



Amended Report
for the
Conformity Assessment
of the
Revised PEFC UK CERTIFICATION SCHEME
for SUSTAINABLE FOREST MANAGMENT
December 14, 2017

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Acronyms and Abbreviations:

BOD	Board of Directors
CoC	Chain of Custody
CR	Criteria
EA	European Cooperation for Accreditation
FMU	Forest Management Unit
FMP	Forest Management Plan
FMS	Forest Management Standard
GD	Guidance Document
GWGC	GreenWoodGlobal Consulting, Ltd.
IAF	International Accreditation Forum
IGD	Internal Guidance Document
ILO	International Labor Organization
IN	Indicator
ISO/IEC	International Standards Organization/International Electrotechnical Commission
N/A	Not Applicable
PEFC	Programme for the Endorsement of Forest Certification
PEFCC	PEFC Council
PEFC ST	PEFC Standard
PEFC UK	PEFC United Kingdom Governing Body

PEOLG	Pan European Operational Level Guidelines
POE	Panel of Experts
PW	Peter Wilson
SFM	Sustainable Forest Management
SG	Steering Group
SLIM	Small-owner Light Intensity Management
TBD	To Be Determined
TU	Technical Unit
UKAS	United Kingdom Accreditation Service
UKFS	United Kingdom Forestry Standard
UKWAS	United Kingdom Woodland Assurance Standard
WHO	World Health Organization
WMU	Wildlife Management Unit

1. Introduction

1.1 Scope of the Assessment

The scope of this assessment is to compare the PEFC UK CERTIFICATION SCHEME (PEFC UK SCHEME) for SUSTAINABLE FOREST MANAGEMENT 2016 Revision (UK Certification Scheme) against the minimum requirements of the PEFC as stated in the PEFC Technical Documents and specified in PEFC IGD 1007-03:2012. This assessment shall ultimately provide the assessor's recommendation to the PEFC Board of Directors (BOD) as to whether the revised scheme is in conformance with PEFC Technical Documents and whether the scheme should be recommended by the BOD for re-endorsement to the PEFC General Assembly.

As specified in PEFC IGD 1007-03:2012, the following actions were taken to assess the conformity of the revised scheme to PEFC requirements.

- A general analysis of the structure of the scheme technical documentation
- Assessment of the standard setting procedures and process against PEFC ST 1001:2010, Standard Setting – Requirements
- Assessment of the forest management standard(s) against PEFC ST 1003:2010, Sustainable Forest Management - Requirements
- Assessment of the group certification model against PEFC ST 1002:2010, Group Forest Management Certification - Requirements
- Assessment of the CoC standard(s) against PEFC ST 2002:2013, Chain of Custody of Forest Based Products – Requirements
- Assessment of the procedures for notification of certification bodies against PEFC GD 1004:2009, Administration of PEFC UK Scheme, Chapter 5
- Assessment of the procedures for logo licensing against PEFC GD 1004:2009, Administration of PEFC Scheme, Chapter 6 (*Logo usage is only assessed with the initial scheme submission)
- Assessment of the procedures for complaints and dispute resolution against PEFC GD 1004:2009, Administration of PEFC UK Scheme, Chapter 8
- Assessment of the certification and accreditation procedures, as defined in the PEFC Council Technical Document, Annex 6 and PEFC ST 2003:2012, Requirements for Bodies Operating Certification Against the PEFC International Chain-of-Custody

- A stakeholder/working group survey to check the basic contents of the development report on the standard setting process
- Results of PEFC International Consultation
- Any other aspects which can affect functions, credibility and efficiency of the submitted system

1.2 Assessment Process

The assessment process is carried out in two phases, each phase comprising several significant steps.

Phase I

- Step 1: Review the scheme documentation as provided by the PEFC UK
 - Step 2: PEFC UK initiated a 60-day public consultation by way of its website to gather comments from other PEFC National Governing Bodies as well as interested international stakeholders.
 - Step 3: The assessor communicated with PEFC UK asking for additional evidentiary documents not included in the initial package of documentation.
 - Step 4: Develop PEFC UK Steering Group stakeholder survey and submit it to Steering Group members.
 - Step 5: Scheme documentation (see Chapter 1.4) was assessed for conformance against PEFC GD 1007-01:2012 by the assessor.
 - Step 6: Submission for review and comment of The First Draft Report in both Microsoft Word and Adobe PDF to PEFC UK and PEFC UK on 25.10.2016 providing a detailed draft evaluation of the PEFC UK Scheme based on PEFC IGD 1007-01:2012 requirements.
- The Draft Report contains the following elements, structure and content.
1. Introduction
 2. GWGC Recommendations
 3. Summary of Findings
 4. Structure of the System and revised PEFC UK Scheme
 5. Standard setting process
 6. Forest Management Standard
 7. Group Certification Model
 8. Chain of Custody Standard
 9. Implementation of PEFC Logo Usage Rules
 10. Certification and Accreditation arrangements
 11. Detailed assessment of the Complaints and Dispute Resolution Procedures against PEFC GD 1004:2009, *Administration of PEFC Scheme, Chapter 8*
 12. Annexes
 - a. PEFC Standard Requirements Checklist
 - b. Results of Stakeholder Survey (Final Report)
 - c. Results of International Consultation (Final Report)

- d. Panel of Experts Comments (Final Report)
- e. Any Additional Relevant Information

Phase II

- Step 7: Review of PEFC UK responses regarding The First Draft Report
- Step 8: Review surveys from respondents of the PEFC UK Steering Group
- Step 9: Review comments from PEFC TU regarding The First Draft Report
- Step 10: Adjustments to report based on feedback from PEFC TU and PEFC UK
- Step 11: Complete Draft Final Report and submit to PEFC Panel of Experts
- Step 12: Review and respond to comments from Panel of Experts
- Step 13: Present Final Report to PEFC with recommendations to BoD

1.3 Methodology Adopted

The following methodology was used by *GreenWoodGlobal Consulting, Ltd* to determine the level of conformity of the revised documents of the PEFC UK Scheme as outlined in **Scope of the Assessment**.

1.3.1 Assessment of Documents

The assessment of the scheme and review of documents provided by PEFC UK (see Chapter 1.4) was conducted from the office of GreenWoodGlobal Consulting, Ltd. As this was a standard revision procedure by PEFC UK, a field visit was not required. The technical documentation provided in the PEFC UK Scheme was presented in English.

The documents were assessed by Robert S. Simpson of GreenWoodGlobal Consulting, Ltd. The PEFC IGD 1007-01:2012 Minimum Requirements Checklists were used to assess conformance of the revised scheme against the minimum requirements for the re-endorsement process as defined by the PEFC. The Draft Report is formatted in accordance PEFC IGD 1007-03:2007.

The results of the assessment were documented in full in the Minimum Requirements Checklist and Draft Report was elaborated and submitted to PEFC and PEFC UK for review and comment.

1.3.2 Stakeholder Comments and Public Consultation

During the review and assessment of the documentation, the PEFC Secretariat held a 60-day open call for comments on the PEFC UK Scheme. Specifically, this was directed to PEFC National Governing Bodies and interested international stakeholders as well as other interested parties. This public consultation was held via the PEFC website (www.pefc.org) and available for comment from 8 June through 7 August, 2016. At the close of the 60 day international consultation period it was determined that no (0) comments had been filed with respect to the PEFC UK Scheme. (See Annex 3)

Also, during the PEFC UK Scheme assessment period, the Assessor developed a survey for the Steering Group (SG) responsible for the scheme revision and other stakeholders involved in the process. The nine-question survey was sent to the SG members via email and

they were asked to return the response within 14 days. Seven survey responses were received within the requested response period. (See Annex 2)

1.4 Timetable of Assessment

Table 1 illustrates the actions and time involved during the PEFC UK Scheme assessment.

Table 1: Assessment Process Schedule

Timetable for PEFC UK Scheme Assessment		
Date	Action	Elapsed Time
15.09.2016	Begin Phase I: Assessment of PEFC UK Scheme	
23.10.2016	Survey to Steering Group Members	14 Days
25.10.2016	Submission of First Draft Report to PEFC Secretariat and PEFC UK for review and comment	42 Days
26.10.2016	Draft Report Review and Comment Period of PEFC UK	1 Day
04.11.2016	Draft Report Review and Comment Period of PEFC UK	12 Days
04.11.2016	Commence Phase II of Assessment	10 Days
14.11.2017	Draft Final Report Submitted to PEFC UK	10 Days
05.12.2016	Submission to PEFC Panel of Experts for Review	25 Days
19.12.2016	Receipt of PoE Comments	14 Days
21.02.2017	Submission of Final Report to PEFC Secretariat	67 Days

1.5 Reference Documents and Sources

The following is a list of scheme documentation provided by PEFC UK to the PEFC Secretariat for conformity assessment in seeking the re-endorsement of the PEFC UK Scheme:

Normative Documents Provided by PEFC UK:

- PEFC UK Certification Scheme for Sustainable Forest Management – Revision 2016
- United Kingdom Woodland Standard – Fourth Edition (Final Draft)
- The UK Forestry Standard
- PEFC IGD 1007-01-2012 PEFC Standard and System Requirement Checklist 2015-06-17
- PEFC UK Application Letter

Descriptive Documents Provided by PEFC UK

- PEFC UK Assessment Request (30-09-15)
- PEFC UK Standard Setting Process – Development Report
- Public Consultation Summary Report
- United Kingdom Woodland Assurance Standard 4th Edition - Appendix
- United Kingdom Woodland Assurance Standard – Timetable

Supporting Documentation Provided by PEFC UK (See Annex 4)

- Public announcement regarding commencement of standard revision
- Selection of Steering Group
- Steering Group Minutes
- Public consultation announcement
- Steering Group meeting to review consultation comments
- Steering Group consensus on Final Draft Report

The following list of technical documents was provided by PEFC and used for the conformity assessment.

Technical Documents Provided by PEFC

- PEFC GD 1001:2010 Standard Setting Requirements
- PEFC ST 1003:2010 Sustainable Forest Management Requirements
- PEFC ST 1002:2010 Group Forest Management Certification Requirements
- PEFC ST 2002:2013 Chain of Custody of Forest Based Products Requirements
- PEFC ST 2001:2008 PEFC Logo Usage Rules
- PEFC ST 2003:2012 Chain of Custody Certification Body Requirements
- PEFC GD 1004:2009 Administration of PEFC Scheme, Chapters 5, 6 and 8
- PEFC GD 1007:2012 Endorsement of National Schemes
- Annex 6 PEFC TD Accreditation and Certification Procedures
- PEFC IGD 1007-01:2012 PEFC Standard and Minimum Requirements Checklist

In addition, the websites of PEFC (www.pefc.org) and PEFC UK (<http://ukwas.org.uk/documents>) functioned as sources of additional information, processes and documents relevant to the conformity assessment.

1.6 Audit Team

Robert S. Simpson is President and CEO of GreenWoodGlobal Consulting, LLC. He will be the supervising assessor. His firm specializes in working with forest products companies, natural resource agencies and natural resource NGOs, helping them meet their strategic directives involving forest sustainability, with focus on family forest owners, cooperatives and communities owning and managing forest land.

Prior to founding GreenWoodGlobal Consulting, LLC, Simpson spent 17 years with the American Forest Foundation. As AFF's Senior Vice President, Simpson was responsible for developing and implementing strategies for AFF's forestry programs such as the American Tree Farm System (ATFS) as well as developing the ATFS SFM standard and keeping it compliant with PEFC endorsement. While at AFF Simpson grew ATFS to nearly 90,000 certified properties and developed and implemented the first successful group certification program in North America. In 2009 ATFS was endorsed by the Programme for the Endorsement of Forest Certification (PEFC) as a full 3rd party certification system. His clients have included the US Endowment for Forestry and Communities, UK Department of Environment and Climate Change, the Forest Guild, Environmental Defense Fund and Maryland Department of Natural Resources.

He completed the PEFC Standard Assessor's Training in Geneva, Switzerland, November 2012 and PEFC Assessor professional development training in February 2015 and has successfully completed multiple annual assessors' trainings. He has been involved with PEFC at some level from 1999 to present. Mr. Simpson served eight years on the PEFC Board of Directors and is intimately familiar with the PEFC framework. He has reviewed dozens of scheme assessments submitted to the PEFC Board from scheme assessors.

Simpson has served on multiple Boards including the PEFC Board of Directors and is co-founder of the International Family Forestry Alliance. He has guest lectured at the University of Geneva, Yale School of Forestry and keynoted the John Gray Distinguished Lecture Series at Florida State University.

Michael A. Virga has 30 years' experience in the forest industry with a focus on sustainable forestry certification and standard development. Throughout his career he has demonstrated leadership and innovation within the forest certification arena. Virga's nine (9) years' experience in a senior executive role at the American Forest & Paper Association provided him comprehensive knowledge of forest management and forest product certification systems. He is well versed in PEFC certification requirements, having driven the effort that lead to the Sustainable Forestry Initiative's initial assessment in 2005. Mr. Virga will be working in an associate role under the supervision and guidance of Mr. Simpson. (CV on file with PEFC)



2. Recommendation

GreenWoodGlobal Consulting, LLC, **RECOMMENDS** the PEFC Board of Directors **ENDORSE** the Revised PEFC UK Certification Scheme for Sustainable Forest Management as presented.

Based on the findings of GreenWoodGlobal Consulting, Ltd, and documented in the text and checklists of this report, the Assessor has identified **NO (0) NONCONFORMITIES** within the PEFC UK Scheme. Therefore, the Assessor concludes the **Revised PEFC UK Certification Scheme for Forest Management** to be **IN CONFORMITY** to PEFC requirements for scheme endorsement.

3. Summary of Findings

3.1 Structure of the System

The national governing body, PEFC UK, owns, governs and administers the PEFC UK Scheme for Sustainable Forest Management. PEFC UK is overseen by a nine-member Board of Directors, including the Chairman and managed by the National Secretary.

PEFC UK is responsible for the following.

1. Managing the Scheme to meet PEFC Council endorsement requirements.
2. Promote the UK Woodland Assurance Standard, as the national certification standard for Sustainable Forest Management in the UK.
3. Participating in the development, monitoring and review of the UK Woodland Assurance Standard.
4. Setting and reviewing the eligibility criteria for certification bodies wishing to carry out third party audits under the Scheme.
5. Resolving appeals, complaints and disputes arising out of the operation of the Scheme that cannot be resolved between the Certification Body and the Auditee or the UKWAS interpretation panel, or arising due to suspension, or arising due to withdrawal of a license to use the product label.
6. Formal adoption of the UKWAS Standard as the PEFC UK Scheme.

The PEFC UK Scheme is unique to many other PEFC recognized national governing bodies in that it does not formally set the forest management standard. The PEFC UK scheme's forest management standard revision is managed by an independent company; United Kingdom Woodland Assurance Standard (UKWAS). The PEFC UK is a participating member of the UK Steering Group, the body that is responsible for the required five-year review and revision of the UKWAS. The UKWAS is an independent standard setting body that is not involved with certification or accreditation. The certification standard is designed to reflect the requirements of the two leading global forest certification schemes – the Forest Stewardship Council (FSC) and Programme for the Endorsement of Forest Certification schemes (PEFC). It is up to each organization to determine whether to adopt the certification standard in whole or in part for their respective organizations.

Additionally, the PEFC UK Scheme also includes the United Kingdom Forestry Standard (UKFS). This document codifies the criteria and indicators for sustainable forest management in the UK.

The UKWAS revision processes take place every five years through the Steering Group comprised of representatives of relevant stakeholder organizations. The process works through consensus and is open and transparent to the public with public consultation periods

established. Working documents are accessible to all members of the Steering Group at all times. The Steering Group must reach consensus on approval of the Final Draft Standard before it is submitted to the PEFC UK for adoption.

Accreditation bodies shall be a part of the IAF umbrella or a member of one of IAF's special recognition groups. Certification bodies must comply with relevant ISO standards and other additional requirements as set in the UKWAS. Notification of certification bodies is done in a non-discriminatory manner.

The Assessor finds that the **Structure of the System** to **IN CONFORMANCE** with PEFC requirements of their sustainability benchmarks.

3.2 Standard Setting Procedures and Process

Standard revision is undertaken every five years and initiated through the UKWAS Steering Group (SG). UKWAS publicly announces the process through multiple media avenues including email, newspaper ad and personal letters notifying organizations the process has begun and to comment on the current standard.

The SG is composed of 11 constituencies comprising 33 organizations representing forestry interests in the UK including a representative from PEFC UK. The SG is designed in such a manner that no single constituency can dominate or be dominated during the standard setting process.

The SG operates through consensus and members have access to all working documents at all times. During the process all working documents are made available to the public through the PEFC UK website. There were three public consultation periods during the standard setting process. Comments are summarized and presented to the SG for review and discussion.

Upon final review, the SG votes unanimously to approve the Final Draft Standard. It is then available for PEFC UK for adoption and endorsement.

The Assessor finds that the **Standard Setting Procedures** to be **IN CONFORMANCE** with PEFC requirements with **No Nonconformity** identified.

Evidentiary supplemental documentation such as minutes, website screen shots, and media announcement demonstrate that process took place according to procedure.

The Assessor finds that the **Standard setting processes** to be **IN CONFORMANCE** with PEFC requirements with **No Minor Nonconformity** identified.

3.3 Forest Management Standard

The PEFC UK Certification Scheme sets requirements that thoroughly and adequately cover all six principles of sustainable forest management as required by PEFC ST1003:2010. Two documents comprise the PEFC UK Scheme; the United Kingdom Forestry Standard (UKFS), governmental forest management guidelines that apply to all forests in the UK and the UKWAS, a voluntary, third-party consensus-based standard that builds upon the UKFS. The requirements and verifiers can all be implemented at the Forest Management Unit level and are auditable. They are adequately covered in the UKWAS and UKFS.

The Assessor finds the **UKWAS** to be **IN CONFORMITY** with PEFC requirements with **No Nonconformity** identified.

3.4 Group Certification Model

The PEFC UK Certification Scheme provides a comprehensive set of requirements and guidance which defines how group entities and group participants shall meet the requirements of Group Certification as stipulated in PEFC ST1002:2010. The PEFC UK Scheme requires forest owner commitment to forest management and describes forest owner and group entity responsibilities. The PEFC UK Scheme calls for internal monitoring programs, addresses how corrective action requests shall be handled and covers how forest owners can enter and exit the system.

The Assessor finds that the **Group Certification Standard** to be **IN CONFORMANCE** with PEFC requirements with **No Nonconformity** identified.

3.5 Chain of Custody Standards

PEFC UK has chosen to adopt PEFC International Standard PEFC ST 2002:2013 – Chain of Custody for Forest Based Products in its entirety and without modification.

The Assessor finds that the **Chain of Custody Standard** to be **IN CONFORMANCE** with PEFC requirements with **No Nonconformity** identified.

3.6 Logo Usage Rules

PEFC UK Certification Scheme has adopted the rules and guidance set out in PEFC International Standard ST 2001:2008 v2 Logo Usage Rules – Requirements which will be implemented by all certificate holders. PEFC UK is recognized as the appropriate 3-party licensing authority in the UK.

The Assessor finds that the **Logo Usage Rules** to be **IN CONFORMANCE** to PEFC requirements with **No Nonconformity** identified.

3.7 Complaints and Dispute Resolution Procedures

The PEFC UK Certification Scheme states that all certification bodies registered to operate under the Scheme are required to have documented procedures for dealing with all appeals, complaints and disputes relating to the certification process - up to and including the point of award, suspension or withdrawal of forest management and/or chain of custody certificates.

In cases where the dispute relates specifically to the interpretation of the UKWAS, and it cannot be solved by the certification body's independent panel, then such matters will be referred to the UKWAS Interpretation panel. In addition, PEFC UK acts as the final decision making body for appeals regarding use of the PEFC logo and label and/or loss of the certificate.

The Assessor finds that the **Complaints and Dispute Resolution Procedures** to be **IN CONFORMANCE** with PEFC requirements with **No Nonconformity** identified.

3.8 Certification and Accreditation Procedures

Certification and accreditation procedures are clearly and completely described in PEFC UK Certification Scheme. Accreditation bodies shall be a part of the IAF umbrella or a member of one of IAF's special recognition groups.

Accredited certification bodies carrying out certification for forest management must fulfil requirements defined in ISO/IEC 17021:2011 and accredited certification bodies carrying out CoC for forest-based products must fulfill requirements defined in ISO/IEC 17065:2012.

In addition the Scheme requires auditors to demonstrate experience and have appropriate knowledge of forest management and CoC standards.

The Assessor finds that the **Certification and Accreditation Procedures** to be **IN CONFORMANCE** with PEFC requirements with **No Nonconformity** identified.

3.9 Other Aspects of Importance

The Assessor wishes to compliment PEFC UK on the thoroughness and comprehensiveness of the PEFC UK Certification Scheme as presented to PEFC. The Assessor found the document easy to navigate. This is most appreciated by the Assessors with regard to the unique Scheme development and endorsement processes found in the UK. In addition, the Assessor appreciates the professionalism, cooperation and support from Mr. Alun Watkins, PEFC UK Executive Director and the many Steering Group members who responded to the stakeholder survey.

3.10 Stakeholder Survey

During the course of this assessment, PEFC UK supplied the names, organizations and email addresses of the members of the Steering Group to the assessor in order to survey members regarding the standard setting process. The survey was developed by the Assessor to help determine whether Steering Group meetings were held in a manner conforming to PEFC requirements.

Mr. Alun Watkins, Executive Director – PEFC UK, provided the names and email addresses of the Steering Group members. The survey was distributed to all members of the Steering Group with a two-week response period. The Assessor finds that survey responses give an added measure of assurance that standard setting processes were in conformance to PEFC requirements.

The Assessor received eight (8) survey responses during the survey period (See Annex 2 for survey responses). All but one agreed with the all the questions indicating strong approval of the Steering Committee revision process.

It is noted that one responder believed that his concern for a standard that “catered much better for small and low-intensity managed forests,” was not adopted. However, he noted that his views were received by the group and went on to agree that consensus was reached during the revision process. He also notes in his responses that he felt not enough members of social interest groups were represented. (Please see Table 3 for a detailed view of the Steering Committee constituencies)

On the whole, responses from the survey indicate to the Assessor that the standard revision processes were open, transparent, consensus based, met PEFC standard setting procedures and process requirements and that the Steering Group approved the process.

4. Structure of the System

History

PEFC UK Ltd was initially established in 2000 and is currently registered in Scotland. The organization currently maintains an administrative office in Sheffield, England. It is registered as a not-for-profit organization. The Articles of Association were first adopted in 2000 and were most recently updated in 2010. PEFC UK Ltd owns, governs and administers the PEFC UK Scheme. PEFC UK Ltd is the recognized national governing body by PEFC Council. The PEFC Council initially endorsed the Scheme in 2002 and has re-endorsed the Scheme revisions in 2007 and 2013.

Current Structure

The national governing body, PEFC UK Ltd., owns, governs and administers the Scheme. This is overseen by a nine-member Board of Directors, including the Chairman and managed by the National Secretary.

PEFC UK Ltd responsibilities include, but are not limited to the following actions.

1. Manage the Scheme to meet PEFC Council endorsement requirements.
2. Promote the UK Woodland Assurance Standard, as the national certification standard for Sustainable Forest Management in the UK.
3. Participate in the development, monitoring and review of the UK Woodland Assurance Standard.
4. Set and review the eligibility criteria for certification bodies wishing to carry out third party audits under the Scheme.
5. Resolve appeals, complaints and disputes arising out of the operation of the Scheme that cannot be resolved between the Certification Body and the Auditee or the UKWAS interpretation panel, or arising due to suspension, or arising due to withdrawal of a license to use the product label.
6. Formal adoption of the UKWAS Standard as the PEFC UK Scheme.

The National Secretary ensures the coordination and daily management activities of the organization. The Secretariat responsibilities include but are not limited to the following actions.

1. Maintain an up-to-date register and control of all entities using the PEFC logo and ensuring its correct use.
2. Verify the rules for logo use and their conformity with PEFC Council Technical Document PEFC ST 2001:2008 v2 PEFC Logo Use Rules - Requirements and, whenever necessary, implementing corrective or preventive actions.
3. Manage the register of certification bodies.
4. Manage the PEFC requirement for the Notification of accredited Certification Bodies within the UK.

5. Participate in the UKWAS standard revision process.

The PEFC UK Scheme is unique among many other PEFC recognized national governing bodies in that it does not formally set the forest certification standard. The PEFC UK forest certification standard is managed by an independent company; United Kingdom Woodland Assurance Standard (UKWAS). The PEFC UK is a participating member of the UK Steering Group, the body that is responsible for the required five-year review and revision of the UKWAS.

Additionally, the PEFC UK Scheme also includes the United Kingdom Forestry Standard (UKFS). This document codifies the criteria and indicators for sustainable forest management in the UK.

UKWAS

The “United Kingdom Woodland Assurance Standard (UKWAS)”, was established in 2003 as a not-for-profit body with the mission to own and manage the certification standard. The company is limited by guarantee (company number SC199337) and is managed by its members. The objectives of UKWAS are *“to own, interpret, develop and promote a certification standard for forest management in the United Kingdom on behalf of United Kingdom forestry and environmental communities, and bodies which represent the interests of people working in woods and forests or using them for the purpose of recreation, for the general benefit of people”*.

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

Additionally, subsequent demand from the UK forestry and forest products sector, called for the certification standard to be designed to reflect the requirements of the two leading global forest certification schemes – the Forest Stewardship Council (FSC) and Programme for the Endorsement of Forest Certification schemes (PEFC).

The UKWAS standard setting process requires the UKWAS Steering Group to invite representatives from PEFC UK and FSC UK to participate in the standard setting revision process and confirm that the standard revision procedures meet the standard setting procedures of their respective systems. This allows PEFC UK the means to adopt the UKWAS and put it forward for PEFC endorsement.

UKFS

The UKFS serves as the basis for legal and sustainable forest management on all forest lands in England, Scotland, Wales and Northern Ireland. The standard is compatible with both the Helsinki and Pan-European Guidelines.

The UKFS and Guidelines have been developed by the Forestry Commission in Great Britain and the Forest Service, an agency within the Department of Agriculture and Rural Development in Northern Ireland. The UKFS and Guidelines have been endorsed by the UK and country governments and apply to all UK forests and woodlands. Together with the national forestry

policies and strategies of England, Scotland, Wales and Northern Ireland, the UKFS provides a framework for the delivery of international agreements on sustainable forest management, alongside policies on implementation. In addition UKFS acts as a supporting mechanism for those areas of UKWAS that cannot or do not address PEFC requirements. (Please see Annex 1, parts I – III for examples.)

Finding

The Assessor finds that the PEFC UK scheme **Structure of the System** to be **IN CONFORMANCE** with PEFC requirements with **No Nonconformity** identified.

5. Standard Setting Process

Overview

The standard setting procedures and processes applied by UKWAS Steering Group (SG) are detailed in the PEFC UK Forest Certification Scheme for Sustainable Forest Management 2016. Verification of these processes through minutes, public invitation emails, etc., is provided in more detail in Annex 4 of this report.

PEFCC requires that the standard setting process be assessed on two aspects. First, a conformity assessment of the PEFC requirements as defined in PEFC ST 1001:2010 - Standard Setting Procedures against PEFC UK Certification Scheme for Sustainable Forest Management - Revision 2016. The additional documents, UKWAS Standard Setting Process – Version 2.0 and UKWAS Revision Process 2013 – 2016 provide valuable and detailed information regarding standard setting procedural requirements.

The second aspect of the standard setting conformance assessment regards conformity of the standard setting processes undertaken by the UKWAS Steering Group (SG). Accompanying evidentiary process documentation has been provided in SG minutes of meetings, public announcements of the revision, invitations to stakeholders, notice of public consultation period, etc. as defined in PEFC ST 1001:2010. (See Annex 4)

Refer to Chapter 4 of this report for a general summary of the organization and the structure and responsibilities of the involved parties in the PEFC UK Scheme revision.

