <p>Conversion of forest land may affect nature values but may also entail great advantages to society.</p> <p>3.10.1 Conversion of forest land to other land use shall only be made to a limited extent and where such conversion is consistent with current legislation, and after all necessary permissions have been obtained and consultation carried out. Examples of this are when conversion aims at development of infrastructure related to forestry or society at large (such as roads, wind power etc.), research, improvement of recreational values, or preservation or development of cultural values or biological diversity. When forest land that has previously been under agriculture is again converted to agricultural use, this is considered to meet the above described criteria.”</p>
<p><b>Assessors’ comments</b></p>	<p>The references to legislation show the stringent rules regarding conversions, there is however also room for “permitted conversion”. It remains unclear under what circumstances such conversions are permitted and if these comply with the PEFC requirements, in specific ensuring that the conversion:</p> <ul style="list-style-type: none"> <li>• is a result of national or regional land-use planning governed by a governmental or other official authority including consultation with materially and directly interested persons and organisations;</li> <li>• does not have negative impacts on threatened forest ecosystems, culturally and socially significant areas, important habitats of threatened species or other protected areas;</li> <li>• makes a contribution to long-term conservation, economic, and social benefits.</li> </ul>



	Furthermore, the wording ‘a limited extent’ is not auditable and does therefore not sufficiently ensure that the conversion entails a small proportion of forest type.
<b>Result</b>	Does not conform – minor
<b>CAR</b>	Provide evidence to show conformity or update the standard

<b>Requirement</b>	<b>5.2.4 Forest management plans or their equivalents shall specify ways and means to minimise the risk of degradation of and damages to forest ecosystems. Forest management planning shall make use of those policy instruments set up to support these activities.</b>
<b>Evidence</b>	<p><b>PEFC SWE 002:4 – 2.1 Facilities and further information</b></p> <p>“Information on current legislation applicable to forestry and advice on forest management may be obtained from the web-based services “Regelrätt Skogsbruk”, rkrattsbaser.gov.se, and “Kunskap Direkt”, www.kunskapdirekt.se. The forest sector’s targets for good environmental consideration are to be found at www.skogsstyrelsen.se.”</p> <p><b>PEFC SWE 002:4 – 5 Environmental standard</b></p> <p>“5.2 Forests that shall be managed with enhanced consideration Forests containing conservation values, which are not prioritized for set aside, shall be managed with high ambitions as regards nature conservation.</p> <p>5.2.1 Guidelines indicated in the forest management plan regarding consideration for existing values shall be observed.”</p>
<b>Assessors’ comments</b>	Multiple criteria were found with regards to minimization the risk of degradation of and damages to forest ecosystems, but it is not ensured that the ways and means of minimization are specified in forest management plans or their equivalents.
<b>Result</b>	Does not conform – minor
<b>CAR</b>	Provide evidence to show conformity or update the standard

<b>Requirement</b>	<b>5.2.7 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. The spillage of oil during forest management operations or the indiscriminate disposal of waste on forest land shall be strictly avoided. Non-organic waste and litter shall be avoided, collected, stored in designated areas and removed in an environmentally-responsible manner.</b>
<b>Evidence</b>	<p><b>PEFC SWE 002:4 – 3 Forest management standard</b></p> <p>“3.3 Regeneration In order to establish suitable conditions for an economically viable timber production, reliable regeneration methods shall be used.</p> <p>3.8 Exotic tree species As exotic tree species count species which do not naturally grow in</p>



	<p>Sweden. Some of these may have advantages such as higher growth, advantageous wood qualities, better adaptation to damage from game or a changing climate. When exotic tree species are used, risks such as forest infestations, effects on biological diversity, and unplanned natural regeneration shall be taken into account.”</p> <p><b>PEFC SWE 002:4 – 5 Environmental standard</b></p> <p>“5.7.1 Measures shall be planned with respect to season and soil stability so that damages to soil and water are avoided.”</p> <p><b>PEFC SWE 003:3 – 4 PEFC’s requirements on contractors</b></p> <p>“4.7 Preventive environmental requirements</p> <p>Environmental awareness shall permeate the whole business. At the procurement of equipment and supplies, environmentally labeled products shall be chosen when this is practically and economically feasible.</p> <p>4.7.3 For lubrication of chain saws, vegetable chain saw oil, other environmentally approved chain saw oil, or other lubricant for chain saws according to SS 15 54 70, environmental class B at the lowest, shall be used.</p> <p>4.8.2 Dangerous goods may only be carried in packaging that has undergone type examination. This applies to bottles, cans, barrels, as well as IBC-containers.</p> <p>4.8.3 The dangerous goods shall be carried in a ventilated space.</p> <p>4.9.1 Contractor which has a business in which hazardous waste arises shall, for every sort of waste, keep notes on quantity of waste and where the waste is transported. The notes shall be kept.</p> <p>4.10.2 Clearing equipment shall always be carried and used when needed.</p> <p>4.10.3 Equipment for collection of spillage shall be used at service and maintenance work.”</p>
<b>Assessors’ comments</b>	<p>No reference is found ensuring the <b>avoidance</b> of waste and litter. Found references do only cover the avoidance of <b>spillage</b>.</p> <p>Next, no references were found which ensure that (non-hazardous) non-organic waste and litter will be (1) collected and (2) stored in designated areas and removed in an environmentally-responsible manner.</p>
<b>Result</b>	Does not conform – minor
<b>CAR</b>	Provide evidence to show conformity or update the standard

<b>Requirement</b>	<b>5.3.6 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 forest products, with due regard to nutrient off-take.</b>
<b>Evidence</b>	<p><b>PEFC SWE 002:4 – 3 Forest management standard</b></p> <p>“3.2 Productive capacity of the forest land</p> <p>An important component in a sustainable forestry is the long-term productive capacity of the forest land, which shall be made use of and managed at forestry operations. Cleaning of ditches and fertilization are</p>



	<p>examples of measures to enhance production that may be of importance on land which is suitable for this.</p> <p>3.2.2 Sustainable annual allowable cut shall be documented in the forest management plan.”</p> <p><b>Additional explanation provided by PEFC Sweden</b></p> <p>“It is absolutely crucial to understand the consequences of the right of common access in Sweden which includes berries and mushrooms. Berries and mushrooms cannot really be overharvested and moreover the forest owner cannot regulate who and how much berries that are picked on his forest holding. The agricultural university however monitors the amounts of berries on their permanent sample plots and publish charts annually. As for mushrooms there are great variation between years due to the weather conditions. It is estimated that about only a small proportion of the available berries and mushrooms are being picked each year.”</p>
<b>Assessors’ comments</b>	No references are found sufficiently ensuring that a sustainable harvesting rate of wood is applied during harvesting. Furthermore, no references are found ensuring that optimum use shall be made of the harvested forest products, with due regard to nutrient off-take.
<b>Result</b>	Does not conform – minor
<b>CAR</b>	Provide evidence to show conformity or update the standard

<b>Requirement</b>	<b>5.6.10 Forest management shall provide for effective communication and consultation with local people and other stakeholders relating to sustainable forest management and shall provide appropriate mechanisms for resolving complaints and disputes relating to forest management between forest operators and local people.</b>
<b>Evidence</b>	<p><b>PEFC SWE 001:4 - 13 External views, complaints and disputes</b></p> <p>“Certified companies/organizations, certification bodies and the accreditation body (Swedac) have routines in place to receive and handle external views and complaints. The Swedish PEFC economic association has the overall responsibility for correct and impartial handling of matters of dispute in connection to certification according to the Swedish PEFC-standard. Disputes that cannot be settled by the certification body or by Swedac are addressed to the Swedish PEFC.</p> <p>13.1 Complaints on certified actors</p> <p>Complaints regarding issued certificates or usage of the PEFC-logotype are addressed to the holder of the certificate and/or concerned certification body.”</p> <p><b>PEFC SWE 002:4 – 3 Forest management standard</b></p> <p>“3.10.1 Conversion of forest land to other land use shall only be made to a limited extent and where such conversion is consistent with current legislation, and after all necessary permissions have been obtained and consultation carried out.”</p> <p><b>PEFC SWE 002:4 – 4 Social standard</b></p>



	<p>“4.1.1 Areas on the forest holding which are of great significance to recreation and outdoor life (...).</p> <p>4.1.2 In the case any area in line with 4.4.1 has been identified, the landowner or representative of the landowner shall, on the basis of local conditions and when it is warranted by the situation, take appropriate information- and dialogue measures prior to any forestry operations are begun.</p> <p>o Any signs or notice sheets shall include contact information. In the cases informative signs/sheets are used, these shall be posted or handed out at least 14 days prior to any forestry operation is begun.</p> <p>o In the case of forestry operations adjacent to schools, other public facilities, or close to residential areas, information shall be provided, or dialogue, e.g. information meeting, be offered.</p> <p>4.3 Forestry and reindeer herding</p> <p>(...) Collaboration at the local level, and a balancing of different needs adapted to the specific situation, shall be sought for in order to arrive at solutions that are the most appropriate with respect to the local situation.</p> <p>(...) Consideration for the interests of reindeer herding shall be shown (...). Regarding consultation, provisions and general advice according to § 20 and 31 of the Forestry Act shall be applied, unless otherwise agreed outside the reindeer herding year-round pasture lands. (...).”</p>
<b>Assessors' comments</b>	The clauses provide reference for specific consultation needs. No references were found which ensure provision for effective communication and consultation with local people and other stakeholders relating to sustainable forest management in general.
<b>Result</b>	Does not conform – minor
<b>CAR</b>	Provide evidence to show conformity or update the standard

### 6.3. Results: Selection of Conformities

In the tables below, a selection of conformities is presented that to the opinion of the assessment team are sensitive issues in the Swedish context and/or illustrative examples of the Sustainable Forest Management Standard.

<b>Requirement</b>	<b>5.1.9 Forest management practices shall safeguard the quantity and quality of the forest resources in the medium and long term by balancing harvesting and growth rates, and by preferring techniques that minimise direct or indirect damage to forest, soil or water resources.</b>
<b>Evidence</b>	<p><b>PEFC SWE 002:4 – 3 Forest management standard</b></p> <p>“3.2 Productive capacity of the forest land</p> <p>An important component in a sustainable forestry is the long-term productive capacity of the forest land, which shall be made use of and managed at forestry operations.</p> <p>3.2.1 In order to prevent soil compaction and to ensure the productive capacity of the forest land, soil conservation measures shall be</p>



	<p>undertaken when needed.</p> <p>3.2.2 Sustainable annual allowable cut shall be documented in the forest management plan.</p> <p>3.3 Regeneration</p> <p>In order to establish suitable conditions for an economically viable timber production, reliable regeneration methods shall be used.</p> <p>3.4 Silvicultural measures</p> <p>Pre-commercial thinning and thinning shall be undertaken in order to produce forests with high production- and nature values in accordance with established objectives.</p> <p>3.6 Forest fuel</p> <p>Extraction of timber and forest fuel is a natural part of an active forestry and shall be carried out in a manner ensuring that the long-term productivity of the forest land is preserved.”</p> <p>3.9 Forest health</p> <p>Forest owners shall, by means of appropriate silvicultural methods, work for the creation of vital forests by preventing damages to forests caused by climatic factors such as frost, wind and snow.”</p> <p><b>PEFC SWE 002:4 – 5 Environmental standard</b></p> <p>“5.7.1 Measures shall be planned with respect to season and soil stability so that damages to soil and water are avoided.”</p>
<b>Assessors' comments</b>	(none)
<b>Result</b>	Does conform

<b>Requirement</b>	<p><b>5.2.2 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.</b></p>
<b>Evidence</b>	<p><b>PEFC SWE 001:4 – 7 Forestry in Sweden</b></p> <p>“7.6.1 Condition of and changes in forests</p> <p>The Swedish University of Agricultural Sciences (SLU) is responsible for official statistics on current condition and changes in Sweden’s forests. The basis for this is the annual inventory work undertaken by SLU through the National Forest Inventory and the Swedish Forest Soil Survey. The main purpose of the National Forest Inventory is to describe the state and changes in Sweden’s forests, including their health and vitality.”</p> <p><b>PEFC SWE 002:4 - Appendix 1. PEFC-adapted forest management plan</b></p> <p>“Requirements for general information in the forest management plan: (...)</p> <p>4. time for undertaking of the inventory”</p> <p><b>Additional explanation provided by PEFC Sweden</b></p>



	<p>“The monitoring of forest health in Sweden is done in cooperation in the sector e.g. in regional forest health groups (regionala samverkansgrupper) and with the assistance of the university (SLU <a href="http://www.slu.se/skogsskada/">http://www.slu.se/skogsskada/</a>) and the Forest Agency (<a href="http://www.skogsstyrelsen.se/Aga-och-bruka/Skogsbruk/Skador-pa-skog/">http://www.skogsstyrelsen.se/Aga-och-bruka/Skogsbruk/Skador-pa-skog/</a>).</p> <p>Forest health monitoring comprises weather (including, storm, snow and fire), game, insect damage, fungi and rutting due to forest operations. The Forest Agency also has regional and national forest health coordinators assisting forest owners with these issues.</p> <p>Latest data are available on their webpage and through newsletters and, after larger disturbances, information to forest owners in concerned areas.”</p>
<b>Assessors' comments</b>	(none)
<b>Result</b>	Does conform

<b>Requirement</b>	<b>5.3.4 Forest management practices shall maintain and improve the forest resources and encourage a diversified output of goods and services over the long term.</b>
<b>Evidence</b>	<p><b>PEFC SWE 002:4 – 3 Forest management standard</b></p> <p>“3.2 Productive capacity of the forest land</p> <p>An important component in a sustainable forestry is the long-term productive capacity of the forest land, which shall be made use of and managed at forestry operations.</p> <p>3.2.1 In order to prevent soil compaction and to ensure the productive capacity of the forest land, soil conservation measures shall be undertaken when needed.</p> <p>3.6 Forest fuel</p> <p>Extraction of timber and forest fuel is a natural part of an active forestry and shall be carried out in a manner ensuring that the long-term productivity of the forest land is preserved.”</p> <p><b>PEFC SWE 002:4 – 4 Social standard</b></p> <p>“4.1.3 The accessibility to frequently used tracks and trails shall be preserved at forestry operations”</p> <p><b>PEFC SWE 002:4 – 5 Environmental standard</b></p> <p>“5.1 Set-asides for environmental purposes</p> <p>5.1.1 At least 5 % of the productive forest land shall be set aside for conservation purposes (forestry objective NO or NS). Set-aside areas shall be indicated in a forest management plan. Exemptions are made for forest holdings with less than 20 hectares of productive forest land which lacks areas with conservation values.”</p>
<b>Assessors' comments</b>	(none)
<b>Result</b>	Does conform





<b>Requirement</b>	<b>5.3.4 Forest management practices shall maintain and improve the forest resources and encourage a diversified output of goods and services over the long term.</b>
<b>Evidence</b>	<p><b>PEFC SWE 002:4 – 3 Forest management standard</b></p> <p>“3.2 Productive capacity of the forest land</p> <p>An important component in a sustainable forestry is the long-term productive capacity of the forest land, which shall be made use of and managed at forestry operations.</p> <p>3.2.1 In order to prevent soil compaction and to ensure the productive capacity of the forest land, soil conservation measures shall be undertaken when needed.</p> <p>3.6 Forest fuel</p> <p>Extraction of timber and forest fuel is a natural part of an active forestry and shall be carried out in a manner ensuring that the long-term productivity of the forest land is preserved.”</p> <p><b>PEFC SWE 002:4 – 4 Social standard</b></p> <p>“4.1.3 The accessibility to frequently used tracks and trails shall be preserved at forestry operations”</p> <p><b>PEFC SWE 002:4 – 5 Environmental standard</b></p> <p>“5.1 Set-asides for environmental purposes</p> <p>5.1.1 At least 5 % of the productive forest land shall be set aside for conservation purposes (forestry objective NO or NS). Set-aside areas shall be indicated in a forest management plan. Exemptions are made for forest holdings with less than 20 hectares of productive forest land which lacks areas with conservation values.”</p>
<b>Assessors' comments</b>	(none)
<b>Result</b>	Does conform

<b>Requirement</b>	<b>5.4.1 Forest management planning shall aim to maintain, conserve and enhance biodiversity on ecosystem, species and genetic levels and, where appropriate, diversity at landscape level.</b>
<b>Evidence</b>	<p><b>PEFC SWE 002:4 – 3 Forest management standard</b></p> <p>“3.9 Forest health</p> <p>Forest owners shall, (...), work for the creation of vital forests by preventing damages to forests</p> <p>3.9.1 Variation in stand age and tree species shall be aimed at, at forest holding level.</p> <p>3.13 Landscape ecology</p> <p>All forest management planning should be made in a landscape-ecological context. This means that the landscape and natural runoff areas are considered at forestry operations, where also the need of restoring forest- and water environments is taken into consideration.”</p> <p><b>PEFC SWE 002:4 – 5 Environmental standard</b></p> <p>“One of PEFC's cornerstones for a sustainable forest management is to</p>



	safeguard and promote the environmental values of the forests. Flora, fauna, soil, and water shall be taken into consideration at every forestry operation. As a complement to adjusted forestry measures, areas shall also be completely set aside for environmental purposes.”
<b>Assessors' comments</b>	(none)
<b>Result</b>	Does conform

<b>Requirement</b>	<b>5.4.13 Standing and fallen dead wood, hollow trees, old groves and special 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.</b>
<b>Evidence</b>	<p><b>PEFC SWE 002:4 – 5 Environmental standard</b></p> <p>“5.5 Dead wood</p> <p>The existence of dead wood is an important element for biological diversity and often in short supply in managed forests. Therefore, a fundamental ambition of the PEFC is to increase the amount of standing dead trees, old wind-throws, high stumps, etc. The biological value of the dead wood, which depends on thickness, degree of decay, tree species, and location, shall be taken into consideration.</p> <p>5.5.1 All older dead wood shall be safeguarded in forestry operations. The dead wood shall if possible be retained intact in its original location.</p> <p>5.5.8 Exemptions from the requirement to create and retain fresh dead wood of coniferous trees are allowed when:</p> <ul style="list-style-type: none"> <li>o there is a documented risk of mass propagation of noxious insects</li> <li>o after larger/extensive infestation in area declared by the Forest Agency as special area for combating of pests”</li> </ul>
<b>Assessors' comments</b>	(none)
<b>Result</b>	Does conform

<b>Requirement</b>	<b>5.5.3 Special care shall be given to silvicultural operations on sensitive soils and erosion-prone areas as well as in areas where operations might lead to excessive erosion of soil into watercourses. Inappropriate techniques such as deep soil tillage and use of unsuitable machinery shall be avoided in such areas. Special measures shall be taken to minimise the pressure of animal populations.</b>
<b>Evidence</b>	<p><b>PEFC SWE 002:4 – 3 Forest management standard</b></p> <p>“3.3.3 Soil scarification shall be site-adapted.</p> <p>3.11.1 Forest owners shall work for a balance between the size of ungulate populations and the fodder supply in order to keep damage levels down.”</p> <p><b>PEFC SWE 002:4 – 5 Environmental standard</b></p> <p>“5.7.1 Measures shall be planned with respect to season and soil stability</p>



	<p>so that damages to soil and water are avoided.</p> <p>5.7.6 Any rutting caused by harvesting equipment shall be taken care of in case damages are causing a direct flux of sediment and humus into a lake or watercourse, or if they constitute a hinder for accessibility to frequently used roads, tracks, trails, etc. In every other case, restoration risks doing more harm than good.</p> <p>5.7.7 On land where there is risk of erosion, intermittent soil scarification methods shall be used.”</p>
<b>Assessors' comments</b>	(none)
<b>Result</b>	Does conform

<b>Requirement</b>	<b>5.6.3 Property rights and land tenure arrangements shall be clearly defined, documented and established for the relevant forest area. Likewise, legal, customary and traditional rights related to the forest land shall be clarified, recognised and respected.</b>
<b>Evidence</b>	<p><b>PEFC SWE 001:4 – 7 Forestry in Sweden</b></p> <p>“7.3.8 The Reindeer Husbandry Act – a right of the Sami, Sweden’s indigenous people</p> <p>The Sami have been assigned the status of indigenous people in Sweden through parliamentary decision. The constitution states that the Sami right to pursue reindeer husbandry is regulated by law. The Reindeer Husbandry Act gives the Sami population the right to use land and water for personal maintenance as well as maintenance of their reindeers – the right of reindeer husbandry. The Reindeer Husbandry Act also stipulates in what areas reindeer husbandry may be pursued, that is, within the area for reindeer husbandry divided into year-round pasture and winter pasture land.</p> <p>7.3.11 The Hunting Act and forestry</p> <p>The Hunting Act (1987:259) lays down provisions regarding wildlife management, hunting rights, and in what way hunting shall be carried out within Swedish territory. The Hunting Act stipulates that holders of hunting rights and land owners have a common responsibility to support the game through active measures.”</p>
<b>Assessors' comments</b>	(none)
<b>Result</b>	Does conform

<b>Requirement</b>	<b>5.6.5 Adequate public access to forests for the purpose of recreation shall be provided taking into account respect for ownership rights and the rights of others, the effects on forest resources and ecosystems, as well as compatibility with other functions of the forest.</b>
<b>Evidence</b>	<p><b>PEFC SWE 002:4 – 4 Social standard</b></p> <p>“4.1 Consideration for social values, recreation and outdoor life</p> <p>Swedish PEFC safeguards the right of public access. The right of public</p>



	<p>access gives individuals the possibility to visit the forest for recreation and outdoor life, provided that this does not cause any damage or inconvenience for the forest owner.</p> <p>4.1.3 The accessibility to frequently used tracks and trails shall be preserved at forestry operations, meaning among other things that debris from forest felling shall be removed and that soil scarification and rutting shall be avoided. Tracks and trails that have been damaged shall be repaired so that original accessibility is restored.”</p>
<b>Assessors' comments</b>	(none)
<b>Result</b>	Does conform

<b>Requirement</b>	<b>5.6.8 Forest managers, contractors, employees and forest owners shall be provided with sufficient information and encouraged to keep up-to-date through continuous training in relation to sustainable forest management as a precondition for all management planning and practices described in this standard.</b>
<b>Evidence</b>	<p><b>PEFC SWE 002:4 – 4 Social standard</b></p> <p>“4.10 Competence in forestry</p> <p>Staff that are well qualified for the work performed is an important component in implementation of the PEFC-standard. Staff performing forestry work shall have a good understanding of the PEFC-standard. (...).</p> <p>4.10.1 Staff that are planning, supervising, or performing forestry work shall have adequate qualifications in relation to the work.</p> <p>4.11 Skills development</p> <p>Systematic skills development shall be included as an important component of the certified company’s staff policy.</p> <p>4.11.1 Training needs for all staff shall be identified through dialogue with the employees.”</p>
<b>Assessors' comments</b>	(none)
<b>Result</b>	Does conform



## 7. Group Certification Procedures

This chapter presents the findings of the assessment of the Group Forest Management Certification Procedures. No non-conformities are found. The Standard and Scheme Requirement Checklist related to the Group Forest Management Certification can be found in Annex 1 part II, which presents all the conformities and related references.

### 7.1. Analysis

The procedures for Group Certification are regulated in PEFC SWE 004, which is clearly structured and auditable. The group entities (in the Swedish context called: umbrella organization) are required to be ISO 14001 certified.

Under the Swedish PEFC Certification System, both forest owners, wood procurement organizations, and contractors have the possibility to affiliate with a group. Work on improvements and continuous identification of non-compliances are cornerstones of the standard and certificate holders must together aim for improvement of its implementation by informing each other about observed deficiencies.

Half of the Swedish forest land is owned by private individuals (family forestry), and these forest holdings are generally small, which means that they have limited possibilities to take on the increased administration and increased costs which is associated with direct certification. The same is valid for smaller wood procurement organizations and contractors. In order to make it possible for forest owners, contractors and wood procurement organizations to get certified, group-certification through umbrella organizations has been elaborated.

### 7.2. Results: Non-Conformities

No non-conformities are found in the Group Certification Procedures.

### 7.3. Results: Selection of Conformities

In the tables below, a selection of conformities is presented that to the opinion of the assessment team are sensitive issues in the Swedish context and/or illustrative examples of the Group Certification Procedures.

<b>Requirement</b>	<b>4.1.3 The forest certification scheme 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.</b>
<b>Evidence</b>	<b>PEFC SWE 004:4 - 4.3 Responsibility of umbrella at group certification of forest owners</b>



	<p>“The umbrella organization is responsible for:</p> <p>4.3.1.5 Controlling annually through internal audit that the business meets the requirements of the Swedish PEFC forest standard. The arrangement of the audit for group certified forest owners and wood procurement organizations is described in the paragraphs 4.3.2 and 4.3.3.</p> <p>4.3.1.7 The umbrella organization shall analyze and document the result of the internal audit and ensure that necessary measures are taken. Analysis and measures shall encompass the entire group.</p> <p>4.3.1.8 The report shall include any corrective measures. The report shall be evaluated and approved by the management.”</p>
<b>Assessors' comments</b>	(none)
<b>Result</b>	Does conform

<b>Requirement</b>	<b>4.1.4 The forest certification scheme 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.</b>												
<b>Evidence</b>	<p><b>PEFC SWE 004:4 - 4.3 Responsibility of umbrella at group certification of forest owners</b></p> <p>“The umbrella organization is responsible for:</p> <p>4.3.1.5 Controlling annually through internal audit that the business meets the requirements of the Swedish PEFC forest standard.</p> <p>4.3.1.7 The umbrella organization shall analyze and document the result of the internal audit and ensure that necessary measures are taken. Analysis and measures shall encompass the entire group.</p> <p>4.3.2.5 Routines for internal audit shall be elaborated and documented by the umbrella organization. The design shall be risk-based with regard to the scope and complexity of the business. Previous results and experiences from completed internal audits shall be given special consideration.</p> <p>In the case of internal audits based on random sample, the following apply:</p> <ul style="list-style-type: none"> <li>o In order to ensure that the audit considers the business degree of activity, the random sample shall be weighed against area, and randomly chosen from the total population so that the result is valid for the group.</li> <li>o The scope of the random sample is indicated by the table below:</li> </ul> <table border="1"> <tr> <td>No. of proof of certificates (approx.)</td> <td>100</td> <td>500</td> <td>1 000</td> <td>5 000</td> <td>10 000</td> </tr> <tr> <td>Lowest size of random sample</td> <td>20 %</td> <td>7 %</td> <td>5 %</td> <td>2 %</td> <td>√ n</td> </tr> </table> <p>4.3.3.5 (...) At least 30 % of affiliated wood procurement organizations shall be visited annually and during a three-year period, all affiliated organization shall have been subject to audit at least once.”</p>	No. of proof of certificates (approx.)	100	500	1 000	5 000	10 000	Lowest size of random sample	20 %	7 %	5 %	2 %	√ n
No. of proof of certificates (approx.)	100	500	1 000	5 000	10 000								
Lowest size of random sample	20 %	7 %	5 %	2 %	√ n								
<b>Assessors'</b>	It shall be noted that 4.3.2.5 relates to forest owners, and 4.3.3.5 to wood												



<b>comments</b>	procurement organizations.
<b>Result</b>	Does conform

<b>Requirement</b>	<b>4.3.1 The forest certification scheme shall define the following requirements for the participants: a) To provide the group entity with a written agreement, including a commitment on conformity with the sustainable forest management standard and other applicable requirements of the forest certification scheme</b>
<b>Evidence</b>	<p><b>PEFC SWE 004:4 - 4.3 Responsibility of umbrella at group certification of forest owners</b></p> <p>“The umbrella organization is responsible for:</p> <p>4.3.1.1 Handling applications from forest owners/wood procurement organizations regarding forest certification in accordance with Swedish PEFC. The applications shall be examined and approved, and affiliation shall be confirmed by means of a written agreement between the umbrella organization and the forest owner. All co-owners, or qualified representative with authorization or other verification, shall sign the agreement.”</p> <p><b>PEFC SWE 004:4 - 4.4 Responsibility of affiliated forestry- and wood procurement organizations at group certification</b></p> <p>“Through the agreement, the affiliated forest owner or wood procurement organization is responsible for:</p> <p>4.4.1.2 Meeting relevant parts of the Swedish forest standard.”</p>
<b>Assessors’ comments</b>	Although not specifically specified, it is assumed that, based on 4.4 (“through the agreement”) and 4.4.1.2. (“Meeting relevant parts of the Swedish forest standard”), the written agreement shall include a commitment on conformity with the sustainable forest management standard and other applicable requirements.
<b>Result</b>	Does conform



## 8. Chain of Custody Standard

PEFC SWE 001 chapter 5 presents an overview of the standards of Swedish PEFC Certification System, which includes the PEFC ST 2002:2013 as a sub-standard. No country specific chain of custody standard is developed. The Swedish Certification System does therefore comply with PEFC's requirements, no further assessment was carried out.