Pilot testing was undertaken with the initial PEFC UK Scheme. There were no significant areas of change with regard to the forest management standard. In addition, experience gained in working with the PEFC UK Scheme over previous years and assisted by both comments received at the initial consultation prior to the revision process starting and at subsequent consultations, pilot testing was not required.

The following provides a more detailed analysis of the standard setting procedures and processes, noting core findings for PEFC requirements and identification of any nonconformities noted by the Assessor.

The UKWAS Process: Key Components

As part of the PEFC requirements for certification, national standards must be reviewed on a five-year basis. Beginning in 2013, the UKWAS began preliminary ground work to commence the assessment for the Standard. The UKWAS revision and consultation process was undertaken in three specific phases:

- Phase I – Evidence Gathering

- This is the initial consultation and is accomplished through a public call for comments on the current standard and reaching out to key stakeholder groups. It is intended for this consultation to identify areas needing review. The comment period is set for a minimum of 60 days.
- Phase II – Main Revision Drafting
 - The PEFC UK, other certification schemes and stakeholders including the general public provide comments for the SG. Issues papers are presented to SG and the SG meets to review all papers and comments received. The comment period is set for no less than 60 days. All draft standards are available for public review.
- Phase III – Conclusion
 - SG meets to consider issues which may have arisen during the consultation. The SG makes final revisions to the draft. SG reaches consensus on the draft and submits the approved standard to PEFC UK and other certification systems.

Table 2 provides a more detailed review of the Phases, actions taken by the SG during those Phases and SG output from the actions taken during the respective Phase.

Table 2. UKWAS Standard Setting Processes and Timelines

Milestones for the Revision of the UKWAS Standard		
Phase I – Evidence Gathering		
Date	Action Taken	Output
Dec 2013 – Sep 2014	a) Interpretation Review – collate advice from Interpretation Panel. b) Technical Review – identify and collate any new scientific or technical knowledge e.g. Forestry Standard, Guidelines and supporting documents. c) International Benchmarking Review – request information from the certification schemes. d) Standard Users’ Feedback Review – request information from the certification schemes. e) Initial Stakeholders’ Consultation – undertake public consultation (Feb-March 2014). f) SLIM Woodlands Review –	An Issues Paper was prepared identifying the information to be taken into consideration during the main revision drafting phase.

	<p>identify relevant issues.</p> <p>g) Certification Schemes' Requirements Review – request information from the certification schemes.</p>	
Phase II – Main Revision Drafting		
Date	Action Taken	Output
Sep 2014 – Oct 2015	<p>a) ask UK certification schemes to provide a final confirmation in writing of Certification Schemes' requirements by 31st March 2014.</p> <p>b) invite UK certification schemes to undertake International Benchmarking Review and Standard Users' Feedback Review and provide written reports to the Steering Group by 31st March 2014.</p> <p>c) consultation by 1st February with return date of 31st March 2014.</p> <p>d) PW (with Board) to prepare Issues Paper for Steering Group including the requirement, if any, for undertaking further research.</p> <p>e) Steering Group meets to consider Issues Paper and to initiate further work as necessary.</p> <p>f) PW (with Board) to conclude Issues Paper.</p>	<p>A 'Revision Draft' of the UKWAS standard was issued for a 60 day consultation.</p>
Phase III		
Date	Actions Taken	Output
Nov 2015 – Apr 2016	<p>a) SG meets to consider issues arising from consultation</p> <p>b) Necessary revisions incorporated into draft</p> <p>c) SG issues "Pre-approval Draft" for 30-day consultation.</p>	

	<p>d) SG meets to consider responses and conclude the drafting of the revised standard</p> <p>e) SG submits draft to PEFC UK for onward transmission to certification schemes.</p>	Final Draft for submission to PEFC UK
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Note: Records are available at <http://ukwas.org.uk/documents>

UKWAS Steering Group

The UKWAS Steering Group is a broadly based assembly of stakeholder organizations appointed by the UKWAS membership. They are selected for their knowledge, expertise and understanding of the standard setting process and the influence it may have upon their sector. They have the responsibility of interpreting the standard and ensuring its periodic revisions. They are appointed by the UKWAS in a manner that ensures that no single interest will dominate or be dominated during the process. (See Table 3 for a detailed breakdown of the constituencies.)

Table3. UKWAS Steering Group Constituencies

UKWAS Steering Group Constituencies	
Constituency	Number of Members
Woodland Owners	6
Confederation of Forest Industries	
County Land and Business Association	
Forest Practitioners	5
Institute of Chartered Foresters	
Confederation of Forest Industries	
Country Forestry Authorities and Forest Enterprises	4
Forestry Commission - England	
Forestry Commission - Scotland	
Northern Ireland Forest Service	
Natural Resources Wales	
Environmental Organizations	6
Woodland Trust	
WWF - UK	
RSPB	
National Trust	
Forest User Organizations	2
British Association for Shooting and Conservation	
Wood Processing Industry	3
Wood Panel Industries Federation	
UK Forest Products Association	
Confederation of Forest Industries	

Wood Products Trade	2
WWF – UK (Forest Products & Trade Network)	
UK Countryside, Environment and Heritage Agencies	3
UK Statutory Conservation, Countryside & Environment Agencies	
Forestry Standard Setting and Labeling	6
Forestry Commission - UKFS	
Forest Stewardship Council - UK	
PEFC - UK	
Local Government and National Park Authorities	2 (Vacant)
Education, Research and Training	3 (non-voting)
Forest Workforce	2 (Vacant)

Finding

The Assessor finds that the **Standard Setting Procedures** to be **IN CONFORMANCE** with PEFC requirements with **No Nonconformity** identified.

The Assessor finds the **Standard Setting Processes** to be **IN CONFORMANCE** with PEFC requirements with **No Nonconformity** identified.

6. Forest Management Standard

Forests of United Kingdom

The forests of the UK have been in use by humans for thousands of years. By the 20th century this occupation and forest land use reduced the UK's forest cover to approximately 5 percent of UK's landmass. With steady programs of planting, woodland owner education and enthusiasm for great forest land cover, this area has increased to 13 percent or, nearly tripling in size in the past 100 years to approximately 3 million hectares.

Approximately two-thirds of the forest ownership in the UK is in the hands of private individuals. Typically these woodlands are part of mixed estates or farms. There are literally thousands of small-farm woodlands, but rarely do they exceed 1000 hectares. For many of these ownerships the management of game is the typical objective. Management of the forest for timber resources is considered an important function of the larger family estates and company ownerships. However, management for recreational purposes is noted to be on the rise.

The other one-third of the forest ownership is largely publicly owned and managed by the Forestry Commission and the Department of Agriculture and Rural Development in Northern Ireland. These forests tend to be the newer forests established in the 20th Century in areas of poor agricultural production and upland highlands. Typically these forests have been established with coniferous species.

Today the United Kingdom has no natural forests. Forest types tend to be either semi-natural woodlands or planted woodlands. The semi-natural woodlands are mainly broadleaved but include some native pine forests in the highlands of Scotland. Planted forests are made up of broadleaved species native to the British Isles. They are planted for a myriad of purposes including landscape, timber production and shelter and homes for game and other wildlife. The forest industry relies heavily on conifer species such as the introduced Sitka spruce (*Picea sitchensis*) and the native Scots pine (*Pinus sylvestris*).

The United Kingdom's forests supply about 20 – 25 percent of its needs, or approximately 15 million cubic meters per annum. The forest industry provided employment for nearly 30,000 people, with nearly half employed in harvesting activities.

The UKWAS (UK Woodland Assurance Standard)

The UKWAS has been designed to be an independent forest certification standard, defining requirements for woodland owners, managers, and certification bodies in order to certify the management of forests of the United Kingdom of Great Britain and Northern Ireland.

A primary function of the Standard is to reflect the requirements of the UK Government standard known as the UK Forestry Standard. It reflects the General Guidelines adopted by European Forestry Ministers in Helsinki in 1993 and the Pan-European Operational Level Guidelines (PEOLG) subsequently adopted at Lisbon in 1998, as well as other pertinent and relevant international agreements.

Conformance with the UKWAS is voluntary. No woodland owner or manager is required by law to conform to the Standard. However, in order to achieve PEFC UK forest certification, an independent third-party evaluation by an accredited certifier must confirm conformance, in order to obtain a forest management certificate from the certifying body.

UKWAS certification standard is structured around five sections:

1. Legal Compliance and UKWAS Conformance
2. Management Planning
3. Woodland Operations
4. Natural, Historical and Cultural Environment
5. People Communities and Workers

These are broken down further using the following.

- Requirements - compulsory elements of the Standard. Woodland management must meet all elements of the requirements.
- Example Verifiers – these act as indicators offering evidence that the requirement is being met.
- Guidance Notes – provide general assistance to the woodland owner and the certifier to demonstrate how the practices should be applied. (Not included in Table 4)

Table 4. Requirements, and Example Verifiers for UKWAS

Requirements and Example Verifiers		
	Requirements	Verifiers
Legal Compliance	3	23
Management Planning	15	97
Woodland Operations	7	74
Natural, Historical, Cultural, Environmental	9	67
People, Communities, Workers	7	43

The forest management standard is in full compliance with international law, including relevant international conventions which have been ratified by the government of the United Kingdom (See Table 5).

Table 5. ILO Conventions Ratified by the Government of the United Kingdom

Ratification Status of ILO Conventions for the United Kingdom		
Code	Convention	Date of Ratification
ILO No 29	Forced Labor, 1930	1930
ILO No 87	Freedom of Association and Protection of the Right to Organize, 1948	1948
ILO No 98	Right to Organize and Collective Bargaining, 1949	1949
ILO No 100	Equal Remuneration, 1951	1951
ILO No 105	Abolition of Forced Labor, 1957	1957
ILO No 111	Discrimination (Employment and Occupation) 1958	1958
ILO No 138	Minimum Age for Admission to Employment, 1973	1973
ILO 182	Worst Forms of Child Labor Convention, 1999	1999

The UKWAS is designed to enable verification of the forests in the UK being sustainably managed in all three pillars of sustainability; i.e. environmental, social and economic. It aligns with the General Guidelines adopted by European Forestry Ministers in Helsinki in 1993 and the Pan-European Operational Level Guidelines (PEOLG) subsequently adopted at Lisbon in 1998, as well as other pertinent and relevant international agreements. The UKWAS has a robust set of Requirements and in-the-field Verifiers that call for the demonstration of maintenance and protection forest productivity, forest biodiversity, soils and water while safeguarding the rights of workers and other forest users.

Finding

The Assessor finds the **Forest Management Standard** to be **IN CONFORMANCE** with PEFC requirements with **No Nonconformity** identified.

7. Group Certification Model

The PEFC UK Scheme offers forest owners two forms of forest certification; individual forest management certification and group forest management certification. The fundamental basis of group certification is that the costs of certification are spread across multiple forest owners, thereby reducing the cost and making forest certification a more attractive proposal. The supposition for this cost reduction is that only a sample of properties need be audited and that the costs will be shared by many. The proposition of group certification is that all members of the group have formally committed their forest management to complying with the PEFC UK Scheme.

The PEFC UK Scheme identifies two bodies under group certification; the Group Entity and Group Member. Both have different responsibilities within the group certification system.

The Group Entity carries the responsibility of ensuring conformity of forest management within the certified area in accordance with the sustainable forest management requirements and any other requirements as specified within the PEFC UK Scheme.

The Group Entity is responsible for certain matters such as the following.

- Establishes the area which is considered certified.
- Informs the group forest owners about the benefits of group forest certification.
- Contracts with the group forest owners participating in the certification process.
- Represents group certification participants to the certification body.
- Oversees an internal monitoring process.
- Informs the group forest owners about the requirements of PEFC UK.
- Manages and administers the group database.
- Informs the group forest owners found to be out of compliance with the Standard
- Reports required data and information to PEFC UK.

Group Participants agree to the following:

1. provide the group entity with a written agreement, including a commitment on conformity with the sustainable forest management standard;
2. comply with the sustainable forest management standard;
3. 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;
4. allow access to the forest and other facilities, whether in connection with formal audits or reviews or otherwise;
5. implement relevant corrective and preventive actions established by the group entity.

Additionally, certification bodies registered to operate under the PEFC UK Scheme are required to have developed requirements and procedures for specifically assessing Group Certification applications.

Finding

The Assessor finds the **Group Certification Model** to be **IN CONFORMANCE** with PEFC requirements with **No Nonconformity** identified.

8. Chain of Custody Standard

PEFC UK has adopted in full and without modification the PEFC Council International Standard PEFC ST 2002:2013 (Second edition) - Chain of Custody of Forest Based Products: Requirements.

Finding

The Assessor finds that the **Chain of Custody Standard** to be **IN CONFORMANCE** with PEFC requirements with **No Nonconformity** identified.

9. Implementation of PEFC Logo Usage

PEFC UK has adopted the rules and guidance set out in PEFC Council's International Standard ST 2001:2008 v2 Logo Usage Rules – Requirements and it will be followed by all certificate holders. PEFC UK is recognized as the appropriate 3rd party licensing authority in the UK.

Finding

The Assessor finds the **Logo Usage Rules** to be **IN CONFORMANCE** to PEFC requirements with **No Nonconformity** identified.

10. Certification and Accreditation Arrangements

PEFC UK has adopted PEFC Council Annex 6: Certification and Accreditation Procedures and PEFC International Standard ST 2003:2012 (Second edition) Requirements for Certification Bodies operating Certification against the PEFC International Chain of Custody Standard. PEFC certifications shall be carried out by impartial, independent third parties that cannot be involved in the standard setting process as governing or decision making bodies, or in the forest management and are independent of the certified entity.

Certification bodies carrying out certification audits in the UK must demonstrate technical competence with regard to the method of procurement and processing timber and forest based products. Compliance with these and other requirements will be verified by the national accreditation body which is a part of the IAF umbrella or a member of IAF's special recognition groups. Certification bodies wishing to carry out certification must meet ISO/IEC 17021:2011 for management systems and ISO/IEC 17065:2012 for Chain of custody.

Auditors must demonstrate adequate knowledge of the PEFC UK Scheme and have general knowledge of forest management and its environmental impacts. They must also fulfill general criteria for quality and environmental management systems auditors as defined in ISO 19011.

Finding

The Assessor finds the **Certification and Accreditation Procedures** to be **IN CONFORMANCE** with PEFC requirements with **No Nonconformity** identified.

11. Complaints and Disputes Resolution Procedures

The PEFC UK Scheme states that all certification bodies registered to operate under the Scheme are required to have documented procedures for dealing with all appeals, complaints and disputes relating to the certification process - up to and including the point of award, suspension or withdrawal of forest management and/or chain of custody certificates.

In cases where the dispute relates specifically to the interpretation of the UKWAS, and it cannot be solved by the certification body's independent panel, then such matters will be referred to the UKWAS Interpretation panel.

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

The PEFC UK Board will function as the final body of appeal in the case of disputes related to certification decisions, use of the PEFC logo and label and/or loss of the certificate. The entity that wishes to resort to this authority is to contact, in writing, the National Secretary of PEFC UK normally, within one month of the grievance informing PEFC UK Ltd of the background and detail of the appeal.

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

Finding

The Assessor finds the **Complaints and Dispute Resolution Procedures** to be **IN CONFORMANCE** with PEFC requirements with **No Nonconformity** identified.

Annex 1: PEFC Standard Requirements Checklist

Purpose

The following standard setting checklists are included as part of PEFC GD 1007-01:2012. They were utilized by the Assessor to aid and provide detailed analysis of compliance to the PEFC Council requirements for the PEFC UK Scheme endorsement process.

Methodology

The checklists are in tabular form and divided usually into 3 or 4 columns. The first column on the left documents the standard criteria and poses the question of conformance. For Part I: Standard and System Requirement Checklist for standard setting (PEFC ST 1001:2010) – the first column on the left documents the standard criteria and poses the question of conformance. The second column from the left denotes either Process or Procedure. The third column denotes either YES or NO with regard to conformance to PEFC requirements and at times N/A if the criteria is not applicable to the scheme. The final column on the right is the Assessors detailed reference to the submitted standard revision documentation and where required, commentary on the requirement by the Assessor.

For all other checklists (Parts II to VI) the first column on the left references the standard criteria and poses the question of conformance. The second column from the left denotes either YES or NO with regard to conformance to PEFC requirements and at times N/A if the criteria is not applicable to the EFCS scheme. The final column on the right is the Assessors detailed reference to the provided scheme revision documentation.

Criteria that were found to be in conformance to the PEFC Council International Benchmark Standards are indicated with a black YES and **CONFORMITY**. Those criteria found to have a minor non-conformity and do not violate the integrity of the certification system are denoted with a red NO and **NONCONFORMITY**. In case of a major non-conformity, which violates the integrity of the certification system, and needs addressing immediately, the criteria were marked with a red NO and noted as a bold, red **MAJOR NONCONFORMITY**.

References, citations and descriptions of Scheme Documentation

Under the References to Application Documents column the Assessor used the following procedure.

The first line of the reference starts with the attribution of the relevant document and section (e.g. PEFC UK SCHEME Section 6, CR 6.3). When supporting documentation indicate that requirements are met, citations from the standard are copied and follow the document attribution. These citations are placed in quotations and italicized (e.g., *“accredited certification*

bodies ...). In instances when the Assessor captures the findings in his own words the citations are not placed in quotations or italicized.

Legend

“Yes/No” Column

YES – assessment shows **CONFORMITY** with PEFC International Benchmark Standards

NO – assessment shows **NONCONFORMITY** to the PEFC International Benchmark Standards

NO Major Non-conformance- assessment shows **MAJOR NONCONFORMITY** to PEFC International Benchmark Standards

N/A – not applicable

“Reference to Application Documents” Column

“*Black*” – quotations from the PEFC standard documents placed in italics

Black – Assessor evaluations or overarching comments

Part I: Standard and System Requirement Checklist for standard setting (PEFC ST 1001:2010)

1 Scope

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

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

2 Checklist

Question	Assess. basis*	YES /NO*	Reference to application documents
Standardising Body			
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) and for formal adoption of the standard (see 5.11),	Procedures	YES	<p>PEFC UK Certification Scheme for Sustainable Forest Management Revision 2016 (PEFC UK SCHEME)</p> <p>Introduction: <i>“The PEFC United Kingdom Certification Scheme for Sustainable Forest Management (the Scheme) was first adopted by PEFC UK Ltd in 2001....The Board of PEFC UK Ltd will adopt the UKWAS at a meeting of the Directors on the 5th July 2016, as part of the PEFC UK Certification Scheme. It will also adopt all required implementation dates of PEFC Council documentation including Technical, Annexes and supporting Appendices and Guidelines, as currently approved.”</i></p> <p>Section 2, CR 2.2: <i>“Scheme Governance and Structure: The Scheme is owned, governed and administered by a National Governing Body, PEFC UK Ltd, which is responsible for: Managing the Scheme to meet the endorsement requirements of PEFC Council, Developing and reviewing the design of the Scheme with a view to continuous improvement. Developing, implementing and reviewing the rules and requirements for participation in the Scheme by certification applicants, with particular reference to the requirements and conditions set out by PEFC Council.</i></p> <p>Section 6: <i>“UK Woodland Assurance Standard”</i> CR 6.2: <i>“UKWAS: UKWAS members appoint a broadly based Steering Group which has responsibility for interpreting the standard and ensuring its periodic revision to take account of experience from its application and new information that arises.”</i></p>

Question	Assess. basis*	YES /NO*	Reference to application documents
			<p>Appendix 3</p> <p>B1 Introduction: <i>“The Company’s Members appoint a broadly based Steering Group which has responsibility for interpreting the standard and ensuring its periodic revision to take account of experience from its application and new information that arises.”</i> B5: <i>“Consensus: Decisions of the Steering Group shall require the unanimous vote of those attending and voting at a duly convened meeting of the Steering Group. Any member attending the meeting but abstaining from voting shall not be counted (Article 40.3).”</i></p> <p>C4 Decision to approve the standard: <i>“The Steering Group shall be responsible for approving the standard or any revision thereof.”</i></p> <p>Standard-Setting Process</p> <p>Section A. <i>“General Provisions”</i></p> <p>CR A1: <i>“Independence: A not-for-profit company, ‘United Kingdom Woodland Assurance Standard (UKWAS)’, was established in 2002 to own and manage the standard....The Company’s Objects are: To own, interpret, develop and promote a certification standard for forest management in the United Kingdom on behalf of United Kingdom forestry and environmental communities, and bodies which represent the interests of people working in woods and forests or using them for the purpose of recreation, for the general benefit of people.”</i></p> <p>From the July 5, 2016 PEFC UK Ltd minutes: <i>“AW tabled the revised PEFC UK SFM Scheme document. This had been revised to take into account the requirements of UKWAS 4. It was currently out for global public consultation but it was hoped that it would be re-endorsed at the General Assembly in November. The PEFC UK Board approved the UK Scheme.”</i></p> <p>CONFORMITY</p>
b) the record-keeping procedures,	Procedures	YES	<p>PEFC UK SCHEME</p> <p>Section 6, CR 6.5: <i>“6.5 Records: Minutes of all meetings are kept by the UKWAS Support Unit at 5 Dublin Street Lane South, Edinburgh”</i></p> <p>Appendix 3, B7: <i>“Records: The Steering Group shall keep the following records of the standards development process: a) List of all consultants or other individuals who have been involved in drafting the standard, together with their affiliations. b) List of all forest</i></p>

Question	Assess. basis*	YES /NO*	Reference to application documents
			<p>stakeholders invited to participate in the standards setting process. c) List of all forest stakeholders sent specified drafts of the standard and invited to comment. d) List of forest stakeholders that have participated in the standards setting process through other means, together with a note of the nature of such participation. e) All correspondence in relation to development of the standard. f) Copies of each draft of the standard which was prepared during the development process. g) Copies of all comments submitted in writing with respect to the specified draft standards. h) Summaries of comments on each draft, together with a brief explanation of the way in which those comments were responded to in the draft. The Steering Group shall provide the certification schemes with a copy of the complete set of records specified above in support of the accreditation processes and shall keep a copy of the records for at least seven years. All records noted above will be available on the UKWAS web site and to all interested parties on request.”</p> <p>CONFORMITY</p>
c) the procedures for balanced representation of stakeholders,	Procedures	YES	<p>PEFC UK SCHEME</p> <p>Section 6, CR 6.2: “The company’s objects are “to own, interpret, develop and promote a certification standard for forest management in the United Kingdom, on behalf of United Kingdom forestry and environmental communities, and bodies which represent the interests of people working in woods and forests or using them for the purpose of recreation, for the general benefit of people”.</p> <p>Section 6, CR 6.3: “Current Membership Base: The following is the structure of the steering group and the maximum representation for each of the 13 constituencies: Chair and Secretary (2), Woodland owners (6), Forest Practitioners (5), Country Forestry Authorities and Forestry Enterprises (8), Environmental organisations (6), Forest user organisations (2), Wood processing industry (3), Wood products trade (2), Forest workforce (2), UK Countryside, Environment and Heritage Agencies (3), Local Government and National park Authorities (2), Forestry Standard setting and Labelling bodies (6) (Including PEFC UK Ltd), Forest workforce (2) Local government and National Park Authorities (2) Education, Research and Training (3 non-voting).</p> <p>Appendix 3, B2: “Steering Group: Article 38 requires that “Steering Group Rules” shall be adopted (and can be amended from time to time) by Members in a General Meeting. The Steering Group Rules shall regulate, inter alia, the number, appointment, retirement and</p>

Question	Assess. basis*	YES /NO*	Reference to application documents
			<p><i>removal of Steering Group members. The Steering Group Rules were adopted in December 2003.”</i></p> <p>Steering Group Rules</p> <p><i>“1. A master list (Annex A) will be kept of the Steering Group constituencies. The master list will include the maximum number of seats in each constituency, and the names of Members who can make appointments to that constituency. The master list can only be amended by consensus at General Meeting.</i></p> <p><i>2. Each Member will advise whether the organisation represents economic, environmental or social interests; those with cross-cutting interests will advise all the interests represented. The interest group/s will be noted on the master list.</i></p> <p><i>3. Members responsible for appointments to a constituency will agree amongst themselves the number of appointments each Member can make to that constituency. Any Member making an appointment to the Steering Group will be referred to as the ‘Sponsoring Member’ for the person or people they appoint. It is not necessary for all seats in a constituency to be filled.</i></p> <p><i>4. The Sponsoring Member can remove an appointment they have made to the Steering Group by writing to the Company Secretary explaining that the person they appointed should no longer serve on the Steering Group.</i></p> <p><i>5. If the Sponsoring Member retires from membership of the Company or is removed from Membership in accordance with Article 8.2 then any appointments they have made to the Steering Group will expire.</i></p> <p><i>6. If a person appointed to the Steering Group retires or resigns from the Steering Group, or is removed by the Sponsoring Member, or loses their position because their Sponsoring Member has been removed from Membership, then the Members responsible for appointments to that constituency will appoint a replacement. The replacement need not be made by the same Sponsoring Member.</i></p> <p><i>7. In relation to the standard-setting function, Sponsoring Members shall be invited to reconfirm their appointees to the Steering Group or to make new appointments prior to the Standard-Setting Process commencing.</i></p> <p><i>8. In relation to the standard-setting function, or as otherwise agreed appropriate, the Steering Group may also invite additional persons to provide technical expertise or to represent stakeholder groups not otherwise represented.”</i></p> <p>CONFORMITY</p>

Question	Assess. basis*	YES /NO*	Reference to application documents
d) the standard-setting process,	Procedures	YES	<p>PEFC UK SCHEME</p> <p>Section 6.2: <i>“The company’s(UKWAS) objects are “to own, interpret, develop and promote a certification standard for forest management in the United Kingdom, on behalf of United Kingdom forestry and environmental communities, and bodies which represent the interests of people working in woods and forests or using them for the purpose of recreation, for the general benefit of people. UKWAS members appoint a broadly based Steering Group which has responsibility for interpreting the standard and ensuring its periodic revision to take account of experience from its application and new information that arises. The Steering Group appoints an Interpretation Panel to provide it and users of the standard with advice on interpretation of the standard. This fourth edition of the standard has been developed by the Steering Group through a form 6.4 Standard-Setting Process</i></p> <p>Appendix 3: <i>“Scope: The document defines the procedures and process requirements for the development, maintenance and revision of the United Kingdom Woodland Assurance Standard. The procedures have been developed to ensure alignment with the requirements of the FSC and PEFC forest certification schemes. To ensure their continued alignment, these procedures should be subject to review, as a minimum, a year prior to the commencement of a formal revision of the UKWAS standard. Purpose: This standard setting document defines the roles, responsibilities and authorities of the UKWAS Steering Group in relation to the delivery of the national forest certification standard for the UK.”</i></p> <p>CONFORMITY</p>
e) the mechanism for reaching consensus, and	Procedures	YES	<p>PEFC UK SCHEME</p> <p>Appendix 3, Section B5: <i>“Consensus: Decisions of the Steering Group shall require the unanimous vote of those attending and voting at a duly convened meeting of the Steering Group. Any member attending the meeting but abstaining from voting shall not be counted (Article 40.3).”</i></p> <p>CONFORMITY</p>
f) revision of standards/normative documents.	Procedures	YES	<p>PEFC UK SCHEME</p> <p>Section 6, CR 20: <i>“Review and Revision of the Certification Standard: UKWAS members appoint a broadly based Steering Group which has responsibility for interpreting the certification standard and ensuring</i></p>

Question	Assess. basis*	YES /NO*	Reference to application documents
			<p><i>its periodic revision to take account of experience from its application and new information that arises. The Steering Group sets up task-and-finish groups with specific mandates to provide advice on specific topics and appoints a standing Interpretation Panel to provide it</i></p> <p>Appendix 3, Section D: “Review of the Standard” D1 “Revision: <i>The standard shall be reviewed and revised as necessary on a five year cycle.</i>”</p> <p>CONFORMITY</p>
<p>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.</p>	Procedures	YES	<p>PEFC UK SCHEME</p> <p>Appendix 3: “B3 Transparency: <i>The publication of the UKWAS standard setting procedure on the website ensures transparency of process. The commencement of the Standard-Setting Process and information on the objectives, scope and development process shall be communicated publicly and stakeholder representatives shall be notified directly. This invitation to participate and comment on the publically available process shall be publicised both on the UKWAS and PEFC UK web sites and in trade journals. Key documents including, the Standard-Setting Process, process documents and other related documents, the consultation drafts and the formal responses to comments received shall be available to all interested parties by publication on the website and direct notification of stakeholder representatives. Steering Group members shall receive all relevant papers and minutes of meetings and shall be responsible for keeping their constituents informed. Key Steering Group comments shall be recorded in the minutes. No information on the development of the standard shall be withheld unreasonably.</i>”</p> <p>CONFORMITY</p>
	Process	YES	<p>All standard-setting procedures are publicly available on the UKWAS web site http://ukwas.org.uk/documents including consideration of comments from stakeholders. Stakeholder comments and Steering Group responses can be found in the document “Consultation Report & Steering Group Responses”.</p> <p>From the above referenced document:</p> <p><i>“2.8.1 Requirement: Add link to 4.7.1 in (c). Steering Group response: Section 4 in its entirety is explicitly referenced in the new paragraph (a).</i></p> <p><i>2.8.1 Requirement: Consider constraints imposed in (c). Steering Group</i></p>

Question	Assess. basis*	YES /NO*	Reference to application documents
			<p><i>response: The Group considers the explicit reference to objectives and long term resilience to provide appropriate balance to the general presumption in favour of native species.</i></p> <p><i>2.8.1 Requirement: Restore detailed species and open space breakdown in (e). Steering Group response: Percentage limits have been removed. The new paragraphs (a) and (b) place greater emphasis on selecting a range of species, site suitability, long-term forest resilience, conservation requirements, and regeneration to pre-harvesting or more natural conditions.</i></p> <p><i>2.8.1 Requirement: Merge (e) and (f). Steering Group response: Paragraphs (e) and (f) have been replaced by the new paragraph (b).</i></p> <p><i>2.8.1 Requirement: Change (f) to UKFS text ‘Where more than one species is suited to the site and matches the management objectives, opportunities must be taken to further diversify the above species composition’. Steering Group response: Paragraph (f) has been replaced by the new paragraph (b).”</i></p> <p>CONFORMITY</p>
<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>PEFC UK SCHEME</p> <p>Appendix 3</p> <p>Section B7: <i>“B7 Records: The Steering Group shall keep the following records of the standards development process: a) List of all consultants or other individuals who have been involved in drafting the standard, together with their affiliations. b) List of all forest stakeholders invited to participate in the standards setting process. c) List of all forest stakeholders sent specified drafts of the standard and invited to comment. d) List of forest stakeholders that have participated in the standards setting process through other means, together with a note of the nature of such participation. e) All correspondence in relation to development of the standard. f) Copies of each draft of the standard which was prepared during the development process. g) Copies of all comments submitted in writing with respect to the specified draft standards. h) Summaries of comments on each draft, together with a brief explanation of the way in which those comments were responded to in the draft. The Steering Group shall provide the certification schemes with a copy of the complete set of records specified above in support of the accreditation processes and shall keep a copy of the records for at least seven years. All records noted above will be available on the UKWAS web site and to all interested parties on request.”</i></p>

Question	Assess. basis*	YES /NO*	Reference to application documents
	Process	YES	<p>CONFORMITY</p> <p>All standard-setting procedures are publicly available on the UKWAS web site http://ukwas.org.uk/documents including records related to the Standard-Setting Process.</p> <p>A section of the UKWAS Standard-Setting process document reads as follows: <i>“B7 Records: The Steering Group shall keep the following records of the standards development process: a) List of all consultants or other individuals who have been involved in drafting the standard, together with their affiliations. b) List of all forest stakeholders invited to participate in the standards setting process. c) List of all forest stakeholders sent specified drafts of the standard and invited to comment. d) List of forest stakeholders that have participated in the standard-setting process through other means, together with a note of the nature of such participation. e) Summary progress reports issued following Steering Group meetings. f) Copies of each draft of the standard which was prepared during the development process. g) Copies of all comments submitted in writing with respect to the specified draft standards. h) Summaries of comments on each draft, together with a brief explanation of the way in which those comments were responded to in the draft. The Steering Group shall provide the certification schemes with a copy of the complete set of records specified above in support of their approval/endorsement processes and shall keep a copy of the records for at least seven years. These records will also be made available on the website and, on request, to all interested parties.”</i></p> <p>All of these referenced documents are available on the UKWAS website.</p> <p>CONFORMITY</p>
4.4 The standardising body shall establish a permanent or temporary working group/committee responsible for standard-setting activities.	Procedures	YES	<p>PEFC UK SCHEME</p> <p>Section 6.2: <i>“UKWAS members appoint a broadly based Steering Group which has responsibility for interpreting the standard and ensuring its periodic revision to take account of experience from its application and new information that arises. The Steering Group appoints an Interpretation Panel to provide it and users of the standard with advice on interpretation of the standard. This fourth edition of the standard has been developed by the Steering Group through a formal revision process.”</i></p> <p>CONFORMITY</p>

Question	Assess. basis*	YES /NO*	Reference to application documents
	Process	YES	<p>All standard-setting procedures are publicly available on the UKWAS web site http://ukwas.org.uk/documents including documents specifically addressing the Steering Group. The document "Steering Group Rules states: "Articles 38 to 40 of the UKWAS Articles of Association provide for the establishment of a Steering Group and define its terms of reference and operating procedures. Article 38 requires that "Steering Group Rules" shall be adopted (and can be amended from time to time) by Members in a General Meeting."</p> <p>Appendix 3, Section B2: "Steering Group: The first edition of the standard was developed by an independent and broadly based Technical Working Group and launched in May 1999 prior to the establishment of the Company. Articles 38 to 40 of the Company's UKWAS Articles of Association provide for the establishment of a Steering Group and define its terms of reference and operating procedures: Article 39 requires that the Steering Group shall maintain, amend and interpret the standard. A Steering Group was appointed in November 2002. "</p> <p>Article 38 of the UKWAS Articles of Association states: "The first Members of the Steering Group shall be appointed by the Members in General Meeting and shall hold office only until the next following annual general meeting. If not re-appointed at such annual general meeting in accordance with the provisions of this Article, the member shall vacate office at the conclusion thereof. All further Members of the Steering Group will be appointed by the Members in accordance with, and shall serve in office in accordance with, such rules ("Steering Group Rules") for appointment adopted by the Members in General Meeting from time to time in accordance with Article 31... The Steering Group Rules as adopted and amended from time to time shall regulate, inter alia, the number, appointment, retirement and removal of Steering Group members."</p> <p>CONFORMITY</p>
4.4 The working group/committee shall:			
a) be accessible to materially and directly affected stakeholders,	Procedures	YES	<p>PEFC UK SCHEME</p> <p>Appendix 3, Section B2: "The standard setting body will also identify any disadvantaged and/or key stakeholders and proactively seek their assistance and participation in the Standard-Setting Process, in a format that is easily understood."</p>

Question	Assess. basis*	YES /NO*	Reference to application documents
			<p>CONFORMITY</p> <p>All standard-setting procedures are publicly available on the UKWAS web site http://ukwas.org.uk/documents or by request to UKWAS, including a roster of the Steering Group, public consultation drafts, standard development schedule, Steering Group minutes, Steering Group responses to public inquiries and summary consultation reports. The Steering Group membership list demonstrates balance, expertise and shows that materially and directly affected stakeholders were represented. The members include representatives from forest companies, woodland owners, forest practitioners, forestry authorities, academia, wood processing, forest industry, environmental organizations and government.</p> <p>The assessor concludes the level of detail and record keeping of these documents demonstrate conformance to this requirement.</p> <p>CONFORMITY</p>
<p>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</p>	Procedures	YES	<p>PEFC UK SCHEME</p> <p>Appendix 3, Section B2: <i>“The Steering Group comprises eleven defined constituencies with an agreed maximum representation for each: Woodland owners (6), forest practitioners (5), state forest enterprises (4), environmental organisations (6), forest user organisations (2), wood processing industry (3), wood products trade (2), forest workforce (2), UK countryside, environment & heritage agencies (3), local government & national park authorities (2), forestry standard setting and labelling bodies (6) and education, research & training (3 non-voting). The Steering Group may also invite additional persons to provide technical expertise or to represent stakeholder groups not otherwise represented.....All decisions are made on the basis of consensus so that all stakeholder views will be considered fully and no single interest group can dominate proceedings. In addition the Steering Group shall be accessible to hear and respond to any issues that materially or directly affect stakeholders.”</i></p> <p>CONFORMITY</p>
	Process	YES	<p>All standard-setting procedures are publicly available on the UKWAS web site http://ukwas.org.uk/documents or by request to UKWAS, including a roster of the Steering Group, public consultation drafts, standard development schedule, Steering Group minutes, Steering Group responses to public inquiries and summary consultation reports. The Steering Group membership list demonstrates balance,</p>

Question	Assess. basis*	YES /NO*	Reference to application documents
			<p>expertise and shows that materially and directly affected stakeholders were represented. The members include representatives from forest companies, woodland owners, forest practitioners, forestry authorities, academia, wood processing, forest industry, environmental organizations and government representatives.</p> <p>Steering Group minutes demonstrate that decisions were unanimous; therefore no single interests dominated the process.</p> <p>The assessor concludes the level of detail and record keeping of these documents demonstrate conformance to this requirement.</p> <p>CONFORMITY</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>PEFC UK SCHEME</p> <p>Section 6, CR 6.3: <i>“Current Membership Base: The following is the structure of the steering group and the maximum representation for each of the 13 constituencies: Chair and Secretary (2), Woodland owners (6), Forest Practitioners (5), Country Forestry Authorities and Forestry Enterprises (8), Environmental organisations (6), Forest user organisations (2), Wood processing industry (3), Wood products trade (2), Forest workforce (2), UK Countryside, Environment and Heritage Agencies (3), Local Government and National park Authorities (2), Forestry Standard setting and Labelling bodies (6) (Including PEFC UK Ltd), Forest workforce (2) Local government and National Park Authorities (2) Education, Research and Training (3 non-voting).</i></p> <p>Appendix 3, B2: <i>“The Steering Group may also invite additional persons to provide technical expertise or to represent stakeholder groups not otherwise represented.”</i></p> <p>CONFORMITY</p>
	<p>Process</p>	<p>YES</p>	<p>All standard-setting procedures are publicly available on the UKWAS web site http://ukwas.org.uk/documents or by request to UKWAS, including a roster of the Steering Group, public consultation drafts, standard development schedule, Steering Group minutes, Steering Group responses to public inquiries and summary consultation reports. The Steering Group membership list demonstrates balance, expertise and shows that materially and directly affected stakeholders were represented. The members include representatives from forest companies, woodland owners, forest practitioners, forestry authorities, academia, wood processing, forest industry,</p>

Question	Assess. basis*	YES /NO*	Reference to application documents
			<p>environmental organizations and government.</p> <p>The assessor concludes the level of detail and record keeping of these documents demonstrate conformance to this requirement.</p> <p>CONFORMITY</p>
<p>4.5 The standardising body shall establish procedures for dealing with any substantive and procedural complaints relating to the standardising activities which are accessible to stakeholders.</p>	Procedures	YES	<p>PEFC UK SCHEME</p> <p>Appendix 3: Section C5: <i>“Dispute resolution: Any query relating to the interpretation of the meaning of the standard shall be remitted to an Interpretation Panel which shall be appointed by the Steering Group to provide it and users of the certification standard with advice on its interpretation. The Steering Group shall appoint an independent chair of the Interpretation Panel and shall publish its rules, procedures and advice on the website. Any grievance relating to the Standard-Setting Process should be addressed to the Company Secretary and shall be considered and determined by the Steering Group in accordance with the provisions of Articles 40.2 and 40.3 (see C3 above). The Steering group shall initially acknowledge receipt of the complaint, then gather sufficient evidence to validate the complaint and to objectively make a decision. On reaching a decision, the Steering Group will formally communicate the decision to the complainant. In the event of a complainant wishing to appeal against the Steering Group’s determination the matter shall be remitted to the chair of the Interpretation Panel whose decision shall be final. “</i></p> <p>CONFORMITY</p>
	Process	N/A	<p>There were no substantive or procedural complaints related to the standardising activities received during the course of the standard revision.</p>
<p>4.5 Upon receipt of the complaint, the standard-setting body shall:</p>			
<p>a) acknowledge receipt of the complaint to the complainant,</p>	Procedures	YES	<p>PEFC UK SCHEME</p> <p>Appendix 3, Section C5: <i>“The Steering group shall initially acknowledge receipt of the complaint, then gather sufficient evidence to validate the complaint and to objectively make a decision.”</i></p> <p>CONFORMITY</p>
	Process	N/A	<p>There were no substantive or procedural complaints related to the standardising activities received during the course of the standard</p>

Question	Assess. basis*	YES /NO*	Reference to application documents
			revision.
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	Procedures	YES	PEFC UK SCHEME <i>Appendix 3, Section C5: "The Steering group shall initially acknowledge receipt of the complaint, then gather sufficient evidence to validate the complaint and to objectively make a decision. On reaching a decision, the Steering Group will formally communicate the decision to the complainant. In the event of a complainant wishing to appeal against the Steering Group's determination the matter shall be remitted to the chair of the Interpretation Panel whose decision shall be final. "</i> CONFORMITY
	Process	N/A	There were no substantive or procedural complaints related to the standardising activities received during the course of the standard revision.
c) formally communicate the decision on the complaint and of the complaint handling process to the complainant.	Procedures	YES	PEFC UK SCHEME <i>Appendix 3, Section C5: "On reaching a decision, the Steering Group will formally communicate the decision to the complainant."</i> CONFORMITY
	Process	N/A	There were no substantive or procedural complaints related to the standardising activities received during the course of the standard revision.
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	PEFC UK SCHEME <i>Appendix 3, Section C5: "Any query relating to the interpretation of the meaning of the standard shall be remitted to an Interpretation Panel which shall be appointed by the Steering Group to provide it and users of the certification standard with advice on its interpretation. The Steering Group shall appoint an independent chair of the Interpretation Panel and shall publish its rules, procedures and advice on the website. Any grievance relating to the Standard-Setting Process should be addressed to the Company Secretary and shall be considered and determined by the Steering Group in accordance with the provisions of Articles 40.2 and 40.3 (see C3 above)."</i> CONFORMITY
Standard-setting process			

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>PEFC UK SCHEME</p> <p>Section 6, CR 6.3: <i>“Current Membership Base: The following is the structure of the steering group and the maximum representation for each of the 13 constituencies: Chair and Secretary (2), Woodland owners (6), Forest Practitioners (5), Country Forestry Authorities and Forestry Enterprises (8), Environmental organisations (6), Forest user organisations (2), Wood processing industry (3), Wood products trade (2), Forest workforce (2), UK Countryside, Environment and Heritage Agencies (3), Local Government and National park Authorities (2), Forestry Standard setting and Labelling bodies (6) (Including PEFC UK Ltd), Forest workforce (2) Local government and National Park Authorities (2) Education, Research and Training (3 non-voting).</i></p> <p>Appendix 3, B2: <i>“The Steering Group may also invite additional persons to provide technical expertise or to represent stakeholder groups not otherwise represented.”</i></p> <p>CONFORMITY</p>
	Process	YES	<p>All standard-setting procedures are publicly available on the UKWAS web site http://ukwas.org.uk/documents including a roster of the working group.</p> <p>The document “Membership and Steering Group representation” shows the breakdown by stakeholder group, constituency and interests.</p> <p>Article 38 of the UKWAS Articles of Association states: <i>“The first Members of the Steering Group shall be appointed by the Members in General Meeting and shall hold office only until the next following annual general meeting. If not re-appointed at such annual general meeting in accordance with the provisions of this Article, the member shall vacate office at the conclusion thereof. All further Members of the Steering Group will be appointed by the Members in accordance with, and shall serve in office in accordance with, such rules (“Steering Group Rules”) for appointment adopted by the Members in General Meeting from time to time in accordance with Article 31. The Steering Group Rules as adopted and amended from time to time shall regulate, inter alia, the number, appointment, retirement and removal of Steering Group members.”</i></p> <p>From the PEFC UK Scheme document, Appendix 3, Section B Participatory Process: <i>“The Steering Group members are appointed by the UKWAS membership to ensure that a balanced representation of</i></p>

Question	Assess. basis*	YES /NO*	Reference to application documents
			<p><i>stakeholders participate in the decisions making processes on behalf of all interested parties. It shall also ensure that no single concerned interest shall dominate nor be dominated in the process. The Steering Group members shall also be selected (potentially by their constituent body) on their knowledge, expertise and understanding of the process and the influence it may have upon their sector.”</i></p> <p>The assessor concludes the level of detail and record keeping of these documents demonstrate conformance to this requirement.</p> <p>CONFORMITY</p>
<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.</p>	<p>Procedures</p>	<p>YES</p>	<p>PEFC UK SCHEME</p> <p>Section 6: UK Woodland Assurance Standard</p> <p>CR 6.3: <i>“Current Membership Base: The standard setting body will identify any disadvantaged and key stakeholders and proactively seek their assistance and participation in the standard setting activities in a format that is easily understood.”</i></p> <p>Appendix 3, Section B2: <i>“The standard setting body will also identify any disadvantaged and/or key stakeholders and proactively seek their assistance and participation in the Standard-Setting Process, in a format that is easily understood.”</i></p> <p>Steering Group Rules</p> <p><i>“1. A master list (Annex A) will be kept of the Steering Group constituencies. The master list will include the maximum number of seats in each constituency, and the names of Members who can make appointments to that constituency. The master list can only be amended by consensus at General Meeting.</i></p> <p><i>2. Each Member will advise whether the organisation represents economic, environmental or social interests; those with cross-cutting interests will advise all the interests represented. The interest group/s will be noted on the master list.</i></p> <p><i>3. Members responsible for appointments to a constituency will agree amongst themselves the number of appointments each Member can make to that constituency. Any Member making an appointment to the Steering Group will be referred to as the ‘Sponsoring Member’ for the person or people they appoint. It is not necessary for all seats in a constituency to be filled.</i></p> <p><i>4. The Sponsoring Member can remove an appointment they have made to the Steering Group by writing to the Company Secretary</i></p>

Question	Assess. basis*	YES /NO*	Reference to application documents
			<p><i>explaining that the person they appointed should no longer serve on the Steering Group.</i></p> <p><i>5. If the Sponsoring Member retires from membership of the Company or is removed from Membership in accordance with Article 8.2 then any appointments they have made to the Steering Group will expire.</i></p> <p><i>6. If a person appointed to the Steering Group retires or resigns from the Steering Group, or is removed by the Sponsoring Member, or loses their position because their Sponsoring Member has been removed from Membership, then the Members responsible for appointments to that constituency will appoint a replacement. The replacement need not be made by the same Sponsoring Member.</i></p> <p><i>7. In relation to the standard-setting function, Sponsoring Members shall be invited to reconfirm their appointees to the Steering Group or to make new appointments prior to the Standard-Setting Process commencing.</i></p> <p><i>8. In relation to the standard-setting function, or as otherwise agreed appropriate, the Steering Group may also invite additional persons to provide technical expertise or to represent stakeholder groups not otherwise represented.”</i></p> <p>CONFORMITY</p>
	Process	YES	<p>All standard-setting procedures are publicly available on the UKWAS web site http://ukwas.org.uk/documents including the “Initial Stakeholder Consultation” document dated February 3, 2014 which provides detail on the revision and consultation process.</p> <p>From the above referenced document: “<i>Introduction: The full revision process and timetable documents are available on www.ukwas.org.uk/documents”</i></p> <p>From the PEFC UK website on February 1, 2014: “<i>A call for stakeholder comments has been made by the UKWAS Steering Group to inform the development of an UKWAS Fourth Edition which will be released in autumn 2016. UKWAS Executive Chair, Peter Wilson said: “What we are looking for is your ideas on what is good or bad about the current UKWAS Third Edition and how it might be improved. This is a chance for stakeholders to make any input they feel appropriate right at the outset of our UKWAS revision process. People may raise whatever issue they feel is important in as little or as much detail as they like. There will be two more chances to make comment as the revision process progresses but by commenting now people will be making input right at the initial evidence-gathering phase”. There is no required format, simply read the consultation paper and then send us your issues in a clear and concise format identifying and explaining</i></p>

Question	Assess. basis*	YES /NO*	Reference to application documents
			<p><i>each issue you wish to raise and any suggested solution for each. The consultation paper is available here: http://ukwas.org.uk/wp-content/uploads/2014/02/UKWAS-Revision-Initial-Stakeholder-Consultation-Paper-February-2014.pdf</i></p> <p><i>Please email comments to the UKWAS Support Unit on ukwas@confor.org.uk by March 31st 2014. Further information on the UKWAS revision process is available here...."</i></p> <p><i>From the PEFC October 2015 Newsletter: "PEFC UK's endorsed forest certification scheme is the United Kingdom Woodland Assurance Standard (UKWAS). This standard is currently undergoing a periodic five-yearly review. The UKWAS Steering Group is actively seeking stakeholder comments to inform the development of the UKWAS Fourth Edition which will be released in autumn next year. If you have an interest in sustainable forest management in the UK or the development of the UKWAS 4, we would very much appreciate your input. A link to the draft can be found below. Comments should be e-mailed to the UKWAS Support Unit on ukwas@confor.org.uk by 30th October 2015. http://ukwas.org.uk/article/ukwas-4-draft-forconsultation</i></p> <p><i>The assessor concludes the level of detail and record keeping of these documents demonstrate conformance to this requirement.</i></p> <p>CONFORMITY</p>
<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>	<p>Procedures</p>	<p>YES</p>	<p>PEFC UK SCHEME</p> <p><i>Appendix 3, B3: "Transparency: The publication of the UKWAS standard setting procedure on the website ensures transparency of process. The commencement of the Standard-Setting Process and information on the objectives, scope and development process shall be communicated publicly and stakeholder representatives shall be notified directly. This invitation to participate and comment on the publicly available process shall be publicised both on the UKWAS and PEFC UK web sites and in trade journals. Key documents including, the Standard-Setting Process, process documents and other related documents, the consultation drafts and the formal responses to comments received shall be available to all interested parties by publication on the website and direct notification of stakeholder representatives. Steering Group members shall receive all relevant papers and minutes of meetings and shall be responsible for keeping their constituents informed. Key Steering Group comments shall be recorded in the minutes. No information on the development of the</i></p>

Question	Assess. basis*	YES /NO*	Reference to application documents
			<p><i>standard shall be withheld unreasonably.”</i></p> <p>CONFORMITY</p>
	Process	YES	<p>All standard-setting procedures are publicly available on the UKWAS web site http://ukwas.org.uk/documents including the “Initial Stakeholder Consultation” document dated February 3, 2014 which provides detail on the revision and consultation process.</p> <p>From the above referenced document: <i>“Introduction: The UK Woodland Assurance Standard (UKWAS) is reviewed every five years and the next revision is due to be completed in 2016 but the process is starting now with this initial call for input from stakeholders. What we are looking for is your ideas on how to improve the standard: what is good or bad about the current UKWAS standard, what is missing and what might be omitted.....The revision and consultation process will be taken forward in three main phases: Phase 1 in 2013/14 is an evidence gathering phase including this initial stakeholder consultation and results in an Issues Paper setting out the information to be taken into account during the main revision drafting phase. Phase 2 in 2014/15 is the main revision drafting phase leading to a Revision Draft for consultation. Phase 3 in 2015/16 is the conclusion phase including further revision and preparation of a pre-approval draft for a final consultation. After further amendment, FSC UK and PEFC UK will be invited to submit the standard to their international parent bodies for approval..... The full revision process and timetable documents are available on www.ukwas.org.uk/documents”</i></p> <p><i>2. “Invitation to make comment on the current standard: This Initial Stakeholders’ Consultation forms just one part of our evidence-gathering phase. The other elements are listed in the box on page 4 where a number of issues already identified by the Steering Group are noted. You are free to make any input you wish but the Steering Group would be particularly interested to hear your comments on: The format and layout of the standard The content of the standard. You might wish to highlight what you like as well as your ideas for improvements. Maybe you think there are omissions or perhaps you think some areas could be cut or trimmed. Whatever you think, the Steering Group wants to hear!”</i></p> <p>The assessor concludes the level of detail and record keeping of these documents demonstrate conformance to this requirement.</p> <p>CONFORMITY</p>

Question	Assess. basis*	YES /NO*	Reference to application documents
5.3 The announcement and invitation shall include:			
a) information about the objectives, scope and the steps of the standard-setting process and its timetable,	Procedures	YES	<p>PEFC UK SCHEME</p> <p>Appendix 3, B3: <i>“Transparency: The publication of the UKWAS standard setting procedure on the website ensures transparency of process. The commencement of the Standard-Setting Process and information on the objectives, scope and development process shall be communicated publicly and stakeholder representatives shall be notified directly.”</i></p> <p>CONFORMITY</p>
	Process	YES	<p>All standard-setting procedures are publicly available on the UKWAS web site http://ukwas.org.uk/documents including the “Initial Stakeholder Consultation” document dated February 3, 2014 which provides detail on the revision and consultation process.</p> <p>From the above referenced document: <i>“Introduction: The UK Woodland Assurance Standard (UKWAS) is reviewed every five years and the next revision is due to be completed in 2016 but the process is starting now with this initial call for input from stakeholders. What we are looking for is your ideas on how to improve the standard: what is good or bad about the current UKWAS standard, what is missing and what might be omitted.....The revision and consultation process will be taken forward in three main phases: Phase 1 in 2013/14 is an evidence gathering phase including this initial stakeholder consultation and results in an Issues Paper setting out the information to be taken into account during the main revision drafting phase. Phase 2 in 2014/15 is the main revision drafting phase leading to a Revision Draft for consultation. Phase 3 in 2015/16 is the conclusion phase including further revision and preparation of a pre-approval draft for a final consultation. After further amendment, FSC UK and PEFC UK will be invited to submit the standard to their international parent bodies for approval..... The full revision process and timetable documents are available on www.ukwas.org.uk/documents. 2. Invitation to make comment on the current standard: This Initial Stakeholders’ Consultation forms just one part of our evidence-gathering phase. The other elements are listed in the box on page 4 where a number of issues already identified by the Steering Group are noted. You are free to make any input you wish but the Steering Group would be particularly interested to hear your comments on: The format and layout of the standard The content of the standard. You might wish to</i></p>

Question	Assess. basis*	YES /NO*	Reference to application documents
			<p><i>highlight what you like as well as your ideas for improvements. Maybe you think there are omissions or perhaps you think some areas could be cut or trimmed. Whatever you think, the Steering Group wants to hear! PEFC UK's endorsed forest certification scheme is the United Kingdom Woodland Assurance Standard (UKWAS). This standard is currently undergoing a periodic five-yearly review. The UKWAS Steering Group is actively seeking stakeholder comments to inform the development of the UKWAS Fourth Edition which will be released in autumn next year. If you have an interest in sustainable forest management in the UK or the development of the UKWAS 4, we would very much appreciate your input. A link to the draft can be found below. Comments should be e-mailed to the UKWAS Support Unit on ukwas@confor.org.uk by 30th October 2015."</i></p> <p>http://ukwas.org.uk/article/ukwas-4-draft-forconsultation"</p> <p>From the Confor newsletter dated March 2014:</p> <p><i>"Calls for a more balanced UKWAS</i> <i>In response to its Initial Stakeholder Consultation, Confor has asked that UKWAS reflect key criteria from FSC and PEFC, and place economic sustainability equally alongside environmental and social sustainability. Confor members are encouraged to submit their own comments.</i></p> <p><i>http://www.confor.org.uk/NewsAndEvents/Listings.aspx?pid=26&id=2629"</i></p> <p>Confor is a leading trade organization in the UK that promotes forestry and wood.</p> <p>From the Institute of Chartered Foresters (ICF) newsletter dated February 7, 2014:</p> <p><i>"UKWAS Call for Stakeholder Comments: The UKWAS steering group has issued a call for stakeholder comments to inform the development of UKWAS. UKWAS Executive Chair, Peter Wilson said: "What we are looking for is your ideas on what is good or bad about the current UKWAS standard and how it might be improved. This is a chance for stakeholders to make any input they feel appropriate right at the outset of our UKWAS revision process. People may raise whatever issue they feel is important in as little or as much detail as they like. There will be two more chances to make comment as the revision process progresses but by commenting now people will be making input right at the initial evidence-gathering phase". To submit your comments, email the UKWAS support unit before 31 March 2014. There is no required format, simply read the consultation paper and then send us your issues in a clear and concise format identifying and explaining</i></p>