## 9. Certification and Accreditation Procedures

This chapter presents the findings of the assessment of the Certification and Accreditation Procedures. No non-conformities are found. The Standard and Scheme Requirement Checklist related to the Certification and Accreditation Procedures can be found in Annex 1 part IV, which presents all conformities and related references.

### 9.1. Analysis

The requirements for accreditation and certification are regulated in PEFC SWE 005, which defines the qualification criteria that have to be met by certification bodies and auditors, as well as procedures connected to certification, and is applicable to forest certification, forestry contractor certification, and chain of custody certification in accordance with the Swedish PEFC certification system for sustainable forest management.

The accreditation body must have an agreement with the International Accreditation Forum (IAF) and/or the European cooperation for Accreditation (EA). The accreditation body shall conform to the procedures described in document SS-EN 17011 and other documents acknowledged by IAF/EA. Swedac is the official accreditation body in Sweden.

The following steering documents are included as references for requirements for certification organisations:

- PEFC SWE 001 - Swedish PEFC certification system for sustainable forest management
- PEFC SWE 002 - Swedish PEFC forest standard
- PEFC SWE 003 - Swedish PEFC forestry contractor standard
- PEFC SWE 004 - Swedish PEFC requirements for direct certification and group certification
- PEFC SWE 005 - Swedish PEFC requirements for certification bodies
- PEFC SWE 006 - Instructions for notification of certification bodies
- SS-EN ISO/IEC 17011: Conformity assessment -- General requirements for accreditation bodies accrediting conformity assessment bodies
- SS-EN ISO/IEC 17065: Conformity assessment - Requirements for bodies certifying products, processes and services
- SS-EN ISO/IEC 17021: Compliance assessment – Requirements for bodies offering auditing and certification of management systems
- SS-EN ISO 19011: Guidelines for auditing management systems
- PEFC ST 2002:2013: Chain of custody of forest based products
- PEFC ST 2003:2012 Requirements for Certification Bodies operating Certification against the PEFC International Chain of Custody Standard



According to PEFC SWE 005:4, chapter 4, “the criteria that qualify certification bodies to carry out chain of custody certification are laid down in PEFC ST 2003:2012 Requirements for Certification Bodies operating Certification against the PEFC International Chain of Custody Standard.”

## 9.2. Results

No non-conformities are found in the certification and accreditation procedures.



## 10. Other aspects

This chapter presents other findings of the assessment of the Scheme. With regards to Scheme Administration Procedures, the following procedures were found:

- **Notification of Certification Procedures**  
These procedures are elaborated in PEFC SWE 006;
- **Logo Usage Rules**  
According to PEFC SWE 001 chapter 5, which presents an overview of the standards of Swedish PEFC Certification System, PEFC ST 2001:2008 is used as standard for Logo Usage Rules;
- **Complaints and Dispute Resolution Procedures**  
These procedures are elaborated in chapter 13 of PEFC SWE 001.

It shall be noted that the conformity of these procedures with respectively chapter 5, 6 and 8 of PEFC GD 1004:2009 Administration of PEFC scheme is not further assessed in detail, in accordance with the tender document for this assignment.



## Annex 1 PEFC Standard and Scheme Requirement Checklist

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### Part I: PEFC Standard Requirements Checklist for standard setting

#### 1 Scope

Part I covers the requirements for standard setting defined in PEFC ST 1001:2010, Standard Setting – Requirements.

#### 2 Checklist

Question	Assess. basis	YES /NO	Reference to application documents
<b>Standardising Body</b>			
4.1 The standardising body shall have written procedures for standard-setting activities describing:			
a) its status and structure, including a body responsible for consensus building (see 4.4)	Procedures	YES	<b>PEFC SWE 001 Appendix D 1. Setting up of the Standard Forum</b> “The board of the Swedish PEFC shall be responsible for initiation of the revision of the standard every fifth year. All members and non-members (...) with an interest in promoting forest certification in accordance with the PEFC-system, shall have the possibility to participate in the Forum”



Question	Assess. basis	YES /NO	Reference to application documents
and for formal adoption of the standard (see 5.11),			<p><b>PEFC SWE 001 Appendix D 2. Balanced representation and decision making procedures</b>                      “The stakeholders of the Forum shall reach consensus on the decision to recommend the final proposal for formal approval”</p> <p><b>PEFC SWE 001 Appendix D 9. The agreed Forest standard</b>                      “When the Standard Forum has finished its work, it shall report back to the board of the Swedish PEFC and hand over the agreed Forest standard for approval and further processing in the PEFC system. The formally approved standard/the normative documents shall be published in an appropriate way and be made publicly available.”</p>
b) the record-keeping procedures,	Procedures	YES	<p><b>PEFC SWE 001 Appendix D 6. Documentation of the Swedish PEFC standard setting procedure</b>                      “The Forum meetings shall be documented and published on the web <a href="http://www.pefc.se">www.pefc.se</a>.</p> <ul style="list-style-type: none"> <li>• All incoming comments during the standard setting process - before and after the draft is presented - shall be documented electronically and on paper. Also incoming letters and oral comments by phone or live shall be summarized. (...) All incoming comments shall be documented on paper.</li> <li>• All documentation shall be kept for at least five years.”</li> </ul>
c) the procedures for balanced representation of stakeholders,	Procedures	YES	<p><i>The following chapters of PEFC SWE 001 Appendix D provide descriptions of the procedures for balanced representation of stakeholders:</i></p> <ol style="list-style-type: none"> <li>1. <i>Setting up of the Standard Forum</i></li> <li>2. <i>Balanced representation and decision making procedures</i></li> <li>3. <i>Development of the standard, consultation</i></li> </ol>
d) the standard-setting process,	Procedures	YES	<p><b>PEFC SWE 001 Appendix D 3. Development of the standard, consultation</b>                      “The Forum shall call the type of stakeholders listed in paragraph 1 above to open seminars to discuss the standard setting and offer interested stakeholders to take part in the working groups described below. (...)”</p> <ul style="list-style-type: none"> <li>• The Swedish PEFC working group on systems and routines for timber production &amp; environment shall be responsible for elaborating and presenting to the Forum any proposals for revisions regarding the Forest management- and Environmental standard.</li> <li>• The Swedish PEFC working group on systems and routines for social issues shall be responsible for elaborating and presenting to the Forum any proposals for revisions regarding the Social</li> </ul>



Question	Assess. basis	YES /NO	Reference to application documents
			<p>standard.</p> <ul style="list-style-type: none"> <li>• The Swedish PEFC working group on systems and routines for Chain of Custody certification shall be responsible for elaborating and presenting to the Forum any proposals for revisions regarding the standard's connection to the international Chain of Custody standard. (...)</li> <li>• The Forum shall organize an open seminar to present and discuss the proposed procedures and prerequisites given by the board of the Swedish PEFC.</li> <li>• The Forum shall organize an open seminar to present and discuss the first standard draft to be published on <a href="http://www.pefc.se">www.pefc.se</a> for public consultation.</li> <li>• The Forum shall organize an open seminar to present and discuss the results from the public consultation on the internet as well as the second draft of the standard proposed to be adopted by the Forum.</li> <li>• The Forum shall organize a special hearing with the Forest, Environmental and Cultural heritage authorities towards the end of the Forum process to evaluate the draft standard in relation to policies, laws and ordinances.</li> <li>• The final draft standard shall thereafter clearly be announced and easily available on <a href="http://www.pefc.se">www.pefc.se</a> for reading, comments and evaluation during at least 60 days.</li> <li>• After this, a summary of substantial matters, including the result of their processing in the Forum, shall be made available at <a href="http://www.pefc.se">www.pefc.se</a>."</li> </ul>
e) the mechanism for reaching consensus, and	Procedures	YES	<p><b>PEFC SWE 001 Appendix D 2. Balanced representation and decision making procedures</b></p> <p>"In order to reach consensus, the Forum may use the following alternative procedures to find out whether there are any differences of opinion:</p> <ol style="list-style-type: none"> <li>a) a face-to-face meeting with verbal yes/no voting, show of hands for yes/no voting; a statement on consensus from the chairperson where no deviant opinions are announced (verbally or by show of hands); a formal closed voting procedure, etc.</li> <li>b) a meeting via telephone conference with verbal yes/no voting,</li> <li>c) a meeting via e-mail where request for announcement of agreement or protest are addressed to the members and where members answer in written form (instead of voting), or</li> </ol>

Question	Assess. basis	YES /NO	Reference to application documents
			<p>d) combinations of these</p> <p>If consensus is not reached among all individual Forum participants, the stakeholder organizations shall be grouped in (...) three categories and appoint one spokes-person per organization: (...)</p> <ul style="list-style-type: none"> <li>• The board of the Swedish shall decide upon which category a Forum organization belongs to. The stakeholder organization shall appoint its own spokes-person.</li> <li>• The decision making process shall reach consensus, including the appeal and complaint procedures under paragraph 8.</li> <li>• The expert members of the Forum shall not belong to any of the I-III categories or decide/vote on the standard proposal, but contribute to its development by giving advice.”</li> </ul>
f) revision of standards/normative documents.	Procedures	YES	<p><b>PEFC SWE 001 Appendix D 5. Maintenance of the standards</b></p> <p>“The forest standard shall be revised every fifth year and maintained in between revisions.</p> <ul style="list-style-type: none"> <li>• The board of the Swedish PEFC shall initiate revision of the standard by the establishment of a Forum, which shall be started 1½ years prior to the date of expiry of the current standard.”</li> </ul>
4.2 The standardising body shall make its standard-setting procedures publicly available and shall regularly review its standard-setting procedures including consideration of comments from stakeholders.	Procedures	YES	<p><b>PEFC SWE 001 Appendix D 3. Development of the standard, consultation</b></p> <p>“The Forum shall make the procedures for development of the standard publicly available via <a href="http://www.pefc.se">www.pefc.se</a>. This includes information on objective, scope, and the different stages of the standard setting procedure and its time plan. The Forum shall review the procedure for standard setting before the process starts and then during the process taking views from stakeholders into account.”</p>
	Process	YES	<p><i>The standard setting procedures (PEFC SWE 001) could be found on the website (<a href="http://www.pefc.se">www.pefc.se</a>). PEFC Sweden indicated that there were no comments provided by stakeholders.</i></p>



Question	Assess. basis	YES /NO	Reference to application documents
<p>4.3 The standardising body shall keep records relating to the standard-setting process providing evidence of compliance with the requirements of this document and the standardising body's own procedures. The records shall be kept for a minimum of five years and shall be available to interested parties upon request.</p>	Procedures	YES	<p><b>PEFC SWE 001 Appendix D 6. Documentation of the Swedish PEFC standard setting procedure</b></p> <ul style="list-style-type: none"> <li>• “The Forum meetings shall be documented and published on the web <a href="http://www.pefc.se">www.pefc.se</a>.</li> <li>• All incoming comments during the standard setting process - before and after the draft is presented - shall be documented electronically and on paper. Also incoming letters and oral comments by phone or live shall be summarized. (...) All incoming comments shall be documented on paper.</li> <li>• All documentation shall be kept for at least five years.”</li> </ul>
	Process	YES	<p><i>Several records of meetings, public consultations as well as draft versions of standards could be found on the website (<a href="http://www.pefc.se">www.pefc.se</a>).</i></p>
<p>4.4 The standardising body shall establish a permanent or temporary working group/committee responsible for standard-setting activities.</p>	Procedures	YES	<p><b>PEFC SWE 001 Appendix D Introduction</b></p> <p>“(…) the Swedish PEFC shall establish a temporary working group - a Standard Forum – in order to revise the forest standard every fifth year.”</p>
	Process	YES	<p><b>Minutes forum 1 TD IV 2014-10-27</b></p> <p>“11. Registration of participants in the working groups. Participants in the working group was appointed (Appendix 3). Working group secretaries are:</p> <ul style="list-style-type: none"> <li>• Production and environment - Patrik Hansson</li> <li>• Social issues - Gabriele Bodegård</li> <li>• Structural issues - Christina Lundgren.</li> </ul> <p>The working groups' production and environment "and Social Issues" left room for any additional</p>



Question	Assess. basis	YES /NO	Reference to application documents
			stakeholders from the environmental movement.”
4.4 The working group/committee shall:			
a) be accessible to materially and directly affected stakeholders,	Procedures	YES	<b>PEFC SWE 001 Appendix D 1. Setting up of the Standard Forum</b> “All members and non-members (...) with an interest in promoting forest certification in accordance with the PEFC-system, shall have the possibility to participate in the Forum”
	Process	YES	<b>Notice of the audit of the Swedish PEFC certification for sustainable Forestry - TD Forum IV</b> “For the audit of the standard are invited anyone with an interest in promoting forest certification under PEFC system.” <i>The stakeholder contact list includes materially and directly affected stakeholders (forest owners, employees and employers organizations, industry and trade, timber purchase / trade).</i>
b) have balanced representation and decision-making by stakeholder categories relevant to the subject matter and geographical scope of the standard where single concerned interests shall not dominate nor be dominated in the process, and	Procedures	NO	<b>PEFC SWE 001 Appendix D 1. Setting up of the Standard Forum</b> “All members and non-members (...) with an interest in promoting forest certification in accordance with the PEFC-system, shall have the possibility to participate in the Forum: I. Forestry including transports of roundwood to industry/ terminal II. Wood processing including distribution and trade in forest products in the value chain up to consumer III. Organizations for social, environmental and cultural interests, linked to sustainable forest management  A mapping of interested stakeholders shall be made which identifies the relevant sectors and why they are relevant, probable key issues for each sector shall be identified, as well as by which means of communication these stakeholders are best reached.  A general invitation to these organized stakeholders shall be published on the web; www.pefc.se. Members of the Swedish PEFC shall be invited by letter. Invitation letters shall also be sent to stakeholders with special interests/competences for the standard setting procedure, including national ENGOs and national organizations representing the Sami people. All invitations shall be sent out three weeks prior to the first Forum meeting, as a minimum. (...)  In addition to the stakeholders defined above (I-III), experts (scientists and other experts) may be invited to



Question	Assess. basis	YES /NO	Reference to application documents
			<p>the Forum in order to bring in needed expertise."</p> <p><b>PEFC SWE 001 Appendix D 3 Development of the standard, consultation</b></p> <p>"The Forum shall call the type of stakeholders listed in paragraph 1 above to open seminars to discuss the standard setting and offer interested stakeholders to take part in the working groups described below. A stakeholder should not be represented by more than one person when members are appointed to the working groups. The size of the working groups should be restricted to 8-12 participants. Acceptance or rejection of nominations shall be motivated in relation to the requirements for a balanced representation in the working group/committee and available resources for development of the standard."</p> <p><i>The standard of PEFC Sweden requires that all interested stakeholder shall have the possibility to participate in the Forum, promoting the representation of a wide range of stakeholders. It does however not specify how this will be <b>balanced</b> to ensure that certain interest shall not dominate nor be dominated in the process. The balanced representation is only regulated for the task forces, not for the Forum itself.</i></p>
	Process	NO	<p><b>Minutes from forum 1</b></p> <p>7. The Swedish procedure for preparation of the PEFC standard</p> <p>"Christina Lundgren reported how the revision will be implemented and who will / should be involved. Then the goal is to get as many relevant stakeholders as possible the forum asked Christina Lundgren to continue contacting stakeholders, environmental organizations and indigenous people to get them into appropriate groups. Invited environmental organizations and Sami Association has to date officially to the invitations made."</p> <p>9. Reporting from groups</p> <p>"Selection of the views of the group work and subsequent discussion in plenary:                      (...) - The importance of environmental NGOs are present in the process"</p> <p>11. Registration of participants in the working groups</p> <p>"Participants in the working group was appointed (Appendix 3 [ref.: list of participants]).                      (...) The working groups' production and environment "and Social Issues" left room for any additional stakeholders from the environmental movement."</p> <p><i>The Forum did not have a balanced representation of stakeholder categories. The list of participants in the forum does include materially and directly affected stakeholders (forest owners, employees and employers' organizations, industry and trade, timber purchase / trade). However, no social or environmental NGOs</i></p>



Question	Assess. basis	YES /NO	Reference to application documents
			<p><i>participated in the forum. This also raised concern among some of the respondents to the stakeholder survey, in particular with respect to environmental NGOs and Sami representatives.</i></p> <p><i>It shall however be noted that 9 NGO's were invited and PEFC Sweden showed their efforts to get the NGOs on board; multiple invitations and reminders, phone calls, offers to compensate expenses, etc. Respondents to the stakeholder survey confirmed that efforts were made to get them on board.</i></p>
<p>c) include stakeholders with expertise relevant to the subject matter of the standard, those that are materially affected by the standard, and those that can influence the implementation of the standard. The materially affected stakeholders shall represent a meaningful segment of the participants.</p>	<p>Procedures</p>	<p>YES</p>	<p><b>PEFC SWE 001 Appendix D 1. Setting up of the Standard Forum</b></p> <p>"All members and non-members (...) with an interest in promoting forest certification in accordance with the PEFC-system, shall have the possibility to participate in the Forum:</p> <ul style="list-style-type: none"> <li>I. Forestry including transports of roundwood to industry/ terminal</li> <li>II. Wood processing including distribution and trade in forest products in the value chain up to consumer</li> <li>III. Organizations for social, environmental and cultural interests, linked to sustainable forest management</li> </ul> <p>In addition to the stakeholders defined above (I-III), experts (scientists and other experts) may be invited to the Forum in order to bring in needed expertise."</p>
	<p>Process</p>	<p>NO</p>	<p><i>Forest owners and companies in the forest product chain represent a meaningful segment of the participants. However, environmental NGOs are not represented, nor the Sami people representatives, although they may be materially affected.</i></p>
<p>4.5 The standardising body shall establish procedures for dealing with any substantive and procedural complaints relating</p>	<p>Procedures</p>	<p>YES</p>	<p><b>PEFC SWE 001 Appendix D 8. Appeal and complaint procedures</b></p> <p>"When a complaint has been received, the Forum shall, via its board:</p> <ul style="list-style-type: none"> <li>a) confirm receipt of the complaint to the complainant</li> <li>b) collect and verify all information necessary to validate the complaint, evaluate the factual matter of the complaint in an impartial and objective manner, and make a decision regarding the complaint, and</li> <li>c) formally, within three months, inform the complainant about the decision made on the complaint and its handling.</li> </ul>



Question	Assess. basis	YES /NO	Reference to application documents
to the standardising activities which are accessible to stakeholders.			The first step in the appeal process shall be to appoint an independent person from outside the Forum, well informed on the matter under dispute. Such a person shall bring in the necessary external expertise and together with the disagreeing in the Forum, form a working group to settle the dispute. In case the working group proposal for settlement is not reaching consensus in the Forum, it shall vote by category (I-III), one vote per organization. The majority in each category (I-III) shall form the opinion of the category. If all three categories agree, the result is the Forum's agreement. If two categories agree and one disagrees, the board of the Forum shall appoint an arbitration board of three persons which shall consider whether prerequisites for PEFC interpretation of consensus (ISO) have been met, and settle the dispute or send it back to the Forum."
	Process	YES	<i>The standard setting procedures, which include the appeals mechanism paragraph, was found on the website of PEFC Sweden.</i>
4.5 Upon receipt of the complaint, the standard-setting body shall:			
a) acknowledge receipt of the complaint to the complainant,	Procedures	YES	<b>PEFC SWE 001 Appendix D 8. Appeal and complaint procedures</b> "When a complaint has been received, the Forum shall, via its board: a) confirm receipt of the complaint to the complainant"
	Process	YES	<i>One complaint was received, via email. In the response of PEFC Sweden they acknowledge receipt of the complaint.</i>
b) gather and verify all necessary information to validate the complaint, impartially and objectively evaluate the subject matter of the complaint, and make a decision upon the complaint,	Procedures	YES	<b>PEFC SWE 001 Appendix D 8. Appeal and complaint procedures</b> "When a complaint has been received, the Forum shall, via its board: (...) b) collect and verify all information necessary to validate the complaint, evaluate the factual matter of the complaint in an impartial and objective manner, and make a decision regarding the complaint, (...)"
	Process	YES	<b>Investigation on complaint ADR</b> "Forum Board adopted CL's proposals to address the issue: 1. Confirm that the EC forestry complaints have been submitted to the Board and will be treated 2. CL ask MSB to watch our standard text on dangerous goods, and particularly the section on education 3. CL reconnects the results to the Forum's board with a proposal on how the issue should be handled on"



Question	Assess. basis	YES /NO	Reference to application documents
and			
c) formally communicate the decision on the complaint and of the complaint handling process to the complainant.	Procedures	YES	<p><b>PEFC SWE 001 Appendix D 8. Appeal and complaint procedures</b></p> <p>“When a complaint has been received, the Forum shall, via its board: (...)</p> <p>c) formally, within three months, inform the complainant about the decision made on the complaint and its handling.”</p>
	Process	YES	<p><b>Email to complaint email to board</b></p> <p>“(…) As you are already aware the forum board has passed a decision regarding your complaint and the wording of PEFC SWE 003 4.8 ADR:</p> <p><b>4.8 Dangerous goods</b></p> <p>4.8.1 Any person carrying dangerous goods, and who are not covered by requirements concerning training of vehicle crew according to ADR-S chapter 8.2, shall have training in accordance with chapter 1.3 in ADR-S. Any person carrying fuels for vehicles or equipment equivalent to 60 liters per transport unit at the most, shall have appropriate competence for the handling, e.g. in the form of an adapted ADR-S 1.3 training course.(…)”</p>
4.6 The standardising body shall establish at least one contact point for enquiries and complaints relating to its standard-setting activities. The contact point shall be made easily available.	Procedures	YES	<p><b>PEFC SWE 001 Appendix D 7. Openness and general availability</b></p> <p>“The PEFC secretariat shall act as a function for contact regarding information, requests, and complaints connected to the standard development work. The function for contact including name and telephone number shall be made easily available via <a href="http://www.pefc.se">www.pefc.se</a>.”</p>
<b>Standard-setting process</b>			



Question	Assess. basis	YES /NO	Reference to application documents
5.1 The standardising body shall identify stakeholders relevant to the objectives and scope of the standard-setting work.	Procedures	YES	<p><b>PEFC SWE 001 Appendix D 1. Setting up of the Standard Forum</b></p> <p>“A mapping of interested stakeholders shall be made which identifies the relevant sectors and why they are relevant, probable key issues for each sector shall be identified”</p>
	Process	YES	<p><i>Appendix 2 of PEFC SWE 001-005 presents the stakeholder mapping results. 70 stakeholders were identified. It can be derived from the Forum participant list (appendix 1) that the stakeholders are relevant to the standard-setting process.</i></p>
5.2 The standardising body shall identify disadvantaged and key stakeholders. The standardising body shall address the constraints of their participation and proactively seek their participation and contribution in the standard-setting activities.	Procedures	YES	<p><b>PEFC SWE 001 Appendix D 1. Setting up of the Standard Forum</b></p> <p>“The mapping shall also identify whether any stakeholder is disfavored. If such a stakeholder is identified, the board of the Swedish PEFC shall take action to remove any obstacles to its participation and work proactively for its participation and contribution to the standard setting procedure.”</p>
	Process	YES	<p><b>PEFC SWE 001-005 Development Report 3.3 Announcement of the standard-setting and invitation of stakeholders</b></p> <p>“The stakeholders were invited by mail (...), and the invitation was placed on the website of PEFC Sweden. Key stakeholders not previously engaged in PEFC were also approached by phone. The following stakeholders were contacted by both mail and phone and even though declining to join the process they provided contact persons whom were willing to receive information on the process and to be notified of the general and the public consultation: Greenpeace, WWF, SNF, SSR and the Sami Parliament.”</p> <p><b>Example of individual letter to ENGO</b></p> <p>“(…) It is still not too late to participate! For Swedish PEFC account, we invite your organization to participate in the next forum meeting 25 March. (...)”</p> <p><b>Letter from SSR</b></p> <p>“Thanks for the invitation. SSR has chosen to work with FSC standards in forestry issues and therefore thank no to participate in the audit process for PEFC.”</p> <p><b>Letter to SSR</b></p> <p>“Thank you for your response to the invitation to the Swedish PEFC standard revision. We think it's sad</p>



Question	Assess. basis	YES /NO	Reference to application documents
			<p>that you have decided to abstain. I would like to re-emphasize that the meeting times / locations or compensation can be discussed if it would be practical issues that are the reason for your decision. We respect your position and would love to bring about a continued open dialogue with you. Some arguments for reindeer herding and PEFC could benefit from a continuation of the dialogue:</p> <ul style="list-style-type: none"> <li>• There are many landowners who are not yet certified but efforts are made to get the others. It will benefit your cause if you have been given to influence the PEFC requirements will impose upon them for them to be involved in the system.</li> <li>• In northern Sweden can be reached in the current situation, only companies with FSC, which means only half of the forest land.</li> </ul> <p>I would love to visit you to take part of your position and your comments. This would be noncommittal for you but very valuable for us. Would it be possible for me to visit you in Umeå at the moment?"</p> <p><b>Minutes from forum 1</b></p> <p>7. The Swedish procedure for preparation of the PEFC standard          "Christina Lundgren reported how the revision will be implemented and who will / should be involved. Then the goal is to get as many relevant stakeholders as possible the forum asked Christina Lundgren to continue contacting stakeholders, environmental organizations and indigenous people to get them into appropriate groups. Invited environmental organizations and Sami Association has to date officially to the invitations made."</p> <p>9. Reporting from groups          "Selection of the views of the group work and subsequent discussion in plenary:          (...) - The importance of environmental NGOs are present in the process"</p> <p>11. Registration of participants in the working groups          "Participants in the working group was appointed (Appendix 3 [ref.: list of participants]).          (...) The working groups' production and environment "and Social Issues" left room for any additional stakeholders from the environmental movement."</p> <p><i>The identified and invited stakeholders include key and disadvantaged stakeholders. The invitation letters sent to the NGOs indicate that PEFC Sweden pro-actively sought their participation, however, no NGOs or ENGOs participated in the forum, see req. 4.4b (process).</i></p>

Question	Assess. basis	YES /NO	Reference to application documents
<p>5.3 The standardising body shall make a public announcement of the start of the standard-setting process and include an invitation for participation in a timely manner on its website and in suitable media as appropriate to afford stakeholders an opportunity for meaningful contributions.</p>	Procedures	YES	<p><b>PEFC SWE 001 Appendix D 1. Setting up of the Standard Forum</b></p> <p>“A general invitation to these organized stakeholders shall be published on the web; www.pefc.se. Members of the Swedish PEFC shall be invited by letter. Invitation letters shall also be sent to stakeholders with special interests/competences for the standard setting procedure, including national ENGOs and national organizations representing the Sami people. All invitations shall be sent out three weeks prior to the first Forum meeting, as a minimum.</p> <p>Apart from the general and special invitations – and as a minimum three weeks prior to the set-up of the Forum - the day, time and place for the initial meeting of the Forum shall be announced on the web: www.pefc.se.”</p>
	Process	YES	<p><b>Invitation to PEFC Standard revision</b></p> <p>“Time: 27 October 09:30-14:30 (...) Your organisation is (...) on behalf of PEFC Sweden invited to take part in the revision of the Swedish PEFC standard.”</p> <p><i>The invitation to participate in the revision process was found on the website of PEFC Sweden. The start of the standard-setting process is indicated in the invitation.</i></p>
<p>5.3 The announcement and invitation shall include:</p>			
<p>a) information about the objectives, scope and the steps of the standard-setting process and its timetable,</p>	Procedures	YES	<p><b>PEFC SWE 001 Appendix D 1. Setting up the standard forum</b></p> <p>“The invitations shall include information about the opportunities for stakeholders to participate in the process as well as objectives, scope and steps of the standard-setting process and its timetable.”</p>
	Process	YES	<p><b>PEFC SWE 001-005 Appendix 3 Invitation to PEFC Standard revision</b></p> <p>“The work will commence with a constitutor meeting on the 27th October the process will follow the Swedish procedure for development of a PEFC Standard (Appendix E, PEFC SWE 001 – Swedish PEFC certification system for sustainable forest management). (...) The forum should by December 2015 have prepared and hand over a revised standard to the board of EPFC Sweden for international re-endorsement. (...)</p> <p>The following documents comprise the current PEFC standard:</p>