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			<p><i>each issue you wish to raise and any suggested solution for each.</i> Download the consultation paper >> “</p> <p>The assessor concludes the level of detail and record keeping of these documents demonstrate conformance to this requirement.</p> <p>CONFORMITY</p>
<p>b) information about opportunities for stakeholders to participate in the process,</p>	<p>Procedures</p>	<p>YES</p>	<p>Standard-Setting Process</p> <p>B3: <i>“Transparency: The publication of the UKWAS standard setting procedure on the website ensures transparency of process. The commencement of the Standard-Setting Process and information on the objectives, scope and development process shall be communicated publicly and stakeholder representatives shall be notified directly. This invitation to participate and comment on the publically available process shall be publicised both on the UKWAS and PEFC UK web sites and in trade journals. Key documents including, the Standard-Setting Process, process documents and other related documents, the consultation drafts and the formal responses to comments received shall be available to all interested parties by publication on the website and direct notification of stakeholder representatives. No information on the development of the standard shall be withheld unreasonably.”</i></p> <p>B4 <i>“Consultation: A list shall be maintained of those to be consulted at each stage of the standard-setting process and thereafter kept informed of progress; inclusion on the list shall be open to any stakeholder on request. The process for developing and revising standards shall include provision for consultation through notifying a wide range of stakeholders and publicising the availability of the following documents as a minimum: a) An ‘Initial Stakeholder Consultation’ - an invitation to comment on the current standard which should identify any areas already identified as requiring review (minimum consultation period of 60 days). b) A ‘Revision Draft’ which should include a summary of the stakeholders’ initial comments and clearly identify and explain the proposed changes (minimum consultation period of 60 days). c) A ‘Pre-approval Draft’ which should include a summary of the further stakeholder comments and clearly identify and explain the proposed changes (minimum consultation period of 30 days). Additional drafts may be issued at the discretion of the Steering Group. All comments received shall be considered within the review. All documents should be posted on the web site as soon as possible after approval by the Steering Group, but no longer than one</i></p>

Question	Assess. basis*	YES /NO*	Reference to application documents
			<p>month after the meeting.”</p> <p>CONFORMITY</p>
	Process	YES	<p>All standard-setting procedures are publicly available on the UKWAS web site http://ukwas.org.uk/documents including the “Initial Stakeholder Consultation” document dated February 3, 2014 which provides detail on the revision and consultation process.</p> <p>From the above referenced Initial Stakeholder Consultation document: <i>“Introduction: The UK Woodland Assurance Standard (UKWAS) is reviewed every five years and the next revision is due to be completed in 2016 but the process is starting now with this initial call for input from stakeholders. What we are looking for is your ideas on how to improve the standard: what is good or bad about the current UKWAS standard, what is missing and what might be omitted.....The revision and consultation process will be taken forward in three main phases: Phase 1 in 2013/14 is an evidence gathering phase including this initial stakeholder consultation and results in an Issues Paper setting out the information to be taken into account during the main revision drafting phase. Phase 2 in 2014/15 is the main revision drafting phase leading to a Revision Draft for consultation. Phase 3 in 2015/16 is the conclusion phase including further revision and preparation of a pre-approval draft for a final consultation. After further amendment, FSC UK and PEFC UK will be invited to submit the standard to their international parent bodies for approval..... The full revision process and timetable documents are available on www.ukwas.org.uk/documents. 2. Invitation to make comment on the current standard: This Initial Stakeholders’ Consultation forms just one part of our evidence-gathering phase. The other elements are listed in the box on page 4 where a number of issues already identified by the Steering Group are noted. You are free to make any input you wish but the Steering Group would be particularly interested to hear your comments on: The format and layout of the standard The content of the standard. You might wish to highlight what you like as well as your ideas for improvements. Maybe you think there are omissions or perhaps you think some areas could be cut or trimmed. Whatever you think, the Steering Group wants to hear!”</i></p> <p>From the PEFC UK website on February 1, 2014: <i>“A call for stakeholder comments has been made by the UKWAS Steering Group to inform the development of an UKWAS Fourth Edition which will be released in autumn 2016. UKWAS Executive Chair, Peter Wilson said: ‘What we are looking for is your ideas on what is good or bad about</i></p>

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			<p><i>the current UKWAS Third Edition and how it might be improved. This is a chance for stakeholders to make any input they feel appropriate right at the outset of our UKWAS revision process. People may raise whatever issue they feel is important in as little or as much detail as they like. There will be two more chances to make comment as the revision process progresses but by commenting now people will be making input right at the initial evidence-gathering phase'. There is no required format, simply read the consultation paper and then send us your issues in a clear and concise format identifying and explaining each issue you wish to raise and any suggested solution for each. The consultation paper is available here: http://ukwas.org.uk/wp-content/uploads/2014/02/UKWAS-Revision-Initial-Stakeholder-Consultation-Paper-February-2014.pdf. Please email comments to the UKWAS Support Unit on ukwas@confor.org.uk by March 31st 2014. Further information on the UKWAS revision process is available here..."</i></p> <p><i>From the PEFC October 2015 Newsletter: "PEFC UK's endorsed forest certification scheme is the United Kingdom Woodland Assurance Standard (UKWAS). This standard is currently undergoing a periodic five-yearly review. The UKWAS Steering Group is actively seeking stakeholder comments to inform the development of the UKWAS Fourth Edition which will be released in autumn next year. If you have an interest in sustainable forest management in the UK or the development of the UKWAS 4, we would very much appreciate your input. A link to the draft can be found below. Comments should be e-mailed to the UKWAS Support Unit on ukwas@confor.org.uk by 30th October 2015." http://ukwas.org.uk/article/ukwas-4-draft-forconsultation</i></p> <p>CONFORMITY</p>
<p>(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</p>	<p>Procedures</p>	<p>YES</p>	<p>PEFC UK SCHEME</p> <p>Appendix 3</p> <p>B1 "Introduction: The Steering Group members are appointed by the UKWAS membership to ensure that a balanced representation of stakeholders participate in the decisions making processes on behalf of all interested parties. It shall also ensure that no single concerned interest shall dominate nor be dominated in the process. The Steering Group members shall also be selected (potentially by their constituent body) on their knowledge, expertise and understanding of the process and the influence it may have upon their sector."</p> <p>B2 "Steering Group: The standard setting body will also identify any disadvantaged and/or key stakeholders and proactively seek their assistance and participation in the Standard-Setting Process, in a</p>

Question	Assess. basis*	YES /NO*	Reference to application documents
understandable,			<p><i>format that is easily understood.”</i></p> <p>UK Standard-Setting Process</p> <p><i>B2: “An invitation to Sponsoring Members to reconfirm their appointees to the Steering Group or to make new appointments shall be made prior to the standard-setting process commencing. The Steering Group may also invite additional persons to provide technical expertise or to represent stakeholder groups not otherwise represented. “</i></p> <p>UKWAS Articles of Association</p> <p><i>38 “Steering Group: The first Members of the Steering Group shall be appointed by the Members in General Meeting and shall hold office only until the next following annual general meeting. If not re-appointed at such annual general meeting in accordance with the provisions of this Article, the member shall vacate office at the conclusion thereof. All further Members of the Steering Group will be appointed by the Members in accordance with, and shall serve in office in accordance with, such rules (“Steering Group Rules”) for appointment adopted by the Members in General Meeting from time to time in accordance with Article 31. The Steering Group Rules as adopted and amended from time to time shall regulate, inter alia, the number, appointment, retirement and removal of Steering Group members.”</i></p> <p>The assessor concludes the level of detail and record keeping of these documents demonstrate conformance to this requirement.</p> <p>CONFORMITY</p>
	Process	YES	<p>All standard-setting procedures are publicly available on the UKWAS web site http://ukwas.org.uk/documents including the “Initial Stakeholder Consultation” document dated February 3, 2014 which provides detail on the revision and consultation process.</p> <p>From the above referenced Initial Stakeholder Consultation document: <i>“Introduction: After further amendment, FSC UK and PEFC UK will be invited to submit the standard to their international parent bodies for approval....The full revision process and timetable documents are available on www.ukwas.org.uk/documents”. 2. “Invitation to make comment on the current standard: This Initial Stakeholders’ Consultation forms just one part of our evidence-gathering phase. The other elements are listed in the box on page 4 where a number of</i></p>

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			<p><i>issues already identified by the Steering Group are noted. You are free to make any input you wish but the Steering Group would be particularly interested to hear your comments on: The format and layout of the standard The content of the standard. You might wish to highlight what you like as well as your ideas for improvements. Maybe you think there are omissions or perhaps you think some areas could be cut or trimmed. Whatever you think, the Steering Group wants to hear!"</i></p> <p>From the PEFC website on February 1, 2014: <i>"A call for stakeholder comments has been made by the UKWAS Steering Group to inform the development of an UKWAS Fourth Edition which will be released in autumn 2016. UKWAS Executive Chair, Peter Wilson said: "What we are looking for is your ideas on what is good or bad about the current UKWAS Third Edition and how it might be improved. This is a chance for stakeholders to make any input they feel appropriate right at the outset of our UKWAS revision process. People may raise whatever issue they feel is important in as little or as much detail as they like. There will be two more chances to make comment as the revision process progresses but by commenting now people will be making input right at the initial evidence-gathering phase". There is no required format, simply read the consultation paper and then send us your issues in a clear and concise format identifying and explaining each issue you wish to raise and any suggested solution for each. The consultation paper is available here: http://ukwas.org.uk/wp-content/uploads/2014/02/UKWAS-Revision-Initial-Stakeholder-Consultation-Paper-February-2014.pdf</i></p> <p><i>Please email comments to the UKWAS Support Unit on ukwas@confor.org.uk by March 31st 2014. Further information on the UKWAS revision process is available here:."</i></p> <p>From the PEFC October 2015 Newsletter: <i>"PEFC UK's endorsed forest certification scheme is the United Kingdom Woodland Assurance Standard (UKWAS). This standard is currently undergoing a periodic five-yearly review. The UKWAS Steering Group is actively seeking stakeholder comments to inform the development of the UKWAS Fourth Edition which will be released in autumn next year. If you have an interest in sustainable forest management in the UK or the development of the UKWAS 4, we would very much appreciate your input. A link to the draft can be found below. Comments should be e-mailed to the UKWAS Support Unit on ukwas@confor.org.uk by 30th October 2015."</i> http://ukwas.org.uk/article/ukwas-4-draft-forconsultation</p> <p>The assessor concludes the level of detail and record keeping of these</p>

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			documents demonstrate conformance to this requirement. CONFORMITY
d) an invitation to comment on the scope and the standard-setting process, and	Procedures	YES	<p>PEFC UK SCHEME</p> <p>Section 6, CR 6.4: <i>“Standard-Setting Process: The Steering Group undertook a comprehensive revision between 2013 and 2016 in three main phases and there were three opportunities for stakeholders to make input: Phase 1 (Dec 2013 to September 2014) was an evidence gathering phase including an initial stakeholder consultation over 60 days in February and March 2014.”</i></p> <p>UK Standard-Setting Process</p> <p>Section B4: <i>“Consultation: The process for developing and revising standards shall include provision for consultation through notifying a wide range of stakeholders and publicising the availability of the following documents as a minimum: a) An ‘Initial Stakeholder Consultation’ - an invitation to comment on the current standard which should identify any areas already identified as requiring review (minimum consultation period of 60 days).”</i></p> <p>CONFORMITY</p>
	Process	YES	<p>All standard-setting procedures are publicly available on the UKWAS web site http://ukwas.org.uk/documents including the “Initial Stakeholder Consultation” document dated February 3, 2014 which provides detail on the revision and consultation process.</p> <p>From the above referenced Initial Stakeholder Consultation document: <i>“Introduction: The UK Woodland Assurance Standard (UKWAS) is reviewed every five years and the next revision is due to be completed in 2016 but the process is starting now with this initial call for input from stakeholders. What we are looking for is your ideas on how to improve the standard: what is good or bad about the current UKWAS standard, what is missing and what might be omitted.....The revision and consultation process will be taken forward in three main phases: Phase 1 in 2013/14 is an evidence gathering phase including this initial stakeholder consultation and results in an Issues Paper setting out the information to be taken into account during the main revision drafting phase. Phase 2 in 2014/15 is the main revision drafting phase leading to a Revision Draft for consultation. Phase 3 in 2015/16 is the conclusion phase including further revision and preparation of a pre-</i></p>

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			<p><i>approval draft for a final consultation. After further amendment, FSC UK and PEFC UK will be invited to submit the standard to their international parent bodies for approval..... The full revision process and timetable documents are available on www.ukwas.org.uk/documents. 2. Invitation to make comment on the current standard: This Initial Stakeholders' Consultation forms just one part of our evidence-gathering phase. The other elements are listed in the box on page 4 where a number of issues already identified by the Steering Group are noted. You are free to make any input you wish but the Steering Group would be particularly interested to hear your comments on: The format and layout of the standard The content of the standard. You might wish to highlight what you like as well as your ideas for improvements. Maybe you think there are omissions or perhaps you think some areas could be cut or trimmed. Whatever you think, the Steering Group wants to hear!"</i></p> <p>From the PEFC website on February 1, 2014: "A call for stakeholder comments has been made by the UKWAS Steering Group to inform the development of an UKWAS Fourth Edition which will be released in autumn 2016. UKWAS Executive Chair, Peter Wilson said: "What we are looking for is your ideas on what is good or bad about the current UKWAS Third Edition and how it might be improved. This is a chance for stakeholders to make any input they feel appropriate right at the outset of our UKWAS revision process. People may raise whatever issue they feel is important in as little or as much detail as they like. There will be two more chances to make comment as the revision process progresses but by commenting now people will be making input right at the initial evidence-gathering phase". There is no required format, simply read the consultation paper and then send us your issues in a clear and concise format identifying and explaining each issue you wish to raise and any suggested solution for each. The consultation paper is available here: http://ukwas.org.uk/wp-content/uploads/2014/02/UKWAS-Revision-Initial-Stakeholder-Consultation-Paper-February-2014.pdf</p> <p><i>Please email comments to the UKWAS Support Unit on ukwas@confor.org.uk by March 31st 2014. Further information on the UKWAS revision process is available here:."</i></p> <p>From the PEFC October 2015 Newsletter: "PEFC UK's endorsed forest certification scheme is the United Kingdom Woodland Assurance Standard (UKWAS). This standard is currently undergoing a periodic five-yearly review. The UKWAS Steering Group is actively seeking stakeholder comments to inform the development of the UKWAS Fourth Edition which will be released in autumn next year. If you have an interest in sustainable forest management in the UK or the</p>

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			<p><i>development of the UKWAS 4, we would very much appreciate your input. A link to the draft can be found below. Comments should be e-mailed to the UKWAS Support Unit on ukwas@confor.org.uk by 30th October 2015.” http://ukwas.org.uk/article/ukwas-4-draft-forconsultation</i></p> <p>PEFC UK SCHEME</p> <p>Appendix 3</p> <p>B1: <i>“Introduction: All stakeholders were invited to participate in the development of the standard and associations representing the UK’s forest and woodland owners and managers were fully supportive of the process and were active participants.”</i></p> <p>B3: <i>“Transparency: The publication of the UKWAS standard setting procedure on the website ensures transparency of process. The commencement of the Standard-Setting Process and information on the objectives, scope and development process shall be communicated publicly and stakeholder representatives shall be notified directly. This invitation to participate and comment on the publically available process shall be publicised both on the UKWAS and PEFC UK web sites and in trade journals. Key documents including, the Standard-Setting Process, process documents and other related documents, the consultation drafts and the formal responses to comments received shall be available to all interested parties by publication on the website and direct notification of stakeholder representatives. Steering Group members shall receive all relevant papers and minutes of meetings and shall be responsible for keeping their constituents informed. Key Steering Group comments shall be recorded in the minutes.”</i></p> <p>B4: <i>“Consultation: A list shall be maintained of those to be consulted at each stage of the standard-setting process and thereafter kept informed of progress; inclusion on the list shall be open to any stakeholder on request. The process for developing and revising standards shall include provision for consultation through notifying a wide range of stakeholders and publicising the availability of the following documents as a minimum: a) An ‘Initial Stakeholder Consultation’ - an invitation to comment on the current standard which should identify any areas already identified as requiring review (minimum consultation period of 60 days).”</i></p> <p>CONFORMITY</p>
e) reference to publicly available	Procedures	YES	<p>Standard-Setting Process</p> <p>Section B7: <i>“Records: The Steering Group shall keep the following</i></p>

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standard-setting procedures.			<p><i>records of the standards development process:</i></p> <p><i>a) List of all consultants or other individuals who have been involved in drafting the standard, together with their affiliations.</i></p> <p><i>b) List of all forest stakeholders invited to participate in the standards setting process.</i></p> <p><i>c) List of all forest stakeholders sent specified drafts of the standard and invited to comment.</i></p> <p><i>d) List of forest stakeholders that have participated in the standard-setting process through other means, together with a note of the nature of such participation.</i></p> <p><i>e) Summary progress reports issued following Steering Group meetings.</i></p> <p><i>f) Copies of each draft of the standard which was prepared during the development process.</i></p> <p><i>g) Copies of all comments submitted in writing with respect to the specified draft standards.</i></p> <p><i>h) Summaries of comments on each draft, together with a brief explanation of the way in which those comments were responded to in the draft.</i></p> <p><i>The Steering Group shall provide the certification schemes with a copy of the complete set of records specified above in support of their approval/endorsement processes and shall keep a copy of the records for at least seven years. These records will also be made available on the website and, on request, to all interested parties.”</i></p> <p>PEFC Scheme</p> <p>Appendix 3</p> <p><i>B3: “Transparency: The publication of the UKWAS standard setting procedure on the website ensures transparency of process. The commencement of the Standard-Setting Process and information on the objectives, scope and development process shall be communicated publicly and stakeholder representatives shall be notified directly. This invitation to participate and comment on the publically available process shall be publicised both on the UKWAS and PEFC UK web sites and in trade journals. Key documents including, the Standard-Setting Process, process documents and other related documents, the consultation drafts and the formal responses to comments received shall be available to all interested parties by publication on the website and direct notification of stakeholder representatives. Steering Group members shall receive all relevant papers and minutes of meetings and shall be responsible for keeping their constituents informed. Key</i></p>

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			<p><i>Steering Group comments shall be recorded in the minutes."</i></p> <p>CONFORMITY</p>
	Process	YES	<p>All standard-setting procedures are publicly available on the UKWAS web site http://ukwas.org.uk/documents including the "Initial Stakeholder Consultation" document dated February 3, 2014 which provides detail on the revision and consultation process.</p> <p>From the above referenced document: <i>"Introduction.... The full revision process and timetable documents are available on www.ukwas.org.uk/documents"</i></p> <p>From the PEFC website on February 1, 2014: <i>"A call for stakeholder comments has been made by the UKWAS Steering Group to inform the development of an UKWAS Fourth Edition which will be released in autumn 2016. UKWAS Executive Chair, Peter Wilson said: "What we are looking for is your ideas on what is good or bad about the current UKWAS Third Edition and how it might be improved. This is a chance for stakeholders to make any input they feel appropriate right at the outset of our UKWAS revision process. People may raise whatever issue they feel is important in as little or as much detail as they like. There will be two more chances to make comment as the revision process progresses but by commenting now people will be making input right at the initial evidence-gathering phase". There is no required format, simply read the consultation paper and then send us your issues in a clear and concise format identifying and explaining each issue you wish to raise and any suggested solution for each. The consultation paper is available here: http://ukwas.org.uk/wp-content/uploads/2014/02/UKWAS-Revision-Initial-Stakeholder-Consultation-Paper-February-2014.pdf</i></p> <p><i>Please email comments to the UKWAS Support Unit on ukwas@confor.org.uk by March 31st 2014. Further information on the UKWAS revision process is available here...."</i></p> <p>From the PEFC October 2015 Newsletter: <i>"PEFC UK's endorsed forest certification scheme is the United Kingdom Woodland Assurance Standard (UKWAS). This standard is currently undergoing a periodic five-yearly review. The UKWAS Steering Group is actively seeking stakeholder comments to inform the development of the UKWAS Fourth Edition which will be released in autumn next year. If you have an interest in sustainable forest management in the UK or the development of the UKWAS 4, we would very much appreciate your input. A link to the draft can be found below. Comments should be e-mailed to the UKWAS Support Unit on ukwas@confor.org.uk by 30th</i></p>

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			<p>October 2015.” http://ukwas.org.uk/article/ukwas-4-draft-forconsultation</p> <p>PEFC UK SCHEME</p> <p>Section 6, CR 6.4: “Standard-Setting Process: The Steering Group undertook a comprehensive revision between 2013 and 2016 in three main phases and there were three opportunities for stakeholders to make input: Phase 1 (Dec 2013 to September 2014) was an evidence gathering phase including an initial stakeholder consultation over 60 days in February and March 2014.”</p> <p>Appendix 3, B3: “Transparency: The publication of the UKWAS standard setting procedure on the website ensures transparency of process. The commencement of the Standard-Setting Process and information on the objectives, scope and development process shall be communicated publicly and stakeholder representatives shall be notified directly. This invitation to participate and comment on the publically available process shall be publicised both on the UKWAS and PEFC UK web sites and in trade journals. Key documents including, the Standard-Setting Process, process documents and other related documents, the consultation drafts and the formal responses to comments received shall be available to all interested parties by publication on the website and direct notification of stakeholder representatives. Steering Group members shall receive all relevant papers and minutes of meetings and shall be responsible for keeping their constituents informed. Key Steering Group comments shall be recorded in the minutes.”</p> <p>CONFORMITY</p>
<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</p>	<p>Procedures</p>	<p>YES</p>	<p>Standard-Setting Process</p> <p>B2 “Steering Group: The Steering Group comprises economic, environmental and social stakeholders with twelve defined constituencies with an agreed maximum representation for each: Woodland owners (6), forestry practitioners (5), state forest enterprises (4), environmental organisations (6), forest user organisations (2), wood processing industry (3), wood products trade (2), forest workforce (2), UK countryside, environment & heritage agencies (3), local government & national park authorities (2), forestry standard setting and labelling bodies (6) and education, research & training (3 non-voting). An invitation to Sponsoring Members to reconfirm their appointees to the Steering Group or to make new appointments shall be made prior to the standard-setting process</p>

Question	Assess. basis*	YES /NO*	Reference to application documents
<p>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.</p>			<p><i>commencing. The Steering Group may also invite additional persons to provide technical expertise or to represent stakeholder groups not otherwise represented. In addition there is an independent Chair and a Company Secretary. All decisions are made on the basis of consensus so that all stakeholder views will be considered fully and no single interest group can dominate proceedings."</i></p> <p>Steering Group Rules</p> <p><i>"1. A master list (Annex A) will be kept of the Steering Group constituencies. The master list will include the maximum number of seats in each constituency, and the names of Members who can make appointments to that constituency. The master list can only be amended by consensus at General Meeting.</i></p> <p><i>2. Each Member will advise whether the organisation represents economic, environmental or social interests; those with cross-cutting interests will advise all the interests represented. The interest group/s will be noted on the master list.</i></p> <p><i>3. Members responsible for appointments to a constituency will agree amongst themselves the number of appointments each Member can make to that constituency. Any Member making an appointment to the Steering Group will be referred to as the 'Sponsoring Member' for the person or people they appoint. It is not necessary for all seats in a constituency to be filled.</i></p> <p><i>4. The Sponsoring Member can remove an appointment they have made to the Steering Group by writing to the Company Secretary explaining that the person they appointed should no longer serve on the Steering Group.</i></p> <p><i>5. If the Sponsoring Member retires from membership of the Company or is removed from Membership in accordance with Article 8.2 then any appointments they have made to the Steering Group will expire.</i></p> <p><i>6. If a person appointed to the Steering Group retires or resigns from the Steering Group, or is removed by the Sponsoring Member, or loses their position because their Sponsoring Member has been removed from Membership, then the Members responsible for appointments to that constituency will appoint a replacement. The replacement need not be made by the same Sponsoring Member.</i></p> <p><i>7. In relation to the standard-setting function, Sponsoring Members shall be invited to reconfirm their appointees to the Steering Group or to make new appointments prior to the Standard-Setting Process commencing.</i></p> <p><i>8. In relation to the standard-setting function, or as otherwise agreed appropriate, the Steering Group may also invite additional persons to</i></p>

Question	Assess. basis*	YES /NO*	Reference to application documents	
			<p><i>provide technical expertise or to represent stakeholder groups not otherwise represented."</i></p> <p>CONFORMITY</p>	
	Process	YES	<p>All standard-setting procedures are publicly available on the UKWAS web site http://ukwas.org.uk/documents including a roster of the Steering Group.</p> <p>The document "Membership and Steering Group representation" shows the breakdown by stakeholder group, constituency and interests.</p> <p>From the Steering Group minutes of December 2, 2015:</p> <p><i>"Chair: Peter Wilson (PW)</i></p> <p><i>Present:</i></p>	
			<i>Rachel Chamberlain (RC)</i>	<i>Owen Davies (OD)</i>
			<i>Andy Grundy (AG)</i>	<i>Simon Hart (SH)</i>
			<i>Andrew Heald (AH)</i>	<i>Richard Howe (RHo)</i>
			<i>Andrew Jarrott (AJ)</i>	<i>Bill MacDonald (BMac)</i>
			<i>Ewan McIntosh (EM)</i>	<i>Dominic Robinson (DR)</i>
			<i>Mike Seville (MS)</i>	<i>Jonathan Spencer (JS)</i>
			<i>Rosie Teasdale (RT)</i>	<i>Alun Watkins (AW)</i>
			<i>Phil Webb (PWe)</i>	<i>Stuart Wilkie (SW)</i>
			<i>Sian Williams (SWm)</i>	<i>Paul Williamson (PWl)</i>
			<p><i>Minute taker: Fiona Angier (FA)</i></p> <p><i>Apologies: Rob Green Beatrice Richards</i></p> <p><i> Ray Hawes Alistair Kerr</i></p> <p><i> Ian Rochester Helen Sellars</i></p> <p><i> David Sulman Iain Irwin</i></p> <p><i> Chris Nixon Douglas Orr</i></p>	

Question	Assess. basis*	YES /NO*	Reference to application documents
			<p style="text-align: right;"><i>Gordon Pfetscher</i> <i>Robert Smith</i></p> <p>PEFC UK SCHEME</p> <p>Section 6: UK Woodland Assurance Standard</p> <p>Appendix 3</p> <p>B1 <i>“Introduction: The Steering Group members are appointed by the UKWAS membership to ensure that a balanced representation of stakeholders participate in the decisions making processes on behalf of all interested parties. It shall also ensure that no single concerned interest shall dominate nor be dominated in the process. The Steering Group members shall also be selected (potentially by their constituent body) on their knowledge, expertise and understanding of the process and the influence it may have upon their sector.”</i></p> <p>B2 <i>“Steering Group: The standard setting body will also identify any disadvantaged and/or key stakeholders and proactively seek their assistance and participation in the Standard-Setting Process, in a format that is easily understood.”</i></p> <p>B3: <i>“Transparency: The publication of the UKWAS standard setting procedure on the website ensures transparency of process. The commencement of the Standard-Setting Process and information on the objectives, scope and development process shall be communicated publicly and stakeholder representatives shall be notified directly. This invitation to participate and comment on the publically available process shall be publicised both on the UKWAS and PEFC UK web sites and in trade journals. Key documents including, the Standard-Setting Process, process documents and other related documents, the consultation drafts and the formal responses to comments received shall be available to all interested parties by publication on the website and direct notification of stakeholder representatives. Steering Group members shall receive all relevant papers and minutes of meetings and shall be responsible for keeping their constituents informed. Key Steering Group comments shall be recorded in the minutes.”</i></p> <p>The evidence provided above demonstrate to the assessor that the requirement is in conformance with this requirement.</p> <p>CONFORMITY</p>
5.5 The work of the working group/committee shall be organised in an open and transparent manner where:			
a) working drafts	Procedures	YES	PEFC UK SCHEME

Question	Assess. basis*	YES /NO*	Reference to application documents
shall be available to all members of the working group/committee,			Appendix 3 B3: <i>“Transparency: ... Steering Group members shall receive all relevant papers and minutes of meetings and shall be responsible for keeping their constituents informed. ”</i> CONFORMITY
	Process	YES	All standard-setting procedures are publicly available on the UKWAS web site http://ukwas.org.uk/documents including working drafts. CONFORMITY
b) all members of the working group shall be provided with meaningful opportunities to contribute to the development or revision of the standard and submit comments to the working drafts, and	Procedures	YES	PEFC UK SCHEME Appendix 3 B2: <i>“Working Group: All decisions are made on the basis of consensus so that all stakeholder views will be considered fully and no single interest group can dominate proceedings. In addition the Steering Group shall be accessible to hear and respond to any issues that materially or directly affect stakeholders.”</i> B3: <i>“Transparency: The publication of the UKWAS standard setting procedure on the website ensures transparency of process. The commencement of the Standard-Setting Process and information on the objectives, scope and development process shall be communicated publicly and stakeholder representatives shall be notified directly. This invitation to participate and comment on the publically available process shall be publicised both on the UKWAS and PEFC UK web sites and in trade journals. Key documents including, the Standard-Setting Process, process documents and other related documents, the consultation drafts and the formal responses to comments received shall be available to all interested parties by publication on the website and direct notification of stakeholder representatives. Steering Group members shall receive all relevant papers and minutes of meetings and shall be responsible for keeping their constituents informed. Key Steering Group comments shall be recorded in the minutes.”</i> CONFORMITY
	Process	YES	All standard-setting procedures are publicly available on the UKWAS web site http://ukwas.org.uk/documents including working drafts. From the minutes of the May 1, 2015 meeting of the Steering Group: <i>“UKWAS 4 revision</i>

Question	Assess. basis*	YES /NO*	Reference to application documents
			<p><i>AJ reminded the SGrp that the aim of the Drafting Group is to produce a revision draft by the end of June 2015, for sharing with the SGrp for 1st July meeting. The aim of this meeting therefore is to examine the extensive work already done by the drafting group to date, particularly tricky areas of monitoring, silvicultural systems, conservation areas and game. Further meetings are scheduled and a further draft UKWAS 4 will be circulated to the SGrp at the end of May for further input. AJ commended the drafting group on their respectful nature of working together to a common goal.</i></p> <p><i>In summary:</i></p> <p><i>The reordering work has tried to group common elements together to rationalise and simplify the standard.</i></p> <p><i>The group looked at a “planning”, “implementation” and “monitoring”, three column approach but this proved tricky and not as straight forward or advantageous as first hoped. It did however further assist in the rationalisation.</i></p> <p><i>Guidance will be just that. Any normative elements will be moved to Requirement.</i></p> <p><i>Introduction: PW noted that much of the current introduction will be removed and put into stand-alone document to ensure it is actually read! Much is on accreditation rather than forest management. OD noted that the key elements to keep in the introduction are the meanings of Requirement, Verifier and Guidance, and the detail on spatial flexibility.</i></p> <p><i>Monitoring: OD advised that all monitoring requirements have been brought under one heading, with more flexibility offered on how to approach this. It was suggested that a monitoring plan be part of the management plan – thus providing a form of statement on monitoring by all scales of ownership. Discussion on whether a monitoring plan template be produced, and on documentation available publicly.</i></p> <p><i>Silvicultural systems: SGrp happy to keep new 2.11.1 as proposed and new 2.11.2 unchanged.</i></p> <p><i>Conservation areas: SGrp advised to keep full terminology of areas in full rather than use section numbers, with additions to glossary as well for natural reserves and long term retentions.</i></p> <p><i>Glossary – suggestion that italics used in main text for glossary terms to identify clearly.</i></p> <p><i>Game: SGrp keen to see this section focus on best practice and happy that specific references to legislation removed. Keep reference to hares and black grouse though. No need for firearms note to auditors as a legal requirement not for UKWAS. Consistency required in terms of game management, and control of invasive species and non-native</i></p>

Question	Assess. basis*	YES /NO*	Reference to application documents
			<p><i>species – ie grey squirrels.</i></p> <p><i>BAPS/HAPS/SAPS :New wording required here as old terminology – BMC to advise.</i></p> <p><i>AH noted thanks to AJ for her tireless work and keeping the drafting group on the right track. Sentiments echoed by PW and rest of Drafting Group.”</i></p> <p>CONFORMITY</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>	<p>Procedures</p>	<p>YES</p>	<p>PEFC UK SCHEME</p> <p>Appendix 3</p> <p>B2: <i>“Working Group: All decisions are made on the basis of consensus so that all stakeholder views will be considered fully and no single interest group can dominate proceedings. In addition the Steering Group shall be accessible to hear and respond to any issues that materially or directly affect stakeholders.”</i></p> <p>B3: <i>“Transparency: The publication of the UKWAS standard setting procedure on the website ensures transparency of process. The commencement of the Standard-Setting Process and information on the objectives, scope and development process shall be communicated publicly and stakeholder representatives shall be notified directly. This invitation to participate and comment on the publically available process shall be publicised both on the UKWAS and PEFC UK web sites and in trade journals. Key documents including, the Standard-Setting Process, process documents and other related documents, the consultation drafts and the formal responses to comments received shall be available to all interested parties by publication on the website and direct notification of stakeholder representatives. Steering Group members shall receive all relevant papers and minutes of meetings and shall be responsible for keeping their constituents informed. Key Steering Group comments shall be recorded in the minutes.”</i></p> <p>CONFORMITY</p>
	<p>Process</p>	<p>YES</p>	<p>All standard-setting procedures are publicly available on the UKWAS web site http://ukwas.org.uk/documents including working drafts.</p> <p>From the minutes of the February 10, 2016 meeting of the Steering Group:</p> <p><i>“PW thanked the Drafting Group, who had met four times already this year, for their input to date. The revision is now in phase 3, with the SGrp to approve the pre-approval draft today for a 30 consultation to</i></p>

Question	Assess. basis*	YES /NO*	Reference to application documents
			<p><i>proceed.</i></p> <p><i>All agreed that the format for the consultation report and consultee responses was clear and appropriate. PW thanked OD for capturing all the SGrp and DGrp discussions."</i></p> <p>CONFORMITY</p>
5.6 The standardising body shall organise a public consultation on the enquiry draft and shall ensure that:			
<p>a) the start and the end of the public consultation is announced in a timely manner in suitable media,</p>	<p>Procedures</p>	<p>YES</p>	<p>PEFC UK SCHEME</p> <p><i>Appendix 3, B4: "Consultation: A list shall be maintained of those to be consulted at each stage of the standard-setting process and thereafter kept informed of progress; inclusion on the list shall be open to any stakeholder on request. The process for developing and revising standards shall include provision for consultation through notifying a wide range of stakeholders and publicising the availability of the following documents as a minimum: a) An 'Initial Stakeholder Consultation' - an invitation to comment on the current standard which should identify any areas already identified as requiring review (minimum consultation period of 60 days). b) A 'Revision Draft' which should include a summary of the stakeholders' initial comments and clearly identify and explain the proposed changes (minimum consultation period of 60 days). c) A 'Pre-approval Draft' which should include a summary of the further stakeholder comments and clearly identify and explain the proposed changes (minimum consultation period of 30 days)."</i></p> <p>UKWAS REVISION PROCESS 2013-16</p> <p><i>"Phases of the review</i></p> <p><i>The revision and consultation process will be taken forward in three main phases:</i></p> <p><i>Phase 1(Dec 2013-Sept 2014): an evidence gathering phase including initial stakeholder consultation (60 days) to take place Feb-March 2014</i></p> <p><i>Phase 2 (Oct 2014-Oct 2015): a main revision drafting phase leading to a revision draft consultation (60 days) to take place Sept/Oct 2015</i></p> <p><i>Phase 3 (Nov 2015-Nov 2016): a conclusion phase including a further revision and pre-approval draft consultation (30 days) to conclude early February 2016 prior to any further amendment and final submission to FSC UK and PEFC UK by the end of April 2016."</i></p> <p>CONFORMITY</p>

Question	Assess. basis*	YES /NO*	Reference to application documents
	Process	YES	<p>All standard-setting procedures are publicly available on the UKWAS web site http://ukwas.org.uk/documents including the “Initial Stakeholder Consultation” document dated February 3, 2014 which provides detail on the revision and consultation process.</p> <p>From the above referenced document: “4. How should I respond and what is the deadline for making my input?</p> <p><i>Your comments are required by March 31st 2014. There is no formal format required, just send us your issues in a clear and concise format identifying and explaining the issues you wish to raise and any suggested solution for each. Please email them to the UKWAS Support Unit on ukwas@confor.org.uk.”</i></p> <p>CONFORMITY</p>
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	<p>PEFC UK SCHEME</p> <p>Section 6, CR 6.3: “The standard setting body will identify any disadvantaged and key stakeholders and proactively seek their assistance and participation in the standard setting activities in a format that is easily understood”</p> <p>Appendix 3</p> <p>B2: “The Steering Group may also invite additional persons to provide technical expertise or to represent stakeholder groups not otherwise represented.”</p> <p>CONFORMITY</p>
	Process	YES	<p>All standard-setting procedures are publicly available on the UKWAS web site http://ukwas.org.uk/documents including the “Initial Stakeholder Consultation” document dated February 3, 2014 which provides detail on the revision and consultation process.</p> <p>From the above referenced document: “Introduction: The full revision process and timetable documents are available on www.ukwas.org.uk/documents”</p> <p>From the PEFC website on February 1, 2014: “A call for stakeholder comments has been made by the UKWAS Steering Group to inform the development of an UKWAS Fourth Edition which will be released in autumn 2016. UKWAS Executive Chair, Peter Wilson said: “What we are looking for is your ideas on what is good or bad about the current UKWAS Third Edition and how it might be improved. This is a chance for stakeholders to make any input they feel appropriate right at the</p>

Question	Assess. basis*	YES /NO*	Reference to application documents
			<p><i>outset of our UKWAS revision process. People may raise whatever issue they feel is important in as little or as much detail as they like. There will be two more chances to make comment as the revision process progresses but by commenting now people will be making input right at the initial evidence-gathering phase". There is no required format, simply read the consultation paper and then send us your issues in a clear and concise format identifying and explaining each issue you wish to raise and any suggested solution for each. The consultation paper is available here: http://ukwas.org.uk/wp-content/uploads/2014/02/UKWAS-Revision-Initial-Stakeholder-Consultation-Paper-February-2014.pdf</i></p> <p><i>Please email comments to the UKWAS Support Unit on ukwas@confor.org.uk by March 31st 2014. Further information on the UKWAS revision process is available here...."</i></p> <p><i>From the PEFC October 2015 Newsletter: "PEFC UK's endorsed forest certification scheme is the United Kingdom Woodland Assurance Standard (UKWAS). This standard is currently undergoing a periodic five-yearly review. The UKWAS Steering Group is actively seeking stakeholder comments to inform the development of the UKWAS Fourth Edition which will be released in autumn next year. If you have an interest in sustainable forest management in the UK or the development of the UKWAS 4, we would very much appreciate your input. A link to the draft can be found below. Comments should be e-mailed to the UKWAS Support Unit on ukwas@confor.org.uk by 30th October 2015. http://ukwas.org.uk/article/ukwas-4-draft-forconsultation</i></p> <p>The assessor concludes the level of detail and record keeping of these documents demonstrate conformance to this requirement.</p> <p>CONFORMITY</p>
c) the enquiry draft is publicly available and accessible,	Procedures	YES	<p>PEFC UK SCHEME</p> <p>Section 6, CR 6.4: <i>"Standard-Setting Process: The Steering Group undertook a comprehensive revision between 2013 and 2016 in three main phases and there were three opportunities for stakeholders to make input: Phase 1 (Dec 2013 to September 2014) was an evidence gathering phase including an initial stakeholder consultation over 60 days in February and March 2014, Phase 2 (October 2014 to October 2015) was the main revision drafting phase leading to a revision draft for consultation over 60 days over September and October 2015, Phase 3 (November 2015 to November 2016) is the conclusion phase including further revision and preparation of a pre-approval draft for a</i></p>

Question	Assess. basis*	YES /NO*	Reference to application documents
			<p><i>final consultation for 30 days in February 2016.”</i></p> <p>Appendix 3</p> <p>B3: <i>“Transparency: The publication of the UKWAS standard setting procedure on the website ensures transparency of process. The commencement of the Standard-Setting Process and information on the objectives, scope and development process shall be communicated publicly and stakeholder representatives shall be notified directly. This invitation to participate and comment on the publically available process shall be publicised both on the UKWAS and PEFC UK web sites and in trade journals. Key documents including, the Standard-Setting Process, process documents and other related documents, the consultation drafts and the formal responses to comments received shall be available to all interested parties by publication on the website and direct notification of stakeholder representatives. Steering Group members shall receive all relevant papers and minutes of meetings and shall be responsible for keeping their constituents informed. Key Steering Group comments shall be recorded in the minutes.”</i></p> <p>CONFORMITY</p>
	Process	YES	<p>All standard-setting procedures are publicly available on the UKWAS web site http://ukwas.org.uk/documents including the “Initial Stakeholder Consultation” document dated February 3, 2014 which provides detail on the revision and consultation process.</p> <p>From the above referenced document: <i>“Introduction: The full revision process and timetable documents are available on www.ukwas.org.uk/documents”</i></p> <p>From the PEFC website on February 1, 2014: <i>“A call for stakeholder comments has been made by the UKWAS Steering Group to inform the development of an UKWAS Fourth Edition which will be released in autumn 2016. UKWAS Executive Chair, Peter Wilson said: “What we are looking for is your ideas on what is good or bad about the current UKWAS Third Edition and how it might be improved. This is a chance for stakeholders to make any input they feel appropriate right at the outset of our UKWAS revision process. People may raise whatever issue they feel is important in as little or as much detail as they like. There will be two more chances to make comment as the revision process progresses but by commenting now people will be making input right at the initial evidence-gathering phase”. There is no required format, simply read the consultation paper and then send us your issues in a clear and concise format identifying and explaining each issue you wish to raise and any suggested solution for each. The consultation paper is available here: <a 818="" 851="" 912="" 929"="" data-label="Page-Footer" href="http://ukwas.org.uk/wp-</i></p> </td> </tr> </tbody> </table> </div> <div data-bbox=">78</i></p>

Question	Assess. basis*	YES /NO*	Reference to application documents
			<p>content/uploads/2014/02/UKWAS-Revision-Initial-Stakeholder-Consultation-Paper-February-2014.pdf</p> <p>Please email comments to the UKWAS Support Unit on ukwas@confor.org.uk by March 31st 2014. Further information on the UKWAS revision process is available here:.”</p> <p>From the PEFC October 2015 Newsletter: “PEFC UK’s endorsed forest certification scheme is the United Kingdom Woodland Assurance Standard (UKWAS). This standard is currently undergoing a periodic five-yearly review. The UKWAS Steering Group is actively seeking stakeholder comments to inform the development of the UKWAS Fourth Edition which will be released in autumn next year. If you have an interest in sustainable forest management in the UK or the development of the UKWAS 4, we would very much appreciate your input. A link to the draft can be found below. Comments should be e-mailed to the UKWAS Support Unit on ukwas@confor.org.uk by 30th October 2015. http://ukwas.org.uk/article/ukwas-4-draft-forconsultation”</p> <p>CONFORMITY</p>
d) the public consultation is for at least 60 days,	Procedures	YES	<p>Standard-Setting Process</p> <p>Section B4: “Consultation: A list shall be maintained of those to be consulted at each stage of the standard-setting process and thereafter kept informed of progress; inclusion on the list shall be open to any stakeholder on request. The process for developing and revising standards shall include provision for consultation through notifying a wide range of stakeholders and publicising the availability of the following documents as a minimum:</p> <p>a) An ‘Initial Stakeholder Consultation’ - an invitation to comment on the current standard which should identify any areas already identified as requiring review (minimum consultation period of 60 days).”</p> <p>CONFORMITY</p>
	Process	YES	<p>All standard-setting procedures are publicly available on the UKWAS web site http://ukwas.org.uk/documents including the “Initial Stakeholder Consultation Paper” document dated February 3, 2014 which provides detail on the revision and consultation process, and the “Consultation Paper” which provides more detail on the process .</p> <p>From the Consultation Paper: “Section 2: The revision and consultation process: The UKWAS standard-setting process is aligned with the</p>

Question	Assess. basis*	YES /NO*	Reference to application documents
			<p><i>latest FSC and PEFC requirements and is set out in the document: UKWAS Standard-Setting Process (Version 2.0). The review process is based on evidence gathering and thorough consultation with stakeholders. A detailed document sets out the arrangements for this revision: UKWAS Revision 2013-16: Process and Timetable. The revision and consultation processes are being taken forward in three main phases:</i></p> <p><i>Phase 1(Dec 2013-Sept 2014): an evidence gathering phase including initial stakeholder consultation (60 days) to take place Feb-March 2014.</i></p> <p><i>Phase 2 (Oct 2014-Oct 2015): a main revision drafting phase leading to a revision draft consultation (60 days) to take place Sept/Oct 2015</i></p> <p><i>Phase 3 (Nov 2015-Nov 2016): a conclusion phase including a further revision and preapproval draft consultation (30 days) to conclude early February 2016 prior to any further amendment and final submission to FSC UK and PEFC UK by the end of April 2016.</i></p> <p><i>Key documents: UKWAS Standard-setting process (Version 2.0): www.ukwas.org.uk/wpcontent/uploads/2013/03/UKWAS-Standard-Setting-Process-Version-2.0-12.03.13.pdf - UKWAS Revision 2013-16: Process and Timetable: www.ukwas.org.uk/wpcontent/uploads/2014/01/UKWAS-Revision-Timetable-2013-16.pdf “</i></p> <p><i>From the Initial Consultation Paper: “4. How should I respond and what is the deadline for making my input? Your comments are required by March 31st 2014. There is no formal format required, just send us your issues in a clear and concise format identifying and explaining the issues you wish to raise and any suggested solution for each. Please email them to the UKWAS Support Unit on ukwas@confor.org.uk.”</i></p> <p><i>From the PEFC website on February 1, 2014: “A call for stakeholder comments has been made by the UKWAS Steering Group to inform the development of an UKWAS Fourth Edition which will be released in autumn 2016. UKWAS Executive Chair, Peter Wilson said: “What we are looking for is your ideas on what is good or bad about the current UKWAS Third Edition and how it might be improved. This is a chance for stakeholders to make any input they feel appropriate right at the outset of our UKWAS revision process. People may raise whatever issue they feel is important in as little or as much detail as they like. There will be two more chances to make comment as the revision process progresses but by commenting now people will be making input right at the initial evidence-gathering phase”. There is no required format, simply read the consultation paper and then send us your issues in a</i></p>

Question	Assess. basis*	YES /NO*	Reference to application documents
			<p><i>clear and concise format identifying and explaining each issue you wish to raise and any suggested solution for each. The consultation paper is available here: http://ukwas.org.uk/wp-content/uploads/2014/02/UKWAS-Revision-Initial-Stakeholder-Consultation-Paper-February-2014.pdf</i></p> <p><i>Please email comments to the UKWAS Support Unit on ukwas@confor.org.uk by March 31st 2014. Further information on the UKWAS revision process is available here:."</i></p> <p>PEFC UK SCHEME</p> <p><i>Section 6, CR 6.4: "Standard-Setting Process: The Steering Group undertook a comprehensive revision between 2013 and 2016 in three main phases and there were three opportunities for stakeholders to make input: Phase 1 (Dec 2013 to September 2014) was an evidence gathering phase including an initial stakeholder consultation over 60 days in February and March 2014, Phase 2 (October 2014 to October 2015) was the main revision drafting phase leading to a revision draft for consultation over 60 days over September and October 2015, Phase 3 (November 2015 to November 2016) is the conclusion phase including further revision and preparation of a pre-approval draft for a final consultation for 30 days in February 2016."</i></p> <p>Appendix 3</p> <p><i>B4: "Consultation: A list shall be maintained of those to be consulted at each stage of the standard-setting process and thereafter kept informed of progress; inclusion on the list shall be open to any stakeholder on request. The process for developing and revising standards shall include provision for consultation through notifying a wide range of stakeholders and publicising the availability of the following documents as a minimum: a) An 'Initial Stakeholder Consultation' - an invitation to comment on the current standard which should identify any areas already identified as requiring review (minimum consultation period of 60 days). b) A 'Revision Draft' which should include a summary of the stakeholders' initial comments and clearly identify and explain the proposed changes (minimum consultation period of 60 days). c) A 'Pre-approval Draft' which should include a summary of the further stakeholder comments and clearly identify and explain the proposed changes (minimum consultation period of 30 days)."</i></p> <p>CONFORMITY</p>

Question	Assess. basis*	YES /NO*	Reference to application documents
e) all comments received are considered by the working group/committee in an objective manner,	Procedures	YES	<p>Standard-Setting Process</p> <p>Section B4: <i>“Consultation: A list shall be maintained of those to be consulted at each stage of the standard-setting process and thereafter kept informed of progress; inclusion on the list shall be open to any stakeholder on request. The process for developing and revising standards shall include provision for consultation through notifying a wide range of stakeholders and publicising the availability of the following documents as a minimum: a) An ‘Initial Stakeholder Consultation’ - an invitation to comment on the current standard which should identify any areas already identified as requiring review (minimum consultation period of 60 days). b) A ‘Revision Draft’ which should include a summary of the stakeholders’ initial comments and clearly identify and explain the proposed changes (minimum consultation period of 60 days). c) A ‘Pre-approval Draft’ which should include a summary of the further stakeholder comments and clearly identify and explain the proposed changes (minimum consultation period of 30 days).”</i></p> <p>CONFORMITY</p>
	Process	YES	<p>All standard-setting procedures are publicly available on the UKWAS web site http://ukwas.org.uk/documents including the “Initial Stakeholder Consultation Paper” and the “Consultation Report & Steering Group Responses.”</p> <p>From the Initial Consultation Paper: 3. <i>“How will the UKWAS Steering Group consider the input received? To begin with all the evidence received from all the elements of the review will be brought together in an Issues Paper for consideration by the UKWAS Steering Group. Following its discussions the Steering Group will prepare a Revision Draft of the standard which will be made available in September 2015 for a 60-day public consultation.”</i></p> <p>From the “Consultation Report & Steering Group Responses” document:</p> <p><i>“Sub-section 2.2: Documentation</i></p> <p><i>Issues:</i></p> <p><i>Clarify link between assessment of resource, objective and monitoring throughout. Steering Group response: Guidance to this effect has been added to 2.2.1.</i></p> <p><i>2.2.1 Requirement: Change ‘policy’ to ‘vision’ in (a). Steering Group</i></p>

Question	Assess. basis*	YES /NO*	Reference to application documents
			<p><i>response: Long-established use of 'policy' retained.</i></p> <p><i>2.2.1 Requirement: Consider overlap between (c) and (m). Steering Group response: The Group considers it appropriate to retain both, particularly given that (m) applies to specifically to what would be considered high conservation values. (m) moved to (d) to ensure these points are considered side by side.</i></p> <p><i>2.2.1 Requirement: Delete 'and appropriate treatments' in (c). Steering Group response: This is retained as an important part of management planning."</i></p> <p>PEFC UK SCHEME</p> <p>Appendix 3</p> <p><i>B1: "Introduction: All stakeholders were invited to participate in the development of the standard and associations representing the UK's forest and woodland owners and managers were fully supportive of the process and were active participants."</i></p> <p><i>B4: "Consultation: A list shall be maintained of those to be consulted at each stage of the standard-setting process and thereafter kept informed of progress; inclusion on the list shall be open to any stakeholder on request. The process for developing and revising standards shall include provision for consultation through notifying a wide range of stakeholders and publicising the availability of the following documents as a minimum: a) An 'Initial Stakeholder Consultation' - an invitation to comment on the current standard which should identify any areas already identified as requiring review (minimum consultation period of 60 days). b) A 'Revision Draft' which should include a summary of the stakeholders' initial comments and clearly identify and explain the proposed changes (minimum consultation period of 60 days). c) A 'Pre-approval Draft' which should include a summary of the further stakeholder comments and clearly identify and explain the proposed changes (minimum consultation period of 30 days)."</i></p> <p><i>B7: "The Steering Group shall keep the following records of the standards development process: a) List of all consultants or other individuals who have been involved in drafting the standard, together with their affiliations. b) List of all forest stakeholders invited to participate in the standards setting process. c) List of all forest stakeholders sent specified drafts of the standard and invited to comment. d) List of forest stakeholders that have participated in the</i></p>

Question	Assess. basis*	YES /NO*	Reference to application documents
			<p><i>standards setting process through other means, together with a note of the nature of such participation. e) All correspondence in relation to development of the standard. f) Copies of each draft of the standard which was prepared during the development process. g) Copies of all comments submitted in writing with respect to the specified draft standards. h) Summaries of comments on each draft, together with a brief explanation of the way in which those comments were responded to in the draft. The Steering Group shall provide the certification schemes with a copy of the complete set of records specified above in support of the accreditation processes and shall keep a copy of the records for at least seven years. All records noted above will be available on the UKWAS web site and to all interested parties on request."</i></p> <p>CONFORMITY</p>
<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.</p>	<p>Procedures</p>	<p>YES</p>	<p>PEFC UK SCHEME</p> <p>Appendix 3</p> <p>B4: <i>"Consultation: A list shall be maintained of those to be consulted at each stage of the standard-setting process and thereafter kept informed of progress; inclusion on the list shall be open to any stakeholder on request. The process for developing and revising standards shall include provision for consultation through notifying a wide range of stakeholders and publicising the availability of the following documents as a minimum: a) An 'Initial Stakeholder Consultation' - an invitation to comment on the current standard which should identify any areas already identified as requiring review (minimum consultation period of 60 days). b) A 'Revision Draft' which should include a summary of the stakeholders' initial comments and clearly identify and explain the proposed changes (minimum consultation period of 60 days). c) A 'Pre-approval Draft' which should include a summary of the further stakeholder comments and clearly identify and explain the proposed changes (minimum consultation period of 30 days). Additional drafts may be issued at the discretion of the Steering Group. All comments received shall be considered within the review. All documents should be posted on the web site as soon as possible after approval by the Steering Group, but no longer than one month after the meeting."</i></p> <p>B7: <i>"The Steering Group shall keep the following records of the standards development process: f) Copies of each draft of the standard which was prepared during the development process. g) Copies of all</i></p>

Question	Assess. basis*	YES /NO*	Reference to application documents
			<p><i>comments submitted in writing with respect to the specified draft standards. h) Summaries of comments on each draft, together with a brief explanation of the way in which those comments were responded to in the draft..."</i></p> <p>CONFORMITY</p>
	Process	YES	<p>All standard-setting procedures are publicly available on the UKWAS web site http://ukwas.org.uk/documents including the "Consultation Report & Steering Group Responses."</p> <p>From the "Consultation Report & Steering Group Responses" document:</p> <p><i>"Sub-section 2.2: Documentation</i></p> <p><i>Issues:</i></p> <p><i>Clarify link between assessment of resource, objective and monitoring throughout. Steering Group response: Guidance to this effect has been added to 2.2.1.</i></p> <p><i>2.2.1 Requirement: Change 'policy' to 'vision' in (a). Steering Group response: Long-established use of 'policy' retained.</i></p> <p><i>2.2.1 Requirement: Consider overlap between (c) and (m). Steering Group response: The Group considers it appropriate to retain both, particularly given that (m) applies to specifically to what would be considered high conservation values. (m) moved to (d) to ensure these points are considered side by side.</i></p> <p><i>2.2.1 Requirement: Delete 'and appropriate treatments' in (c). Steering Group response: This is retained as an important part of management planning."</i></p> <p>CONFORMITY</p>
5.7 The standardising body shall organise pilot testing of the new standards and the results of the pilot testing shall be considered by the working	Procedures	YES	<p>PEFC UK SCHEME</p> <p>Appendix 3: B8 "Forest testing: <i>The drafting of the first edition of the standard was informed by the results of testing the standard in the forest. In revising the standard, pilot testing and/or experience gained from the application of the standard shall be used to inform the revision process.</i>"</p> <p>CONFORMITY</p>