Question	Assess. basis	YES /NO	Reference to application documents
			<ul style="list-style-type: none"> <li>• PEFC SWE 001 – Swedish PEFC certification system for sustainable forest management</li> <li>• PEFC SWE 002 – Swedish PEFC forest standard</li> <li>• PEFC SWE 003 – Swedish PEFC forestry contractor standard</li> <li>• PEFC SWE 004 – Swedish PEFC requirements for group certification</li> <li>• PEFC SWE 005 – Swedish PEFC requirements for certification bodies</li> <li>• PEFC SWE 006 – Guidance for notification of certification bodies”</li> </ul> <p><i>Although the invitation does not include all the steps of the revision, it provides the first step and refers to the standard setting procedures as leading for the process.</i></p>
b) information about opportunities for stakeholders to participate in the process,	Procedures	YES	<p><b>PEFC SWE 001 Appendix D 1. Setting up of the Standard Forum</b></p> <p>“The invitations shall include information about the opportunities for stakeholders to participate in the process as well as objectives, scope and steps of the standard-setting process and its timetable.”</p>
	Process	YES	<p><b>PEFC SWE 001-005 Appendix 3 Invitation to PEFC Standard revision</b></p> <p>“Everyone with an interest in promoting forest certification via the PEFC scheme is invited to participate in the work. (...)</p> <p>Your organisation is therefore on behalf of PEFC Sweden invited to take part in the revision of the Swedish PEFC standard. (...)</p> <p>A list of invited organisations is appended; please tell us if you have suggestions for other possible stakeholders.”</p>



Question	Assess. basis	YES /NO	Reference to application documents
(c) an invitation to stakeholders to nominate their representative(s) to the working group/committee. The invitation to disadvantaged and key stakeholders shall be made in a manner that ensures that the information reaches intended recipients and in a format that is understandable,	Procedures	YES	<p><b>PEFC SWE 001 Appendix D 1. Setting up of the Standard Forum</b></p> <p>“The mapping shall also identify whether any stakeholder is disfavored. If such a stakeholder is identified, the board of the Swedish PEFC shall take action to remove any obstacles to its participation and work proactively for its participation and contribution to the standard setting procedure. (...)</p> <p>Invitation letters shall also be sent to stakeholders with special interests/competences for the standard setting procedure, including national ENGOs and national organizations representing the Sami people. (...)</p> <p>The invitations shall also include an invitation for the stakeholder to nominate their representatives.”</p> <p><i>Although the standard does not specify provisions for the invitation of key or disadvantaged stakeholders, it is assumed that proper means of invitation are employed as part of the “action to remove any obstacles to its participation and work proactively for its participation and contribution to the standard setting procedure”, as specified in the section above.</i></p>
	Process	YES	<p><b>PEFC SWE 001-005 Appendix 3 Invitation to PEFC Standard revision</b></p> <p>“Your organisation is therefore on behalf of PEFC Sweden invited to take part in the revision of the Swedish PEFC standard. Please reply to PEFC Sweden with your decision to participate as well as the name of your representative/s by October 20<sup>th</sup> 2014.”</p> <p><i>According to PEFC Sweden, travel expenses have been paid for Svenskt Friluftsliv, a new stakeholder.</i></p>
d) an invitation to comment on the scope and the standard-setting process, and	Procedures	NO	<p><b>PEFC SWE 001 Appendix D 1. Setting up of the Standard Forum</b></p> <p>“The invitation shall also include the standard setting procedures (or a reference or a link) and information about the possibility to submit comments on the standard setting procedures.”</p> <p><i>Although the standard makes reference to an invitation for stakeholders to comment on the standard-setting <b>procedure</b>, no reference was found that the invitation/announcement shall include an invitation to comment on the standard-setting <b>scope and process</b>.</i></p>
	Process	NO	<p><i>The invitation does not specify the possibility to comment on the scope and standard-setting process.</i></p>
e) reference to publicly available standard-setting	Procedures	YES	<p><b>PEFC SWE 001 Appendix D 3. Development of the standard, consultation</b></p> <p>“The invitation shall also include the standard setting procedures (or a reference or a link) and information about the possibility to submit comments on the standard setting procedures.”</p>

Question	Assess. basis	YES /NO	Reference to application documents
procedures.	Process	YES	<p><b>PEFC SWE 001-005 Appendix 3 Invitation to PEFC Standard revision</b></p> <p>“the process will follow the Swedish procedure for development of a PEFC Standard (Appendix E, PEFC SWE 001 – Swedish PEFC certification system for sustainable forest management).”</p> <p><i>The procedures were found on the website of PEFC Sweden.</i></p>
5.4 The standardising body shall review the standard-setting process based on comments received from the public announcement and establish a working group/committee or adjust the composition of an already existing working group/committee based on received nominations. The acceptance and refusal of nominations shall be justifiable in relation to the requirements for balanced representation of the working	Procedures	YES	<p><b>PEFC SWE 001 Appendix D 3. Development of the standard, consultation</b></p> <ul style="list-style-type: none"> <li>• “(...)The Forum shall review the procedure for standard setting before the process starts and then during the process taking views from stakeholders into account.</li> <li>• The Forum shall call the type of stakeholders listed in paragraph 1 above to open seminars to discuss the standard setting and offer interested stakeholders to take part in the working groups described below. (...) Acceptance or rejection of nominations shall be motivated in relation to the requirements for a balanced representation in the working group/committee and available resources for development of the standard.</li> <li>• The work of the working group/committee shall be organized in an open and transparent manner where: <ul style="list-style-type: none"> <li>○ comments and views from all members of the working group/committee shall be taken into consideration in an open and transparent manner, and decisions as well as proposed changes shall be documented.”</li> </ul> </li> </ul>
	Process	YES	<p><b>Minutes from forum 1</b></p> <p>7. The Swedish procedure for preparation of the PEFC standard  “Christina Lundgren reported how the revision will be implemented and who will / should be involved. Then the goal is to get as many relevant stakeholders as possible the forum asked Christina Lundgren to continue contacting stakeholders, environmental organizations and indigenous people to get them into appropriate groups. Invited environmental organizations and Sami Association has to date officially to the invitations made.”</p> <p>9. Reporting from groups  “Selection of the views of the group work and subsequent discussion in plenary:  (...) - The importance of environmental NGOs are present in the process”</p> <p>11. Registration of participants in the working groups</p>



Question	Assess. basis	YES /NO	Reference to application documents
group/committee and resources available for the standard-setting.			<p>“Participants in the working group was appointed (Appendix 3 [ref.: list of participants]). (...). The working groups' production and environment "and Social Issues" left room for any additional stakeholders from the environmental movement.”</p> <p><b>Additional explanation provided by PEFC Sweden</b></p> <p>“There were no comments on the procedure before the revision process started. However after the revision we have had some comments and the Swedish board have decided to write a guide for next standard revision. The nature of these will probably not affect the written procedures which are basic, sound and functional but will be a useful guidance to use as a compliment to the written procedures.”</p> <p><i>As the invitation did not contain an invitation to comment on the scope and the standard-setting process (see 5.3.d above), it is obvious that no direct reference could be found in minutes regarding any comments received on the process. However, the Forum requested to continue contacting stakeholders to participate in the Forum, which was conducted by PEFC Sweden.</i></p>
5.5 The work of the working group/committee shall be organised in an open and transparent manner where:			
a) working drafts shall be available to all members of the working group/committee,	Procedures	YES	<p><b>PEFC SWE 001 Appendix D 3. Development of the standard, consultation</b></p> <p>“working drafts shall be available to all members of the working group/committee”</p>
	Process	YES	<p><b>PEFC SWE 001-005 3.7 Working committee – development of a draft document</b></p> <p>“Halfway through the standard revision process a draft of the documents (001-005) were published on the internet (from 2015-05-11 to 2015-08-11) (...).”</p> <p><b>Email forum processing first draft</b></p> <p>“Here are the drafts that the working groups have developed standard parts 1-5. The Forum's task is March 25 to decide on the draft new PEFC standard shall be published on the PEFC website for a public consultation.”</p> <p><i>Working drafts were attached to the email. The email was addressed to members of the forum. This is confirmed by respondents to the questionnaire.</i></p>
b) all members of the working group shall be provided	Procedures	YES	<p><b>PEFC SWE 001 Appendix D 3. Development of the standard, consultation</b></p> <p>“all members of the working group shall have the possibility to contribute to the working drafts in a meaningful way”</p>



Question	Assess. basis	YES /NO	Reference to application documents
with meaningful opportunities to contribute to the development or revision of the standard and submit comments to the working drafts, and	Process	YES	<i>All respondents to the questionnaire indicated that they had been provided with meaningful opportunities to contribute to the development of the standard and submit comments to the working drafts.</i>
c) comments and views submitted by any member of the working group/committee shall be considered in an open and transparent way and their resolution and proposed changes shall be recorded.	Procedures	YES	<b>PEFC SWE 001 Appendix D 3. Development of the standard, consultation</b> “comments and views from all members of the working group/committee shall be taken into consideration in an open and transparent manner, and decisions as well as proposed changes shall be documented.”
	Process	YES	<b>Minutes forum 2 PEFC TV IV 2015—03-25</b> <b>“Modifications of the PEFC 004:</b> Expanded to include both direct certification (3) and group certification The task force proposes that the 12-month exemption for hiring o-certified contractors removed. The group has discussed for example, a course is not given during the current season should be the umbrella organization could issue a conditional certificate Development of handling larger deviations in the group certification with Suspended evidence and final dismissal (Appendix 1) <u>Discussions and conclusions:</u> Arguments both for and against the 12-month exemption for non-certified contractors was performed. The organizations that hire contractors sent a clear message that they do not want conditional proof because they have no way to know what possible shortcomings. A slight overweight to support the working group's proposal to abolish the exemption prevailed. Objections were raised to the proposal of deviation and Suspended evidence and the question is taken back to the working group.”  <i>The above presents an example of an open and transparent consideration of views submitted by members of the forum. Records of proposed changes were presented by PEFC Sweden. Respondents to the questionnaire agreed that the comments were considered in an open and transparent way.</i>



Question	Assess. basis	YES /NO	Reference to application documents
5.6 The standardising body shall organise a public consultation on the enquiry draft and shall ensure that:			
a) the start and the end of the public consultation is announced in a timely manner in suitable media,	Procedures	YES	<b>PEFC SWE 001 Appendix D 3. Development of the standard, consultation</b> “The final draft standard shall (...) clearly be announced and easily available on www.pefc.se for reading, comments and evaluation during at least 60 days. The starting and closing dates of this public consultation shall be specified in the announcement.”
	Process	YES	<i>The start and end date of the public consultation were found on the website of PEFC Sweden.</i>
b) the invitation of disadvantaged and key stakeholders shall be made by means that ensure that the information reaches its recipient and is understandable,	Procedures	YES	<b>PEFC SWE 001 Appendix D 3. Development of the standard, consultation</b> “Special care shall be taken to ensure that key stakeholders, especially those who have chosen not to participate in the standard setting work, are informed about the consultation.”
	Process	YES	<b>PEFC SWE 001-005 development report</b> <b>3.7 working committee – development of draft report</b> “General consultation. Halfway through the standard revision process a draft of the documents (001-005) were published on the internet (from 2015-05-11 to 2015-08-11) and comments were collected and considered by the forum. <b>3.7.1 Hearing with the competent authorities</b> A hearing with relevant authorities in order to evaluate the draft standard in relation to policies, and ordinances was held on 6 October 2015. The Forest Agency, Swedish Civil Contingencies Agency, Swedish Work Environment Authority and the Swedish Water Authorities took part. A separate meeting was held with the Swedish National Heritage Board (RAA) on the 27 October 2015. <b>3.8 Public consultation and pilot testing</b> A draft of the proposal was published for public consultation on the standard revision web page between 2015-11-09 till 2016-01-11. The public consultation was announced via a press-release on PEFC Sweden’s web page and via stakeholder mapping mailing lists including the stakeholders mentioned in section 3.2. (...).” <b>Email message to stakeholder outside forum</b> ”A draft of the new Swedish PEFC-standard is now published for public consultation (2015-11-09 – 2016-

Question	Assess. basis	YES /NO	Reference to application documents
			01-11) at <a href="http://pefc.se/standardrevision-2014-2015-td-iv/">http://pefc.se/standardrevision-2014-2015-td-iv/</a> . Comments and suggestions for improvement are welcomed and should be submitted by 11 January 2016. Minutes from the standard revision process and all other information can also be found at the web site.”
c) the enquiry draft is publicly available and accessible,	Procedures	YES	<b>PEFC SWE 001 Appendix D 3. Development of the standard, consultation</b> “The final draft standard shall (...) clearly be announced and easily available on www.pefc.se for reading, comments and evaluation during at least 60 days.”
	Process	YES	<i>The enquiry draft can be found on the website of PEFC Sweden.</i>
d) the public consultation is for at least 60 days,	Procedures	YES	<b>PEFC SWE 001 Appendix D 3. Development of the standard, consultation</b> “The final draft standard shall (...) clearly be announced and easily available on www.pefc.se for reading, comments and evaluation during at least 60 days.”
	Process	YES	<i>Public consultation was between 2015/11/09 and 2016/01/11, which is more than 60 days.</i>
e) all comments received are considered by the working group/committee in an objective manner,	Procedures	YES	<b>PEFC SWE 001 Appendix D 6. Documentation of the Swedish PEFC standard setting procedure</b> “All incoming comments during the standard setting process - before and after the draft is presented - shall be documented electronically and on paper. Also incoming letters and oral comments by phone or live shall be summarized. All comments shall be presented to the Forum, discussed, and taken into consideration. When such proposals improve the criteria or indicators, they shall be included in the standard.”
	Process	YES	<b>Minutes Forum 6 2016-02-03</b> <b>8.1 Retention trees</b> “Viewpoint received from the Northern Forest Owners, Norrskog, Mellanskog, Southern, Norrbotten allmänningars unions and LRF regarding the return to the wording of the current standard (TD III), which has also been working party's proposals, but which was abandoned at the forum that set new proposal before the public consultation. Norrbotten allmänningars unions advocated that the limit would extend to larger forest owners only. The background to the proposal was stated to be the difficulty of distinguishing protected trees from the development trees in northern Sweden, particularly in the poorer inland sites. Identification of protected trees appeared as a dividing issue between different parts of the country. Mellanskog and Stora Enso said that within their areas of activity rarely the case that more than 10 protected trees were per ha and that at considerably more often concerned about the conservation value



Question	Assess. basis	YES /NO	Reference to application documents
			<p>forest. Stora Enso also emphasized that it is a question of credibility for the PEFC standard not to put too low a level.</p> <p>LRF pointed out that both the concept of "key habitat" as "protected trees" are being reviewed by the forestry agency for northern Sweden on the basis of alleged difficulties. The criterion of "deviant age" was seen as a particular problem when the differences between the 120 and 180 year old pine trees do not need to be particularly large.</p> <p>Sawmills in central Sweden, Holmen Skog and Stora Enso remarked that there seemed to be rather the definition that needs to be reviewed and PEFC must ponder what signals need time.</p> <p>Draft compromise was that continued to require all protected trees should be provided by all forest owners but to add an exception linked to either the region or intrusion limitation.</p> <p>The forum could not agree on a final requirement. A working group was appointed and instructed to present a consensus draft 2016-02-10. The group suggested Christian Rimpi (convener), Ulrika Lund Lissman, Anna Björk, Magnus Norrby and Nils Broman."</p> <p><i>The example above illustrates objective consideration of comments received in the public consultation round. A list of comments from the public consultation round was presented by PEFC Sweden, including proposed actions.</i></p>
f) a synopsis of received comments compiled from material issues, including the results of their consideration, is publicly available, for example on a website.	Procedures	YES	<p><b>PEFC SWE 001 Appendix D 3. Development of the standard, consultation</b></p> <p>"a summary of substantial matters, including the result of their processing in the Forum, shall be made available at <a href="http://www.pefc.se">www.pefc.se</a>."</p>
	Process	YES	<p><i>A synopsis of the received comments (including the results of the committee's consideration) was found on the website (<a href="http://www.pefc.se">www.pefc.se</a>).</i></p>
5.7 The standardising body shall organise pilot	Procedures	YES	<p><b>PEFC SWE 001 Appendix D 4. Pilot testing</b></p> <p>"New elements of the standard that are taken into consideration by the Forum (...) shall be practically tested in the field. (...) Such practical tests shall be documented at <a href="http://www.pefc.se">www.pefc.se</a> and experiences gained</p>



Question	Assess. basis	YES /NO	Reference to application documents
testing of the new standards and the results of the pilot testing shall be considered by the working group/committee.			shall be included in the final standard.”
	Process	NA	<i>No pilot testing is required for revision of a standard, no new standards were developed.</i>
5.8 The decision of the working group to recommend the final draft for formal approval shall be taken on the basis of a consensus.	Procedures	YES	<b>PEFC SWE 001 Appendix D 2. Balanced representation and decision making procedures</b> “After consensus is reached in the Forum, the proposed Standard is formally presented to the board of the Swedish PEFC for further processing by the PEFC system.”
	Process	YES	<b>Letter: On the passing of decisions in the Swedish PEFC standard revision</b> “During its’ six meetings the forum has passed numerous decisions on great and small issues. All decisions, unless otherwise specifically stated in the minutes, has been passed by me declaring consensus after comprehensive discussions. The most important decision was of course the acceptance of the final draft on the 6 <sup>th</sup> forum meeting 3 February 2016. The decision was unanimously accepted with no opposition at the meeting.” <b>Minutes Forum 6 2016-02-03 11 Adjournment</b> “The Forum approved the proposed new PEFC standard (TD IV), with modifications made under this Protocol, to be forwarded to the PEFC Board of Directors.” <b>PEFC SWE 001-005 development report 3.9 Consensus-building on the final draft</b> “At its meeting on 3 <sup>rd</sup> February 2016, the Forum TD IV agreed on the contents of the final drafts of PEFC SWE 001, PEFC SWE 002, PEFC SWE 003, PEFC SWE 004 and PEFC SWE 005 and their submission to the Board of directors of PEFC Sweden for formal approval.”
5.8 In order to reach a consensus the working group/committee can utilise the following alternative processes to establish whether there is opposition:			
a) a face-to face meeting where there is a verbal yes/no vote, show	Procedures	YES	<b>PEFC SWE 001 Appendix D 2. Balanced representation and decision making procedures</b> “In order to reach consensus, the Forum may use the following alternative procedures to find out whether there are any differences of opinion: a) a face-to-face meeting with verbal yes/no voting, show of hands for yes/no voting; a statement on



Question	Assess. basis	YES /NO	Reference to application documents
of hands for a yes/no vote; a statement on consensus from the Chair where there are no dissenting voices or hands (votes); a formal balloting process, etc.,			consensus from the chairperson where no deviant opinions are announced (verbally or by show of hands); a formal closed voting procedure, etc.”
	Process	NO	<p><b>Letter: On the passing of decisions in the Swedish PEFC standard revision</b></p> <p>“During its’ six meetings the forum has passed numerous decisions on great and small issues. All decisions, unless otherwise specifically stated in the minutes, has been passed by me declaring consensus after comprehensive discussions. The most important decision was of course the acceptance of the final draft on the 6<sup>th</sup> forum meeting 3 February 2016. The decision was unanimously accepted with no opposition at the meeting.”</p> <p><b>Minutes Forum 6. 11 Adjournment</b></p> <p>“The Forum approved the proposed new PEFC standard (TD IV), with modifications made under this Protocol, to be forwarded to the PEFC Board of Directors.”</p> <p><i>PEFC Sweden confirmed that a consensus was reached in forum meeting 6. However, the process for reaching consensus is not specified.</i></p>
b) a telephone conference meeting where there is a verbal yes/no vote,	Procedures	YES	<p><b>PEFC SWE 001 Appendix D 2. Balanced representation and decision making procedures</b></p> <p>“In order to reach consensus, the Forum may use the following alternative procedures to find out whether there are any differences of opinion:</p> <p style="padding-left: 40px;">b) a meeting via telephone conference with verbal yes/no voting,”</p>
	Process	N.A.	<i>See 5.8a.</i>
c) an e-mail meeting where a request for agreement or objection is provided to members with the members providing a written response (a proxy for a vote),	Procedures	YES	<p><b>PEFC SWE 001 Appendix D 2. Balanced representation and decision making procedures</b></p> <p>“In order to reach consensus, the Forum may use the following alternative procedures to find out whether there are any differences of opinion:</p> <p style="padding-left: 40px;">c) a meeting via e-mail where request for announcement of agreement or protest are addressed to the members and where members answer in written form (instead of voting), (...)”</p>
	Process	N.A.	<i>See 5.8a.</i>

Question	Assess. basis	YES /NO	Reference to application documents
or			
d) combinations thereof.	Procedures	YES	<b>PEFC SWE 001 Appendix D 2. Balanced representation and decision making procedures</b> “In order to reach consensus, the Forum may use the following alternative procedures to find out whether there are any differences of opinion: d) combinations of these.”
	Process	N.A.	<i>See 5.8a.</i>
5.9 In the case of a negative vote which represents sustained opposition to any important part of the concerned interests surrounding a substantive issue, the issue shall be resolved using the following mechanism(s):			
a) discussion and negotiation on the disputed issue within the working group/committee in order to find a compromise,	Procedures	YES	<b>PEFC SWE 001 Appendix D 2. Balanced representation and decision making procedures</b> “The stakeholders of the Forum shall reach consensus on the decision to recommend the final proposal for formal approval. In order to reach consensus, the Forum may use the following alternative procedures to find out whether there are any differences of opinion: a) Discussion and negotiation on the disputed issue” <b>PEFC SWE 001 Appendix D 8. Appeal and complaint procedures</b> “During the standard setting process, the Forum shall, via its board, aim for total consensus of the entire group. The group may however initially disagree. This may be the case for in the Forum internally raised matters, or for external ideas and proposals. In such cases, the appeal- and complaint procedure shall be initiated by the board of the Forum.”
	Process	N.A.	<i>No evidence was found of a negative vote. According to one of the respondents to the questionnaire, issues were resolved by deliberations.</i>
b) direct negotiation between the stakeholder(s) submitting the objection and stakeholders with different views on	Procedures	YES	<b>PEFC SWE 001 Appendix D 2. Balanced representation and decision making procedures</b> “The stakeholders of the Forum shall reach consensus on the decision to recommend the final proposal for formal approval. In order to reach consensus, the Forum may use the following alternative procedures to find out whether there are any differences of opinion: a) Discussion and negotiation on the disputed issue”
	Process	N.A.	<i>No evidence was found of a negative vote.</i>



Question	Assess. basis	YES /NO	Reference to application documents
the disputed issue in order to find a compromise,			
c) dispute resolution process.	Procedures	YES	<b>PEFC SWE 001 Appendix D 8. Appeal and complaint procedures</b> “During the standard setting process, the Forum shall, via its board, aim for total consensus of the entire group. The group may however initially disagree. This may be the case for in the Forum internally raised matters, or for external ideas and proposals. In such cases, the appeal- and complaint procedure shall be initiated by the board of the Forum.”
	Process	N.A.	<i>No evidence was found of a negative vote.</i>
5.10 Documentation on the implementation of the standard-setting process shall be made publicly available.	Procedures	YES	<b>PEFC SWE 001 Appendix D 3. Development of the standard, consultation</b> <ul style="list-style-type: none"> <li>• “The Forum activities shall be possible to follow at the web <a href="http://www.pefc.se">www.pefc.se</a> during the entire process.</li> <li>• The Forum shall make the procedures for development of the standard publicly available via <a href="http://www.pefc.se">www.pefc.se</a>.”</li> </ul> <b>PEFC SWE 001 Appendix D 6. Documentation of the Swedish PEFC standard setting procedure</b> <ul style="list-style-type: none"> <li>• “The Forum meetings shall be documented and published on the web <a href="http://www.pefc.se">www.pefc.se</a>.”</li> </ul>
	Process	YES	<i>The website of PEFC Sweden (<a href="http://www.pefc.se">www.pefc.se</a>) contains at least the following documentation on the implementation of the standard-setting process:</i> <ul style="list-style-type: none"> <li>• <i>Invitation to participate in the revision process, including references to relevant standard documentation;</i></li> <li>• <i>Announcement of the public consultation on the enquiry draft, including references to standard documents;</i></li> <li>• <i>A synopsis of the received comments during the public consultation, including the results of the committee’s consideration;</i></li> <li>• <i>The standard-setting procedures, as part of PEFC SE 001</i></li> </ul>
5.11 The standardising body shall formally	Procedures	YES	<b>PEFC SWE 001 Appendix D 2. Balanced representation and decision making procedures</b> “After consensus is reached in the Forum, the proposed Standard is formally presented to the board of the Swedish PEFC for further processing by the PEFC system.”