Question	Assess. basis*	YES /NO*	Reference to application documents
group/committee.	Process	N/A	<p>PEFC UK has determined that pilot testing for this revision is not required due to the limited changes to the standard, an early reassessment, and knowledge gained from three prior revisions.</p> <p>NOT APPLICABLE</p>
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	<p>PEFC UK SCHEME</p> <p>Appendix 3</p> <p>B5: <i>“Consensus: Decisions of the Steering Group shall require the unanimous vote of those attending and voting at a duly convened meeting of the Steering Group. Any member attending the meeting but abstaining from voting shall not be counted (Article 40.3).”</i></p> <p>C3: <i>“Decision making: The quorum for the transaction of the business of the Steering Group shall be two-fifths of all the persons who at the commencement of the meeting are Steering Group members (Article 40.2). Decisions of the Steering Group shall require the unanimous vote of those attending and voting at a duly convened meeting of the Steering Group. Any member attending the meeting but abstaining from voting shall not be counted (Article 40.3).”</i></p> <p>UKWAS Articles of Association</p> <p>40.3 <i>“Decisions of the Steering Group shall require the unanimous vote of those attending and voting at a duly convened meeting of the Steering Group. Any member attending the meeting but abstaining from voting shall not be counted.”</i></p> <p>CONFORMITY</p>
	Process	YES	<p>From the minutes of the April 12, 2016 meeting of the steering Group:</p> <p><i>“UKWAS 4 final approval: PW called for a vote on approving the UKWAS 4 draft text with agreed amendments from today’s meeting incorporated. UKWAS Steering Group unanimously voted to approve UKWAS 4.”</i></p> <p>CONFORMITY</p>
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	Procedures	YES	PEFC UK SCHEME

Question	Assess. basis*	YES /NO*	Reference to application documents
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.,			<p>Appendix 3</p> <p>B5: <i>“Consensus: Decisions of the Steering Group shall require the unanimous vote of those attending and voting at a duly convened meeting of the Steering Group. Any member attending the meeting but abstaining from voting shall not be counted (Article 40.3).”</i></p> <p>C3: <i>“Decision making: Decisions of the Steering Group shall require the unanimous vote of those attending and voting at a duly convened meeting of the Steering Group. Any member attending the meeting but abstaining from voting shall not be counted (Article 40.3).”</i></p> <p>UKWAS Articles of Association</p> <p>40.3 <i>“Decisions of the Steering Group shall require the unanimous vote of those attending and voting at a duly convened meeting of the Steering Group. Any member attending the meeting but abstaining from voting shall not be counted.”</i></p> <p>CONFORMITY</p>
	Process	YES	<p>From the minutes of the April 12, 2016 meeting of the steering Group:</p> <p><i>“UKWAS 4 final approval: PW called for a vote on approving the UKWAS 4 draft text with agreed amendments from today’s meeting incorporated. UKWAS Steering Group unanimously voted to approve UKWAS 4.”</i></p> <p>CONFORMITY</p>
b) a telephone conference meeting where there is a verbal yes/no vote,	Procedures	NA	The assessor notes that 5.8 b and c are not applicable because of the UKWAS definition of consensus: face-to-face meetings only; requires unanimous vote of those present.
	Process	NA	The assessor notes that 5.8 b and c are not applicable because of the UKWAS definition of consensus: face-to-face meetings only; requires unanimous vote of those present.
c) an e-mail meeting where a request for agreement or objection is provided to members with the members providing	Procedures	NA	The assessor notes that 5.8 b and c are not applicable because of the UKWAS definition of consensus: face-to-face meetings only; requires unanimous vote of those present.
	Process	NA	The assessor notes that 5.8 b and c are not applicable because of the UKWAS definition of consensus: face-to-face meetings only; requires

Question	Assess. basis*	YES /NO*	Reference to application documents
a written response (a proxy for a vote), or			unanimous vote of those present.
d) combinations thereof.	Procedures	YES	<p>PEFC UK SCHEME</p> <p>Appendix 3</p> <p>B5: <i>“Consensus: Decisions of the Steering Group shall require the unanimous vote of those attending and voting at a duly convened meeting of the Steering Group. Any member attending the meeting but abstaining from voting shall not be counted (Article 40.3).”</i></p> <p>C3: <i>“Decision making: Decisions of the Steering Group shall require the unanimous vote of those attending and voting at a duly convened meeting of the Steering Group. Any member attending the meeting but abstaining from voting shall not be counted (Article 40.3).”</i></p> <p>UKWAS Articles of Association</p> <p>40.3 <i>“Decisions of the Steering Group shall require the unanimous vote of those attending and voting at a duly convened meeting of the Steering Group. Any member attending the meeting but abstaining from voting shall not be counted.”</i></p> <p>CONFORMITY</p>
	Process	YES	<p>From the minutes of the April 12, 2016 meeting of the steering Group:</p> <p><i>“UKWAS 4 final approval: PW called for a vote on approving the UKWAS 4 draft text with agreed amendments from today’s meeting incorporated. UKWAS Steering Group unanimously voted to approve UKWAS 4.”</i></p> <p>CONFORMITY</p>
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	<p>Standard-Setting Process</p> <p>Section C5: <i>“Dispute resolution: Any query relating to the interpretation of the meaning of the standard shall be remitted to an Interpretation Panel which shall be appointed by the Steering Group to provide it and users of the certification standard with advice on its interpretation. The Steering Group shall appoint an independent chair of the Interpretation Panel and shall publish its rules, procedures and</i></p>

Question	Assess. basis*	YES /NO*	Reference to application documents
			<p><i>advice on the website.</i></p> <p><i>Any grievance relating to the Standard-Setting Process should be addressed to the Company Secretary and shall be considered and determined by the Steering Group in accordance with the provisions of Articles 40.2 and 40.3 (see C3 above). In the event of a complainant wishing to appeal against the Steering Group’s determination the matter shall be remitted to the chair of the Interpretation Panel whose decision shall be final.”</i></p> <p>CONFORMITY</p>
	Process	NA	The assessor notes that no disputes were recorded. 5.9 a, b and c are not applicable because of the UKWAS definition of consensus: face-to-face meetings only; requires unanimous vote of those present.
b) direct negotiation between the stakeholder(s) submitting the objection and stakeholders with different views on the disputed issue in order to find a compromise,	Procedures	YES	<p>Standard-Setting Process</p> <p><i>Section C5: “Dispute resolution: Any query relating to the interpretation of the meaning of the standard shall be remitted to an Interpretation Panel which shall be appointed by the Steering Group to provide it and users of the certification standard with advice on its interpretation. The Steering Group shall appoint an independent chair of the Interpretation Panel and shall publish its rules, procedures and advice on the website.</i></p> <p><i>Any grievance relating to the Standard-Setting Process should be addressed to the Company Secretary and shall be considered and determined by the Steering Group in accordance with the provisions of Articles 40.2 and 40.3 (see C3 above). In the event of a complainant wishing to appeal against the Steering Group’s determination the matter shall be remitted to the chair of the Interpretation Panel whose decision shall be final.”</i></p> <p>CONFORMITY</p>
	Process	NA	The assessor notes that no disputes were recorded. 5.9 a, b and c are not applicable because of the UKWAS definition of consensus: face-to-face meetings only; requires unanimous vote.
c) dispute resolution process.	Procedures	YES	<p>Standard-Setting Process</p> <p><i>Section C5: “Dispute resolution: Any query relating to the interpretation of the meaning of the standard shall be remitted to an Interpretation Panel which shall be appointed by the Steering Group to</i></p>

Question	Assess. basis*	YES /NO*	Reference to application documents
			<p><i>provide it and users of the certification standard with advice on its interpretation. The Steering Group shall appoint an independent chair of the Interpretation Panel and shall publish its rules, procedures and advice on the website.</i></p> <p><i>Any grievance relating to the Standard-Setting Process should be addressed to the Company Secretary and shall be considered and determined by the Steering Group in accordance with the provisions of Articles 40.2 and 40.3 (see C3 above). In the event of a complainant wishing to appeal against the Steering Group’s determination the matter shall be remitted to the chair of the Interpretation Panel whose decision shall be final.”</i></p> <p>CONFORMITY</p>
	Process	NA	The assessor notes that no disputes were recorded. 5.9 a, b and c are not applicable because of the UKWAS definition of consensus: face-to-face meetings only; requires unanimous vote of those present.
5.10 Documentation on the implementation of the standard-setting process shall be made publicly available.	Procedures	YES	<p>PEFC UK SCHEME</p> <p><i>Appendix 3: “B3 Transparency: The publication of the UKWAS standard setting procedure on the website ensures transparency of process. The commencement of the Standard-Setting Process and information on the objectives, scope and development process shall be communicated publicly and stakeholder representatives shall be notified directly. This invitation to participate and comment on the publicly available process shall be publicised both on the UKWAS and PEFC UK web sites and in trade journals. Key documents including, the Standard-Setting Process, process documents and other related documents, the consultation drafts and the formal responses to comments received shall be available to all interested parties by publication on the website and direct notification of stakeholder representatives. Steering Group members shall receive all relevant papers and minutes of meetings and shall be responsible for keeping their constituents informed. Key Steering Group comments shall be recorded in the minutes. No information on the development of the standard shall be withheld unreasonably.”</i></p> <p>CONFORMITY</p>
	Process	YES	All standard-setting procedures are publicly available on the UKWAS web site http://ukwas.org.uk/documents including the UKWAS Revision Process 2013-16.

Question	Assess. basis*	YES /NO*	Reference to application documents
			<p>From this document:</p> <p><i>“The revision and consultation process will be taken forward in three main phases:</i></p> <p><i>Phase 1(Dec 2013-Sept 2014): an evidence gathering phase including initial stakeholder consultation (60 days) to take place Feb-March 2014</i></p> <p><i>Phase 2 (Oct 2014-Oct 2015): a main revision drafting phase leading to a revision draft consultation (60 days) to take place Sept/Oct 2015</i></p> <p><i>Phase 3 (Nov 2015-Nov 2016): a conclusion phase including a further revision and pre-approval draft consultation (30 days) to conclude early February 2016 prior to any further amendment and final submission to FSC UK and PEFC UK by the end of April 2016.</i></p> <p><i>The key elements of each phase are:....”</i></p> <p>CONFORMITY</p>
5.11 The standardising body shall formally approve the standards/normative documents based on evidence of consensus reached by the working group/committee.	Procedures	YES	<p>PEFC UK SCHEME</p> <p>B5: <i>“Consensus: Decisions of the Steering Group shall require the unanimous vote of those attending and voting at a duly convened meeting of the Steering Group. Any member attending the meeting but abstaining from voting shall not be counted (Article 40.3).”</i></p> <p>C3: <i>“Decision making: The quorum for the transaction of the business of the Steering Group shall be two-fifths of all the persons who at the commencement of the meeting are Steering Group members (Article 40.2). Decisions of the Steering Group shall require the unanimous vote of those attending and voting at a duly convened meeting of the Steering Group. Any member attending the meeting but abstaining from voting shall not be counted (Article 40.3).”</i></p> <p>CONFORMITY</p>
	Process	YES	<p>From the minutes of the April 12, 2016 meeting of the steering Group:</p> <p><i>“UKWAS 4 final approval: PW called for a vote on approving the UKWAS 4 draft text with agreed amendments from today’s meeting incorporated. UKWAS Steering Group unanimously voted to approve UKWAS 4.”</i></p> <p>CONFORMITY</p>
5.12 The formally approved standards/normative	Procedures	YES	<p>Standard-Setting Process</p> <p>Section B4 <i>“Consultation: A list shall be maintained of those to be consulted at each stage of the standard-setting process and thereafter</i></p>

Question	Assess. basis*	YES /NO*	Reference to application documents
<p>ve documents shall be published in a timely manner and made publicly available.</p>			<p><i>kept informed of progress; inclusion on the list shall be open to any stakeholder on request. The process for developing and revising standards shall include provision for consultation through notifying a wide range of stakeholders and publicising the availability of the following documents as a minimum: a) An ‘Initial Stakeholder Consultation’ - an invitation to comment on the current standard which should identify any areas already identified as requiring review (minimum consultation period of 60 days). b) A ‘Revision Draft’ which should include a summary of the stakeholders’ initial comments and clearly identify and explain the proposed changes (minimum consultation period of 60 days). c) A ‘Pre-approval Draft’ which should include a summary of the further stakeholder comments and clearly identify and explain the proposed changes (minimum consultation period of 30 days). Additional drafts may be issued at the discretion of the Steering Group. All comments received shall be considered within the review. All documents should be posted on the web site as soon as possible after approval by the Steering Group, but no longer than one month after the meeting.”</i> CONFORMITY</p>
	Process	YES	<p>All standard-setting procedures are publicly available on the UKWAS web site http://ukwas.org.uk/documents including all consultation drafts from the standard revision process.</p> <p>From the minutes of the April 12, 2016 meeting of the steering Group: <i>“The Final Draft UKWAS 4 to be placed on the UKWAS website as a pdf with DRAFT watermark. In addition, the following documents will be posted:</i></p> <ul style="list-style-type: none"> • <i>Final Draft - version showing changes since the Pre-approval Draft</i> • <i>Requirements-only version to include introduction, requirements, glossary and appendix</i> • <i>Appendix (References and bibliography)</i> • <i>Summary of the changes.</i> <p>CONFORMITY</p>
Revisions of standards/normative documents			
6.1 The standards/normative documents shall be reviewed and revised at intervals that do not exceed	Process	YES	<p>Standard-Setting Process</p> <p>Section B “Participatory Process”</p> <p>CR B1: “Introduction: The first edition of the standard was the product of an inclusive and transparent process which involved a balanced representation from the UK forestry and environmental community.</p>

Question	Assess. basis*	YES /NO*	Reference to application documents
<p>a five-year period. The procedures for the revision of the standards/normative documents shall follow those set out in chapter 5.</p>			<p><i>The standard was designed to reflect the requirements of the UK Government’s ‘UK Forestry Standard’ (and through this the guidelines adopted by European Forestry Ministers at Helsinki in 1993 and Lisbon in 1998) and the Forest Stewardship Council’s Principles & Criteria for Forest Stewardship. All stakeholders were invited to participate in the development of the standard and associations representing the UK’s forest and woodland owners and managers were fully supportive of the process and were active participants. The first edition of the standard was approved by FSC and published in 1999. PEFC Council endorsed the standard in 2002. A second revised edition was published in 2006 and a third edition in 2011.”</i></p> <p>PEFC UK SCHEME</p> <p>Appendix 3</p> <p>Section D: “Review of the Standard”</p> <p>CR D1: “Revision: The standard shall be reviewed and revised as necessary on a five year cycle.”</p> <p>CONFORMITY</p>
<p>6.2 The revision shall define the application date and transition date of the revised standards/normative documents.</p>	<p>Process</p>	<p>YES</p>	<p>PEFC UK SCHEME</p> <p>Section 6.4: “<i>The Steering Group undertook a comprehensive revision between 2013 and 2016 in three main phases and there were three opportunities for stakeholders to make input: Phase 1 (Dec 2013 to September 2014) was an evidence gathering phase including an initial stakeholder consultation over 60 days in February and March 2014. Phase 2 (October 2014 to October 2015) was the main revision drafting phase leading to a revision draft for consultation over 60 days over September and October 2015. Phase 3 (November 2015 to November 2016) is the conclusion phase including further revision and preparation of a pre-approval draft for a final consultation for 30 days in February 2016. After further amendment, FSC UK and PEFC UK were invited to submit the final draft standard to their international parent bodies for approval. The Fourth edition of the UK Woodland Assurance Standard will hope to be endorsed by PEFC for use with effect from 1st December 2016. There is a transition period of one year.”</i></p> <p>CONFORMITY</p>
<p>6.3 The application date shall not exceed a period of</p>	<p>Process</p>	<p>NA</p>	<p>It is noted that this is a process requirement. Therefore it is Not Applicable as the newly revised standard has not yet been endorsed</p>

Question	Assess. basis*	YES /NO*	Reference to application documents
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.			by PEFC.
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.	Process	YES	<p>PEFC UK SCHEME</p> <p>Section 6.4: <i>“The Fourth edition of the UK Woodland Assurance Standard will hope to be endorsed by PEFC for use with effect from 1st December 2016. There is a transition period of one year.”</i></p> <p>Appendix 3: <i>“Scope: “The document defines the procedures and process requirements for the development, maintenance and revision of the United Kingdom Woodland Assurance Standard. The procedures have been developed to ensure alignment with the requirements of the FSC and PEFC forest certification schemes. To ensure their continued alignment, these procedures should be subject to review, as a minimum, a year prior to the commencement of a formal revision of the UKWAS standard.”</i></p> <p>CONFORMITY</p>

3 Application documentation

The application for the endorsement and mutual recognition as defined in Chapter 5 of Annex 7 (*Endorsement and Mutual Recognition of National Systems and their Revision*) shall include information which enables the assessment of the applicant system’s compliance with the PEFC Council requirements.

The application documentation should identify and make reference to other detailed documentation such as minutes, internal procedures and rules, reports, etc. which do not need to create a part of the application documentation.

Asses. basis* The standard setting is assessed against the PEFC Council requirements in two stages: (i) compliance of written standard setting procedures (“Procedures”) and (ii) compliance of the Standard-Setting Process itself (“Process”).

For “Procedures” the applicant should refer to the part(s) of its standard setting procedures related to the respective PEFC requirement. For “Process” the applicant should either refer to the report/records of the Standard-Setting Process forming a part of the submitted application documents, or describe how the PEFC requirement was fulfilled during the Standard-Setting Process.

YES/NO*

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

PART II: Standard and System Requirement Checklist for Group FOREST MANAGEMENT CERTIFICATION (PEFC ST 1002:2010)

1 Scope

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

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

2 Checklist

Question	YES / NO*	Reference to system documentation
General		
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	PEFC UK SCHEME Section 7: Scheme Governance CR 7.3: <i>“Forest Management: Certification Levels”</i> IN 7.3.4: <i>“Basis of Group Certification</i> <i>Group organisation: A group of participants represented by the group entity for the purposes of implementation of the sustainable forest management standard and its certification.”</i> CONFORMITY
b) the group entity,	YES	PEFC UK SCHEME Section 7, CR 7.3, IN 7.3.4: <i>“Group entity: An entity that represents the participants, with overall responsibility for ensuring the conformity of forest management in the certified area to the sustainable forest management standard and other applicable requirements of the forest certification scheme.”</i> CONFORMITY
c) the participant,	YES	PEFC UK SCHEME Section 7: Scheme Governance Section 7, CR 7.3, IN 7.3.4: <i>“Participant: A forest owner/manager or other entity covered by the group forest certificate, who has the legal right to manage the forest in a clearly defined forest area, and the ability to implement the requirements of the sustainable forest management standard in that area.”</i>

Question	YES / NO*	Reference to system documentation
		CONFORMITY
d) the certified area,	YES	PEFC UK SCHEME Section 7, CR 7.3, IN 7.3.4: <i>“Certified area: The forest area covered by a group forest certificate representing the sum of forest areas of the participants.”</i> CONFORMITY
e) the group forest certificate, and	YES	PEFC UK SCHEME Section 7: Scheme Governance CR 7.3, IN 7.3.4: <i>“Group certificate: A document confirming that the group organisation complies with the requirements of the sustainable forest management standard and other applicable requirements of the forest certification scheme.”</i> CONFORMITY
f) the document confirming participation in group forest certification.	YES	PEFC UK SCHEME Section 7, CR 7.3, IN 7.3.4: <i>“Document confirming participation in group forest certification: A document issued to an individual participant that refers to the group forest certificate and that confirms the participant as being covered by the scope of the group forest certification.”</i> CONFORMITY
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	YES	PEFC UK SCHEME Section 7, CR 7.3 IN 7.3.6: <i>“Categories for Group Certification: “In cases where an individual forest owner is covered by an additional group or individual forest management certifications, the Group manager shall ensure that non-conformity by the forest owner identified under one forest management certification scheme is addressed in any other forest management certification scheme that covers the forest owner.”</i> CONFORMITY

Question	YES / NO*	Reference to system documentation
addressed in any other forest management certification that covers the forest owner.		
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	<p>PEFC UK SCHEME</p> <p>Section 7, CR 7.3, IN 7.3.6: <i>"The Group manager shall define requirements for group forest certification which ensure that participants' conformity with the sustainable forest management standard is centrally administered and is subject to central review and that all participants shall be subject to the internal monitoring programme."</i></p> <p>CONFORMITY</p>
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	YES	<p>PEFC UK SCHEME</p> <p>Section 7, CR 7.3, IN 7.3.6: <i>"Categories for Group Certification: The Group manager shall define requirements for an annual internal monitoring programme that provides sufficient confidence in the conformity of the whole group organisation with the sustainable forest management standard."</i></p> <p>CONFORMITY</p>

Question	YES / NO*	Reference to system documentation
forest management standard.		
Functions and responsibilities of the group entity		
4.2.1 The forest certification scheme shall define the following requirements for the function and responsibility of the group entity:		
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>PEFC UK SCHEME</p> <p>Section 7, CR 7.3</p> <p>IN 7.3.7: <i>“Responsibilities of the Group Manager / Group Entity: In order to be eligible to apply for group certification, the Group Entity must: represent the group organisation in the certification process, including in communications and relationships with the certification body, submission of an application for certification, and contractual relationship with the certification body”</i></p> <p>CONFORMITY</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>PEFC UK SCHEME</p> <p>Section 7, CR 7.3, IN 7.3.7: <i>“In order to be eligible to apply for group certification, the Group Entity must: 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”</i></p> <p>CONFORMITY</p>
c) To establish written procedures for the management of the group organisation;	YES	<p>PEFC UK SCHEME</p> <p>Section 7, CR 7.3, IN 7.3.7: <i>“In order to be eligible to apply for group certification the Group Entity must: establish written procedures for the management of the group organisation.”</i></p>

Question	YES / NO*	Reference to system documentation
		CONFORMITY
<p>d) To keep records of: the group entity and participants' conformity with the requirements of the sustainable forest management standard, and other applicable requirements of the forest certification scheme, all participants, including their contact details, identification of their forest property and its/their size(s), the certified area, the implementation of an internal monitoring programme, its review and any preventive and/or corrective actions taken;</p>	YES	<p>PEFC UK SCHEME</p> <p>Section 7: CR 7.3, IN 7.3.7: <i>"In order to be eligible to apply for group certification the Group Entity must: keep records of the group entity and participants' conformity with the requirements of the sustainable forest management standard, and other applicable requirements of the forest certification scheme, of all participants, including their contact details, identification of their forest property and its/their size(s), of the certified area, of the implementation of an internal monitoring programme, its review and any preventive and/or corrective actions taken"</i></p> <p>CONFORMITY</p>
<p>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</p>	YES	<p>PEFC UK SCHEME</p> <p>Section 7: CR 7.3, IN 7.3.7: <i>"In order to be eligible to apply for group certification the Group Entity must: 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</i></p>

Question	YES / NO*	Reference to system documentation
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;		<p><i>written contract or other written agreement with all participants covering the right of the group entity to implement and enforce any corrective or preventive measures and where necessary, to initiate the exclusion of any participant from the scope of certification in the event of non-conformity with the sustainable forest management standard”</i></p> <p>CONFORMITY</p>
f) To provide participants with a document confirming participation in the group forest certification;	YES	<p>PEFC UK SCHEME</p> <p>Section 7: CR 7.3, IN 7.3.7: <i>““In order to be eligible to apply for group certification the Group Entity must: provide participants with a document confirming participation in the group forest certification”</i></p> <p>CONFORMITY</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>PEFC UK SCHEME</p> <p>Section 7: CR 7.3, IN 7.3.7: <i>““In order to be eligible to apply for group certification the Group Entity must: provide all participants with information and guidance required for the effective implementation of the sustainable forest management standard and other applicable requirements of the forest certification scheme”</i></p> <p>CONFORMITY</p>

Question	YES / NO*	Reference to system documentation
h) To operate an annual internal monitoring programme that provides for the evaluation of the participants' conformity with the certification requirements, and;	YES	<p>PEFC UK SCHEME</p> <p>Section 7: CR 7.3, IN 7.3.7: <i>"In order to be eligible to apply for group certification the Group Entity must: operate an annual internal monitoring programme that provides for the evaluation of the participants' conformity with the certification requirements"</i></p> <p>CONFORMITY</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>PEFC UK SCHEME</p> <p>Section 7: CR 7.3, IN 7.3.7: <i>"In order to be eligible to apply for group certification the Group Entity must: 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."</i></p> <p>CONFORMITY</p>
Function and responsibilities of participants		
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	YES	<p>PEFC UK SCHEME</p> <p>Section 7, CR 7.3</p> <p>IN 7.3.8: <i>"Responsibility of Participants: To provide the group entity with a written agreement, including a commitment on conformity with the sustainable forest</i></p>

Question	YES / NO*	Reference to system documentation
conformity with the sustainable forest management standard and other applicable requirements of the forest certification scheme;		<p><i>management standard and other applicable requirements of the forest certification scheme.</i></p> <p>CONFORMITY</p>
b) To comply with the sustainable forest management standard and other applicable requirements of the forest certification scheme;	YES	<p>PEFC UK SCHEME</p> <p>Section 7, CR 7.3, IN 7.3.8: <i>“Responsibility of Participants: To comply with the sustainable forest management standard and other applicable requirements of the forest certification scheme.”</i></p> <p>CONFORMITY</p>
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>PEFC UK SCHEME</p> <p>Section 7, CR 7.3, IN 7.3.8: <i>“Responsibility of Participants: To provide full co-operation and assistance in responding effectively to all requests from the group entity or certification body for relevant data, documentation or other information; allowing access to the forest and other facilities, whether in connection with formal audits or reviews or otherwise.”</i></p> <p>CONFORMITY</p>
d) To implement relevant corrective and preventive actions	YES	<p>PEFC UK SCHEME</p> <p>Section 7, CR 7.3, IN 7.3.8: <i>“Responsibility of Participants: To implement relevant corrective and preventive actions established by the group entity.”</i></p>

Question	YES / NO*	Reference to system documentation
established by the group entity.		CONFORMITY

PART III: Standard and System Requirement Checklist for SUSTAINABLE FOREST MANAGEMENT (PEFC ST 1003:2010)

1 Scope

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

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

2 Checklist

Question	YES / NO*	Reference to scheme documentation
General requirements for SFM standards		
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	UK Woodland Assurance Standard: The Certification Standard Fourth Edition (FINAL DRAFT) The assessor finds that the PEFC National Forest Standard for the UK clearly and precisely defines requirements for forest management at the certified group and individual forest owner level and meets management and performance requirements for plantation forestry as defined in PEFC ST 1003:2010; Appendix 1: Guidelines for the interpretation of the requirements in the case of plantation forestry; Interpretation for forest plantations. CONFORMITY
b) be clear, objective-based and auditable.	YES	UK WOODLAND ASSURANCE STANDARD The assessor finds that the PEFC National Forest Standard for the UK is clear, objective and auditable. CONFORMITY
c) apply to activities of all operators in the defined forest area who have a measurable impact on	YES	UK WOODLAND ASSURANCE STANDARD Section 2: <i>“Management Planning”</i> CR 2.1: <i>“Long term policy and objectives”</i>

Question	YES / NO*	Reference to scheme documentation
achieving compliance with the requirements.		<p>IN 2.1.1 b: <i>“The policy and objectives, or summaries thereof, shall be proactively communicated to workers consistent with their roles and responsibilities.”</i></p> <p>Section 5: <i>“People, communities and workers”</i></p> <p>CR 5.5: <i>“Training and continuing development”</i></p> <p>Indicators</p> <p>IN 5.1.1: <i>“All workers shall have appropriate qualifications, training and/or experience to carry out their roles in conformance to the requirements of this standard, unless working under proper supervision if they are currently undergoing training.”</i></p> <p>IN 5.5.2: <i>“The owner/manager of large enterprises shall promote training, and encourage and support new recruits to the industry.”</i></p> <p>UK FORESTRY STANDARD (UKFS)</p> <p>Chapter 5, CR 6: <i>“Forests and people”</i></p> <p>Legal requirement 8: <i>“Responsibilities under health and safety legislation must be complied with in relation to employees, contractors, volunteers and other people who may be affected by their work.”</i></p> <p>CONFORMITY</p>
d) require record-keeping that provides evidence of compliance with the requirements of the forest management standards.	YES	<p>UK WOODLAND ASSURANCE STANDARD</p> <p>Section 2: <i>“Management planning”</i></p> <p>CR 2.2: <i>“Documentation”</i></p> <p>IN 2.2.1: <i>“All areas in the WMU shall be covered by management planning documentation which shall be retained for at least ten years and shall incorporate: a) A long-term policy for the woodland. b) Assessment of relevant components of the woodland resource. c) Assessment of environmental values, including those outside the WMU potentially affected by management, sufficient to determine appropriate conservation measures and to provide a baseline for detecting possible negative impacts. d) Identification of special characteristics and sensitivities of the woodland and appropriate treatments. e) Specific measures to maintain and where possible enhance those areas identified under sections 4.14.5 and 4.8, considering areas where either the extent of these areas or their sensitivity to operations may be unknown. f) Identification of community and social needs and sensitivities. g) Prioritised objectives, with verifiable targets to measure progress towards them.</i></p>

Question	YES / NO*	Reference to scheme documentation
		<p><i>. h) Rationale for management prescriptions. i) Outline planned felling and regeneration over the next 20 years. j) Where applicable annual allowable harvest of non-timber woodland products (NTWPs). k) Rationale for the operational techniques to be used. l) Plans for implementation, first five years in detail. m) Appropriate maps. n) Plans to monitor at least those elements identified under section 2.15.1 against the objectives.”</i></p> <p>CR 2.15: “Monitoring”</p> <p>IN 2.15.1: “a) The owner/manager shall devise and implement a monitoring programme appropriate to the scale and intensity of management. b) The monitoring programme shall be: Part of the management planning documentation, Consistent and replicable over time to allow comparison of results and assessment of change, Kept in a form that ensures that results are of use over the long term. c) The owner/manager shall where applicable monitor and record: The implementation of policies and objectives and the achievement of verifiable targets, The achievement of objectives and verifiable targets, Implementation of woodland operations, Harvesting yields, Social impacts, Environmental impacts, Changes in environmental condition, Usage of pesticides, biological control agents and fertilisers and any adverse impacts, Environmentally appropriate disposal of waste materials. d) Monitoring targets shall fully consider any special features of the WMU.”</p> <p>CONFORMITY</p>
Specific requirements for SFM standards		
Criterion 1: Maintenance and appropriate enhancement of forest resources and their contribution to the global carbon cycle		
<p>5.1.1 Forest management planning shall aim to maintain or increase forests and other wooded areas and enhance the quality of the economic, ecological, cultural and social values of forest resources, including soil and water. This shall be done by making full use of related services and</p>	<p>YES</p>	<p>UK WOODLAND ASSURANCE STANDARD</p> <p>Section 2: “Management planning”</p> <p>CR 2.1: “Long term policy and objectives”</p> <p>Indicators</p> <p>2.1.1: “a) The owner/manager shall have long term policy and management objectives which are environmentally sound, socially beneficial and economically viable.”</p> <p>2.1.2: “Woodland management planning shall take fully into account the long-term positive and negative economic, environmental and social impacts of proposed operations, including potential impacts outside the WMU.”</p> <p>IN 2.1.3: “a) Woodland management planning shall demonstrate a</p>

Question	YES / NO*	Reference to scheme documentation
tools that support land-use planning and nature conservation.		<p><i>commitment to long-term economic viability. b) The owner/manager shall aim to secure the necessary investment to implement the management plan in order to meet this standard and to ensure long-term economic viability."</i></p> <p>CR 2.14: <i>"Implementation, amendment and revision of the plan"</i></p> <p>IN 2.14.1: <i>"The implementation of the work programme shall be in close agreement with the details included in the management planning documentation. Any deviation from prescription or planned rate of progress shall be justified, overall objectives shall still be achieved and the ecological integrity of the woodland maintained."</i></p> <p>UK FORESTRY STANDARD (UKFS)</p> <p>Chapter 5: UK Requirements</p> <p>Section1: <i>"General Forestry Practice"</i></p> <p>CR 6: <i>"Forest Planning"</i></p> <p>Good forestry practice requirement 9: <i>"Forest management plans should state the objectives of management, and set out how the appropriate balance between economic, environmental and social objectives will be achieved."</i></p> <p>Section 7: <i>"Forests and Soil"</i></p> <p>CR 3: <i>"Soil properties"</i></p> <p>Good forestry practice requirements</p> <p>1: <i>"The quality of forest soil should be protected or enhanced in terms of its physical, chemical and biological properties."</i></p> <p>2: <i>"Forest soil fertility levels should be maintained to safeguard the soil's character and productive potential."</i></p> <p>3: <i>"Forest operations should be planned and managed to avoid damage to soil structure and function; should damage occur, reinstatement measures should be undertaken and adverse effects mitigated."</i></p> <p>CR 4: <i>"Environmental Protection"</i></p> <p>Good forestry practice requirement4: <i>"The environment adjacent to forests should not be subject to adverse effects due to water run-off, contamination or erosion arising from forest management practices."</i></p> <p>CR 5: <i>"Oil and fuel storage"</i></p> <p>Legal requirement 8: <i>"Oil and fuel must be stored in a way that minimises the risks of leakage and pollution."</i></p> <p>CR 6: <i>"Forest Planning"</i></p>

Question	YES / NO*	Reference to scheme documentation
		<p>Legal requirement 9: <i>“Forestry operations must not lead to harmful or polluting substances contaminating public or private water supplies.”</i></p> <p>Section 8: <i>“Forests and water”</i> CR: 6: <i>“Water Supply”</i> Legal requirement 9: <i>“Forestry operations must not lead to harmful or polluting substances contaminating public or private water supplies.”</i></p> <p>CR 10: <i>“Water quality and buffer zones”</i> Good forestry practice requirements 3: <i>“Woodland creation and management should aim to help protect or restore the quality of the freshwater environment by reducing the impact of more intensive land management activities and environmental change.”</i> 5: <i>“Watercourses and water bodies should be identified and appropriate buffer areas established and maintained to protect aquatic and riparian zones from adjacent activities.”</i> 7: <i>“Forest operations should be conducted to prevent watercourses being polluted with sediment or discoloured; inspections should be carried out during forestry works and any incidents involving contamination of the water environment reported to the water regulatory authority without delay – remedial action should be taken immediately if pollution starts to occur.”</i></p> <p>The assessor concludes the level of detail and record keeping of these documents demonstrate conformance to this requirement.</p> <p>CONFORMITY</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</p>	<p>YES</p>	<p>UK WOODLAND ASSURANCE STANDARD</p> <p>Section 2: <i>“Management planning”</i></p> <p>CR 2.1: <i>“Long term policy and objectives”</i> Indicators 2.1.1: <i>“a) The owner/manager shall have long term policy and management objectives which are environmentally sound, socially beneficial and economically viable.”</i> 2.1.2: <i>“Woodland management planning shall take fully into account the long-term positive and negative economic, environmental and social impacts of proposed operations, including potential impacts outside the WMU.”</i></p> <p>CR 2.5: <i>“Assessment of environmental impacts”</i> Indicators 2.5.1: <i>“a) The impacts of new planting and other woodland plans on</i></p>

Question	YES / NO*	Reference to scheme documentation
<p>minimise or avoid negative impacts.</p>		<p><i>environmental values shall be assessed before operations are implemented, in a manner appropriate to the scale of the operations and the sensitivity of the site. b) The results of the environmental assessments shall be incorporated into planning and implementation in order to avoid, minimise or repair adverse environmental impacts of management activities.”</i></p> <p><i>2.5.3: “a) The owner/manager shall assess the potential negative impacts of natural hazards on the WMU, including drought, floods, wind, fire, invasive plant and animal species, and other pests and diseases. b) Planting and restructuring plans shall be designed to mitigate the risk of damage from natural hazards.”</i></p> <p>CR 2.14: “Implementation, amendment and revision of the plan” IN 2.14.1: “The implementation of the work programme shall be in close agreement with the details included in the management planning documentation. Any deviation from prescription or planned rate of progress shall be justified, overall objectives shall still be achieved and the ecological integrity of the woodland maintained.”</p> <p>CR 2.15: “Monitoring” Indicators 2.15.1: “a) The owner/manager shall devise and implement a monitoring programme appropriate to the scale and intensity of management. b) The monitoring programme shall be: Part of the management planning documentation, Consistent and replicable over time to allow comparison of results and assessment of change, Kept in a form that ensures that results are of use over the long term. c) The owner/manager shall where applicable monitor and record: the implementation of policies and objectives and the achievement of verifiable targets, Implementation of woodland operations, the achievement of objectives and verifiable targets, implementation of woodland operations, harvesting yields, social impacts, environmental impacts, changes in environmental condition, usage of pesticides, biological control agents and fertilisers and any adverse impacts, environmentally appropriate disposal of waste materials. d) Monitoring targets shall fully consider any special features of the WMU.” 2.15.2: “The owner/manager shall take monitoring findings into account, particularly during revision of the management planning documentation and if necessary shall revise management objectives, verifiable targets and/or management activities.” 2.15.3: “Monitoring findings, or summaries thereof, shall be made publicly available upon request.”</p>

Question	YES / NO*	Reference to scheme documentation
		<p>UK FORESTRY STANDARD (UKFS)</p> <p>Section 5: UK Requirements</p> <p>Section 1: <i>“General Forestry Practice”</i></p> <p>CR 6: <i>“Forest Planning”</i></p> <p>Good forestry practice requirement 9: <i>“Forest management plans should state the objectives of management, and set out how the appropriate balance between economic, environmental and social objectives will be achieved.”</i></p> <p>CONFORMITY</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>	<p>YES</p>	<p>UK WOODLAND ASSURANCE STANDARD</p> <p>Section 1: <i>“Legal compliance and UK WOODLAND ASSURANCE STANDARD conformance”</i></p> <p>CR 1.1: <i>“Compliance and conformance”</i></p> <p>IN 1.1.3: a) <i>“The legal identity of the certificate holder (owner/forestry leaseholder) shall be documented.</i></p> <p>b) <i>The boundaries of the certificate holder’s legal ownership or tenure shall be documented.</i></p> <p>c) <i>The scope of the owner’s/manager’s legal rights to manage the WMU and to harvest products and/or supply services from within the WMU shall be documented.</i></p> <p>d) <i>Legal authority to carry out specific operations, where required by the relevant authorities, shall be documented.</i></p> <p>e) <i>Payment shall be made in a timely manner of all applicable legally prescribed charges connected with forest management.”</i></p> <p>IN 1.1.6: <i>“a) There shall be conformance to guidance on anti-corruption legislation. b) Large enterprises shall have and implement a publicly available anti-corruption policy which meets or exceeds the requirements of legislation.”</i></p> <p>IN 1.1.7: <i>“There shall be compliance with legislation relating to the transportation and trade of forest products, including, where relevant, the EU Timber Regulation (EUTR) and phytosanitary requirements.”</i></p> <p>IN 1.1.3: <i>“The identity of the certificate holder (owner/forestry leaseholder) and the boundaries of their legal ownership or tenure shall be proven.”</i></p> <p>Section 2: <i>“Management planning”</i></p> <p>CR 2.2: <i>“Documentation”</i></p> <p>IN 2.2.1: <i>“All areas in the WMU shall be covered by management planning</i></p>

Question	YES / NO*	Reference to scheme documentation
		<p><i>documentation which shall be retained for at least ten years and shall incorporate b) Assessment of relevant components of the woodland resource, including potential products and services which are consistent with the management objectives....m) Appropriate maps.”</i></p> <p>CR 2.11: “Conservation” Indicators IN 2.11.1: “a) Management planning shall identify a minimum of 15% of the WMU where management for conservation and enhancement of biodiversity is the primary objective.</p> <p><i>b) This shall include conservation areas and features identified in the following sections: Statutory designated sites, Ancient semi-natural woodland, Plantations on ancient woodland sites, Other valuable semi-natural habitats, Areas and features of critical importance for watershed management or erosion control, Natural reserves, Long-term retentions and/or areas managed under lower impact silvicultural systems.”</i></p> <p>IN 2.11.2: “a) Management strategies and actions shall be developed to maintain and, where possible, enhance the areas and features of high conservation value identified in the following sections:</p> <ul style="list-style-type: none"> • Statutory designated sites (section 4.1) • Ancient semi-natural woodland (section 4.2) • Plantations on ancient woodland sites (section 4.3) • Areas and features of critical importance for watershed management or erosion control (section 4.5). <p><i>b) Management strategies and actions shall be developed in consultation with statutory bodies, interested parties and experts.”</i></p> <p>Section 4: “Natural, historical and cultural environment” CR 4.1: “Statutory designated sites and protected species” IN 4.1.1: “a) “Areas and features of high conservation value having particular significance for biodiversity shall be identified by reference to statutory designations at national or regional level and/or through assessment on the ground. d) Statutory designated sites shall be managed in accordance with plans agreed with nature conservation agencies, and shall be marked on maps.”</p> <p>IN 4.1.2: “Appropriate measures shall be taken to protect identified priority species and habitats in accordance with plans agreed with nature conservation agencies. In planning and implementing measures within the WMU, the owner/manager shall take into account the geographic range and ecological requirements of priority species beyond the boundary of the WMU.”</p> <p>The assessor concludes the level of detail and record keeping of these</p>

Question	YES / NO*	Reference to scheme documentation
		documents demonstrate conformance to this requirement. CONFORMITY
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.	YES	<p>UK WOODLAND ASSURANCE STANDARD CR 1.1, IN 1.1.1: <i>“There shall be compliance with the law. There shall be no substantiated outstanding claims of non-compliance related to woodland management.”</i></p> <p>CR 2.2 Indicators IN 2.2.1: <i>“All areas in the WMU shall be covered by management planning documentation which shall be retained for at least ten years and shall incorporate a) A long-term policy for the woodland. b) Assessment of relevant components of the woodland resource, including potential products and services which are consistent with the management objectives. c) Assessment of environmental values, including those outside the WMU potentially affected by management, sufficient to determine appropriate conservation measures and to provide a baseline for detecting possible negative impacts. d) Identification of special characteristics and sensitivities of the woodland and appropriate treatments. e) Specific measures to maintain and where possible enhance those areas identified under sections 4.14.5 and 4.8, considering areas where either the extent of these areas or their sensitivity to operations may be unknown. f) Identification of community and social needs and sensitivities. g) Prioritised objectives, with verifiable targets to measure progress towards them. h) Rationale for management prescriptions. i) Outline planned felling and regeneration over the next 20 years. j) Where applicable annual allowable harvest of non-timber woodland products (NTWPs). k) Rationale for the operational techniques to be used.”</i></p> <p>2.2.3: <i>“The management planning documentation shall be reviewed periodically (at least every ten years), taking into account: Monitoring results, Results of certification audits, Results of stakeholder engagement, New research and technical information, and Changed environmental, social, or economic circumstances.”</i></p> <p>CONFORMITY</p>
5.1.5 Management plans or their equivalents shall include at least a	YES	<p>UK WOODLAND ASSURANCE STANDARD</p> <p>Section 1, CR 2, IN 2.1.1: <i>“a) The owner/manager shall have a long term policy and management objectives which are environmentally sound,</i></p>

Question	YES / NO*	Reference to scheme documentation
<p>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><i>socially beneficial and economically viable.”</i></p> <p>CR 2.2, IN 2.2.1: <i>“All areas in the WMU shall be covered by management planning documentation which shall be retained for at least ten years and shall incorporate a) A long-term policy for the woodland. b) Assessment of relevant components of the woodland resource, including potential products and services which are consistent with the management objectives. c) Assessment of environmental values, including those outside the WMU potentially affected by management, sufficient to determine appropriate conservation measures and to provide a baseline for detecting possible negative impacts. d) Identification of special characteristics and sensitivities of the woodland and appropriate treatments. e) Specific measures to maintain and where possible enhance those areas identified under sections 4.14.5 and 4.8, considering areas where either the extent of these areas or their sensitivity to operations may be unknown. f) Identification of community and social needs and sensitivities. g) Prioritised objectives, with verifiable targets to measure progress towards them. h) Rationale for management prescriptions. i) Outline planned felling and regeneration over the next 20 years. j) Where applicable annual allowable harvest of nontimber woodland products (NTWPs). k) Rationale for the operational techniques to be used.”</i></p> <p>CR 2.4: <i>“Productive potential of the WMU”</i></p> <p>IN 2.4.2: <i>“a) Timber shall normally be harvested from the WMU at or below a level which can be permanently sustained.”</i></p> <p>CR 2.15, IN 2.15.1 <i>“c) The owner/manager shall where applicable monitor and record: The implementation of policies and objectives and the achievement of verifiable targets, , Implementation of woodland operations, Harvesting yields, Social impacts, Environmental impacts, Changes in environmental condition, Usage of pesticides, biological control agents and fertilisers and any adverse impacts, Environmentally appropriate disposal of waste materials.”</i></p> <p>Section 3: <i>“Woodland Operations”</i></p> <p>CR 3.2 <i>“Harvest operations”</i></p> <p>IN 3.2.1: <i>“a) Timber and non-timber woodland products (NTWPs) shall be harvested efficiently and with minimum loss or damage to environmental</i></p>

Question	YES / NO*	Reference to scheme documentation
		<p><i>values.”</i></p> <p>Assessors note: Although the term “AAC” is not used in the standard, indicators 2.4.2 and 3.2.1 when considered <i>in toto</i>, demonstrate conformance with the standard.</p> <p>CONFORMITY</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>	<p>YES</p>	<p>UK WOODLAND ASSURANCE STANDARD</p> <p>Section 1, CR 1.1, IN 1.1.5: <i>“a) The certificate holder (owner/forestry leaseholder) shall: Commit to conformance to this certification standard, and have declared an intention to protect and maintain the woodland management unit and its ecological integrity in the long term. b) A statement of these commitments shall be made publicly available upon request.”</i></p> <p>CR 2.2 Indicators 2.2.1: <i>“All areas in the WMU shall be covered by management planning documentation which shall be retained for at least ten years and shall incorporate a) A long-term policy for the woodland. b) Assessment of relevant components of the woodland resource, including potential products and services which are consistent with the management objectives. c) Assessment of environmental values, including those outside the WMU potentially affected by management, sufficient to determine appropriate conservation measures and to provide a baseline for detecting possible negative impacts. d) Identification of special characteristics and sensitivities of the woodland and appropriate treatments. e) Specific measures to maintain and where possible enhance those areas identified under sections 4.14.5 and 4.8, considering areas where either the extent of these areas or their sensitivity to operations may be unknown. f) Identification of community and social needs and sensitivities. g) Prioritised objectives, with verifiable targets to measure progress towards them.</i></p> <p>.</p> <p><i>h) Rationale for management prescriptions. i) Outline planned felling and regeneration over the next 20 years. j) Where applicable annual allowable harvest of non-timber woodland products (NTWPs). k) Rationale for the operational techniques to be used.”</i></p> <p>2.2.2: <i>“While respecting the confidentiality of information, the</i></p>

Question	YES / NO*	Reference to scheme documentation
		<p><i>owner/manager shall, upon request, make publicly available either: Management planning documentation, or A summary of the management planning documentation."</i></p> <p>CR 2.15, IN 2.15.1 "c) <i>The owner/manager shall where applicable monitor and record: The implementation of policies and objectives and the achievement of verifiable targets, Implementation of woodland operations, Harvesting yields, Social impacts, Environmental impacts, Changes in environmental condition, Usage of pesticides, biological control agents and fertilisers and any adverse impacts, Environmentally appropriate disposal of waste materials."</i></p> <p>UK FORESTRY STANDARD (UKFS)</p> <p>Section 5: UK Requirements</p> <p>Section 1: "General Forestry Practice" CR 6: "Forest Planning" Good forestry practice requirement 9: "Forest management plans should state the objectives of management, and set out how the appropriate balance between economic, environmental and social objectives will be achieved."</p> <p>Section 4: "Forest and Historic Environment" CR 4: "Historic landscape character" Indicators 1: "Forests should be designed and managed to take account of the historical character and cultural values of the landscape." 2: "Forests should be designed and managed to take account of policies associated with historic landscapes, battlefield sites, historic parks and gardens, and designed landscapes of historic interest."</p> <p>CR 5: "Historic features" Indicators 3: "Steps should be taken to ensure that historic features, which may be adversely affected by forestry, are known and evaluated on an individual site basis, taking advice from the local historic environment services." 4: "Forest management plans and operational plans should set out how important historic environment features, including veteran trees, are to be protected and managed."</p> <p>CONFORMITY</p>

Question	YES / NO*	Reference to scheme documentation
5.1.7 Monitoring of forest resources and evaluation of their management shall be periodically performed, and results fed back into the planning process.	YES	<p>UK WOODLAND ASSURANCE STANDARD</p> <p>Section 2, CR 2.2, IN 2.2.3: <i>“The management planning documentation shall be reviewed periodically (at least every ten years), taking into account: monitoring results, results of certification audits, Results of stakeholder engagement, new research and technical information, and changed environmental, social, or economic circumstances.”</i></p> <p>CR 2.15 Indicators</p> <p>2.15.1: <i>“a) The owner/manager shall devise and implement a monitoring programme appropriate to the scale and intensity of management. b) The monitoring programme shall be: Part of the management planning documentation, Consistent and replicable over time to allow comparison of results and assessment of change, Kept in a form that ensures that results are of use over the long term. c) The owner/manager shall where applicable monitor and record: The implementation of policies and objectives and the achievement of verifiable targets, , implementation of woodland operations, harvesting yields, social impacts, environmental impacts, changes in environmental condition, usage of pesticides, biological control agents and fertilisers and any adverse impacts, environmentally appropriate disposal of waste materials. d) Monitoring targets shall fully consider any special features of the WMU.”</i></p> <p>2.15.2: <i>“The owner/manager shall take monitoring findings into account, particularly during revision of the management planning documentation.”</i></p> <p>CONFORMITY</p>
5.1.8 Responsibilities for sustainable forest management shall be clearly defined and assigned.	YES	<p>UK WOODLAND ASSURANCE STANDARD</p> <p>CR 1.1, IN 1.1.5: <i>“a) The certificate holder (owner/forestry leaseholder) shall: Commit to conformance to this certification standard, and have declared an intention to protect and maintain the woodland management unit and its ecological integrity in the long term. b) A statement of these commitments shall be made publicly available upon request.”</i></p> <p>CONFORMITY</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	YES	<p>UK WOODLAND ASSURANCE STANDARD</p> <p>CR 2, IN 2.1.1: <i>“a) The owner/manager shall have a long term policy and management objectives which are environmentally sound, socially beneficial and economically viable.”</i></p> <p>CR 2.2, IN 2.2.1: <i>“All areas in the WMU shall be covered by management planning documentation which shall be retained for at least ten years and shall incorporate a) A long-term policy for the woodland.</i></p>

Question	YES / NO*	Reference to scheme documentation
<p>harvesting and growth rates, and by preferring techniques that minimise direct or indirect damage to forest, soil or water resources.</p>		<p><i>b) Assessment of relevant components of the woodland resource, including potential products and services which are consistent with the management objectives.</i></p> <p><i>c) Assessment of environmental values, including those outside the WMU potentially affected by management, sufficient to determine appropriate conservation measures and to provide a baseline for detecting possible negative impacts. d) Identification of special characteristics and sensitivities of the woodland and appropriate treatments.</i></p> <p><i>e) Specific measures to maintain and where possible enhance those areas identified under sections 4.14.5 and 4.8, considering areas where either the extent of these areas or their sensitivity to operations may be unknown.</i></p> <p><i>f) Identification of community and social needs and sensitivities.</i></p> <p><i>g) Prioritised objectives, with verifiable targets to measure progress towards them.</i></p> <p><i>h) Rationale for management prescriptions.</i></p> <p><i>i) Outline planned felling and regeneration over the next 20 years.</i></p> <p><i>j) Where applicable annual allowable harvest of non-timber woodland products (NTWPs).</i></p> <p><i>k) Rationale for the operational techniques to be used."</i></p> <p>CR 2.4 Indicators 2.4.1: "The owner/manager shall plan and implement measures to maintain and/or enhance long-term soil and hydrological functions." 2.4.2: "a) Timber shall normally be harvested from the WMU at or below a level which can be permanently sustained."</p> <p>CR 2.15 Indicators 2.15.1: "a) The owner/manager shall devise and implement a monitoring programme appropriate to the scale and intensity of management. b) The monitoring programme shall be: Part of the management planning documentation, Consistent and replicable over time to allow comparison of results and assessment of change, Kept in a form that ensures that results are of use over the long term. c) The owner/manager shall where applicable monitor and record: The implementation of policies and objectives and the achievement of verifiable targets, implementation of woodland operations, harvesting yields, social impacts, environmental impacts, changes in environmental condition, usage of pesticides, biological control agents and fertilisers and any adverse impacts, environmentally appropriate disposal of waste materials. d) Monitoring</p>

Question	YES / NO*	Reference to scheme documentation
		<p><i>targets shall fully consider any special features of the WMU.”</i></p> <p>2.15.2: <i>“The owner/manager shall take monitoring findings into account, particularly during revision of the management planning documentation and if necessary shall revise management objectives, verifiable targets and/or management activities.”</i></p> <p>2.15.3: <i>“Monitoring findings, or summaries thereof, shall be made publicly available upon request.”</i></p> <p>CR 3.2, IN 3.2.1: <i>“a) Timber and non-timber woodland products (NTWPs) shall be harvested efficiently and with minimum loss or damage to environmental values.</i></p> <p><i>b) Timber harvesting shall particularly seek to avoid: Damage to soil and water courses during felling, extraction and burning; Damage to standing trees, especially veteran trees, during felling, extraction and burning, Degrade in felled timber.”</i></p> <p>UK FORESTRY STANDARD (UKFS)Chapter 5, Section 7: <i>“Forests and Soil”</i></p> <p>CR 3: <i>“Soil properties”</i></p> <p>Good forestry practice requirements</p> <p>1: <i>“The quality of forest soil should be protected or enhanced in terms of its physical, chemical and biological properties.”</i></p> <p>2: <i>“Forest soil fertility levels should be maintained to safeguard the soil’s character and productive potential.”</i></p> <p>3: <i>“Forest operations should be planned and managed to avoid damage to soil structure and function; should damage occur, reinstatement measures should be undertaken and adverse effects mitigated.”</i></p> <p>CR 4: <i>“Environmental Protection”</i></p> <p>Good forestry practice requirement4: <i>“The environment adjacent to forests should not be subject to adverse effects due to water run-off, contamination or erosion arising from forest management practices.”</i></p> <p>Section 8: <i>“Forests and water”</i></p> <p>CR: 6: <i>“Water Supply”</i></p> <p>Legal requirement 9: <i>“Forestry operations must not lead to harmful or polluting substances contaminating public or private water supplies.”</i></p> <p>CR 10: <i>“Water quality and buffer zones”</i></p> <p>Good forestry practice requirements</p> <p>3: <i>“Woodland creation and management should aim to help protect or restore the quality of the freshwater environment by reducing the impact of more intensive land management activities and environmental change.”</i></p>