Question	Assess. basis	YES /NO	Reference to application documents
<p>approve the standards/normative documents based on evidence of consensus reached by the working group/committee.</p>			<p><b>PEFC SWE 001 Appendix D 9. The agreed Forest standard</b>                      “When the Standard Forum has finished its work, it shall report back to the board of the Swedish PEFC and hand over the agreed Forest standard for approval and further processing in the PEFC system. The formally approved standard/the normative documents shall be published in an appropriate way and be made publicly available.”</p>
	Process	NO	<p><b>Letter: On the passing of decisions in the Swedish PEFC standard revision</b>                      “During its’ six meetings the forum has passed numerous decisions on great and small issues. All decisions, unless otherwise specifically stated in the minutes, has been passed by me declaring consensus after comprehensive discussions. The most important decision was of course the acceptance of the final draft on the 6<sup>th</sup> forum meeting 3 February 2016. The decision was unanimously accepted with no opposition at the meeting.”</p> <p><b>Minutes PEFC SWE Board 2016-04-20 11. Standard Audit - decision on the application</b>                      ”PEFC standard audit forum decided at its meeting February 3, 2016 to submit the proposal to the new PEFC standard for the Board of Swedish PEFC. The board was thereby given the authority to handle the outstanding questions (protocol paragraphs 7-10) and to send standard to international PEFC for endorsement. Swedish PEFC Board of Directors decided to approve the Forum's proposed new PEFC standard (PEFC TD IV document PEFC SWE 001 - PEFC SWE 005) for application for the approval of the international PEFC. Application date was set to 16 May, 2016.”</p> <p><i>The letter was only written and sent to the Assessor during the conformity assessment. Evidence for consensus is not found in the records of the process itself, whereas it is explicitly requested by the requirement. Although it might have worked according to the requirements, this shall be recorded to show conformity, not only to the Assessor, but to all stakeholders.</i></p>
<p>5.12 The formally approved standards/normative documents shall be published in a timely manner and made</p>	Procedures	YES	<p><b>PEFC SWE 001 Appendix D 9. The agreed Forest standard</b>                      “The formally approved standard/the normative documents shall be published in an appropriate way, no later than the application date and be made publicly available.”</p>
	Process	YES	<p><b>PEFC SWE 001-005 3.11. Publication of the standard</b>                      “The final drafts were published on the standard revisions web site on 16<sup>th</sup> May 2016.”  <i>The standards can be find on the website of PEFC Sweden (<a href="http://www.pefc.se">www.pefc.se</a>), and are published before</i></p>



Question	Assess. basis	YES /NO	Reference to application documents
publicly available.			<i>formal application date.</i>
<b>Revisions of standards/normative documents</b>			
6.1 The standards/normative documents shall be reviewed and revised at intervals that do not exceed a five-year period. The procedures for the revision of the standards/normative documents shall follow those set out in chapter 5.	Process	YES	<p><b>PEFC SWE 001 3. Validity and transition rules</b></p> <p>“TD III is valid for already issued PEFC-certification during a transition period of 1 year after the entering into force of the new and revised TD IV.</p> <p>This Technical Document (TD IV); PEFC SWE 001-005 was approved by the board of the Swedish PEFC on 2016-04-20 and by PEFC International on xxxxx with a period of validity of 5 years.”</p> <p><b>PEFC SWE 001 Appendix D 1. Setting up of the Standard Forum</b></p> <p>“The board of the Swedish PEFC shall be responsible for initiation of the revision of the standard every fifth year.”</p> <p><b>PEFC SWE 001-005 Appendix 3 Invitation to PEFC Standard revision</b></p> <p>“PEFC Sweden was founded in 2000 and the first Swedish forestry standard was approved in July 2000. The standard is revised every five years and it is now time to develop the fourth Swedish PEFC standard.”</p> <p><b>PEFC SWE 001-005 3.10. Formal approval of the standard</b></p> <p>“The board of PEFC Sweden passed the decision to submit the proposed standard TD IV for review and approval 20<sup>th</sup> April 2016. The application date was set to 16<sup>th</sup> May 2016.”</p> <p><i>The previous version of the standard was dated 2 November 2011. This publication date is therefore well within the 5 year revision limit.</i></p>
6.2 The revision shall define the application date and transition date of the revised standards/normative documents.	Process	YES	<p><b>PEFC SWE 001 p.2</b></p> <p>“Application: 2016-05-16 Transition date: One year from the PEFC re-endorsement decision Date”</p>
6.3 The application	Process	YES	<b>PEFC SWE 001-005 3.10. Formal approval of the standard</b>



Question	Assess. basis	YES /NO	Reference to application documents
<p>date shall not exceed a period of one year from the publication of the standard. This is needed for the endorsement of the revised standards/normative documents, introducing the changes, information dissemination and training.</p>			<p>“The board of PEFC Sweden passed the decision to submit the proposed standard TD IV for review and approval 20<sup>th</sup> April 2016. The application date was set to 16<sup>th</sup> May 2016.</p> <p><b>PEFC SWE 001-005 3.11. Publication of the standard</b></p> <p>The final drafts were published on the standard revisions web site on 16<sup>th</sup> May 2016.”</p> <p><i>Publication and application date are the same and therefore within the range of one year specified in this requirement.</i></p>
<p>6.4 The transition date shall not exceed a period of one year except in justified exceptional circumstances where the implementation of the revised standards/normative documents requires a longer period.</p>	<p>Process</p>	<p>NO</p>	<p><b>PEFC SWE 001 p.2</b></p> <p>“Application: 2016-05-16 Transition date: One year from the PEFC re-endorsement decision Date”</p> <p><b>PEFC SWE 001 3. Validity and transition rules</b></p> <p>“TD III is valid for already issued PEFC-certification during a transition period of 1 year after the entering into force of the new and revised TD IV.”</p> <p><i>The date of PEFC re-endorsement is later than the application date and therefore the transition period exceeds one year.</i></p>



## Part II: PEFC Standard Requirements Checklist for Group Forest Management Certification

### 1 Scope

Part II covers requirements for group forest management certification as defined in PEFC ST 1002:2010, Group Forest Management Certification – Requirements.

### 2 Checklist

Question	YES / NO	Reference to scheme documentation
<b>General</b>		
4.1 Does the forest certification scheme provide clear definitions for the following terms in conformity with the definitions of those terms presented in chapter 3 of PEFC ST 1002:2010:		
a) the group organisation,	YES	<p><b>PEFC SWE 001:4 - Appendix B Concepts and definitions</b></p> <p>“Group certification: Certification of a group of forest owners/wood procurement organizations or forestry contractors through a so called umbrella organization.</p> <p>Umbrella organization: (...) The notion “umbrella organization” refers in this standard to the organization which administers the group certification. When referring to both the administration and its affiliated members, the notion “umbrella organization and its members” is used.”</p>
b) the group entity,	YES	<p><b>PEFC SWE 001:4 - Appendix B Concepts and definitions</b></p> <p>“Umbrella organization: Certified body that concludes a group certification contract with forest owners, contractors and wood procurement organizations. The notion “umbrella organization” refers in this standard to the organization which administers the group certification. When referring to both the administration and its affiliated members, the notion “umbrella organization and its members” is used.”</p> <p><b>PEFC SWE 004:4 - 4 Group certification</b></p> <p>“4.2 Basic requirements for umbrella organization</p> <p>The certificate for the group is held by an umbrella organization (...) in order to ensure that the certification requirements are complied with.”</p>





Question	YES / NO	Reference to scheme documentation
c) the participant,	YES	<p><b>PEFC SWE 001:4 - Appendix B Concepts and definitions</b></p> <p>“Group certification: Certification of a group of forest owners/wood procurement organizations or forestry contractors through a so called umbrella organization.</p> <p>Wood procurement organization: Company which plans and implements forestry operations, establish forest management plans, and trades in roundwood. A wood procurement organization is engaged and mandated by the forest owner.”</p>
d) the certified area,	YES	<p><b>PEFC SWE 004:4 – 4.3.2 Special requirements at group certification of forest owners</b></p> <p><i>“The umbrella organization shall at group certification of forest owners, (...), also comply with the following:</i></p> <p><i>4.3.2.3 Register and keep up to date relevant information on every affiliated forest owner, specified by: (...) Area of forest land.”</i></p> <p><b>PEFC SWE 004:4 – 4.4.2 Responsibilities of affiliated forest owners</b></p> <p>“4.4.2.1 All holdings of a forest owner with uniform ownership shall form the basis for certification.”</p>
e) the group forest certificate, and	YES	<p><b>PEFC SWE 001:4 - Appendix B Concepts and definitions</b></p> <p>“Certificate: A guarantee that a product or service meets the requirements of a specified standard. Certification is the process whereby an independent body provides a written guarantee that a product or service meets the requirements of a specified standard.”</p> <p><b>PEFC SWE 005:4 - 7.1 Information in issued certificates</b></p> <p>“Issued certificates shall include the following information on the certified business:</p> <p>7.1.2 At group certification for group certificates (umbrella organizations):</p> <ol style="list-style-type: none"> <li>1. Name and address of the umbrella organization; (...)</li> <li>3. Identification of the group-certified business with reference to the standard, see 7.1.4: <ol style="list-style-type: none"> <li>a. Forestry for forest owners;</li> <li>b. Forestry for wood procurement organizations;</li> <li>c. Contractors; (...)</li> </ol> </li> </ol> <p>7.1.4 Reference to the standard</p>



Question	YES / NO	Reference to scheme documentation
		The following references to the respective standard shall be used: (...) PEFC Group certificate – forestry and/or contractor • “Swedish PEFC requirements for direct certification and group certification PEFC SWE 004:4”
f) the document confirming participation in group forest certification.	YES	<b>PEFC SWE 004:4 - 4 Group certification</b> “4.2.1.6 Umbrella organizations shall upon request provide information on whether a named group-affiliated forest owner, wood procurement organization or contractor possesses proof of certification or not. The umbrella organization is responsible for: 4.3.1.3 Issuing proof of forest certification, with a period of validity of at least one year, to affiliated forest owners/wood procurement organizations.”
4.1.2 In cases where a forest certification scheme allows an individual forest owner to be covered by additional group or individual forest management certifications, the scheme shall ensure that non-conformity by the forest owner identified under one forest management certification is addressed in any other forest management certification that covers the forest owner.	YES	<b>PEFC SWE 004:4 - 4.3 Responsibility of umbrella at group certification of forest owners</b> “4.3.1.10 In the case of non-compliances (...), and if the forest owner is affiliated to more than one umbrella organization and/or other forest certification system, declared non-compliances shall without delay be communicated to such other party.”
4.1.3 The forest certification scheme 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.	YES	<b>PEFC SWE 004:4 - 4.3 Responsibility of umbrella at group certification of forest owners</b> “The umbrella organization is responsible for: 4.3.1.5 Controlling annually through internal audit that the business meets the requirements of the Swedish PEFC forest standard. The arrangement of the audit for group certified forest owners and wood procurement organizations is described in the paragraphs 4.3.2 and 4.3.3. 4.3.1.7 The umbrella organization shall analyze and document the result of the internal audit and ensure that necessary measures are taken. Analysis and measures shall encompass the entire group.



Question	YES / NO	Reference to scheme documentation												
		4.3.1.8 The report shall include any corrective measures. The report shall be evaluated and approved by the management.”												
4.1.4 The forest certification scheme 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.	YES	<p><b>PEFC SWE 004:4 - 4.3 Responsibility of umbrella at group certification of forest owners</b></p> <p>“The umbrella organization is responsible for:</p> <p>4.3.1.5 Controlling annually through internal audit that the business meets the requirements of the Swedish PEFC forest standard.</p> <p>4.3.1.7 The umbrella organization shall analyze and document the result of the internal audit and ensure that necessary measures are taken. Analysis and measures shall encompass the entire group.</p> <p>4.3.2.5 Routines for internal audit shall be elaborated and documented by the umbrella organization. The design shall be risk-based with regard to the scope and complexity of the business. Previous results and experiences from completed internal audits shall be given special consideration.</p> <p>In the case of internal audits based on random sample, the following apply:</p> <ul style="list-style-type: none"> <li>o In order to ensure that the audit considers the business degree of activity, the random sample shall be weighed against area, and randomly chosen from the total population so that the result is valid for the group.</li> <li>o The scope of the random sample is indicated by the table below:</li> </ul> <table border="1" data-bbox="846 995 2024 1070"> <tr> <td>No. of proof of certificates (approx.)</td> <td>100</td> <td>500</td> <td>1 000</td> <td>5 000</td> <td>10 000</td> </tr> <tr> <td>Lowest size of random sample</td> <td>20 %</td> <td>7 %</td> <td>5 %</td> <td>2 %</td> <td>√ n</td> </tr> </table> <p>4.3.3.5 (...) At least 30 % of affiliated wood procurement organizations shall be visited annually and during a three-year period, all affiliated organization shall have been subject to audit at least once.”</p> <p><i>It shall be noted that 4.3.2.5 relates to forest owners, and 4.3.3.5 to wood procurement organizations.</i></p>	No. of proof of certificates (approx.)	100	500	1 000	5 000	10 000	Lowest size of random sample	20 %	7 %	5 %	2 %	√ n
No. of proof of certificates (approx.)	100	500	1 000	5 000	10 000									
Lowest size of random sample	20 %	7 %	5 %	2 %	√ n									
<b>Functions and responsibilities of the group entity</b>														
4.2.1 The forest certification scheme shall define the following requirements for the function and responsibility of the group entity:														



Question	YES / NO	Reference to scheme documentation
a) To represent the group organisation in the certification process, including in communications and relationships with the certification body, submission of an application for certification, and contractual relationship with the certification body;	YES	<p><b>PEFC SWE 004:4 - 4.2 Basic requirements for umbrella organization</b></p> <p>“(…) A certified umbrella organization which holds a group certificate for forest owners, wood procurement organizations and/or contractors, shall comply with the following requirements:</p> <p>4.2.1.4 Agreement with accredited and notified certification body regarding certification and upholding of the certification.”</p>
b) To provide a commitment on behalf of the whole group organisation to comply with the sustainable forest management standard and other applicable requirements of the forest certification scheme;	YES	<p><b>PEFC SWE 004:4 - 4.2 Basic requirements for umbrella organization</b></p> <p>“The certificate for the group is held by an umbrella organization which provides the groups’ members with information and routines in order to ensure that the certification requirements are complied with. On behalf of its members the umbrella organisation commits to comply with applicable requirements related to the PEFC standard.”</p>
c) To establish written procedures for the management of the group organisation;	YES	<p><b>PEFC SWE 004:4 - 4.2 Basic requirements for umbrella organization</b></p> <p>“(…) A certified umbrella organization which holds a group certificate for forest owners, wood procurement organizations and/or contractors, shall comply with the following requirements:</p> <p>4.2.1.5 Certification and management system in accordance with SS-EN ISO 14001 comprising necessary written procedures for the management of the group organisation.”</p>
<p>d) To keep records of:</p> <ul style="list-style-type: none"> <li>- the group entity and participants’ conformity with the requirements of the sustainable forest management standard, and other applicable requirements of the forest certification scheme,</li> <li>- all participants, including their contact details, identification of their forest property and its/their size(s),</li> <li>- the certified area,</li> <li>- the implementation of an internal monitoring programme, its review and any</li> </ul>	YES	<p><b>PEFC SWE 004:4 - 4.3 Responsibility of umbrella at group certification of forest owners</b></p> <p>“4.3.1.7 The umbrella organization shall analyze and document the result of the internal audit and ensure that necessary measures are taken. Analysis and measures shall encompass the entire group.</p> <p>4.3.1.8 The report shall include any corrective measures. The report shall be evaluated and approved by the management.</p> <p>The umbrella organization shall at group certification of forest owners, (…), also comply with the following:</p> <p>4.3.2.3 Register and keep up to date relevant information on every affiliated forest owner, specified by:</p> <ul style="list-style-type: none"> <li>o Name of forest holding/s</li> </ul>



Question	YES / NO	Reference to scheme documentation
preventive and/or corrective actions taken;		o Name and address to forest owner/representative of the forest holding/s o Date of entering into the agreement o Area of forest land o Compliance with the requirements of the forest standard, preventive and/or corrective actions taken.”  <i>Record keeping of the identification of the (certified) forest area and its size for wood procurement organization is not applicable, since a wood procurement organization is engaged and mandated by the forest owner.</i>
e) To 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 to initiate the exclusion of any participant from the scope of certification in the event of non-conformity with the sustainable forest management standard	YES	<p><b>PEFC SWE 004:4 - 4.3 Responsibility of umbrella at group certification of forest owners</b></p> <p>“The umbrella organization is responsible for:</p> <p>4.3.1.1 Handling applications from forest owners/wood procurement organizations regarding forest certification in accordance with Swedish PEFC. The applications shall be examined and approved, and affiliation shall be confirmed by means of a written agreement between the umbrella organization and the forest owner. All co-owners, or qualified representative with authorization or other verification, shall sign the agreement.”</p> <p><b>PEFC SWE 004:4 - 4.4 Responsibility of affiliated forestry- and wood procurement organizations at group certification</b></p> <p>“Through the agreement, the affiliated forest owner or wood procurement organization is responsible for:</p> <p>4.4.1.2 Meeting relevant parts of the Swedish forest standard.</p> <p>4.4.1.9 Handling non-compliances and take corrective and preventive measures in accordance with instructions from the umbrella organization (see appendix 1 Non-compliances and corrective measures).”</p> <p><b>PEFC SWE 004:4 - Appendix 1. Non-compliances and corrective measures regarding group affiliates</b></p> <p>For cancellation of an agreement on group-certification, there has to be a major non-compliance with applicable PEFC rules for certification, in line with the above. (...)”</p>



Question	YES / NO	Reference to scheme documentation
f) To provide participants with a document confirming participation in the group forest certification;	YES	<p><b>PEFC SWE 004:4 - 4.3 Responsibility of umbrella at group certification of forest owners</b></p> <p>“The umbrella organization is responsible for:</p> <p>4.3.1.1 Handling applications from forest owners/wood procurement organizations regarding forest certification in accordance with Swedish PEFC. The applications shall be examined and approved, and affiliation shall be confirmed by means of a written agreement between the umbrella organization and the forest owner. All co-owners, or qualified representative with authorization or other verification, shall sign the agreement.</p> <p>4.3.1.3 Issuing proof of forest certification, with a period of validity of at least one year, to affiliated forest owners/wood procurement organizations.”</p>
g) To 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;	YES	<p><b>PEFC SWE 004:4 - 4.3 Responsibility of umbrella at group certification of forest owners</b></p> <p>“The umbrella organization is responsible for:</p> <p>4.3.1.4 Refer forest owners/wood procurement organizations to information and training in order to ensure Swedish PEFC forest certification.”</p>
h) To operate an annual internal monitoring programme that provides for the evaluation of the participants’ conformity with the certification requirements, and;	YES	<p><b>PEFC SWE 004:4 - 4.3 Responsibility of umbrella at group certification of forest owners</b></p> <p>“The umbrella organization is responsible for:</p> <p>4.3.1.5 Controlling annually through internal audit that the business meets the requirements of the Swedish PEFC forest standard. The arrangement of the audit for group certified forest owners and wood procurement organizations is described in the paragraphs 4.3.2 and 4.3.3.”</p>
i) To operate a review of conformity with the sustainable forest management standard, that includes reviewing the results of the internal monitoring programme and the certification body’s evaluations and surveillance; corrective and preventive measures if required; and the evaluation of the effectiveness of corrective actions taken.	YES	<p><b>PEFC SWE 004:4 - 4.3 Responsibility of umbrella at group certification of forest owners</b></p> <p>“The umbrella organization is responsible for:</p> <p>4.3.1.7 The umbrella organization shall analyze and document the result of the internal audit and the result of the surveillance audit and ensure that necessary measures are taken. Analysis and measures shall encompass the entire group and the effectiveness of the measures shall be evaluated</p> <p>4.3.1.8 The report shall include any corrective measures. The report shall be evaluated and</p>



Question	YES / NO	Reference to scheme documentation
		approved by the management. 4.3.1.9 Issuing non-compliances to group-certified forest owners/wood procurement organizations which do not comply with the requirements of the forest standard, and inform and advise in order to remedy the shortcomings. (See appendix 1. Non-compliances and corrective measures)”
<b>Function and responsibilities of participants</b>		
4.3.1 The forest certification scheme shall define the following requirements for the participants:		
a) To provide the group entity with a written agreement, including a commitment on conformity with the sustainable forest management standard and other applicable requirements of the forest certification scheme;	YES	<p><b>PEFC SWE 004:4 - 4.3 Responsibility of umbrella at group certification of forest owners</b></p> <p>“The umbrella organization is responsible for:</p> <p>4.3.1.1 Handling applications from forest owners/wood procurement organizations regarding forest certification in accordance with Swedish PEFC. The applications shall be examined and approved, and affiliation shall be confirmed by means of a written agreement between the umbrella organization and the forest owner. All co-owners, or qualified representative with authorization or other verification, shall sign the agreement.”</p> <p><b>PEFC SWE 004:4 - 4.4 Responsibility of affiliated forestry- and wood procurement organizations at group certification</b></p> <p>“Through the agreement, the affiliated forest owner or wood procurement organization is responsible for:</p> <p>4.4.1.2 Meeting relevant parts of the Swedish forest standard.”</p> <p><i>Although not specifically specified, it is assumed that, based on 4.4 (“through the agreement”) and 4.4.1.2. (“Meeting relevant parts of the Swedish forest standard”), the written agreement shall include a commitment on conformity with the sustainable forest management standard and other applicable requirements.</i></p>
b) To comply with the sustainable forest management standard and other applicable requirements of the forest certification scheme;	YES	<p><b>PEFC SWE 004:4 - 4.4 Responsibility of affiliated forestry- and wood procurement organizations at group certification</b></p> <p>“Through the agreement, the affiliated forest owner or wood procurement organization is responsible for:</p> <p>4.4.1.2 Meeting relevant parts of the Swedish forest standard.”</p>



Question	YES / NO	Reference to scheme documentation
c) To provide full co-operation and assistance in responding effectively to all requests from the group entity or certification body for relevant data, documentation or other information; allowing access to the forest and other facilities, whether in connection with formal audits or reviews or otherwise;	YES	<p><b>PEFC SWE 004:4 - 4.4 Responsibility of affiliated forestry- and wood procurement organizations at group certification</b></p> <p>“Through the agreement, the affiliated forest owner or wood procurement organization is responsible for:</p> <p>4.4.1.8 Accepting that the umbrella organization, as well as the certification body at audits of the umbrella organization, performs inspections of compliance with the forest standard. This includes the demonstration of relevant documentation and information as well as allowing access to relevant facilities.”</p>
d) To implement relevant corrective and preventive actions established by the group entity.	YES	<p><b>PEFC SWE 004:4 - 4.4 Responsibility of affiliated forestry- and wood procurement organizations at group certification</b></p> <p>“Through the agreement, the affiliated forest owner or wood procurement organization is responsible for:</p> <p>4.4.1.9 Handling non-compliances and take corrective and preventive measures in accordance with instructions from the umbrella organization (see appendix 1 Non-compliances and corrective measures).”</p>





## Part III: PEFC Standard and System Requirement Checklist for Sustainable Forest Management

### 1 Scope

Part III covers requirements for sustainable forest management as defined in PEFC ST 1003:2010, Sustainable Forest Management – Requirements.

### 2 Checklist

Question	YES / NO	Reference to scheme documentation
<b>General requirements for SFM standards</b>		
4.1 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.	YES	<i>The requirements of the standard are applicable at the forest management level, and where appropriate distinctions are made among various forest management levels and among forest owners, wood procurement organisations and contractors.</i>
b) be clear, objective-based and auditable.	YES	<i>The standard is clear and in many cases objective-based, having (very) specific requirements for specific operations. This gives the standard a strong focus on forest management practices. The standard is rather complementary to existing legislation.</i>
c) apply to activities of all operators in the defined forest area who have a measurable impact on achieving compliance with the requirements.	YES	<b>PEFC SWE 004:4 - 1 Introduction</b> “The responsibility for meeting the requirements of the forest standard falls upon the forest owner. In order to make it easier for the certified forest owner to comply with the standard’s requirements, the Swedish PEFC requires certification from the part of wood procurement organizations and contractors. This implies that the implementation of individual operations within the forestry sector may be delegated to certified operator (wood procurement organization, contractor.)”
d) require record-keeping that provides evidence of compliance with the requirements of the forest	YES	<b>PEFC SWE 004:4 - Appendix 2. Minimum requirements for management systems of</b>



Question	YES / NO	Reference to scheme documentation
management standards.		<p><b>directly certified organizations</b></p> <p>“The organization’s management system shall, as a minimum, include the requirements below.</p> <p>Document management: The organization shall establish and maintain routines for identification, maintenance and filing of PEFC-accounting documents. The time-period for filing of the documents shall be stipulated and documented. Documents shall be maintained, in a manner that conforms to the system and organization, to demonstrate that the requirements of this standard are complied with.”</p> <p><b>PEFC SWE 004:4 – 4 Group certification</b></p> <p>“4.3.2 Special requirements at group certification of forest owners</p> <p>The umbrella organization shall at group certification of forest owners, (...), also comply with the following:</p> <p>4.3.2.3 Register and keep up to date relevant information on every affiliated forest owner, specified by: (...) O Compliance with the requirements of the forest standard, preventive and/or corrective actions taken.</p> <p>4.4 Responsibility of affiliated forestry- and wood procurement organizations at group certification</p> <p>Through the agreement, the affiliated forest owner or wood procurement organization is responsible for:</p> <p>4.4.1.8 Accepting that the umbrella organization, as well as the certification body at audits of the umbrella organization, performs inspections of compliance with the forest standard. This includes the demonstration of relevant documentation and information as well as allowing access to relevant facilities.”</p>
<b>Specific requirements for SFM standards</b>		
<b>Criterion 1: Maintenance and appropriate enhancement of forest resources and their contribution to the global carbon cycle</b>		
5.1.1 Forest management planning shall aim to maintain or increase forests and other wooded areas and enhance the quality of the economic,	YES	<p><b>PEFC SWE 002:4 - 3 Forest management standard</b></p> <p>“(…) Forestry shall be sustainable, and based on scientifically tested and site-adapted methods and principles. Sustainable forest management refers to long-term management with the aim of</p>

Question	YES / NO	Reference to scheme documentation
<p>ecological, cultural and social values of forest resources, including soil and water. This shall be done by making full use of related services and tools that support land-use planning and nature conservation.</p>		<p>preserving or enhancing the values of the forest holding in the form of forestry production, nature conservation values, and social values. (...)</p> <p>Forest management comprises the cycle of inventory and planning, implementation, monitoring and evaluation, and shall include an appropriate assessment of the social, environmental, and economic impacts of both planned and completed forest management operations. In addition to own results, data and results from the National Forest Inventory and from The Forest Agency’s monitoring of environmental consideration may be used.”</p> <p><b>PEFC SWE 002:4 – 5 Environmental standard</b></p> <p>“5.7.1 Measures shall be planned with respect to season and soil stability so that damages to soil and water are avoided.”</p>
<p>5.1.2 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 operations. This shall form a basis for a cycle of continuous improvement to minimise or avoid negative impacts.</p>	YES	<p><b>PEFC SWE 002:4 - 3 Forest management standard</b></p> <p>“Forest management comprises the cycle of inventory and planning, implementation, monitoring and evaluation, and shall include an appropriate assessment of the social, environmental, and economic impacts of both planned and completed forest management operations.”</p>
<p>5.1.3 Inventory and mapping of forest resources shall be established and maintained, adequate to local and national conditions and in correspondence with the topics described in this document.</p>	YES	<p><b>PEFC SWE 002:4 - 2.1 Facilities and further information</b></p> <p>“(…) For planning purposes the laser inventory data provided by the Forest Agency (<a href="https://skogskartan.skogsstyrelsen.se/skogskartan/Default.aspx?startapp=skogligagrunddata">https://skogskartan.skogsstyrelsen.se/skogskartan/Default.aspx?startapp=skogligagrunddata</a>) and “mina sidor” at the Forest Agency web contains useful information.”</p> <p><b>PEFC SWE 002:4 - 3 Forest management standard</b></p> <p>“3.1.1 Forest holdings of 20 ha productive forest land or more must have a forest management plan adapted to certification in accordance with Appendix 1.</p> <p>3.1.2 Forest holdings with less than 20 ha productive forest land must have an overview map showing the location of voluntary set-asides as well as key-habitats, sites with conservation values, and ancient/cultural remains that are registered by concerned authority.”</p>



Question	YES / NO	Reference to scheme documentation
		<p><b>PEFC SWE 002:4 - Appendix 1. PEFC-adapted forest management plan</b></p> <p>“A forest management plan shall provide a detailed description of the forest holding as a whole, as well as for each compartment, including information like average stand age, soil fertility, and management needs for the compartments. (...)”</p> <p>In case of any changes in the property under the same ownership, the forest owner shall have revised the plan to accommodate to the new situation within 2 years at the latest.</p> <p>Requirements for general information in the forest management plan: (...) 4. time for undertaking of the inventory; 5. commentaries to the holding including information on ancient remains, key-habitats, protected areas, habitat protection, nature conservation agreements, nature reserves, Natura-2000 areas, water protection areas (described on a map)”</p> <p><b>PEFC SWE 001:4 - 7 Forestry in Sweden</b></p> <p>“7.3.1.2 Notification of regeneration felling</p> <p>“(...) Every forest owner also has a login on the Swedish Forest Agency web page called “mina sidor”. The available data includes maps over the own forest, basic forest data (such as timber volume) key woodland habitats and ancient remains. These data (except the ownership maps) are also publicly available”</p> <p>“7.6 Monitoring - Several agencies collect statistics on forests, forestry and forest industry (...)”</p>
<p>5.1.4 Management plans or their equivalents, appropriate to the size and use of the forest area, shall be elaborated and periodically updated. They shall be based on legislation as well as existing land-use plans, and adequately cover the forest resources.</p>	<p>YES</p>	<p><b>PEFC SWE 002:4 – 3 Forest management standard</b></p> <p>“3.1 Forest management plan: The Swedish PEFC-system is based on forest owners having a forest management plan adapted to certification. The forest management plan is a basis for planning the management of the forest holding.</p> <p>3.1.1 Forest holdings of 20 ha productive forest land or more must have a forest management plan adapted to certification in accordance with Appendix 1. An evaluated and described method for assessment of conservation values shall form the basis for the forestry objectives.</p> <p>3.1.2 Forest holdings with less than 20 ha productive forest land must have an overview map showing the location of voluntary set-asides as well as key-habitats, sites with conservation values, and ancient/cultural remains that are registered by concerned authority.”</p> <p><b>PEFC SWE 002:4 - Appendix 1. PEFC-adapted forest management plan</b></p>



Question	YES / NO	Reference to scheme documentation
		<p>“A forest management plan shall provide a detailed description of the forest holding as a whole, as well as for each compartment, (...) The forest management plan shall take regional objectives for handling of nature consideration into account and be placed within a landscape-ecological perspective. (...) In case of any changes in the property under the same ownership, the forest owner shall have revised the plan to accommodate to the new situation within 2 years at the latest.</p> <p>Requirements for general information in the forest management plan: (...) 5. commentaries to the holding including information on ancient remains, key-habitats, protected areas, habitat protection, nature conservation agreements, nature reserves, Natura-2000 areas, water protection areas (described on a map)”</p> <p><b>PEFC SWE 002:4 – 5 Environmental standard</b></p> <p>“Forestry shall be practiced in such a way that current laws and industry practice is complied with.”</p>
<p>5.1.5 Management plans or their equivalents shall include at least a description of the current condition of the forest management unit, long-term objectives; and the average annual allowable cut, including its justification and, where relevant, the annually allowable exploitation of non-timber forest products.</p>	<p>NO</p>	<p><b>PEFC SWE 002:4 – 3 Forest management standard</b></p> <p>“3.1.1 Forest holdings of 20 ha productive forest land or more must have a forest management plan adapted to certification in accordance with Appendix 1.</p> <p>3.1.2 Forest holdings with less than 20 ha productive forest land must have an overview map showing the location of voluntary set-asides as well as key-habitats, sites with conservation values, and ancient/cultural remains that are registered by concerned authority.</p> <p>3.2 Productive capacity of the forest land</p> <p>An important component in a sustainable forestry is the long-term productive capacity of the forest land, which shall be made use of and managed at forestry operations.</p> <p>3.2.2 Sustainable annual allowable cut shall be documented in the forest management plan.”</p> <p><b>PEFC SWE 002:4 - Appendix 1. PEFC-adapted forest management plan</b></p> <p>“A forest management plan shall provide a detailed description of the forest holding as a whole, as well as for each compartment, including information like average stand age, soil fertility, and management needs for the compartments. Each compartment shall be assigned a “forestry objective”, indicating the long-term management objective. (...)”</p>



Question	YES / NO	Reference to scheme documentation
		<p>Requirements for general information in the forest management plan: (...) 14. information on sustainable annual allowable cut”</p> <p><i>For forest holdings with less than 20 ha productive forest land, no references were found sufficiently ensuring that the current condition of the forest management unit, long-term objectives and the average annual allowable cut, including its justification are included in the management plans or their equivalent.</i></p>
<p>5.1.6 A summary of the forest management plan or its equivalent appropriate to the scope and scale of forest management, which contains information about the forest management measures to be applied, is publicly available. The summary may exclude confidential business and personal information and other information made confidential by national legislation or for the protection of cultural sites or sensitive natural resource features.</p>	NO	<p><b>PEFC SWE 004:4 Swedish PEFC requirements on direct certification and group certification</b></p> <p>“3.2 Direct certification of forestry</p> <p>3.2.1.8 In the case of external request about the certification, make available information on forest land set aside for conservation purposes/ actions taken within requested specific local geographic area. Information on the holding’s economic conditions such as growth and timber volumes is not public, neither are results from assessments of conservation values or information on vulnerable species.</p> <p>4.4 Responsibility of affiliated forestry- and wood procurement organizations at group certification</p> <p>4.4.1.10 In the case of an external request about the certification, information on areas set aside for conservation purposes/actions taken within requested specific local geographic area, shall be made available, either directly or by the umbrella organization. Information on the holding’s economic conditions such as growth and timber volumes is not public, neither are results from assessments of conservation values or information on vulnerable species.”</p> <p><i>It is insufficiently assured that a summary of the forest management plan (or its equivalent) is publicly available, as the clauses only provide for information on set aside areas and actions taken. A summary of an FMP will also contain information on e.g. objectives, zonation, plans and current status of the forests.</i></p>
<p>5.1.7 Monitoring of forest resources and evaluation of their management shall be periodically performed, and results fed back into</p>	NO	<p><b>PEFC SWE 002:4 - Appendix 1. PEFC-adapted forest management plan</b></p> <p>“Requirements for general information in the forest management plan: (...) 4. time for undertaking of the inventory.</p>

Question	YES / NO	Reference to scheme documentation
the planning process.		<p>The plan is normally valid for a plan period of 10 years. If the plan period has expired, a forest management plan may be considered up to date, after the quality of the plan has been examined by umbrella organization or certification body, and provided that any of the following is met:</p> <ul style="list-style-type: none"> <li>- At a good follow-up, i.e. where field-visits form the basis for continuous up-dating and incorporation of new actions.</li> </ul> <p>A forest management plan is not up to date when: (1) The plan period has expired, proposed actions have been taken, but follow-up has not been carried out.”</p> <p><i>No references were found ensuring periodical monitoring of forest resources, since field visits are not necessarily the same as forest resources monitoring.</i></p>
5.1.8 Responsibilities for sustainable forest management shall be clearly defined and assigned.	YES	<p><b>PEFC SWE 004:4 - 1 Introduction</b></p> <p>“The responsibility for meeting the requirements of the forest standard falls upon the forest owner. In order to make it easier for the certified forest owner to comply with the standard’s requirements, the Swedish PEFC requires certification from the part of wood procurement organizations and contractors. This implies that the implementation of individual operations within the forestry sector may be delegated to certified operator (wood procurement organization, contractor.)”</p>
5.1.9 Forest management practices shall safeguard the quantity and quality of the forest resources in the medium and long term by balancing harvesting and growth rates, and by preferring techniques that minimise direct or indirect damage to forest, soil or water resources.	YES	<p><b>PEFC SWE 002:4 – 3 Forest management standard</b></p> <p>“3.2 Productive capacity of the forest land</p> <p>An important component in a sustainable forestry is the long-term productive capacity of the forest land, which shall be made use of and managed at forestry operations.</p> <p>3.2.1 In order to prevent soil compaction and to ensure the productive capacity of the forest land, soil conservation measures shall be undertaken when needed.</p> <p>3.2.2 Sustainable annual allowable cut shall be documented in the forest management plan.</p> <p>3.3 Regeneration</p> <p>In order to establish suitable conditions for an economically viable timber production, reliable regeneration methods shall be used.</p> <p>3.4 Silvicultural measures</p>

Question	YES / NO	Reference to scheme documentation
		<p>Pre-commercial thinning and thinning shall be undertaken in order to produce forests with high production- and nature values in accordance with established objectives.</p> <p>3.6 Forest fuel Extraction of timber and forest fuel is a natural part of an active forestry and shall be carried out in a manner ensuring that the long-term productivity of the forest land is preserved.”</p> <p>3.9 Forest health Forest owners shall, by means of appropriate silvicultural methods, work for the creation of vital forests by preventing damages to forests caused by climatic factors such as frost, wind and snow.”</p> <p><b>PEFC SWE 002:4 – 5 Environmental standard</b> “5.7.1 Measures shall be planned with respect to season and soil stability so that damages to soil and water are avoided.”</p>
<p>5.1.10 Appropriate silvicultural measures shall be taken to maintain or reach a level of the growing stock that is economically, ecologically and socially desirable.</p>	<p>YES</p>	<p><b>PEFC SWE 002:4 – 3 Forest management standard</b> “3.3.2 Regeneration measures shall have been undertaken within three years from the time of final felling. Control of regeneration shall be undertaken three years after planting at the latest, and five years at the latest after seeding or natural regeneration.</p> <p>3.4 Silvicultural measures Pre-commercial thinning and thinning shall be undertaken in order to produce forests with high production- and nature values in accordance with established objectives.</p> <p>3.11 Game Forest owners shall aim for adaptation of the size of game populations so that the long-term objectives regarding forest management and nature conservation may be obtained.”</p>
<p>5.1.11 Conversion of forests to other types of land use, including conversion of primary forests to forest plantations, shall not occur unless in justified circumstances where the conversion: e) is in compliance with national and regional</p>	<p>NO</p>	<p><b>PEFC SWE 001:4 – 7 Forestry in Sweden</b> “7.3.1 The Forestry Act 7.3.1.2 Notification of regeneration felling Regeneration felling comprising areas of 0,5 hectares and larger should be notified to the Forest Agency six weeks in advance at the latest. As regeneration felling does not count thinning and</p>





Question	YES / NO	Reference to scheme documentation
<p>policy and legislation relevant 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 materially and directly interested persons and organisations; and</p> <p>f) entails a small proportion of forest type; and</p> <p>g) does not have negative impacts on threatened (including vulnerable, rare or endangered) forest ecosystems, culturally and socially significant areas, important habitats of threatened species or other protected areas; and</p> <p>h) makes a contribution to long-term conservation, economic, and social benefits.</p>		<p>pre-commercial thinning which promotes forest development.                      (...) A forest owner is obliged to regenerate the forest after clearcutting (§ 8 Forestry Act).”</p> <p><b>Additional explanation provided by PEFC Sweden</b>                      “This means that any conversion is prohibited unless done with permission from the authorities so any regulations via the PEFC standard is on top of that prohibition.”</p> <p><b>PEFC SWE 001:4 – 7 Forestry in Sweden</b>                      “7.3.2.2 Notification of consultation                      Any forestry operation that may affect the natural environment in a significant way shall be notified to the Forest Agency for consultation. Failure to do so is a criminal offence. Operations encompassed by the Forest Agency’s provisions and general advice (2013:3) on obligation to notify consultation according to chapter 12, § 6 of the Environmental Code regarding forestry are: • Forestry operations in areas of special significance to flora and fauna (equals key-habitats); (...)</p> <p>Apart from these operations, there is also a general obligation to notify any operation that may imply significant changes to the natural environment.”</p> <p><b>PEFC SWE 002:4 – 3 Forest management standard</b>                      “3.10 Conversion of forest land                      Conversion of forest land may affect nature values but may also entail great advantages to society.                      3.10.1 Conversion of forest land to other land use shall only be made to a limited extent and where such conversion is consistent with current legislation, and after all necessary permissions have been obtained and consultation carried out. Examples of this are when conversion aims at development of infrastructure related to forestry or society at large (such as roads, wind power etc.), research, improvement of recreational values, or preservation or development of cultural values or biological diversity. When forest land that has previously been under agriculture is again converted to agricultural use, this is considered to meet the above described criteria.”</p> <p><i>The references to legislation show the stringent rules regarding conversions, there is however also room for “permitted conversion”. It remains unclear under what circumstances such</i></p>



Question	YES / NO	Reference to scheme documentation
		<p><i>conversions are permitted and if these comply with the PEFC requirements, in specific ensuring that the conversion:</i></p> <ul style="list-style-type: none"> <li>• <i>is a result of national or regional land-use planning governed by a governmental or other official authority including consultation with materially and directly interested persons and organisations;</i></li> <li>• <i>does not have negative impacts on threatened forest ecosystems, culturally and socially significant areas, important habitats of threatened species or other protected areas;</i></li> <li>• <i>makes a contribution to long-term conservation, economic, and social benefits.</i></li> </ul> <p><i>Furthermore, the wording ‘a limited extent’ is not auditable and does therefore not sufficiently ensure that the conversion entails a small proportion of forest type.</i></p>
<p>5.1.12 Conversion of abandoned agricultural and treeless land into forest land shall be taken into consideration, whenever it can add economic, ecological, social and/or cultural value.</p>	<p>YES</p>	<p><b>PEFC SWE 001:4 – 7 Forestry in Sweden</b></p> <p>7.3.1.1 Definition of forest land</p> <p>“Disused agricultural land must be reforested within three years of the land falling into disuse. This does not, however, apply to land to be protected for its natural characteristics or its cultural heritage.”</p>
<p><b>Criterion 2: Maintenance of forest ecosystem health and vitality</b></p>		
<p>5.2.1 Forest management planning shall aim to maintain and increase the health and vitality of forest ecosystems and to rehabilitate degraded forest ecosystems, whenever this is possible by silvicultural means.</p>	<p>YES</p>	<p><b>PEFC SWE 002:4 – 3 Forest management standard</b></p> <p>“3.9 Forest health</p> <p>Forest owners shall, by means of appropriate silvicultural methods, work for the creation of vital forests by preventing damages to forests caused by climatic factors such as frost, wind and snow. The risk of damages by pests such as fungi and insects shall be minimised through application of the provisions and general advice of the Forestry Act.</p> <p>3.9.1 Variation in stand age and tree species shall be aimed at, at forest holding level.</p> <p>3.13 Landscape ecology</p> <p>All forest management planning should be made in a landscape-ecological context. This means that the landscape and natural runoff areas are considered at forestry operations, where also the need of restoring forest- and water environments is taken into consideration.”</p>

Question	YES / NO	Reference to scheme documentation
<p>5.2.2 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>	<p>YES</p>	<p><b>PEFC SWE 001:4 – 7 Forestry in Sweden</b></p> <p>“7.6.1 Condition of and changes in forests</p> <p>The Swedish University of Agricultural Sciences (SLU) is responsible for official statistics on current condition and changes in Sweden’s forests. The basis for this is the annual inventory work undertaken by SLU through the National Forest Inventory and the Swedish Forest Soil Survey. The main purpose of the National Forest Inventory is to describe the state and changes in Sweden’s forests, including their health and vitality.”</p> <p><b>PEFC SWE 002:4 - Appendix 1. PEFC-adapted forest management plan</b></p> <p>“Requirements for general information in the forest management plan: (...)</p> <p>4. time for undertaking of the inventory”</p> <p><b>Additional explanation provided by PEFC Sweden</b></p> <p>“The monitoring of forest health in Sweden is done in cooperation in the sector e.g. in regional forest health groups (regionala samverkansgrupper) and with the assistance of the university (SLU <a href="http://www.slu.se/skogsskada/">http://www.slu.se/skogsskada/</a>) and the Forest Agency (<a href="http://www.skogsstyrelsen.se/Aga-och-bruka/Skogsbruk/Skador-pa-skog/">http://www.skogsstyrelsen.se/Aga-och-bruka/Skogsbruk/Skador-pa-skog/</a>).</p> <p>Forest health monitoring comprises weather (including, storm, snow and fire), game, insect damage, fungi and rutting due to forest operations. The Forest Agency also has regional and national forest health coordinators assisting forest owners with these issues.</p> <p>Latest data are available on their webpage and through newsletters and, after larger disturbances, information to forest owners in concerned areas.”</p>
<p>5.2.3 The monitoring and maintaining of health and vitality of forest ecosystems shall take into consideration the effects of naturally occurring fire, pests and other disturbances.</p>	<p>YES</p>	<p><b>PEFC SWE 001:4 – 7 Forestry in Sweden</b></p> <p>“7.6.1 Condition of and changes in forests</p> <p>The Swedish University of Agricultural Sciences (SLU) is responsible for official statistics on current condition and changes in Sweden’s forests. (...) The main purpose of the National Forest Inventory is to describe the state and changes in Sweden’s forests, including their health and vitality.”</p> <p><b>PEFC SWE 002:4 – 3 Forest management standard</b></p>



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		<p>“3.9 Forest health                      Forest owners shall, by means of appropriate silvicultural methods, work for the creation of vital forests by preventing damages to forests caused by climatic factors such as frost, wind and snow. The risk of damages by pests such as fungi and insects shall be minimised through application of the provisions and general advice of the Forestry Act.                      3.9.1 Variation in stand age and tree species shall be aimed at, at forest holding level.                      3.9.2 Risk-preventive measures and active forest protection shall be carried out in accordance with the forestry legislation.”</p> <p><b>PEFC SWE 002:4 – 5 Environmental standard</b></p> <p>“5.5.8 Exemptions from the requirement to create and retain fresh dead wood of coniferous trees are allowed when:</p> <ul style="list-style-type: none"> <li>o there is a documented risk of mass propagation of noxious insects</li> <li>o after larger/extensive infestation in area declared by the Forest Agency as special area for combating of pests”</li> </ul> <p><b>Additional explanation provided by PEFC Sweden</b></p> <p>The monitoring of forest health in Sweden is done in cooperation in the sector e.g. in regional forest health groups (regionala samverkansgrupper) and with the assistance of the university (SLU <a href="http://www.slu.se/skogsskada/">http://www.slu.se/skogsskada/</a>) and the Forest Agency (<a href="http://www.skogsstyrelsen.se/Aga-och-bruka/Skogsbruk/Skador-pa-skog/">http://www.skogsstyrelsen.se/Aga-och-bruka/Skogsbruk/Skador-pa-skog/</a>).</p> <p>Forest health monitoring comprises weather (including, storm, snow and fire), game, insect damage, fungi and rutting due to forest operations. The Forest Agency also has regional and national forest health coordinators assisting forest owners with these issues.</p> <p>Latest data are available on their webpage and through newsletters and, after larger disturbances, information to forest owners in concerned areas.</p>
<p>5.2.4 Forest management plans or their equivalents shall specify ways and means to minimise the risk of degradation of and damages to forest ecosystems. Forest management</p>	<p>NO</p>	<p><b>PEFC SWE 002:4 – 2.1 Facilities and further information</b></p> <p>“Information on current legislation applicable to forestry and advice on forest management may be obtained from the web-based services “Regelrätt Skogsbruk”, <a href="http://rkrattsbaser.gov.se">rkrattsbaser.gov.se</a>, and “Kunskap Direkt”, <a href="http://www.kunskapdirekt.se">www.kunskapdirekt.se</a>. The forest sector’s targets for good environmental</p>



Question	YES / NO	Reference to scheme documentation
<p>planning shall make use of those policy instruments set up to support these activities.</p>		<p>consideration are to be found at <a href="http://www.skogsstyrelsen.se">www.skogsstyrelsen.se</a>.”</p> <p><b>PEFC SWE 002:4 – 5 Environmental standard</b></p> <p>“5.2 Forests that shall be managed with enhanced consideration Forests containing conservation values, which are not prioritized for set aside, shall be managed with high ambitions as regards nature conservation.</p> <p>5.2.1 Guidelines indicated in the forest management plan regarding consideration for existing values shall be observed.”</p> <p><i>Multiple criteria were found with regards to minimization the risk of degradation of and damages to forest ecosystems, but it is not ensured that the ways and means of minimization are specified in forest management plans or their equivalents.</i></p>
<p>5.2.5 Forest management practices shall make best use of natural structures and processes and use preventive biological measures wherever and as far as economically feasible to maintain and enhance the health and vitality of forests. Adequate genetic, species and structural diversity shall be encouraged and/or maintained to enhance the stability, vitality and resistance capacity of the forests to adverse environmental factors and strengthen natural regulation mechanisms.</p>	<p>YES</p>	<p><b>PEFC SWE 002:4 – 3 Forest management standard</b></p> <p>“3.9 Forest health Forest owners shall, by means of appropriate silvicultural methods, work for the creation of vital forests by preventing damages to forests caused by climatic factors such as frost, wind and snow. The risk of damages by pests such as fungi and insects shall be minimised through application of the provisions and general advice of the Forestry Act.</p> <p>3.9.1 Variation in stand age and tree species shall be aimed at, at forest holding level.”</p> <p><b>PEFC SWE 002:4 – 5 Environmental standard</b></p> <p>“5.2 Forests that shall be managed with enhanced consideration Individual stands sometimes include areas with higher conservation values than its surroundings, such as water courses, vertical surfaces, and scree slopes. These shall be given special consideration at forestry operations in order to safeguard biodiversity. Forests containing conservation values, which are not prioritized for set aside, shall be managed with high ambitions as regards nature conservation.</p> <p>5.3.1 At thinning and regeneration felling, all conservation trees shall be retained to live, die, decompose, and decay. If the total number of conservation trees at regeneration felling amounts to less than 10 per hectare, these shall be complemented with potential conservation trees so</p>

Question	YES / NO	Reference to scheme documentation
		<p>that 10 trees per hectare are always retained.</p> <p>5.4.1 At sites where natural conditions for regeneration of deciduous trees is at hand, forest management shall be carried out so that at least 5 % of the area of mesic and moist soils on the productive forest land consists of stands dominated by deciduous trees.</p> <p>5.5.1 All older dead wood shall be safeguarded in forestry operations. The dead wood shall if possible be retained intact in its original location.</p> <p>5.8 Edge- and buffer zones</p> <p>Edge zones and buffer zones are important to biological diversity on forest land as well as to adjacent land use classes. The prerequisites differ between areas and the buffer zones shall be adjusted to the current conditions.</p> <p>5.8.1 In edge zones/forests edges and on the shores of lakes and watercourses, deciduous trees and bushes shall be favoured in order to create a layered and uneven-aged edge zone.</p> <p>5.9 Burning</p> <p>Historically, in particular dry soils have been burning at regular intervals, entailing a specific flora and fauna. Since todays forests seldom burn, such species are rare. To increase the area of burnt forest is therefore an important nature conservation measure.</p> <p>The requirements concerning burning apply to forest holdings of at least 5 000 hectares of continuous productive forest land.”</p>
<p>5.2.6 Lighting of fires shall be avoided and is only permitted if it is necessary for the achievement of the management goals of the forest management unit.</p>	<p>YES</p>	<p><b>PEFC SWE 002:4 – 3 Forest management standard</b></p> <p>“Forest management shall prevent undesired forest fires”</p> <p><b>PEFC SWE 002:4 – 5 Environmental standard</b></p> <p>“5.9 Burning</p> <p>Historically, in particular dry soils have been burning at regular intervals, entailing a specific flora and fauna. Since todays forests seldom burn, such species are rare. To increase the area of burnt forest is therefore an important nature conservation measure.</p> <p>The requirements concerning burning apply to forest holdings of at least 5 000 hectares of continuous productive forest land.</p>

Question	YES / NO	Reference to scheme documentation
		5.9.1 Where the terrain is suitable, prescribed burning shall during a five-year-period be undertaken on an area equivalent to at least 5 % of the regeneration area on dry and mesic soils which are suitable for burning.”
5.2.7 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. The spillage of oil during forest management operations or the indiscriminate disposal of waste on forest land shall be strictly avoided. Non-organic waste and litter shall be avoided, collected, stored in designated areas and removed in an environmentally-responsible manner.	NO	<p><b>PEFC SWE 002:4 – 3 Forest management standard</b></p> <p>“3.3 Regeneration                      畧礫塘order to establish suitable conditions for an economically viable timber production, reliable regeneration methods shall be used.</p> <p>3.8 Exotic tree species                      As exotic tree species count species which do not naturally grow in Sweden. Some of these may have advantages such as higher growth, advantageous wood qualities, better adaptation to damage from game or a changing climate. When exotic tree species are used, risks such as forest infestations, effects on biological diversity, and unplanned natural regeneration shall be taken into account.”</p> <p><b>PEFC SWE 002:4 – 5 Environmental standard</b></p> <p>“5.7.1 Measures shall be planned with respect to season and soil stability so that damages to soil and water are avoided.”</p> <p><b>PEFC SWE 003:3 – 4 PEFC’s requirements on contractors</b></p> <p>“4.7 Preventive environmental requirements                      Environmental awareness shall permeate the whole business. At the procurement of equipment and supplies, environmentally labeled products shall be chosen when this is practically and economically feasible.</p> <p>4.7.3 For lubrication of chain saws, vegetable chain saw oil, other environmentally approved chain saw oil, or other lubricant for chain saws according to SS 15 54 70, environmental class B at the lowest, shall be used.</p> <p>4.8.2 Dangerous goods may only be carried in packaging that has undergone type examination. This applies to bottles, cans, barrels, as well as IBC-containers.</p> <p>4.8.3 The dangerous goods shall be carried in a ventilated space.</p>



Question	YES / NO	Reference to scheme documentation
		<p>4.9.1 Contractor which has a business in which hazardous waste arises shall, for every sort of waste, keep notes on quantity of waste and where the waste is transported. The notes shall be kept.</p> <p>4.10.2 Clearing equipment shall always be carried and used when needed.</p> <p>4.10.3 Equipment for collection of spillage shall be used at service and maintenance work.”</p> <p><i>No reference is found ensuring the <b>avoidance</b> of waste and litter. Found references do only cover the avoidance of <b>spillage</b>.</i></p> <p><i>Next, no references were found which ensure that (non-hazardous) non-organic waste and litter will be (1) collected and (2) stored in designated areas and removed in an environmentally-responsible manner.</i></p>
<p>5.2.8 The use of pesticides shall be minimised and appropriate silvicultural alternatives and other biological measures preferred.</p>	<p>YES</p>	<p><b>PEFC SWE 002:4 – 3 Forest management standard</b></p> <p>“3.7.1 Toxic products for pest control may only be used when other suitable methods are not at hand. Only those plant protection products that are approved by the Swedish Chemicals Agency may be used. (...)”</p>
<p>5.2.9 The WHO Type 1A and 1B pesticides and other highly toxic pesticides shall be prohibited, except where no other viable alternative is available.</p>	<p>YES</p>	<p><b>PEFC SWE 002:4 – 3 Forest management standard</b></p> <p>“3.7.1 Toxic products for pest control may only be used when other suitable methods are not at hand. Only those plant protection products that are approved by the Swedish Chemicals Agency may be used.</p> <p>For example, the use (...) pesticides classified as WHO Type 1A and 1B is prohibited.”</p>
<p>5.2.10 Pesticides, such as chlorinated hydrocarbons whose derivates 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>YES</p>	<p><b>PEFC SWE 002:4 – 3 Forest management standard</b></p> <p>“3.7.1 Toxic products for pest control may only be used when other suitable methods are not at hand. Only those plant protection products that are approved by the Swedish Chemicals Agency may be used.</p> <p>For example, the use of chlorinated hydrocarbons (...) is prohibited.”</p> <p><i>Sweden is signatory to the Stockholm Convention on Persistent Organic Pollutants, the Rotterdam convention and the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and their Disposal.</i></p>



Question	YES / NO	Reference to scheme documentation
5.2.11 The use of pesticides shall follow the instructions given by the pesticide producer and be implemented with proper equipment and training.	YES	<p><b>PEFC SWE 002:4 – 3 Forest management standard</b></p> <p>“3.7.2 In the case chemicals are used, there shall be procedures in place ensuring that these are used in accordance with laws and ordinances as well as producer instructions. Staff shall be properly educated and equipped.”</p>
5.2.12 Where fertilisers are used, they shall be applied in a controlled manner and with due consideration for the environment.	YES	<p><b>PEFC SWE 001:4 – 7 Forestry in Sweden</b></p> <p>“7.3.2.2 Notification of consultation</p> <p>Any forestry operation that may affect the natural environment in a significant way shall be notified to the Forest Agency for consultation. Operations (...) on obligation to notify consultation (...) regarding forestry are: (...)</p> <ul style="list-style-type: none"> <li>○ Mechanical forest fertilization</li> </ul> <p>The forest Agency has also collected legislations, regulations and advice for fertilization in a handbook which should be observed when performing fertilization.”</p> <p><b>PEFC SWE 002:4 – 3 Forest management standard</b></p> <p>“3.12.2 In areas with verified or probable right of reindeer herding (...), the following consideration shall be shown, (...):</p> <ul style="list-style-type: none"> <li>○ Forest fertilization shall not be carried out in stands of lichen type, if not otherwise agreed in connection to consultation in accordance with §20 and §31 of the Forestry Act.” </li></ul>
<b>Criterion 3: Maintenance and encouragement of productive functions of forests (wood and non-wood)</b>		
5.3.1 Forest management planning shall aim to maintain the capability of forests to produce a range of wood and non-wood forest products and services on a sustainable basis.	YES	<p><b>PEFC SWE 002:4 – 3 Forest management standard</b></p> <p>“Forestry shall be sustainable, (...). Sustainable forest management refers to long-term management with the aim of preserving or enhancing the values of the forest holding in the form of forestry production, nature conservation values, and social values.”</p>
5.3.2 Forest management planning shall aim to achieve sound economic performance taking into account any available market studies and possibilities for new markets and economic activities in connection with all relevant goods and	YES	<p><b>PEFC SWE 002:4 – 3 Forest management standard</b></p> <p>“(…) Forestry shall have a market perspective and make use of available market studies. (...)</p> <p>Forest management comprises the cycle of inventory and planning, implementation, monitoring and evaluation, and shall include an appropriate assessment of the social, environmental, and</p>



Question	YES / NO	Reference to scheme documentation
services of forests.		economic impacts of both planned and completed forest management operations. In addition to own results, data and results from the National Forest Inventory and from The Forest Agency's monitoring of environmental consideration may be used."
5.3.3 Forest management plans or their equivalents shall take into account the different uses or functions of the managed forest area. Forest management planning shall make use of those policy instruments set up to support the production of commercial and non-commercial forest goods and services.	YES	<p><b>PEFC SWE 002:4 – 3 Forest management standard</b></p> <p>“3.1.1 Forest holdings of 20 ha productive forest land or more must have a forest management plan adapted to certification in accordance with Appendix 1. An evaluated and described method for assessment of conservation values shall form the basis for the forestry objectives.</p> <p>3.1.2 Forest holdings with less than 20 ha productive forest land must have an overview map showing the location of voluntary set-asides as well as key-habitats, sites with conservation values, and ancient/cultural remains that are registered by concerned authority.”</p> <p><b>PEFC SWE 002:4 – 4 Social standard</b></p> <p>“The forest sector’s targets for good environmental consideration provide guidance for management of forests of significance to recreation and outdoor life. The targets have been elaborated by the Forest Agency, the forestry sector, and non-governmental organizations in collaboration.”</p> <p><b>PEFC SWE 002:4 - Appendix 1. PEFC-adapted forest management plan</b></p> <p>“Requirements for general information in the forest management plan:</p> <p>(...); 5. commentaries to the holding including information on ancient remains, key-habitats, protected areas, habitat protection, nature conservation agreements, nature reserves, Natura-2000 areas, water protection areas (described on a map); (...); 9. distribution of tree species; 10. summary of proportion of productive forest land (...)</p>
5.3.4 Forest management practices shall maintain and improve the forest resources and encourage a diversified output of goods and services over the long term.	YES	<p><b>PEFC SWE 002:4 – 3 Forest management standard</b></p> <p>“3.2 Productive capacity of the forest land</p> <p>An important component in a sustainable forestry is the long-term productive capacity of the forest land, which shall be made use of and managed at forestry operations.</p> <p>3.2.1 In order to prevent soil compaction and to ensure the productive capacity of the forest land, soil conservation measures shall be undertaken when needed.</p>

Question	YES / NO	Reference to scheme documentation
		<p>3.6 Forest fuel Extraction of timber and forest fuel is a natural part of an active forestry and shall be carried out in a manner ensuring that the long-term productivity of the forest land is preserved.”</p> <p><b>PEFC SWE 002:4 – 4 Social standard</b></p> <p>“4.1.3 The accessibility to frequently used tracks and trails shall be preserved at forestry operations”</p> <p><b>PEFC SWE 002:4 – 5 Environmental standard</b></p> <p>“5.1 Set-asides for environmental purposes</p> <p>5.1.1 At least 5 % of the productive forest land shall be set aside for conservation purposes (forestry objective NO or NS). Set-aside areas shall be indicated in a forest management plan. Exemptions are made for forest holdings with less than 20 hectares of productive forest land which lacks areas with conservation values.”</p>
<p>5.3.5 Regeneration, tending and harvesting operations shall be carried out in time, and in a way that does not reduce the productive capacity of the site, for example by avoiding damage to retained stands and trees as well as to the forest soil, and by using appropriate systems.</p>	<p>YES</p>	<p><b>PEFC SWE 002:4 – 3 Forest management standard</b></p> <p>“3.2.1 In order to prevent soil compaction and to ensure the productive capacity of the forest land, soil conservation measures shall be undertaken when needed.</p> <p>3.3 Regeneration In order to establish suitable conditions for an economically viable timber production, reliable regeneration methods shall be used.</p> <p>3.4 Silvicultural measures Pre-commercial thinning and thinning shall be undertaken in order to produce forests with high production- and nature values in accordance with established objectives.</p> <p>3.6 Forest fuel Extraction of timber and forest fuel is a natural part of an active forestry and shall be carried out in a manner ensuring that the long-term productivity of the forest land is preserved.”</p>
<p>5.3.6 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</p>	<p>NO</p>	<p><b>PEFC SWE 002:4 – 3 Forest management standard</b></p> <p>“3.2 Productive capacity of the forest land</p>



Question	YES / NO	Reference to scheme documentation
<p>use shall be made of the harvested forest products, with due regard to nutrient off-take.</p>		<p>An important component in a sustainable forestry is the long-term productive capacity of the forest land, which shall be made use of and managed at forestry operations. Cleaning of ditches and fertilization are examples of measures to enhance production that may be of importance on land which is suitable for this.</p> <p>3.2.2 Sustainable annual allowable cut shall be documented in the forest management plan.”</p> <p><b>Additional explanation provided by PEFC Sweden</b></p> <p>“It is absolutely crucial to understand the consequences of the right of common access in Sweden which includes berries and mushrooms. Berries and mushrooms cannot really be overharvested and moreover the forest owner cannot regulate who and how much berries that are picked on his forest holding. The agricultural university however monitors the amounts of berries on their permanent sample plots and publish charts annually. As for mushrooms there are great variation between years due to the weather conditions. It is estimated that about only a small proportion of the available berries and mushrooms are being picked each year.”</p> <p><i>No references are found sufficiently ensuring that a sustainable harvesting rate of wood is applied during harvesting. Furthermore, no references are found ensuring that optimum use shall be made of the harvested forest products, with due regard to nutrient off-take.</i></p>
<p>5.3.7 Where it is the responsibility of the forest owner/manager and included in forest management, the exploitation of non-timber forest products, including hunting and fishing, shall be regulated, monitored and controlled.</p>	<p>YES</p>	<p><b>PEFC SWE 002:4 – 3 Forest management standard</b></p> <p>“3.11 Game</p> <p>Forest owners shall aim for adaptation of the size of game populations so that the long-term objectives regarding forest management and nature conservation may be obtained. A close cooperation between the forestry sector and hunters is a prerequisite for obtaining the objective of vital game populations which is on balance with the fodder supply.”</p> <p><b>Additional explanation provided by PEFC Sweden</b></p> <p>“It is absolutely crucial to understand the consequences of the right of common access in Sweden which includes berries and mushrooms. Berries and mushrooms cannot really be overharvested and moreover the forest owner cannot regulate who and how much berries that are picked on his forest holding. The agricultural university however monitors the amounts of berries on their permanent sample plots and publish charts annually. As for mushrooms there</p>

Question	YES / NO	Reference to scheme documentation
		<p>are great variation between years due to the weather conditions. It is estimated that about only a small proportion of the available berries and mushrooms are being picked each year.”</p> <p><i>Although the references related to hunting do not specifically refer to monitoring, it is assumed this will be part of activities to ensure “obtaining the objective of vital game populations which is on balance with the fodder supply”.</i></p>
<p>5.3.8 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.</p>	<p>YES</p>	<p><b>PEFC SWE 002:4 – 3 Forest management standard</b></p> <p>“5.7 Methods for protection of soil and water</p> <p>Forestry may affect soil and water in different ways. Extraction of timber and forest fuel decreases the amount of available nutrients, and soil damages may imply that nutrient turn-over in the soil is negatively affected, that the soil is compacted, as well as that ground- and surface water is affected through transport of sediment or soluble nutrients and heavy metals. Felling- and silvicultural work must be performed throughout the year, which places stringent demands on planning and implementation. The building of forest roads shall be coordinated across property borders where applicable and should not be built directly adjacent to lakes, wetlands, sensitive biotopes, cultural remains and frequently used tracks. Water catchment areas should be protected against present and future risks.</p> <p>5.7.3 New roads shall be established in a way that preserves the running of natural watercourses and that minimises damages to watercourses and hinders for migration. New road ditches shall not fall directly into watercourses, lakes, or wetlands.</p> <p>5.7.4 In connection to refurbishment of roads, road drains shall be fixed so that they do not constitute a hinder for migration. “</p>
<p><b>Criterion 4: Maintenance, conservation and appropriate enhancement of biological diversity in forest ecosystems</b></p>		
<p>5.4.1 Forest management planning shall aim to maintain, conserve and enhance biodiversity on ecosystem, species and genetic levels and, where appropriate, diversity at landscape level.</p>	<p>YES</p>	<p><b>PEFC SWE 002:4 – 3 Forest management standard</b></p> <p>“3.9 Forest health</p> <p>Forest owners shall, (...), work for the creation of vital forests by preventing damages to forests</p> <p>3.9.1 Variation in stand age and tree species shall be aimed at, at forest holding level.</p> <p>3.13 Landscape ecology</p>



Question	YES / NO	Reference to scheme documentation
		<p>All forest management planning should be made in a landscape-ecological context. This means that the landscape and natural runoff areas are considered at forestry operations, where also the need of restoring forest- and water environments is taken into consideration.”</p> <p><b>PEFC SWE 002:4 – 5 Environmental standard</b></p> <p>“One of PEFC’s cornerstones for a sustainable forest management is to safeguard and promote the environmental values of the forests. Flora, fauna, soil, and water shall be taken into consideration at every forestry operation. As a complement to adjusted forestry measures, areas shall also be completely set aside for environmental purposes.”</p>
<p>5.4.2 Forest management planning, inventory and mapping of forest resources shall identify, protect and/or conserve ecologically important forest areas containing significant concentrations of:</p> <ul style="list-style-type: none"> <li>a) protected, rare, sensitive or representative forest ecosystems such as riparian areas and wetland biotopes;</li> <li>b) areas containing endemic species and habitats of threatened species, as defined in recognised reference lists;</li> <li>c) endangered or protected genetic in situ resources;</li> </ul> <p>and taking into account</p> <ul style="list-style-type: none"> <li>d) globally, regionally and nationally significant large landscape areas with natural distribution and abundance of naturally occurring species.</li> </ul>	<p>YES</p>	<p><b>PEFC SWE 001:4 – Forestry in Sweden</b></p> <p>“7.2.1 Protecting forest biodiversity</p> <p>The Swedish model for protecting forest biodiversity is a combination of general conservation considerations in all day-to-day forest management and the designation of more strictly protected forests areas. Rules for general conservation considerations are embodied in the Forestry Legislation. General conservation considerations include the establishment of buffer zones along watercourses, the limitation of clear-felling areas and the retention of snags and clumps of trees. These practices protect valuable biotopes, dead and decaying wood in the forest, aquatic ecosystems in the forest landscape and cultural remnants. There is also a need for protected forest areas to ensure the conservation of biodiversity. The political goal has the overall objective of protecting 2.8 million hectares of productive ecologically important forest land in two packages: 1.4 million as legally protected, including national parks, nature reserves and habitat protection areas and 1.4 million as voluntarily set-aside areas. The certification systems in Sweden are pointed out by the forest sector as the main tools to reach the goal of voluntary set-aside areas. Legally protected areas according to the environmental code are national parks, nature reserves, habitat protection and nature conservation agreements.</p> <p>All non-productive forest land is protected through the Forestry Act since the 1970’s. Finally, particularly strict rules apply to mountain forests.”</p> <p><b>PEFC SWE 002:4 – 3 Forest management standard</b></p> <p>“3.1 Forest management plan</p>

Question	YES / NO	Reference to scheme documentation
		<p>The Swedish PEFC-system is based on forest owners having a forest management plan adapted to certification. The forest management plan is a basis for planning the management of the forest holding.</p> <p>3.1.1 Forest holdings of 20 ha productive forest land or more must have a forest management plan adapted to certification in accordance with Appendix 1. An evaluated and described method for assessment of conservation values shall form the basis for the forestry objectives.</p> <p>3.1.2 Forest holdings with less than 20 ha productive forest land must have an overview map showing the location of voluntary set-asides as well as key-habitats, sites with conservation values, and ancient/cultural remains that are registered by concerned authority.”</p> <p><b>PEFC SWE 002:4 – 5 Environmental standard</b></p> <p>“5.1.3 The forest owner shall strive to restore or create conditions to bind together habitats worthy of protection where this is appropriate. Concerning selection and demarcation, areas shall be prioritized according to the below:</p> <ol style="list-style-type: none"> <li>1. Key-habitat or area with equivalent conservation values</li> <li>2. Site with conservation values or equivalent</li> <li>3. Stand with developable conservation values and/or areas of great significance to recreation and outdoor life or cultural environments</li> </ol> <p>Examples of sites with conservation values are areas including rare or sensible habitats, locally decreasing and for the region typical habitats, areas including endemic (only occur within a specific area) species, areas with known occurrences of red-listed species according to the Swedish Species Information Centre and areas with protected species. These areas may have been identified by the Forest Agency.”</p> <p><b>PEFC SWE 004:4 - 3 Direct certification</b></p> <p>“The forest owner/wood procurement organization is responsible for:</p> <p>3.2.1.2 Undertaking an assessment of conservation values, in line with evaluated and described method, in stands scheduled for felling on all certified holdings for which a forest management plan is not yet established. In cases where the assessment of conservation values indicate that the area may fall within the framework of requirements for voluntary set-aside, any planned</p>



Question	YES / NO	Reference to scheme documentation
		<p>operations shall be discontinued until it is ensured that this is not the case.”</p> <p><b>PEFC SWE 004:4 - 4 Group certification</b></p> <p>“the affiliated forest owner or wood procurement organization is responsible for:</p> <p>4.4.1.3 On forest holdings where a forest management plan is lacking, an assessment of nature conservation values made in accordance with evaluated and described method, shall form the basis for planned thinning and final felling, and a plan for consideration to be shown shall precede all other measures. In cases where the assessment of conservation values indicate that the area may fall within the requirements for voluntary set-aside, any planned operations shall be discontinued until it is ensured that this is not the case.”</p>
<p>5.4.3 Protected 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>	<p>YES</p>	<p><b>PEFC SWE 001:4 - 7.3 Laws and ordinances of special relevance to the PEFC certification system</b></p> <p>“7.3.2.3 Ordinance on species protection</p> <p>The Government may decide on legal protection of a certain species of flora or fauna if there is a risk of the species going extinct or becoming subject to plundering. There are currently more than 300 species of flora and fauna under legal protection nationally. In addition, there are around 50 species under legal protection in one or several counties. Legal protection most often means that the species is totally protected, i.e. it is forbidden to pick, catch, kill or in any other way collect or damage any specimen of the protected species. It is also forbidden to remove or damage any seeds, eggs, roe, nests or holes of the species.”</p> <p><b>PEFC SWE 002:4 – 5 Environmental standard</b></p> <p>“5.1.3 The forest owner shall strive to restore or create conditions to bind together habitats worthy of protection where this is appropriate. Concerning selection and demarcation, areas shall be prioritized according to the below: (...) 2. Site with conservation values or equivalent; (...). Examples of sites with conservation values are areas including rare or sensible habitats, locally decreasing and for the region typical habitats, areas including endemic (only occur within a specific area) species, areas with known occurrences of red-listed species according to the Swedish Species Information Centre and areas with protected species. These areas may have been identified by the Forest Agency.”</p>





Question	YES / NO	Reference to scheme documentation
<p>5.4.4 Forest management shall ensure successful regeneration through natural regeneration or, where not appropriate, planting that is adequate to ensure the quantity and quality of the forest resources.</p>	<p>YES</p>	<p><b>PEFC SWE 002:4 – 3 Forest management standard</b></p> <p>“3.3 Regeneration</p> <p>In order to establish suitable conditions for an economically viable timber production, reliable regeneration methods shall be used.</p> <p>3.3.2 Regeneration measures shall have been undertaken within three years from the time of final felling. Control of regeneration shall be undertaken three years after planting at the latest, and five years at the latest after seeding or natural regeneration.”</p>
<p>5.4.5 For reforestation and afforestation, origins of native species and local provenances that are well-adapted to site conditions shall be preferred, where appropriate. 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 evaluated, and if negative impacts can be avoided or minimised.</p>	<p>YES</p>	<p><b>PEFC SWE 002:4 – 3 Forest management standard</b></p> <p>“3.3.1 Plants and seed material shall be adequate for the site in question and have a documented origin.</p> <p>3.8 Exotic tree species</p> <p>When exotic tree species are used, risks such as forest infestations, effects on biological diversity, and unplanned natural regeneration shall be taken into account. Native species shall always be considered.</p> <p>3.8.3 Forest owners that have exotic tree species on their forest land shall limit and remove any propagation into existing formally protected and voluntarily set-aside forest land.”</p>
<p>5.4.6 Afforestation and reforestation activities that contribute to the improvement and restoration of ecological connectivity shall be promoted.</p>	<p>YES</p>	<p><b>PEFC SWE 002:4 – 3 Forest management standard</b></p> <p>“3.13 Landscape ecology</p> <p>All forest management planning should be made in a landscape-ecological context. This means that the landscape and natural runoff areas are considered at forestry operations, where also the need of restoring forest- and water environments is taken into consideration.”</p> <p><b>PEFC SWE 002:4 – 5 Environmental standard</b></p> <p>“5.1.3 The forest owner shall strive to restore or create conditions to bind together habitats worthy of protection where this is appropriate. Concerning selection and demarcation, areas shall be prioritized according to the below: (...)”</p> <p><b>Additional explanation provided by PEFC Sweden</b></p> <p>“Afforestation and reforestation issues are in general not very relevant in Sweden with a forest</p>



Question	YES / NO	Reference to scheme documentation
		coverage of almost 70% and a small net gain of 0,2% or forest land per year (PEFC SWE 001).”
5.4.7 Genetically-modified trees shall not be used.	YES	<b>PEFC SWE 002:4 – 3 Forest management standard</b> “3.3.4 Reproductive material with extraneous genes (genetically modified reproductive material, GMO) must not be used.”
5.4.8 Forest management practices shall, where appropriate, promote a diversity of both horizontal and vertical structures such as uneven-aged stands and the diversity of species such as mixed stands. Where appropriate, the practices shall also aim to maintain and restore landscape diversity.	YES	<b>PEFC SWE 002:4 – 3 Forest management standard</b> “3.9.1 Variation in stand age and tree species shall be aimed at, at forest holding level. “3.13 Landscape ecology All forest management planning should be made in a landscape-ecological context. This means that the landscape and natural runoff areas are considered at forestry operations, where also the need of restoring forest- and water environments is taken into consideration. 5.4 Deciduous trees Deciduous trees in forest stands are important both to biological diversity and to cultural environments. PEFC strives to increase the proportion of older and thicker deciduous trees as well as the area dominated by deciduous trees.”
5.4.9 Traditional management systems that have created valuable ecosystems, such as coppice, on appropriate sites shall be supported, when economically feasible.	YES	<b>PEFC SWE 002:4 – 5 Environmental standard</b> “5.1.3 (...) Concerning selection and demarcation, areas shall be prioritized according to the below: (...) 3. Stand with developable conservation values and/or areas of great significance to recreation and outdoor life or cultural environments 5.1.4 In key-habitats and in areas set aside for nature conservation purposes, where management is needed in order to preserve or enhance conservation values, measures shall be taken. Only measures to preserve or enhance biological diversity are allowed. In areas set aside for recreation and outdoor life or cultural environments, only measures that preserve or enhance social values and, nature values and/or cultural values are allowed. 5.10.3 Special conservation values that are part of cultural environments, e.g. species of trees and bushes of the cultural landscape or where the composition of species bears the imprint of earlier usage, shall be taken into consideration and favoured to an appropriate extent.”
5.4.10 Tending and harvesting operations shall be	YES	<b>PEFC SWE 002:4 – 5 Environmental standard</b>



Question	YES / NO	Reference to scheme documentation
<p>conducted in a way that does not cause lasting damage to ecosystems. Wherever possible, practical measures shall be taken to improve or maintain biological diversity.</p>		<p>“5.1.4 In key-habitats and in areas set aside for nature conservation purposes, where management is needed in order to preserve or enhance conservation values, measures shall be taken. Only measures to preserve or enhance biological diversity are allowed. In areas set aside for recreation and outdoor life or cultural environments, only measures that preserve or enhance social values and, nature values and/or cultural values are allowed.</p> <p>5.2 Forests that shall be managed with enhanced consideration</p> <p>Individual stands sometimes include areas with higher conservation values than its surroundings, such as water courses, vertical surfaces, and scree slopes. These shall be given special consideration at forestry operations in order to safeguard biodiversity. Forests containing conservation values, which are not prioritized for set aside, shall be managed with high ambitions as regards nature conservation.</p> <p>5.3.1 At thinning and regeneration felling, all conservation trees shall be retained to live, die, decompose, and decay. If the total number of conservation trees at regeneration felling amounts to less than 10 per hectare, these shall be complemented with potential conservation trees so that 10 trees per hectare are always retained.</p> <p>5.4.2 In stands where natural conditions permit, deciduous trees shall be safeguarded in cleaning and thinning operations, so that they constitute at least 10 % of the number of stems until the last thinning. Until regeneration felling, there shall be at least 20 deciduous trees per hectare. (...)</p> <p>5.5.1 All older dead wood shall be safeguarded in forestry operations. The dead wood shall if possible be retained intact in its original location.</p> <p>5.7.5 Appropriate methodology and technology shall be used to minimise rutting in harvesting operations, especially where transports intersect watercourses.</p> <p>5.9.1 Where the terrain is suitable, prescribed burning shall during a five-year-period be undertaken on an area equivalent to at least 5 % of the regeneration area on dry and mesic soils which are suitable for burning.”</p>
<p>5.4.11 Infrastructure shall be planned and constructed in a way that minimises damage to ecosystems, especially to rare, sensitive or</p>	<p>YES</p>	<p><b>PEFC SWE 001:4 – 7 Forestry in Sweden</b></p> <p>“7.3.2.2 Notification of consultation</p>



Question	YES / NO	Reference to scheme documentation
<p>representative ecosystems and genetic reserves, and that takes threatened or other key species – in particular their migration patterns – into consideration.</p>		<p>Any forestry operation that may affect the natural environment in a significant way shall be notified to the Forest Agency for consultation. Failure to do so is a criminal offence. Operations encompassed by the Forest Agency’s provisions and general advice (2013:3) on obligation to notify consultation according to chapter 12, § 6 of the Environmental Code regarding forestry are: (...) • Construction of forest roads; • Construction of tractor roads which imply digging and bulldozing of considerable proportions; • Construction of hauling roads on valuable wetlands and valuable water courses.</p> <p>Apart from these operations, there is also a general obligation to notify any operation that may imply significant changes to the natural environment.”</p> <p><b>PEFC SWE 002:4 – 3 Forest management standard</b></p> <p>“3.13 Landscape ecology</p> <p>All forest management planning should be made in a landscape-ecological context. This means that the landscape and natural runoff areas are considered at forestry operations, where also the need of restoring forest- and water environments is taken into consideration.”</p> <p><b>PEFC SWE 002:4 – 5 Environmental standard</b></p> <p>“5.7.3 New roads shall be established in a way that preserves the running of natural watercourses and that minimises damages to watercourses. New road ditches shall not fall directly into watercourses, lakes, or wetlands.</p> <p>5.7.4 In connection to refurbishment of roads, road drains shall be fixed so that they do not constitute a hinder for migration.</p> <p>5.7.5 Appropriate methodology and technology shall be used to minimise rutting in harvesting operations, especially where transports intersect watercourses.”</p>
<p>5.4.12 With due regard to management objectives, measures shall be taken to balance the pressure of animal populations and grazing on forest regeneration and growth as well as on biodiversity.</p>	<p>YES</p>	<p><b>PEFC SWE 002:4 – 3 Forest management standard</b></p> <p>“3.11 Game</p> <p>Forest owners shall aim for adaptation of the size of game populations so that the long-term objectives regarding forest management and nature conservation may be obtained. (...)</p> <p>3.11.1 Forest owners shall work for a balance between the size of ungulate populations and the fodder supply in order to keep damage levels down.“</p>



Question	YES / NO	Reference to scheme documentation
<p>5.4.13 Standing and fallen dead wood, hollow trees, old groves and special 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>	<p>YES</p>	<p><b>PEFC SWE 002:4 – 5 Environmental standard</b></p> <p>“5.5 Dead wood</p> <p>The existence of dead wood is an important element for biological diversity and often in short supply in managed forests. Therefore, a fundamental ambition of the PEFC is to increase the amount of standing dead trees, old wind-throws, high stumps, etc. The biological value of the dead wood, which depends on thickness, degree of decay, tree species, and location, shall be taken into consideration.</p> <p>5.5.1 All older dead wood shall be safeguarded in forestry operations. The dead wood shall if possible be retained intact in its original location.</p> <p>5.5.8 Exemptions from the requirement to create and retain fresh dead wood of coniferous trees are allowed when:</p> <ul style="list-style-type: none"> <li>o there is a documented risk of mass propagation of noxious insects</li> <li>o after larger/extensive infestation in area declared by the Forest Agency as special area for combating of pests”</li> </ul>
<p><b>Criterion 5: Maintenance and appropriate enhancement of protective functions in forest management (notably soil and water)</b></p>		
<p>5.5.1 Forest management planning shall aim to maintain and enhance protective functions of forests for society, such as protection of infrastructure, protection from soil erosion, protection of water resources and from adverse impacts of water such as floods or avalanches.</p>	<p>YES</p>	<p><b>PEFC SWE 002:4 – 3 Forest management standard</b></p> <p>“3.10.1 Conversion of forest land to other land use shall only be made to a limited extent and where such conversion is consistent with current legislation, and after all necessary permissions have been obtained and consultation carried out. Examples of this are when conversion aims at development of infrastructure related to forestry or society at large (such as roads, wind power etc.), research, improvement of recreational values, or preservation or development of cultural values or biological diversity.”</p> <p><b>PEFC SWE 002:4 – 5 Environmental standard</b></p> <p>5.7.1 Measures shall be planned with respect to season and soil stability so that damages to soil and water are avoided.</p> <p>5.7.8 When harvesting in steep conditions the risk for avalanches and slides should be considered and evaluated in relation to possible risk-reducing costs.</p>



Question	YES / NO	Reference to scheme documentation
		5.8.2 On sites where a buffer zone is needed but is lacking, measures shall be taken as soon as possible for the creation of a functional buffer zone, which breadth shall be adjusted to the object to be protected and conditions on the site.”
5.5.2 Areas that fulfil specific and recognised protective functions for society shall be registered and mapped, and forest management plans or their equivalents shall take these areas into account.	YES	<p><b>PEFC SWE 002:4 - Appendix 1. PEFC-adapted forest management plan</b></p> <p>“Requirements for general information in the forest management plan: (...) 5. commentaries to the holding including information on ancient remains, key-habitats, protected areas, habitat protection, nature conservation agreements, nature reserves, Natura-2000 areas, water protection areas (described on a map)”</p> <p><b>PEFC SWE 004:4 - Appendix 3. Instructions for operational site directives</b></p> <p>“The operational site directive shall include all information necessary to meet the PEFC-requirements, other applicable requirements, and the information that follows from the contract in question. (...) The operational site directive shall be given to the operator (...). The following shall be included:</p> <p>6. Planned consideration for natural and cultural environments, indicated on the map</p> <p>8. Known cables and lines (water, fiber, telecommunication, electricity), indicated on the map</p> <p>9. Instructions for water passage, indicated on the map</p> <p>11. Known nature- and cultural values in or close to the working area, which may affect the operations”</p>
5.5.3 Special care shall be given to silvicultural operations on sensitive soils and erosion-prone areas as well as in areas where operations might lead to excessive erosion of soil into watercourses. Inappropriate techniques such as deep soil tillage and use of unsuitable machinery shall be avoided in such areas. Special measures shall be taken to minimise the pressure of animal populations.	YES	<p><b>PEFC SWE 002:4 – 3 Forest management standard</b></p> <p>“3.3.3 Soil scarification shall be site-adapted.</p> <p>3.11.1 Forest owners shall work for a balance between the size of ungulate populations and the fodder supply in order to keep damage levels down.”</p> <p><b>PEFC SWE 002:4 – 5 Environmental standard</b></p> <p>“5.7.1 Measures shall be planned with respect to season and soil stability so that damages to soil and water are avoided.</p> <p>5.7.6 Any rutting caused by harvesting equipment shall be taken care of in case damages are causing a direct flux of sediment and humus into a lake or watercourse, or if they constitute a</p>

Question	YES / NO	Reference to scheme documentation
		<p>hinder for accessibility to frequently used roads, tracks, trails, etc. In every other case, restoration risks doing more harm than good.</p> <p>5.7.7 On land where there is risk of erosion, intermittent soil scarification methods shall be used.”</p>
<p>5.5.4 Special care shall be given to forest management practices 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.</p>	<p>YES</p>	<p><b>PEFC SWE 002:4 – 3 Forest management standard</b></p> <p>“3.7.2 In the case chemicals are used, there shall be procedures in place ensuring that these are used in accordance with laws and ordinances as well as producer instructions. Staff shall be properly educated and equipped.”</p> <p><b>PEFC SWE 002:4 – 5 Environmental standard</b></p> <p>“5.6.4 In connection to cleaning of ditches, ditches that fall directly into water courses and lakes shall be taken care of in order for sediment in the water to be given the possibility to settle before the water reaches the water course.</p> <p>5.7.1 Measures shall be planned with respect to season and soil stability so that damages to soil and water are avoided.</p> <p>5.7.2 Special consideration shall be shown to wetlands and other water environments when planning for forestry operations and road construction.</p> <p>5.8.2 On sites where a buffer zone is needed but is lacking, measures shall be taken as soon as possible for the creation of a functional buffer zone, which breadth shall be adjusted to the object to be protected and conditions on the site.”</p> <p><b>PEFC SWE 003 - 4 PEFC’s requirements on contractors</b></p> <p>“4.8.2 Dangerous goods may only be carried in packaging that has undergone type examination. This applies to bottles, cans, barrels, as well as IBC-containers.”</p>
<p>5.5.5 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.</p>	<p>YES</p>	<p><b>PEFC SWE 002:4 – 5 Environmental standard</b></p> <p>“5.6.4 (...) ditches that fall directly into water courses and lakes shall be taken care of in order for sediment in the water to be given the possibility to settle before the water reaches the water course.</p> <p>5.7.1 Measures shall be planned with respect to season and soil stability so that damages to soil and water are avoided.</p>



Question	YES / NO	Reference to scheme documentation
		5.7.2 Special consideration shall be shown to wetlands and other water environments when planning for forestry operations and road construction. 5.7.3 New roads shall be established in a way that preserves the running of natural watercourses and that minimises damages to watercourses. New road ditches shall not fall directly into watercourses, lakes, or wetlands. 5.7.7 On land where there is risk of erosion, intermittent soil scarification methods shall be used.”
<b>Criterion 6: Maintenance of other socio-economic functions and conditions</b>		
5.6.1 Forest management planning shall aim to respect the multiple functions of forests to society, give due regard to the role of forestry in rural development, and especially consider new opportunities for employment in connection with the socio-economic functions of forests.	YES	<b>PEFC SWE 002:4 – 4 Social standard</b> “4.2 Rural development (...) The forest owner as well as wood procurement organizations and service organizations shall strive to apply the silvicultural- and forest management methods, as well as the sale and processing of forest products, which are the most appropriate for preserving and developing jobs, competitiveness, and profitability. In addition, forest owners and organizations shall strive to ensure the existence of sales of timber, timber deliveries, and service systems in all parts of the country, including in sparsely populated areas where transport distances may be long.”
5.6.2 Forest management shall promote the long-term health and well-being of communities within or adjacent to the forest management area.	YES	<b>PEFC SWE 002:4 – 4 Social standard</b> “4.2 Rural development The Swedish PEFC supports the principle of an economically sound rural development in all parts of Sweden. Small- and large scale forestry, including tourism based on natural- and cultural environments, constitute important platforms for development of the rural economy. The forest owner as well as wood procurement organizations and service organizations shall strive to apply the silvicultural- and forest management methods, as well as the sale and processing of forest products, which are the most appropriate for preserving and developing jobs, competitiveness, and profitability. In addition, forest owners and organizations shall strive to ensure the existence of sales of timber, timber deliveries, and service systems in all parts of the country, including in sparsely populated areas where transport distances may be long. 4.2.1 In the case of tendering processes for forestry services, local contractors shall be included. The size of the contract work should be adjusted so that local contractor enterprises may





Question	YES / NO	Reference to scheme documentation
		<p>participate under market conditions.”</p> <p><b>Additional explanation provided by PEFC Sweden</b></p> <p>“In a developed country like Sweden wellbeing and health of communities in relation to forestry is very much about jobs and economy. This is implemented in the Swedish standard as in 4.2 about rural development.”</p>
<p>5.6.3 Property rights and land tenure arrangements shall be clearly defined, documented and established for the relevant forest area. Likewise, legal, customary and traditional rights related to the forest land shall be clarified, recognised and respected.</p>	<p>YES</p>	<p><b>PEFC SWE 001:4 – 7 Forestry in Sweden</b></p> <p>“7.3.8 The Reindeer Husbandry Act – a right of the Sami, Sweden’s indigenous people</p> <p>The Sami have been assigned the status of indigenous people in Sweden through parliamentary decision. The constitution states that the Sami right to pursue reindeer husbandry is regulated by law. The Reindeer Husbandry Act gives the Sami population the right to use land and water for personal maintenance as well as maintenance of their reindeers – the right of reindeer husbandry. The Reindeer Husbandry Act also stipulates in what areas reindeer husbandry may be pursued, that is, within the area for reindeer husbandry divided into year-round pasture and winter pasture land.</p> <p>7.3.11 The Hunting Act and forestry</p> <p>The Hunting Act (1987:259) lays down provisions regarding wildlife management, hunting rights, and in what way hunting shall be carried out within Swedish territory. The Hunting Act stipulates that holders of hunting rights and land owners have a common responsibility to support the game through active measures.”</p>
<p>5.6.4 Forest management activities 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</p>	<p>YES</p>	<p><b>PEFC SWE 002:4 – 3 Forest management standard</b></p> <p>“3.12.2 In areas with verified or probable right of reindeer herding (in accordance with SOU 2006:14), the following consideration shall be shown, object by object:</p> <p>(...) o Special consideration at felling shall be shown for reindeer migration tracks, sites for rounding up and sorting of reindeers, and sites used for grazing during reindeer migration, so that the function of these sites is not unnecessarily impaired.”</p> <p><b>PEFC SWE 001:4 - Appendix C Policy for balancing the interests of Forestry and Reindeer herding</b></p>



Question	YES / NO	Reference to scheme documentation
<p>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>		<p>“2. Purpose This policy defines how dialogue and collaboration between the parties involved shall take place, according to the Swedish PEFC, in order to maintain a sound balance between forestry and reindeer herding. The different considerations made in Sweden regarding the legal, customary, and traditional rights, as specified in ILO 169 and the UN Declaration on the Rights of Indigenous People, have guided the elaboration of this policy. The purpose is to develop procedures for appropriate consideration in sustainable forest management in order to best meet the interests of reindeer herding, including free and informed consent through regional and local dialogue and collaboration based on mutual respect. This policy does not deal with issues relating to hunting and fishing rights on the forest property.”</p>
<p>5.6.5 Adequate public access to forests for the purpose of recreation shall be provided taking into account respect for ownership rights and the rights of others, the effects on forest resources and ecosystems, as well as compatibility with other functions of the forest.</p>	YES	<p><b>PEFC SWE 002:4 – 4 Social standard</b> “4.1 Consideration for social values, recreation and outdoor life Swedish PEFC safeguards the right of public access. The right of public access gives individuals the possibility to visit the forest for recreation and outdoor life, provided that this does not cause any damage or inconvenience for the forest owner. 4.1.3 The accessibility to frequently used tracks and trails shall be preserved at forestry operations, meaning among other things that debris from forest felling shall be removed and that soil scarification and rutting shall be avoided. Tracks and trails that have been damaged shall be repaired so that original accessibility is restored.”</p>
<p>5.6.6 Sites with recognised specific historical, cultural or spiritual significance and areas fundamental to meeting the basic needs of 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>	YES	<p><b>PEFC SWE 002:4 – 5 Environmental standard</b> “5.1.3 The forest owner shall strive to restore or create conditions to bind together habitats worthy of protection where this is appropriate. Concerning selection and demarcation, areas shall be prioritized according to the below: (...) 3. Stand with developable conservation values and/or areas of great significance to recreation and outdoor life or cultural environments. 5.10 Cultural environment At forestry operations on land with presence of cultural remains, guidance is provided by the forest sector’s targets for good environmental consideration. Regarding ancient remains, notice or decision from the County Administrative Board applies at first hand. Ancient- and cultural</p>

Question	YES / NO	Reference to scheme documentation
		remains with extension in the terrain demand special planning prior to any operation in order to avoid damages and special consideration shall be given to communication between client and operator.”
<p>5.6.7 Forest management operations shall take into account all socio-economic functions, especially the recreational function and aesthetic values of forests by maintaining for example varied forest structures, and by encouraging attractive trees, groves and other features such as colours, flowers and fruits. This shall be done, however, in a way and to an extent that does not lead to serious negative effects on forest resources, and forest land.</p>	<p>YES</p>	<p><b>PEFC SWE 002:4 – 3 Forest management standard</b></p> <p>“3.13 Landscape ecology</p> <p>All forest management planning should be made in a landscape-ecological context. This means that the landscape and natural runoff areas are considered at forestry operations, where also the need of restoring forest- and water environments is taken into consideration.”</p> <p><b>PEFC SWE 002:4 – 4 Social standard</b></p> <p>“4.1 Consideration for social values, recreation and outdoor life</p> <p>The social values of forests are all the good from the forest that humans benefit from; experience values, public health, jobs, and rural development. The concept also includes the economic and historical development of how forests have contributed to prosperity of the country’s wealth and how this has made an imprint on peoples view on the forests. The forest sector’s targets for good environmental consideration provide guidance for management of forests of significance to recreation and outdoor life. The targets have been elaborated by the Forest Agency, the forestry sector, and non-governmental organizations in collaboration. They concern especially designated areas such as recreational areas, recreational sites, forest tracks, and trails.</p> <p>Swedish PEFC safeguards the right of public access. The right of public access gives individuals the possibility to visit the forest for recreation and outdoor life, provided that this does not cause any damage or inconvenience for the forest owner.”</p> <p><b>PEFC SWE 002:4 – 5 Environmental standard</b></p> <p>“5.1.3 The forest owner shall strive to restore or create conditions to bind together habitats worthy of protection where this is appropriate. Concerning selection and demarcation, areas shall be prioritized according to the below: (...) 3. Stand with developable conservation values and/or areas of great significance to recreation and outdoor life or cultural environments</p> <p>Areas which have been identified in the forest management plan as valuable to recreation and outdoor life shall have been identified based on:</p>



Question	YES / NO	Reference to scheme documentation
		<p>o high degree of utilization</p> <p>o high experiential qualities</p> <p>o good accessibility and reachability</p> <p>5.3 Conservation trees/ potential conservation trees</p> <p>All forestry operations are of significance when it comes to establishing future conservation values. The retention of special trees is valuable for biodiversity and often enhances the aesthetic functions of the forest.</p> <p>5.4 Deciduous trees</p> <p>Deciduous trees in forest stands are important both to biological diversity, aesthetic functions and cultural environments. PEFC strives to increase the proportion of older and thicker deciduous trees as well as the area dominated by deciduous trees.”</p>
<p>5.6.8 Forest managers, contractors, employees and forest owners shall be provided with sufficient information and encouraged to keep up-to-date through continuous training in relation to sustainable forest management as a precondition for all management planning and practices described in this standard.</p>	<p>YES</p>	<p><b>PEFC SWE 002:4 – 4 Social standard</b></p> <p>“4.10 Competence in forestry</p> <p>Staff that are well qualified for the work performed is an important component in implementation of the PEFC-standard. Staff performing forestry work shall have a good understanding of the PEFC-standard. (...).</p> <p>4.10.1 Staff that are planning, supervising, or performing forestry work shall have adequate qualifications in relation to the work.</p> <p>4.11 Skills development</p> <p>Systematic skills development shall be included as an important component of the certified company’s staff policy.</p> <p>4.11.1 Training needs for all staff shall be identified through dialogue with the employees.”</p>
<p>5.6.9 Forest management practices shall make the best use of local forest-related experience and knowledge, such as those of local communities, forest owners, NGOs and local people.</p>	<p>YES</p>	<p><b>PEFC SWE 002:4 – 4 Social standard</b></p> <p>“4.2.1 In the case of tendering processes for forestry services, local contractors shall be included. The size of the contract work should be adjusted so that local contractor enterprises may participate under market conditions.”</p>

Question	YES / NO	Reference to scheme documentation
		<p><b>Additional explanation provided by PEFC Sweden</b></p> <p>“NGOs have good opportunities to provide input via the publicly available and easily accessible information on the web of the Forest Agency (and they do!).”</p>
<p>5.6.10 Forest management shall provide for effective communication and consultation with local people and other stakeholders relating to sustainable forest management and shall provide appropriate mechanisms for resolving complaints and disputes relating to forest management between forest operators and local people.</p>	<p>NO</p>	<p><b>PEFC SWE 001:4 - 13 External views, complaints and disputes</b></p> <p>“Certified companies/organizations, certification bodies and the accreditation body (Swedac) have routines in place to receive and handle external views and complaints. The Swedish PEFC economic association has the overall responsibility for correct and impartial handling of matters of dispute in connection to certification according to the Swedish PEFC-standard. Disputes that cannot be settled by the certification body or by Swedac are addressed to the Swedish PEFC.</p> <p>13.1 Complaints on certified actors</p> <p>Complaints regarding issued certificates or usage of the PEFC-logotype are addressed to the holder of the certificate and/or concerned certification body.”</p> <p><b>PEFC SWE 002:4 – 3 Forest management standard</b></p> <p>“3.10.1 Conversion of forest land to other land use shall only be made to a limited extent and where such conversion is consistent with current legislation, and after all necessary permissions have been obtained and consultation carried out.”</p> <p><b>PEFC SWE 002:4 – 4 Social standard</b></p> <p>“4.1.1 Areas on the forest holding which are of great significance to recreation and outdoor life (...).</p> <p>4.1.2 In the case any area in line with 4.4.1 has been identified, the landowner or representative of the landowner shall, on the basis of local conditions and when it is warranted by the situation, take appropriate information- and dialogue measures prior to any forestry operations are begun.</p> <ul style="list-style-type: none"> <li>o Any signs or notice sheets shall include contact information. In the cases informative signs/sheets are used, these shall be posted or handed out at least 14 days prior to any forestry operation is begun.</li> <li>o In the case of forestry operations adjacent to schools, other public facilities, or close to residential areas, information shall be provided, or dialogue, e.g. information meeting, be offered.</li> </ul>



Question	YES / NO	Reference to scheme documentation
		<p>4.3 Forestry and reindeer herding</p> <p>(...) Collaboration at the local level, and a balancing of different needs adapted to the specific situation, shall be sought for in order to arrive at solutions that are the most appropriate with respect to the local situation. (...) Consideration for the interests of reindeer herding shall be shown (...). Regarding consultation, provisions and general advice according to § 20 and 31 of the Forestry Act shall be applied, unless otherwise agreed outside the reindeer herding year-round pasture lands. (...).”</p> <p><i>The clauses provide reference for specific consultation needs. No references were found which ensure provision for effective communication and consultation with local people and other stakeholders relating to sustainable forest management in general.</i></p>
<p>5.6.11 Forestry work 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>	<p>YES</p>	<p><b>PEFC SWE 002:4 – 4 Social standard</b></p> <p>“4.8.1 Employer and employees shall collaborate and systematically work to improve the work environment (SAM) in a way that encompasses all employees of the forest-related business.</p> <p>4.8.2 Safety- and emergency routines shall be in place at the workplace and be established in a way ensuring that they are understood by everyone concerned.</p> <p>4.8.6 The employer is responsible for seeing to it that appropriate occupational health services with regard to the work conditions are at hand. Occupational health service refers to an independent expert resource within the areas of work environment and rehabilitation. The occupational health service shall in particular work to prevent and set aside health risks at workplaces as well as be competent to identify and describe the relations between work environment, organization, productivity, and health. The occupational health service shall also be able to provide support in crisis management.</p> <p>4.8.7 If the work entails the use of chemicals, routines shall be in place ensuring that these are used in accordance with laws and ordinances and follow the instructions given by the producer. A list of chemicals and safety data sheets shall be available. Staff shall have the necessary competence, training, and equipment.”</p>
<p>5.6.12 Working conditions shall be safe, and guidance and training in safe working practices</p>	<p>YES</p>	<p><b>PEFC SWE 002:4 – 4 Social standard</b></p> <p>“4.8.1 Employer and employees shall collaborate and systematically work to improve the work</p>

Question	YES / NO	Reference to scheme documentation
shall be provided to all those assigned to a task in forest operations.		environment (SAM) in a way that encompasses all employees of the forest-related business. 4.8.2 Safety- and emergency routines shall be in place at the workplace and be established in a way ensuring that they are understood by everyone concerned.”
5.6.13 Forest management shall comply with fundamental ILO conventions.	YES	<b>PEFC SWE 001:4 – 4 References</b> “The Swedish PEFC-system for sustainable forest management is based on requirements and guidelines laid down by PEFC International, as shown by current technical documents on: <a href="http://www.pefc.org">www.pefc.org</a> . Certification of forestry by the PEFC system takes as its point of departure, among others: (...) • ILO core conventions ( <a href="http://www.ilo.org">www.ilo.org</a> , Appendix A).
5.6.14 Forest management shall be based inter-alia on the results of scientific research. 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.	YES	<b>PEFC SWE 002:4 – 3 Forest management standard</b> “(…) Forestry shall be sustainable, and based on scientifically tested and site-adapted methods and principles. (...) Forest management comprises the cycle of inventory and planning, implementation, monitoring and evaluation, and shall include an appropriate assessment of the social, environmental, and economic impacts of both planned and completed forest management operations. In addition to own results, data and results from the National Forest Inventory and from The Forest Agency’s monitoring of environmental consideration may be used.” <b>PEFC SWE 001:4 – 7 Forestry in Sweden</b> “7.7 Research and development There is a long tradition of cooperation regarding research and development between authorities and the forest sector. Forest-related research is carried out for example at the Swedish University of Agricultural Sciences and at the Swedish Forest Research Institute, whose results and scientific findings are gradually implemented in the forestry sector.”
<b>Criterion 7: Compliance with legal requirements</b>		
5.7.1 Forest management shall comply with legislation applicable to forest management issues including forest management practices; nature and environmental protection; protected and endangered species; property, tenure and	YES	<b>PEFC SWE 001:4 – 7 Forestry in Sweden</b> “7.3 Laws and ordinances of special relevance to the PEFC certification system This chapter provides an overview of legislation relevant to forestry and the Swedish PEFC-standard.” <i>The listed legislation covers all issues governed by this criterion.</i>



Question	YES / NO	Reference to scheme documentation
land-use rights for indigenous people; health, labour and safety issues; and the payment of royalties and taxes.		<p><b>PEFC SWE 001:4 – 11 Swedish legislation</b></p> <p>“The PEFC-standard presupposes that applicable Swedish legislation is complied with. It is appointed government agencies that are responsible for supervision of law compliance. The PEFC-standard reproduces the contents of certain laws and provisions that are critical to certification, and which shall be part of auditing of compliance with the PEFC-system.”</p>
5.7.2 Forest management shall provide for adequate protection of the forest from unauthorised activities such as illegal logging, illegal land use, illegally initiated fires, and other illegal activities.	YES	<p><b>PEFC SWE 002:4 – 3 Forest management standard</b></p> <p>“Forestry shall be practiced in a way that complies with applicable legislation and industry practice. (...). Forest management shall prevent undesired forest fires and unlawful activities like illegal logging and illegal land-use.”</p>





## Part IV: PEFC Standard and System Requirement Checklist for Certification And Accreditation Procedures

### 1 Scope

This document covers requirements for certification and accreditation procedures given in Annex 6 to the PEFC Council Technical Document (Certification and accreditation procedures).

### 2 Checklist

No.	Question	Reference to PEFC PROCEDURES	YES / NO	Reference to scheme documentation
<b>Certification Bodies</b>				
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 in the forest management and are independent of the certified entity?	Annex 6, 3.1	YES	<p><b>PEFC SWE 001 8.1.3 Certification bodies</b></p> <p>“Compliance with the PEFC-standard shall be audited by a third party, i.e. an independent, accredited certification body. (...) Certification bodies cannot be involved in the standard setting process.”</p> <p><b>PEFC SWE 005 3.3 Forest- and contractor certification</b></p> <p>The certification body shall: 8. “Be independent of the certified entity and not involved in the forest management”</p>
2.	Does the scheme documentation require that certification body for forest management certification shall fulfil requirements defined in ISO 17021 or ISO Guide 65?	Annex 6, 3.1	YES	<p><b>PEFC SWE 005 3.3 Forest- and contractor certification</b></p> <p>“At direct certification, the certification body shall meet the general criteria for certification bodies as defined in SS-EN ISO/IEC 17065 and at group certification meet the general criteria for certification bodies as defined in SS-EN ISO/IEC 17021.”</p> <p><i>This first edition of ISO/IEC 17065 cancels and replaces ISO/IEC Guide 65:1996, which has been technically revised (www.iso.org).</i></p>
3.	Does the scheme documentation require that certification bodies carrying out forest certification shall	Annex 6, 3.1	YES	<p><b>PEFC SWE 005 3.3 Forest- and contractor certification</b></p> <p>“The certification body shall: (...)</p> <p>2. Have a good knowledge of forest management and forestry contracts and its</p>



No.	Question	Reference to PEFC PROCEDURES	YES / NO	Reference to scheme documentation
	have the technical competence in forest management on its economic, social and environmental impacts, and on the forest certification criteria?			economic, social, and environmental effects. 3. Have a good knowledge of the Swedish PEFC certification system for sustainable forest management.”
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	<b>PEFC SWE 005 3.3 Forest- and contractor certification</b> “The certification body shall: (...)” 3. Have a good knowledge of the Swedish PEFC certification system for sustainable forest management.”
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	<b>PEFC SWE 005 5.1 Forest- and contractor certification</b> “The auditors shall: (...)” 2. Master the contents of the Swedish PEFC certification system for sustainable forest management encompassing the documents PEFC SWE 001-006. 3. Have documented knowledge about forest management and forestry contracts and its economic, social, and environmental effects. 4. Have special competence as regards laws and other requirements critical to operations practiced in forestry. 5. Have adequate training and documented experience from auditing work within the field being subject to audit.”
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	<b>PEFC SWE 005 5.1 Forest- and contractor certification</b> “The auditors shall: 1. Meet the requirements as (...) defined in the standard SS-EN ISO 19011.”



No.	Question	Reference to PEFC PROCEDURES	YES / NO	Reference to scheme documentation
7.	Does the scheme documentation include additional qualification requirements for auditors carrying out forest management audits? [*1]	Annex 6, 3.2	YES	<b>PEFC SWE 005 5.1 Forest- and contractor certification</b> “The auditors shall: (...) 4. Have special competence as regards laws and other requirements critical to operations practiced in forestry. 5. Have adequate training and documented experience from auditing work within the field being subject to audit.”
<b>Certification procedures</b>				
8.	Does the scheme documentation require that certification bodies shall have established internal procedures for forest management certification?	Annex 6, 4	YES	<b>PEFC SWE 005 3.3 Forest- and contractor certification</b> “The certification body shall: 1. Use a documented method by which forest management and contractor operations may be examined and certified in such a way that a uniform judgement is guaranteed.”
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 or ISO Guide 65?	Annex 6, 4	YES	<b>PEFC SWE 005 3.3 Forest- and contractor certification</b> “At direct certification, the certification body shall meet the general criteria for certification bodies as defined in SS-EN ISO/IEC 17065 and at group certification meet the general criteria for certification bodies as defined in SS-EN ISO/IEC 17021.” <i>Certification bodies can only be accredited if they have certification procedures that are compatible with ISO 17021 or ISO Guide 65. The above required compatibility of certification bodies with ISO 17021 or ISO Guide 65 therefore implies compatibility of their procedures.</i>
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	<b>PEFC SWE 005 5.1 Forest- and contractor certification</b> “The auditors shall: 1. Meet the requirements as stipulated within the framework of accredited certification of management systems under SS-EN ISO/IEC 17021 and/or general requirements at product certification SS-EN/ISO/IEC 17065, including



No.	Question	Reference to PEFC PROCEDURES	YES / NO	Reference to scheme documentation
				the general requirements as defined in the standard SS-EN ISO 19011.” <i>See explanation req. 9..</i>
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	<b>PEFC SWE 005 7.1.5 Information about issued certificate</b> “The certification body shall without delay register information on issued certificates, as well as any changes in existing certificates, in the database shown by the Swedish PEFC.”
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	<b>PEFC SWE 005 6.1 Audit</b> “The objective of the audit is to assess, on the basis of evidence, whether the business in question is complying with: (...) <ul style="list-style-type: none"> <li>In the case of logo usage, the standard PEFC ST 2001:2008: PEFC Logo usage rules – requirements, laid down by PEFC International.”</li> </ul>
13.	Does a maximum period for surveillance audits defined by the scheme documentation not exceed more than one year?	Annex 6, 4	YES	<b>PEFC SWE 005 6.4 Follow-up audits</b> “Follow-up audits are carried out at least once a year during the certificate’s period of validity. The maximum period between audits must not exceed one year.”
14.	Does a maximum period for assessment audit not exceed five years for forest management certifications?	Annex 6, 4	YES	<b>PEFC SWE 005 7 Certificate</b> “A direct forestry- and contractor certificate, as well as chain of custody certificate, is valid for five years at the most.”
15.	Does the scheme documentation include requirements for public availability of certification report summaries?	Annex 6, 4	YES	<b>PEFC SWE 005 6.2 Audit Report</b> “A public summary shall be demonstrated after every completed certification audit that leads to a decision on forestry certification according to PEFC, as well as after every re-certification when the period of validity of the issued certificate is pro-



No.	Question	Reference to PEFC PROCEDURES	YES / NO	Reference to scheme documentation
				longed.”
16.	Does the scheme documentation include requirements for usage of information from external parties as the audit evidence?	Annex 6, 4	YES	<b>PEFC SWE 005 6.1 Audit</b> “The audit team shall collect a sufficient amount of evidence for the audit in order to assess whether the business of the person subject to audit meets the requirements. Relevant external information from authorities and stakeholders concerned shall thereby be taken into consideration.”
17.	Does the scheme documentation include additional requirements for certification procedures? [*1]	Annex 6, 4	N.A.	<i>No additional requirements are found.</i>
<b>Accreditation procedures</b>				
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	<b>PEFC SWE 005 3.1 Accreditation</b> “The certification body carrying out forest-, forestry contractor-, or chain of custody certification shall be accredited by an internationally approved accreditation body.”
19.	Does the scheme documentation require that an accredited certificate shall bear an accreditation symbol of the relevant accreditation body?	Annex 6, 5	YES	<b>PEFC SWE 005 7.1 Information in issued certificates</b> “Issued certificates shall include the following information on the certified business: 7.1.1 At direct certification for forestry- and contractor certificates 9. Name, accreditation reference and number of the certification body 7.1.2 At group certification for group certificates (umbrella organizations) 7. Name, accreditation reference and number of the certification body 7.1.3 At Chain of custody certification (direct or in business group) 11. Name, accreditation reference and number of the certification body”
20.	Does the scheme documentation require that the accreditation shall be	Annex 6, 5	YES	<b>PEFC SWE 005 3.1 Accreditation</b> “(…) the accreditation body shall have an agreement with the International



No.	Question	Reference to PEFC PROCEDURES	YES / NO	Reference to scheme documentation
	issued by an accreditation body which is a part of the International Accreditation Forum (IAF) umbrella or a member of IAF's special recognition regional groups and which implement procedures described in ISO 17011 and other documents recognised by the above mentioned organisations?			<p>Accreditation Forum (IAF) and/or the European cooperation for Accreditation (EA). The accreditation body shall conform to the procedures described in document SS-EN 17011 and other documents acknowledged by IAF/EA. Swedac is the official accreditation body in Sweden.”</p> <p><i>EA is a recognised regional cooperation body of ILAC and IAF (www.european-accreditation.org).</i></p>
21.	Does the scheme documentation require that certification body undertake forest management certification as “accredited certification” based on ISO 17021 or ISO Guide 65 and the relevant forest management standard(s) shall be covered by the accreditation scope?	Annex 6, 5	YES	<p><b>PEFC SWE 001 8.1.2 Accreditation</b></p> <p>“Certification bodies carrying out forestry, contractor -, or chain of custody certification shall be accredited by an internationally recognized accreditation body.”</p> <p><b>PEFC SWE 005 3.1 Accreditation</b></p> <p>“The certification body carrying out forest-, forestry contractor-, or chain of custody certification shall be accredited by an internationally approved accreditation body to conduct certification according to PEFC SWE TD IV.”</p>
22.	Does the scheme documentation include a mechanism for PEFC notification of certification bodies?	Annex 6, 6	YES	<p><b>PEFC SWE 005 3.2 Notification</b></p> <p>“The certification body carrying out forest-, forestry contractor-, or chain of custody certification in Sweden shall be notified by the Swedish PEFC in accordance with PEFC SWE 006.”</p> <p><b>PEFC SWE 006 PEFC Notification in Sweden</b></p> <p><b>4 PEFC notification issuance procedures</b></p>



No.	Question	Reference to PEFC PROCEDURES	YES / NO	Reference to scheme documentation
				<pre> graph TD     A[Applicant certification body submits a completed application form along with the required documents to PEFC Sweden] --&gt; B[PEFC Sweden secretariat assesses the application and decides on issuance of the PEFC notification issuance]     B -- Negative --&gt; C[The applicant can appeal to PEFC Sweden Board of Directors to reconsider Executive Secretary's decision. The Board of Directors decision is final.]     B -- Positive --&gt; D[PEFC Sweden Executive Secretary and the applicant sign the relevant PEFC notification contract.]     C -- Positive --&gt; D             </pre>
23.	Are the procedures for PEFC notification of certification bodies non-discriminatory?	Annex 6, 6	YES	<i>No references were found in PEFC SWE 006 PEFC Notification in Sweden containing discriminatory measures.</i>

## **Part V: Standard and System Requirement Checklist for System Specific Chain of Custody Standards**

### **1 Scope**

Part V is used for the assessment of scheme specific chain of custody standards against PEFC ST 2002:2013 (Chain of Custody of Forest Based Products - Requirements).

### **2 Checklist**

Not applicable. PEFC SWE 001 chapter 5 presents an overview of the standards of Swedish PEFC Certification System, which includes the PEFC ST 2002:2013 as a sub-standard. No country specific chain of custody standard is developed. The Swedish Certification System does therefore comply with PEFC's requirements, no further assessment was carried out.





## Annex 2 Results of Stakeholder Survey

The paragraphs below present the summarized results of the stakeholder survey conducted by the Assessor.

### **General**

In total 11 stakeholders responded to the request to fill-out the questionnaire:

- 2 state forest owners
- 5 private forest owners (including cooperatives)
- 3 forest / timber related business / industry
- 1 forestry consultant

### **Participation in the process**

In total 8 respondents also participated in the Working Committee. Almost all respondents received information on the standard setting process by personal letter or E-mail. One respondent found out about the revision process via the PEFC Sweden website and one through personal communication with PEFC Sweden. All participating stakeholders were of the opinion that PEFC Sweden provided them with relevant information to participate in the standard setting process.

### **Stakeholder identification and balanced representation**

According to 8 respondents, all stakeholders that are relevant to the revision process have been proactively identified and invited, although one of them remarked that “It’s a shame that most of the NGO:s an sami organisations declined to participate”. Three respondents indicated that they didn’t know.

In total 8 respondents were of the opinion that the stakeholder representatives in the Working Committee represented the range of interest in forest management in Sweden. Two respondents disagreed and indicated that NGOs, in particular related to environment and Sami people “(...) declined to participate although invited and prompted (...)”.

### **Complaints**

None of the respondents was aware of any substantive or procedural complaint related to the revision process.

### **Working Committee**

All respondents that were member of the Working Committee positively answered to the questions whether:

- Records (or minutes) have been kept from meetings of the Working Committee;
- They received invitations for meetings and documents in a timely manner, although one respondent added that this was ‘mostly’ the case;



- All working draft documents have been available to all members of the Working Committee;
- They have been provided with meaningful opportunities to contribute to the development of the standard and submit comments to the working drafts;
- Comments and views submitted by any member of the Working Committee have been considered in an open and transparent way;
- The public consultation of the scheme documentation lasted for at least 60 days;
- All comments received during the public consultation have been considered in an objective manner by the Working Committee;

Most stakeholders in the Working Committee agreed that all stakeholders had expertise relevant to the subject matter, although one indicated that the expertise was “varying”. One respondent disagreed and stated that there were “shortcomings in the standard knowledge”.

Only 4 respondents agreed that the decision of the Working Committee to recommend the final draft for formal approval was taken on the basis of consensus. Three respondents did not respond and two indicated that they didn’t know. Two respondents indicated “no”, and stated respectively: “One was handed over to a elected group of representatives, mandated to resolve the issue” and “A few questions, where consensus is not reached, was solved by the PEFC board, after additional investigations”.

#### **Aspects for further consideration**

None of the respondents brought up aspects for further consideration.

#### **Consequences to the overall assessment decision**

All the above findings are further taken into account in the assessment of the respective topics / requirements. The main concern resulting from the stakeholder survey is the absence of the environmental NGO’s and Sami people representation in the Working Committee, although efforts were made to get them on board. The fact that few respondents agreed that the decision to recommend the final draft for approval was taken on the basis of consensus is also a concern and will be taken into account in this conformity assessment.

### Stakeholders that were invited for the survey

Stakeholder	Sector*
Ordförande	4
GS-facket	3
Holmen Skog AB	1
Norra Skogsägarna	1
Skogs- och lantarbetsgivareförbundet	3



Stakeholder	Sector*
Skogsentreprenörerna, SMF	1
Svenska kyrkans skogscertifiering	1
Svenskt Friluftsliv	3
Sågverkens riksförbund	2
Södra Skogsägarna	1
GS-facket	3
Norra Skogsägarna	1
Skogsentreprenörerna, SMF	1
Skogsägarna Mellanskog	1
Stora Enso Skog	1
Svenska Trädbränsleföreningen	2
Södra Skogsägarna	1
Vida Skog AB	2
Svenskt Friluftsliv	3
Holmen Skog AB	1
Skogforsk	4
SLU	4
SLU	4
SLU	4
SLU	4
Sekretariatet	5
Svenskt Friluftsliv	3
BillerudKorsnäs Skog	1
SCA Forest Products AB	1
Storaenso	1
ECS Entreprenörscertifiering	1
Skogsentreprenörerna, SMF	1
Skogsentreprenörerna, SMF	1
Skogsentreprenörerna, SMF	1
GS-facket	3
GS-facket	3
Skogs- och lantarbetsgivareförbundet	3
LRF Skogsägarna	1
Norra Skogsägarna	1
Södra Skogsägarna	1
Sveriges Jordägareförbund	1
Sekretariatet	5
GS-facket	3
Holmen Skog AB	1
Norra Skogsägarna	1
Skogsentreprenörerna, SMF	1
Skogsägarna Norrskog	1
Svenska kyrkans skogscertifiering	1



Stakeholder	Sector*
Svenska Trädbränsleföreningen	2
Sågverksföreningen Såg i Syd	2
Sågverken Mellansverige	2
Svenska PEFC, sekretariatet	5
Sveriges jordägareförbund	1
SCA	1
Skogssällskapet	1
Trä- och möbelindustriförbundet	2
Kristinehamns kommun	
Norrbottnens allmänningars förbund	1
Södra skogsägarna	1
Mellanskog	1
Svenska skogsföretagares certifieringsgrupp	1
Svenska skogsföretagares certifieringsgrupp	1

\* 1. Organizations for the forestry chain including transports of wood to industry/ terminal, 2. Organizations for the wood processing chain including distribution and trade of forest products in the added value chain up to consumer, 3. Organizations for social, environmental and cultural interests, linked to sustainable forest management, 4. Science and research community, 5. Secretariat

## The questionnaire

### Questionnaire for the revision process of the Swedish PEFC Forest Certification System for Sustainable Forestry

Indicate your answer by putting an **X** on the dotted line. Please explain your answers as much as possible by giving comments or remarks, **either in English or Swedish**.

<p>1. What stakeholder category do you represent?</p>	<p>... Forest owner / manager (state)</p> <p>... Forest owner / manager (private)</p> <p>... Forest / wood related industry / business</p> <p>... Non-governmental organisation (forest / ecology)</p> <p>... Authorities (public administration or local government)</p> <p>... Forest science (university or research centre)</p> <p>... Trade union</p>
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	<p>... Contractor (for forest operations)</p> <p>... Organization for outdoor recreation</p> <p>... Other:</p>
<p>2. Did you actively participate in the revision process ?</p> <p>If no, why not?</p>	<p>... Yes, as a member of the Working Committee, responsible for the revision work</p> <p>... Yes, by providing comments during the Public Consultation on the draft revised scheme</p> <p>... Other: ...</p> <p>... No participation, because: ....</p>
<p>3. a) <u>How</u> did you find out about the revision process?</p> <p>b) <u>When</u> were you invited to participate on the revision of the Swedish PEFC Scheme?</p>	<p>... Newspaper or magazine</p> <p>... Website of ....</p> <p>... Personal letter or email</p> <p>... Other: ...</p> <p>Please indicate day, month and year: ..... / ..... / .....</p>
<p>4. What was your main concern and your interest to participate in the revision process?</p>	<p>Concern: .....</p> <p>Interest: .....</p>
<p>5. Did the organizers provide you with relevant material to participate in the scheme revision?</p>	<p>... Yes, because ....</p> <p>... No, because ....</p> <p>... I don't know</p> <p>Remarks:</p>
<p>6. In your opinion, have all stakeholders that are relevant to the revision process been proactively identified and invited, including disadvantaged stakeholders?</p>	<p>... Yes</p> <p>... No, other stakeholders that should have been identified and invited: ....</p> <p>... I don't know</p> <p>Comments or remarks:</p>
<p>7. a) Did the stakeholder</p>	



<p>representatives in <b>Working Committee</b> represent the range of interest in forest management in your country? If not, which other interest groups should have been involved?</p> <p>b) Did the <b>Working Committee</b>, to your opinion, have a <b>balanced</b> representation of various stakeholder categories?</p>	<p>... Yes</p> <p>... No, other interest groups that should have been involved: .....</p> <p>... I don't know</p> <p>... Yes</p> <p>... No, underrepresented stakeholder categories: .....</p> <p>... I don't know</p>
<p>8. a) Are you aware of any substantive or procedural complaints related to the revision process, brought forward by you or any other stakeholder?</p> <p>b) In case of any complaints, have these been validated and objectively evaluated?</p>	<p>... Yes, there was a complaint about .....</p> <p>... No</p> <p>... I don't know</p> <p>... Yes</p> <p>... No</p> <p>... I don't know</p> <p>Remarks:</p>

**Questions 9 – 16 are for Working Committee members only.**

If you did participate in the Working Committee, please continue with question 9.  
If you did NOT participate in the Working Committee, please continue with question 17.

<p>9. Did all stakeholders in the Working Committee have expertise relevant to the subject matter?</p>	<p>... Yes</p> <p>... No</p> <p>... I don't know</p> <p>Remarks:</p>
<p>10. a) Have records (or minutes) been kept from meeting of the Working Committee?</p> <p>b) How did you receive invitations for Working Committee meetings and documents?</p>	<p>... Yes</p> <p>... No</p> <p>... I don't know</p> <p>... By mail</p> <p>... By E-mail</p> <p>... By other means: ...</p>



<p>c) Did you receive invitations for meetings and documents <i>in a timely manner</i>?</p>	<p>... Yes                  ... No                  ... I don't know</p> <p>Remarks:</p>
<p>11. Have all <i>working draft documents</i> been available to all members of the Working Committee?</p>	<p>... Yes                  ... No                  ... I don't know</p> <p>Remarks:</p>
<p>12. Have you been provided with meaningful opportunities to contribute to the development of the standard and submit comments to the working drafts?</p>	<p>... Yes                  ... No                  ... I don't know</p> <p>Remarks:</p>
<p>13. Have comments and views submitted by any member of your Working Committee been considered in an open and transparent way?</p>	<p>... Yes                  ... No                  ... I don't know</p> <p>Remarks:</p>
<p>14. Has the public consultation of the scheme documentation lasted for at least 60 days?</p>	<p>... Yes                  ... No                  ... I don't know</p> <p>Remarks:</p>
<p>15. Have all comments received during the <i>public consultation</i> been considered in an objective manner by the Working Committee?</p>	<p>... Yes. Please explain: .....</p> <p>... No. Please explain: .....</p> <p>... I don't know</p> <p>Remarks:</p>
<p>16. a) Was the decision of the Working Committee to recommend the final draft for formal approval taken on the basis of <i>consensus</i>?</p> <p>b) In case no consensus was reached on certain issues, how was the issue resolved?</p>	<p>... Yes, the issue was resolved in the following                  way: .....</p> <p>... No, the issue was resolved in the following                  way: .....</p>



	... I don't know Remarks:
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**To be answered by all stakeholders:**

17. Do you believe any aspects of the Swedish PEFC scheme deserve further consideration in this assessment?	... Yes. Please specify: ... ... No ... I don't know Remarks:
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**Please return the answers latest by 10<sup>th</sup> of September 2016.**

**You can direct your response by e-mail to:**

[m.tollenaar@forminternational.nl](mailto:m.tollenaar@forminternational.nl)

**Thank you for your time and cooperation**





## Annex 3 Results of International Consultation

No responses are received during the international consultation.



## Annex 4 Panel of Experts Comments

Three panel of experts members have commented on this assessment. Their comments are presented in the table below, including the responses from the Assessor. Minor adaptations have been made to the text of the report as indicated in the Assessor's responses.

Report chapter / Page	Assessor's report statement	PoE member comment	Assessor's response
<b>General Statement on Report Quality</b>			
General		The report of the assessor seems to be prepared in a hurry; the text is tried to limit as short as possible. The result is not-so-easy-to-understand-report. It raises several questions and concerns. However, the recommendation for the PEFC Board of Directors is clear and non-conformities identified are mostly well justified.	The assessor has tried to keep the report short as explicitly requested by the PEFC Council. However, the aim has always been to generate a clear report based on a thorough assessment.
General		Clear, structured and consistent report.	Comment is clear.
<b>Specific Findings</b>			
p. 6	Content f the list of Acronyms	At least the following acronyms used in the report are missing on the list: ha, m3, SCB, Swedac, Forum TD, ID, ADR S, CL, EC, MSB, WWF, SNF, SSR, FMP	Partly updated. ADR S was excluded as name of specific regulation, which is made clear in the report. ID is excluded as it is a clear identifier of an identity.
1. p. 7	With the Programme for Endorsement of Forest Certification schemes (PEFC), national standards for Sustainable Forest Management are brought under the umbrella organisation PEFC by	It is a complicated and unclear beginning of the report. My proposal – although English is not my mother tongue: “With the PEFC’s endorsement process national standards and certification systems of SFM are brought under	Text slightly updated.



	endorsing the national standard after a positive evaluation.	the international umbrella of PEFC after a positive evaluation by an independent assessor.” (?)	
1. p. 7	System was first endorsed by PEFC in 2000.	Could also be added “...and since then the system has been revised twice; the present revision is already third in line.”	Text updated.
1.4. First chapter p. 9	Content of the chapter	I would like to see here more content: A short description of possible results of the evaluation: i.e. either the comparison “conforms” or “does not conform” and then classification of non-conformities: “major” and “minor” and what does this classification mean.	The assessor is of the opinion that this information is clearly presented in the relevant places of the report, and that an assessment implies that findings are marked as ‘conform’ or ‘does not conform’ with corresponding classifications.
1.4. p. 10	It shall be noted that, according to the tender procedure, no assessment was done of: <ul style="list-style-type: none"> <li>• the procedures for logo licensing;</li> <li>• the complaints and dispute resolution procedures; and</li> <li>• the procedures for notification of certification bodies.</li> </ul>	<ul style="list-style-type: none"> <li>• From the potential reader’s point of view: is it possible to say some reasons for the limitation. (The tender letter is not attached in the report)</li> </ul>	This a decision made by PEFC and not by the assessor. Therefore, the reasons are unknown to the assessor.
1.5.1. p. 10	No comments were received. ...11 responses were received (out of 60)	Responses of the two public consultations – some comments of the assessor for this! Are the numbers of comments adequate enough, and if so, then why?	Compared to other PEFC Conformity Assessments a response of 18% is considered to be reasonable.
2. p. 12	the content of the recommendation	The assessor identified 14 non-conformities in the recommendation, which should be corrected in 6 months. I would like to see here that the NCs are classified as “minor”, as well as the 6 non-conformities which were identified	Text updated.



		in the standard setting process. ☺ (On page 20 there is the mention “All NCs are classified as minor”)	
3.3. p. 13 (and 5.1. and 5.2. pp. 21-22)	. In total two (2) non-conformities are found (both classified as minor): <ul style="list-style-type: none"> <li>The procedures do not regulate a balanced representation of stakeholders (req. 4.4b); ...and (p.21)</li> </ul> In spite of repeated efforts from PEFC Sweden to get both Environmental NGOs and Sami people representatives on board in the forum, the NGOs declined. The Forum therefore did not contain representatives of environmental NGO’s nor Sami people representatives.	The issue of “balanced representation of stakeholders”, especially the lack of environmental and social ones, is always a serious non-conformity, if not major! Some explanations why this NC is classified as “minor” are needed! Were there persons from other NGOs or interest groups who could be classified as “environmental experts” or “nature conservation experts” or who could present “Nordic indigenous people”?? Some more information is needed here!! Certification needs credibility – PEFC especially!	The assessor agrees that the lack of environmental and social stakeholders is an undesired situation. However, because it is clear that PEFC Sweden has done multiple efforts to get them on board, this conformity is considered a minor.
P13 para 3.3: p23 Requirement 4.4; p26 Requirement 5.2; p59 4.4 b) Process	“The Forum did not have a balanced representation of stakeholder categories...”	Although there were no NGOs or representatives of Swami people on the Forum they were repeatedly invited to attend or send representatives. According to the evidence given on p26 they did provide names of contact persons willing to receive information on the process. That they did not attend in person is regrettable but is it strictly a non-conformity?	Strictly it is a non-conformity, as the requirement stipulates that the Forum shall have a balanced representation, which was not the case. However, based on the practice where both Sami people and NGOs were invited and they themselves refused to participate, it is concluded that the followed process did not damage or undermine the standard revision process.
3.4 / 14	In total twelve (12) non-conformities are found (all classified as minor):	There are only 8 bullet points listed – why 12 non-conformities stated? In Part III (Annex)	Text updated. There are 8 NCs.

		also 8 non-conformities are listed.	
p14 para 3.4; p32 Requirement 5.1.5; p94 5.1.5; p109 5.3.6	“No references were found (to).. the average annual allowable cut .. for forests holdings with less than 20ha..”	It is hard to apply the concept of “annual allowable cut” to small forest areas, such as less than 20ha. What is required is some form of felling control to prevent untimely or exploitative felling. This might be covered under PEFC SWE 002:4-3 section 3.6 “Extraction of timber and fuel is a natural part of an active forestry and shall be carried out in a manner ensuring that the long-term productivity of the forest land is preserved” (quoted on p41 under Requirement 5.3.4). It also seems likely that there are Swedish forest regulations covering this matter, if so they should be specified.	The assessor recognizes the aim of the PEFC requirement, which is covered by PEFC SWE 002:4-3 section 3.6. However, the PEFC requirements do not make any exception for the applicability of ‘annual allowable cut’
P14 para3.4; p33 Requirement 5.1.7	“No references were found ensuring periodical monitoring of forest resources, since field visits are not necessarily the same as forest resource monitoring”	It is hard to see what a field visit would be for other than to assess the forest resource, however for completeness it should be spelled out.	Comment is clear.
3.8 / 15	With regards to Scheme Administration Procedures, the following procedures were found: <ul style="list-style-type: none"> <li>• Notification of Certification Procedures (PEFC SWE 006);</li> <li>• Logo Usage Rules (PEFC ST 2001:2008);</li> <li>• Complaints and Dispute Resolution Procedures (Chapter 13 of PEFC SWE 001).</li> </ul>	Why are these procedures not assessed – why are they not part of the tender? Recommendation: If not required that they are part of the tender / assessment, state an explanation.	This a decision made by PEFC and not by the assessor. Therefore, the reasons are unknown to the assessor.



	These are not further assessed in detail, in accordance with the tender document for this assignment.		
4.1. p. 16	The annual growth on productive forest land is now around 114 m3 standing volume.	I suppose the annual growth should be 114 mill. m3.	Paragraph on growing stocks removed from the report since this paragraph reflected the same information as the PEFC Sweden documents.
4.1. p. 16	Much of the growth that is not harvested today is retained for consideration of different kinds, as described above,	I do not understand what this comment means.- Actually it does not mean anything ☺	Paragraph on growing stocks removed from the report since this paragraph reflected the same information as the PEFC Sweden documents.
4.1. p. 16	...and according to the Forest Agency, the annual harvesting potential is a 95-100 m3 standing volume	Should be 95-100 mill.m3. I guess this volume actually is the <i>estimated annual allowable cut</i> of productive forests (?)	Paragraph on growing stocks removed from the report since this paragraph reflected the same information as the PEFC Sweden documents.
4.1. p. 16	Half of the Swedish forest land is owned by private forest owners, 25% is owned by private companies and 14% by publicly owned companies.	Private forest owners = “non-industrial private forest owners” or “family forest owners”. What about the rest 11%? - It would be valuable to have some data of the size of private forest holdings.	Text updated
4.1. p. 16	The privately owned area produces 60% of the harvested volumes in Sweden.	This means that privately owned forests (75% of the forest area) produce far less than their share of the resource. Publicly owned companies and “others” are thus very intense utilizers of their natural resources! Is this really true in Sweden?	Text updated. Data are used from PEFC Sweden and it is assumed that these data are correct.
4.2. p. 17	It is based on responsibility in the whole chain with requirements on PEFC certification of forest owners, wood procurement organizations, forestry contractors and subsequent industrial	The assessor seems to aim at very compact wording. For me the idea of the sentence is unclear. Does it mean the following: “ <i>It is based on responsibility in the whole chain with requirements of PEFC certification for forest</i> ”	Text updated.



	stages with a clear and documented distribution of responsibilities.	<i>owners, wood procurement organizations, forestry contractors <del>and subsequent industrial stages</del> with a clear and documented distribution of responsibilities.” (?)</i>	
p. 17, p. 18, p. 19	Figures/pictures on these pages	Figures and pictures could have numbers and names. The text could then refer to the number of the picture, not like now: “figure below”	Report updated.
5.1. pp.20-21	A complaint on standard element PEFC SWE 003 (ID 6) clause 4.8.1 was received on March 21, 2016. The secretariat suggested a procedure to handle the complaint which was put forward to and accepted by the board of trustees. The complaint regarded a possible conflict with the regulation ADR S 2015. The competent authority (Swedish Civil Contingencies Agency) was consulted and the complaint was dismissed as not being in conflict with the regulation. The complainant and the other affected stakeholders however agreed on a compromise which fully settled the concerns of the complainant and this solution was suggested to the board of trustees which accepted both the solution and the process.	This long explanation of the complaint does not give any information on the content! There should be something mentioned – if not in the report then at least in an appendix! In the present form it only draws attention and rises questions!!	In the context of this report it is not about the technical details of the conflict between the PEFC Sweden standard and the regulation ADR S 2015. The key message is that the complaint was handled and a solution was found as intended by the PEFC requirements for complaint handling.
5.2 / 23	The Forum did not have a balanced representation of stakeholder	What are the reasons why none of these organisations could be brought on board?	Reasons are unknown to the assessor.

	<p>categories. The list of participants .... However, no social or environmental NGOs participated in the forum. ... It shall however be noted that 9 NGO's were invited and PEFC Sweden showed their efforts to get the NGOs on board; multiple invitations ... Respondents to the stakeholder survey confirmed that efforts were made to get them on board.</p>	<p>Which explanations were given? Recommendation: list the reasons in the report.</p>	
6.1. p. 30	<p>PEFC SWE 004 stipulates that “certified forest owners and wood procurement organizations undertaking operations on forest land owned by certified forest owners shall comply with the requirements of the Swedish PEFC forest standard (PEFC SWE 002) and applicable parts of the Swedish PEFC forestry contractor standard (PEFC SWE 003).”</p>	<p>Does the Swedish system certify forest owners and wood procurement organisations? This assessment report refers the Swedish system having both forestry standard (i.e. requirements for SFM) and forestry contractor standard (i.e. requirements for management operations of contractors). But there is no mention that forest owners or organisations could be certified, too!! – The text should be modified!</p>	<p>The 2<sup>nd</sup> paragraph of Chapter 6.1 states: “The responsibility to comply with the requirements of the forest standard falls on the forest owner. In order to make it easier for the forest owner (...). the Swedish PEFC system requires forestry certification on the part of wood procurement organizations, and contractor certification on the part of forestry contractors.” This means that forest owners, wood procurement organizations and contractors could be certified.</p>
6.1. p. 30	<p>Larger organizations are normally certified directly by a certification body.</p>	<p>Here again organisations are being certified – not forest management!</p>	<p>See explanation above. Organisations are certified against the forest management standard, which applies to the forest owner and relevant criteria apply also to wood procurement organisations and contractors.</p>
6.1. p. 30	<p>Depending on the type of certification, different requirements apply to management system and organization</p>	<p>The description of differences between direct-certification and group certification is not very clear. Normally direct-certification means that</p>	<p>Text updated. The Swedish PEFC system knows several types of groups, i.e. forest owners, wood procurement organizations and</p>





		the object is a single individual forest management unit owned by a forest owner or group of forest owners. Normally in group certification, the group consists of several individual forest management units forming some sort of an administrative unit. – This kind of an approach does not apply in Sweden? Confusing! But the text on p. 30 trying to explain the differences between direct and group certification is not easy to understand!	contractors.
6.2 p. 35	Furthermore, the wordings ‘a limited extent’ is not auditable and does therefore not sufficiently ensure that the conversion entails a small proportion of forest type.	But the wording goes on: ...”AND where such conversion is consistent with current legislation,...” I think this is totally auditable; the wording “limited extent” can be understood more as descriptive than demanding in this respect.	The wording ‘limited extent’ is understood as complementary to current legislation and aiming to address the PEFC requirement of ‘small proportion’.
7.1. p. 45	The group entities (in the Swedish context called: umbrella organization ) are required to be ISO 14001 certified.	i.e. the “umbrella organization” must have a certified environmental management system in place, not members of the umbrella organization. However, <b>forest management units form the group, which is then certified</b> according to the Swedish PEFC Group Certification procedures. Members of the umbrella organization are the owners of the forest management units as well as contractors and wood procurement organizations operating on the area. – I hope I have understood the content of the Swedish system right (!) Still, on p. 45 appear “Certified organizations”	Text slightly updated.



		or “forest owners, contractors and wood procurement organizations which can get certified” – confusing!	
7.1. p. 45	Half of the Swedish forest land is owned by private individuals (family forestry)	the term “non-industrial private owners” could be used	The wording of PEFC Sweden is used.
9 / 49	Three (3) non-conformities are found, which are all classified as minor.	No non-conformities are listed. Neither in Ch. 9, nor in 3.7. or in the checklist.	Text on p. 49 updated.
9., 9.2. p. 49-50 and 3.7 p. 15	<p>p. 49: This chapter presents the findings of the assessment of the Certification and Accreditation Procedures. Three (3) non-conformities are found, which are all classified as minor.</p> <p>p. 15::The procedures comply with the PEFC requirements, no non-conformities are found.</p> <p>p. 50: No non-conformities are found in the certification and accreditation procedures.</p>	The summary on p. 15 states no NCs, but the chapter on p. 49 states 3 minor NCs found in certification and Accreditation Procedures! But on p. 50 again no NCs!	Text on p. 49 updated.
<b>Editorial Comments</b>			
4.1 / 16	Para 3: .... the annual harvesting potential is a 95-100 m <sup>3</sup> standing volume.	Should read(?): .... the annual harvesting potential is a 95-100 <u>million</u> m <sup>3</sup> standing volume.	Paragraph on growing stocks removed from the report since this paragraph reflected the same information as the PEFC Sweden documents.
5.1 / 20	Last but one para: A start-up meeting was organized on October 27, 2013.	Should read(?): A start-up meeting was organized on October 27, 201 <u>4</u> .	Text updated.