Question	YES / NO*	Reference to scheme documentation
		<p>5: "Watercourses and water bodies should be identified and appropriate buffer areas established and maintained to protect aquatic and riparian zones from adjacent activities."</p> <p>7: "Forest operations should be conducted to prevent watercourses being polluted with sediment or discoloured; inspections should be carried out during forestry works and any incidents involving contamination of the water environment reported to the water regulatory authority without delay – remedial action should be taken immediately if pollution starts to occur."</p> <p>CONFORMITY</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>UK WOODLAND ASSURANCE STANDARD</p> <p>CR 2.1, IN 2.1.2: "Woodland management planning shall take fully into account the long-term positive and negative economic, environmental and social impacts of proposed operations, including potential impacts outside the WMU."</p> <p>CR 2.4, IN 2.4.2: "a) Timber shall normally be harvested from the WMU at or below a level which can be permanently sustained."</p> <p>CR 2.10: "Silvicultural Systems"</p> <p>IN 2.10.1: "a) Appropriate silvicultural systems shall be adopted which are suited to species, sites, wind risk, tree health risks and management objectives and which stipulate soundly-based planting, establishment, thinning, felling and regeneration plans.</p> <p>b) Where species, sites, wind risk, tree health risk and management objectives allow, a range of silvicultural approaches, and in particular lower impact silvicultural systems, shall be adopted with the aim of diversifying ages, species and stand structures."</p> <p>CONFORMITY</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:</p> <p>a) is in compliance with national and</p>	<p>YES</p>	<p>UK WOODLAND ASSURANCE STANDARD</p> <p>CR 2.13: "Conversion"</p> <p>Indicators</p> <p>2.13.1: "a) Wood land identified in sections 4.1-4.3 shall not be converted to plantation or non-forested land. b) Areas converted from ancient and other semi-natural woodlands after 1994 shall not normally qualify for certification."</p> <p>2.13.2: "a) Conversion to non-forested land shall take place only in certain limited circumstances as set out in this requirement. b) The new land use shall be more valuable than any type of practicably achievable woodland</p>

Question	YES / NO*	Reference to scheme documentation
<p>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</p> <p>b) entails a small proportion of forest type; and</p> <p>c) 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>d) makes a contribution to long-term conservation, economic, and social benefits.</p>		<p><i>cover in terms of its biodiversity, landscape or historic environment benefits, and all of the following conditions shall be met: The woodland is not identified as of high conservation value in sections 4.1-4.3 and 4.5, nor identified as contributing to the cultural and historical values in section 4.8. There is no evidence of unresolved substantial dispute. The conversion and subsequent site management protect and substantially enhance at least one of the following: The status and condition of priority species and habitats, Important landscape features and character, Important historic environment features and character, Important carbon stores. The subsequent management of the converted area shall be integrated with the rest of the WMU.”</i></p> <p>CONFORMITY</p>
<p>5.1.12 Conversion of abandoned agricultural and treeless land into forest land shall be</p>	<p>YES</p>	<p>UK WOODLAND ASSURANCE STANDARD</p> <p>CR 2.6: “Woodland creation”</p> <p>IN 2.6.1: “New woodlands shall be located and designed in ways that will:</p>

Question	YES / NO*	Reference to scheme documentation
taken into consideration, whenever it can add economic, ecological, social and/or cultural value.		<p><i>Deliver economic goods and/or ecosystem services, Maintain or enhance the visual, cultural and ecological value and character of the wider landscape, and ensure the creation of a diverse woodland over time.</i></p> <p>CONFORMITY</p>
Criterion 2: Maintenance of forest ecosystem health and vitality		
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.	YES	<p>UK WOODLAND ASSURANCE STANDARD</p> <p>CR: 2.1, IN 2.1.2: <i>“Woodland management planning shall take fully into account the long-term positive and negative economic, environmental and social impacts of proposed operations, including potential impacts outside the WMU.”</i></p> <p>CR 2.4, IN 2.4.1: <i>“The owner/manager shall plan and implement measures to maintain and/or enhance long-term soil and hydrological functions.”</i></p> <p>CR 2.5: <i>“Assessment of environmental impact”</i> IN 2.5.3: <i>“a) The owner/manager shall assess the potential negative impacts of natural hazards on the WMU, including drought, floods, wind, fire, invasive plant and animal species, and other pests and diseases. b) Planting and restructuring plans shall be designed to mitigate the risk of damage from natural hazards.”</i></p> <p>CR 2.10 <i>“Silvicultural systems”</i> IN 2.10.1: <i>“a) Appropriate silvicultural systems shall be adopted which are suited to species, sites, wind risk, tree health risks and management objectives and which stipulate soundly-based planting, establishment, thinning, felling and regeneration plans. b) Where species, sites, wind risk, tree health risk and management objectives allow, a range of silvicultural approaches, and in particular lower impact silvicultural systems, shall be adopted with the aim of diversifying ages, species and stand structures.”</i></p> <p>CR 3.1: <i>“General”</i> Indicators 3.1.1: <i>“Woodland operations shall conform to forestry best practice guidance.”</i> 3.1.2: <i>“The planning of woodland operations shall include: Obtaining any relevant permission and giving any formal notification required. Assessing and taking into account on and offsite impacts. Taking measures to protect water resources and soils, and prevent disturbance of and damage to priority species, habitats, ecosystems and landscape values, including adapting standard prescriptions where required. Any</i></p>

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		<p><i>disturbance or damage which does occur shall be mitigated and/or repaired, and steps shall be taken to avoid recurrence. Measures to maintain and, where appropriate, enhance the value of identified services and resources such as watersheds and fisheries.”</i></p> <p>UK FORESTRY STANDARD (UKFS)</p> <p>Chapter 5 Section 1: “General Forestry Practice” CR 6: “Forest Planning” Good forestry practice requirement 9: “Forest management plans should state the objectives of management, and set out how the appropriate balance between economic, environmental and social objectives will be achieved.”</p> <p>The assessor concludes the level of detail and record keeping of these documents demonstrate conformance to this requirement.</p> <p>CONFORMITY</p>
<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>UK WOODLAND ASSURANCE STANDARD</p> <p>CR 2.5, IN 2.5.3: “a) The owner/manager shall assess the potential negative impacts of natural hazards on the WMU, including drought, floods, wind, fire, invasive plant and animal species, and other pests and diseases. b) Planting and restructuring plans shall be designed to mitigate the risk of damage from natural hazards.”</p> <p>CR 2.10, IN 2.10.1: “b) Where species, sites, wind risk, tree health risk and management objectives allow, a range of silvicultural approaches, and in particular lower impact silvicultural systems, shall be adopted with the aim of diversifying ages, species and stand structures.”</p> <p>CR 2.15 Indicators 2.15.1: “a) The owner/manager shall devise and implement a monitoring programme appropriate to the scale and intensity of management. b) The monitoring programme shall be: Part of the management planning documentation, Consistent and replicable over time to allow comparison of results and assessment of change, Kept in a form that ensures that results are of use over the long term. c) The owner/manager shall where applicable monitor and record: The implementation of policies and objectives and the achievement of verifiable targets, implementation of</p>

Question	YES / NO*	Reference to scheme documentation
		<p><i>woodland operations, harvesting yields, social impacts, environmental impacts, changes in environmental condition, usage of pesticides, biological control agents and fertilisers and any adverse impacts, environmentally appropriate disposal of waste materials. d) Monitoring targets shall fully consider any special features of the WMU.”</i></p> <p><i>2.15.2: “The owner/manager shall take monitoring findings into account, particularly during revision of the management planning documentation and if necessary shall revise management objectives, verifiable targets and/or management activities.”</i></p> <p>CONFORMITY</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>UK WOODLAND ASSURANCE STANDARD</p> <p>CR 2.2, IN 2.2.3: <i>“The management planning documentation shall be reviewed periodically (at least every ten years), taking into account: Monitoring results, Results of certification audits, Results of stakeholder engagement, New research and technical information, and Changed environmental, social, or economic circumstances.”</i></p> <p>CR 2.5, IN 2.5.3: <i>“a) The owner/manager shall assess the potential negative impacts of natural hazards on the WMU, including drought, floods, wind, fire, invasive plant and animal species, and other pests and diseases. b) Planting and restructuring plans shall be designed to mitigate the risk of damage from natural hazards.”</i></p> <p>CR 2.15 Indicators</p> <p>2.15.1: <i>“a) The owner/manager shall devise and implement a monitoring programme appropriate to the scale and intensity of management. b) The monitoring programme shall be: Part of the management planning documentation, Consistent and replicable over time to allow comparison of results and assessment of change, Kept in a form that ensures that results are of use over the long term. c) The owner/manager shall where applicable monitor and record: The implementation of policies and objectives and the achievement of verifiable targets, implementation of woodland operations, harvesting yields, social impacts, environmental impacts, changes in environmental condition, usage of pesticides, biological control agents and fertilisers and any adverse impacts, environmentally appropriate disposal of waste materials. d) Monitoring targets shall fully consider any special features of the WMU.”</i></p> <p>2.15.2: <i>“The owner/manager shall take monitoring findings into account,</i></p>

Question	YES / NO*	Reference to scheme documentation
		<p><i>particularly during revision of the management planning documentation and if necessary shall revise management objectives, verifiable targets and/or management activities."</i></p> <p>CONFORMITY</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 planning shall make use of those policy instruments set up to support these activities.</p>	<p>YES</p>	<p>UK WOODLAND ASSURANCE STANDARD</p> <p>CR 2.1, IN 2.1.2: <i>"Woodland management planning shall take fully into account the long-term positive and negative economic, environmental and social impacts of proposed operations, including potential impacts outside the WMU."</i></p> <p>CR 2.5, IN 2.5.3: <i>"a) The owner/manager shall assess the potential negative impacts of natural hazards on the WMU, including drought, floods, wind, fire, invasive plant and animal species, and other pests and diseases. b) Planting and restructuring plans shall be designed to mitigate the risk of damage from natural hazards."</i></p> <p>CR 3.1, Indicators</p> <p>3.1.2: <i>"The planning of woodland operations shall include: Obtaining any relevant permission and giving any formal notification required. Assessing and taking into account on and offsite impacts. Taking measures to protect water resources and soils, and prevent disturbance of and damage to priority species, habitats, ecosystems and landscape values, including adapting standard prescriptions where required. Any disturbance or damage which does occur shall be mitigated and/or repaired, and steps shall be taken to avoid recurrence. Measures to maintain and, where appropriate, enhance the value of identified services and resources such as watersheds and fisheries."</i></p> <p>3.1.4: <i>"Operations shall cease or relocate immediately where: They damage sites or features of conservation value or of special cultural and historical significance identified in sections 4.1-4.5 and 4.8. Operations in the vicinity shall recommence only when action has been taken to repair damage and prevent any further damage, including establishing buffer areas where appropriate. They reveal previously unknown sites or features which may be of conservation value or of special cultural and historical significance. Operations in the vicinity shall recommence only when the sites or features have been investigated and appropriate management agreed, where relevant in discussion with statutory bodies and/or local people."</i></p> <p>CR 3.2, IN 3.2.1: <i>"a) Timber and non-timber woodland products (NTWPs) shall be harvested efficiently and with minimum loss or damage to</i></p>

Question	YES / NO*	Reference to scheme documentation
		<p><i>environmental values.”</i></p> <p>UK FORESTRY STANDARD (UKFS)</p> <p>Chapter 5: UK Requirements</p> <p>Section 1: <i>“General Forestry Practice”</i></p> <p>CR 6: <i>“Forest Planning”</i></p> <p>Good forestry practice requirements9: <i>“Forest management plans should state the objectives of management, and set out how the appropriate balance between economic, environmental and social objectives will be achieved.”</i></p> <p>CONFORMITY</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>UK WOODLAND ASSURANCE STANDARD</p> <p>CR 2.7: <i>“Woodland restructuring”</i></p> <p>IN 2.7.1: <i>“Even-aged woodlands shall be gradually restructured to achieve an appropriately diverse mosaic of species, sizes, ages, spatial scales, and regeneration cycles. This structural diversity shall be maintained or enhanced.”</i></p> <p>CR 2.8: <i>“Tree species selection”</i></p> <p>IN 2.8.1: <i>“a) The range of species selected for new woodlands, and natural or artificial regeneration of existing woodlands shall be suited to the site and shall take into consideration: Improvement of long term forest resilience, Management objectives, Requirements for conservation and enhancement of biodiversity (see section 4), Requirements for enhancement and restoration of habitats (see section 4), Landscape character. b) Regeneration (natural or planted) shall restore stand composition in a timely manner to pre-harvesting or more natural conditions. Regeneration of ancient semi-natural woodland shall be in keeping with section 4.2.1. Regeneration of plantations on ancient woodland sites shall be in keeping with section 4.3.1.</i></p> <p><i>c) Native species shall be preferred to non-native. If non-native species are used it shall be shown that they will clearly outperform native species in meeting the owner’s objectives or in achieving long-term forest resilience.”</i></p> <p>CR 2.10, IN 2.10.1: <i>“a) Appropriate silvicultural systems shall be adopted which are suited to species, sites, wind risk, tree health risks and management objectives and which stipulate soundly-based planting, establishment, thinning, felling and regeneration plans.</i></p>

Question	YES / NO*	Reference to scheme documentation
		<p><i>b) Where species, sites, wind risk, tree health risk and management objectives allow, a range of silvicultural approaches, and in particular lower impact silvicultural systems, shall be adopted with the aim of diversifying ages, species and stand structures."</i></p> <p>CR 3.4: <i>"Pesticides, biological control agents and fertilisers"</i> IN 3.4.1: <i>"a) The use of pesticides and fertilisers shall be avoided where practicable.; b) The use of pesticides, biological control agents and fertilisers shall be minimized; c) Damage to environmental values from pesticide and biological control agent use shall be avoided, mitigated and/or repaired, and steps shall be taken to avoid recurrence."</i></p> <p>CR 4.7: <i>"Maintenance of local native seed sources"</i> IN 4.7.1: <i>"a) In woodlands identified in sections 4.1-4.4, where appropriate and possible, owners/managers shall use natural regeneration or planting stock from parental material growing in the local native seed zone (native species). b) In ancient and other semi-natural woodland, where natural regeneration is insufficient, planting stock from 'source-identified' stands in the local native seed zone shall be used if it is available. If timber quality is an objective of the planting, the use of stock deriving from selected stands within the local native seed zone shall be considered appropriate."</i></p> <p>UK FORESTRY STANDARD (UKFS)</p> <p>Section 5: UK Requirements</p> <p>Section 1: <i>"General Forestry Practice"</i> CR 6: <i>"Forest Planning"</i> Good forestry practice requirements 9: <i>"Forest management plans should state the objectives of management, and set out how the appropriate balance between economic, environmental and social objectives will be achieved."</i> 14: <i>"Forests should be designed to achieve a diverse structure of habitat, and species and ages of trees, appropriate to the scale and context."</i> 15: <i>"Forests characterised by a lack of diversity due to extensive areas of even-aged trees should be progressively restructured to achieve a range of age classes."</i></p> <p>The assessor concludes the level of detail and record keeping of these documents demonstrate conformance to this requirement.</p> <p>CONFORMITY</p>

Question	YES / NO*	Reference to scheme documentation
<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>UK WOODLAND ASSURANCE STANDARD</p> <p>CR 2.5: <i>“Assessment of environmental impacts”</i> IN 2.5.3: <i>“a) The owner/manager shall assess the potential negative impacts of natural hazards on the WMU, including drought, floods, wind, fire, invasive plant and animal species, and other pests and diseases.”</i></p> <p>CR 3.2: <i>“Harvest Operations”</i> IN: 3.2.4: <i>“Lop and top shall be burnt only where there is demonstrable management benefit, and where a full consideration of impacts shows that there are not likely to be any significant negative effects.”</i></p> <p>CR 3.1 Indicators 3.1.1: <i>“Woodland operations shall conform to forestry best practice guidance.”</i> 3.1.2: <i>“The planning of woodland operations shall include: Obtaining any relevant permission and giving any formal notification required. Assessing and taking into account on and offsite impacts. Taking measures to protect water resources and soils, and prevent disturbance of and damage to priority species, habitats, ecosystems and landscape values, including adapting standard prescriptions where required. Any disturbance or damage which does occur shall be mitigated and/or repaired, and steps shall be taken to avoid recurrence. Measures to maintain and, where appropriate, enhance the value of identified services and resources such as watersheds and fisheries.”</i></p> <p>UK FORESTRY STANDARD (UKFS)</p> <p>Chapter 6: UK Guidelines</p> <p>Section 1: <i>“General Forestry Practice”</i> CR 6: <i>“Forest Planning Considerations: Harvest Operatons”</i> Guideline35: <i>“Avoid burning brash and harvesting residues unless it can be demonstrated that it is a management necessity, all the impacts have been considered, and the necessary approvals obtained”</i></p> <p>CONFORMITY</p>
<p>5.2.7 Appropriate forest management practices such as reforestation and afforestation with</p>	<p>YES</p>	<p>UK WOODLAND ASSURANCE STANDARD</p> <p>CR 2.8, IN 2.8.1: <i>“a) The range of species selected for new woodlands, and natural or artificial regeneration of existing woodlands shall be suited to</i></p>

Question	YES / NO*	Reference to scheme documentation
<p>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.</p>		<p><i>the site and shall take into consideration: Improvement of long term forest resilience, Management objectives, Requirements for conservation and enhancement of biodiversity (see section 4), Requirements for enhancement and restoration of habitats (see section 4), Landscape character b) Regeneration (natural or planted) shall restore stand composition in a timely manner to pre-harvesting or more natural conditions. Regeneration of ancient semi-natural woodland shall be in keeping with section 4.2.1. Regeneration of plantations on ancient woodland sites shall be in keeping with section 4.3.1.</i></p> <p><i>c) Native species shall be preferred to non-native. If non-native species are used it shall be shown that they will clearly outperform native species in meeting the owner’s objectives or in achieving long-term forest resilience.”</i></p> <p>CR 2.9: “Non-native species” IN: 2.9.1: “a) Non-native tree species shall only be introduced to the WMU when evidence or experience shows that any invasive impacts can be controlled effectively.</p> <p>CR 2.10, IN 2.10.1: “a) Appropriate silvicultural systems shall be adopted which are suited to species, sites, wind risk, tree health risks and management objectives and which stipulate soundly-based planting, establishment, thinning, felling and regeneration plans. b) Where species, sites, wind risk, tree health risk and management objectives allow, a range of silvicultural approaches, and in particular lower impact silvicultural systems, shall be adopted with the aim of diversifying ages, species and stand structures.”</p> <p>CR 2.12: “Protection” IN 2.12.2: “There shall be an emergency response plan appropriate to the level of risk.” Guidance: Incidents may include: Fire, Extreme weather events, Outbreaks of pests, diseases or invasive species, Accidents, Chemical spills and other pollution.</p> <p>CR 3.2, IN 3.2.1: “a) Timber and non-timber woodland products (NTWPs) shall be harvested efficiently and with minimum loss or damage to environmental values. b) Timber harvesting shall particularly seek to avoid: Damage to soil and water courses during felling, extraction and burning”</p> <p>CR 3.6: “Waste” IN 3.6.1: “Waste disposal shall be in accordance with current waste</p>

Question	YES / NO*	Reference to scheme documentation
		<p><i>management legislation and regulations.”</i></p> <p>UK FORESTRY STANDARD (UKFS)</p> <p>Section 7, CR 4</p> <p>Good forestry practice requirement4: <i>“The environment adjacent to forests should not be subject to adverse effects due to water run-off, contamination or erosion arising from forest management practices.”</i></p> <p>Section 8</p> <p>CR 3: <i>“Control of pesticides”</i></p> <p>Legal requirement 5: <i>“Where a designated site or priority habitat or species might be affected, appropriate regulators and conservation agencies must be consulted prior to the aerial application of pesticides and the use of pesticides in or near water, and, where appropriate, authorisation obtained.”</i></p> <p>CR 5: <i>“Oil and fuel storage”</i></p> <p>CR 6: <i>“Water supply”</i></p> <p>Legal requirements</p> <p>8: <i>“Oil and fuel must be stored in a way that minimises the risks of leakage and pollution.”</i></p> <p>9: <i>“Forestry operations must not lead to harmful or polluting substances contaminating public or private water supplies.”</i></p> <p>CONFORMITY</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>UK WOODLAND ASSURANCE STANDARD</p> <p>CR 3.4</p> <p>Indicators</p> <p>IN 3.4.1: <i>“a) The use of pesticides and fertilisers shall be avoided where practicable.; b) The use of pesticides, biological control agents and fertilisers shall be minimized.; c) Damage to environmental values from pesticide and biological control agent use shall be avoided, mitigated and/or repaired, and steps shall be taken to avoid recurrence.”</i></p> <p>3.4.2: <i>“a) The owner/manager shall prepare and implement an effective integrated pest management strategy that: Is appropriate to the scale of the woodland and the intensity of management, Adopts management systems that shall promote the development and application of nonchemical methods of pest and crop management by placing primary reliance on prevention and, where this is not practicable, biological control methods, takes account of the importance of safeguarding the value of</i></p>

Question	YES / NO*	Reference to scheme documentation
		<p><i>sites and features with special biodiversity attributes when considering methods of control, and Demonstrates knowledge of the latest published advice and its appropriate application.</i></p> <p><i>b) The strategy shall specify aims for the minimisation or elimination of pesticide usage, taking into account considerations of cost (economic, social and environmental), and the cyclical nature of woodland management operations.</i></p> <p><i>c) Where pesticides and biological control agents are to be used the strategy shall justify their use demonstrating that there is no practicable alternative, in terms of economic, social and environmental costs.</i></p> <p><i>d) The strategy shall include a description of all known use over the previous five years, or the duration of the current woodland ownership if that is less than five years.”</i></p> <p><i>3.4.3: “Where pesticides and biological control agents are to be used: The owner/manager and workers shall be aware of and implement legal requirements and non-legislative guidance for use of pesticides and biological control agents in forestry, the owner/manager shall keep records of pesticide usage and biological control agents as required by current legislation.”</i></p> <p>CONFORMITY</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>UK WOODLAND ASSURANCE STANDARD</p> <p>CR 3.4, IN 3.4.4: <i>“a) Pesticides and biological control agents shall only be used if: They are approved for forest use by the UK regulatory authorities, they are not banned by international agreement, and their use is permitted by the owners/managers certification scheme.</i></p> <p><i>b) Pesticides categorised as Type 1A and 1B by the World Health Organization or any other pesticides whose use is restricted by the owners/managers certification scheme shall not be used unless: no effective and practicable alternatives are available, their use is sanctioned using a mechanism endorsed by the owner/managers certification scheme, and any such mechanism provides for their use to be justified and on the condition that usage shall be discontinued once effective and practicable alternatives are available.”</i></p> <p>CONFORMITY</p>
<p>5.2.10 Pesticides, such as chlorinated hydrocarbons whose derivatives remain biologically active and</p>	<p>YES</p>	<p>UK WOODLAND ASSURANCE STANDARD</p> <p>CR 3.4, IN 3.4.4: <i>“a) Pesticides and biological control agents shall only be used if: They are approved for forest use by the UK regulatory authorities, they are not banned by international agreement, and their use is</i></p>

Question	YES / NO*	Reference to scheme documentation
<p>accumulate in the food chain beyond their intended use, and any pesticides banned by international agreement, shall be prohibited.</p>		<p><i>permitted by the owners/managers certification scheme.</i></p> <p><i>b) Pesticides categorised as Type 1A and 1B by the World Health Organization or any other pesticides whose use is restricted by the owners/managers certification scheme shall not be used unless: no effective and practicable alternatives are available, their use is sanctioned using a mechanism endorsed by the owner/managers certification scheme, and any such mechanism provides for their use to be justified and on the condition that usage shall be discontinued once effective and practicable alternatives are available.”</i></p> <p>The Assessor notes that chlorinated hydrocarbons are banned in either the UK or the EU. A list of these banned pesticides can be found on the following website.</p> <p>http://www.pan-europe.info/old/Archive/About%20pesticides/Banned%20and%20authorised.htm#banned</p> <p>CONFORMITY</p>
<p>5.2.11 The use of pesticides shall follow the instructions given by the pesticide producer and be implemented with proper equipment and training.</p>	<p>YES</p>	<p>UK WOODLAND ASSURANCE STANDARD</p> <p>CR 3.4 Indicators</p> <p>3.4.2: <i>“Demonstrates knowledge of the latest published advice and its appropriate application.”</i></p> <p>3.4.3: <i>“Where pesticides and biological control agents are to be used: The owner/manager and workers shall be aware of and implement legal requirements and non legislative guidance for use of pesticides and biological control agents in forestry.”</i></p> <p>3.4.5: <i>“b) Where fertilisers are to be used the owner/manager and workers shall be aware of and shall be implementing legal requirements and best practice guidance for their use in forestry.”</i></p> <p>CR 5.5: <i>“Training and continuing development”</i></p> <p>IN 5.5.1: <i>“All workers shall have appropriate qualifications, training and/or experience to carry out their roles in conformance to the requirements of this standard, unless working under proper supervision if they are currently undergoing training.”</i></p> <p>UK FORESTRY STANDARD (UKFS)</p>

Question	YES / NO*	Reference to scheme documentation
		Section 7: "Forests and Soil" CR 2: "Control of pesticides" Legal requirement 3: "All those employed to use pesticides must be trained to the required standard or their work supervised by a certified person. Operators must fully comply with instructions on pesticide product labels." CONFORMITY
5.2.12 Where fertilisers are used, they shall be applied in a controlled manner and with due consideration for the environment.	YES	UK WOODLAND ASSURANCE STANDARD CR 3.4, IN 3.4.5: "b) Where fertilisers are to be used the owner/manager and workers shall be aware of and shall be implementing legal requirements and best practice guidance for their use in forestry." CONFORMITY
Criterion 3: Maintenance and encouragement of productive functions of forests (wood and non-wood)		
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	UK WOODLAND ASSURANCE STANDARD CR 2.1 Indicators 2.1.1: "a) The owner/manager shall have long term policy and management objectives which are environmentally sound, socially beneficial and economically viable." IN 2.1.3: "a) Woodland management planning shall demonstrate a commitment to long-term economic viability. b) The owner/manager shall aim to secure the necessary investment to implement the management plan in order to meet this standard and to ensure long-term economic viability." CR 2.4 Indicators 2.4.2: "a) Timber shall normally be harvested from the WMU at or below a level which can be permanently sustained." 2.4.3: "Harvesting of non-timber woodland products or use of ecosystem services from the WMU shall be at or below a level which can be permanently sustained" CR 3.2, IN 3.2.1: "a) Timber and non-timber woodland products (NTWPs) shall be harvested efficiently and with minimum loss or damage to environmental values." CONFORMITY

Question	YES / NO*	Reference to scheme documentation
<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 services of forests.</p>	<p>YES</p>	<p>UK WOODLAND ASSURANCE STANDARD</p> <p>CR 2.1 Indicators IN 2.1.1: <i>“a) The owner/manager shall have long term policy and management objectives which are environmentally sound, socially beneficial and economically viable.”</i> IN 2.1.2: <i>“Woodland management planning shall take fully into account the long-term positive and negative economic, environmental and social impacts of proposed operations, including potential impacts outside the WMU.”</i> IN 2.1.3: <i>“a) Woodland management planning shall demonstrate a commitment to long-term economic viability. b) The owner/manager shall aim to secure the necessary investment to implement the management plan in order to meet this standard and to ensure long-term economic viability.”</i> The assessor concludes the level of detail and record keeping of these documents demonstrate conformance to this requirement.</p> <p>CONFORMITY</p>
<p>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.</p>	<p>YES</p>	<p>UK WOODLAND ASSURANCE STANDARD</p> <p>CR 2.1, IN 2.1.1: <i>“a) The owner/manager shall have long term policy and management objectives which are environmentally sound, socially beneficial and economically viable.”</i></p> <p>CR 2.2, IN 2.2.1: <i>“All areas in the WMU shall be covered by management planning documentation which shall be retained for at least ten years and shall incorporate b) Assessment of relevant components of the woodland resource, including potential products and services which are consistent with the management objectives...</i></p> <p><i>d) Identification of special characteristics and sensitivities of the woodland and appropriate treatments.”</i></p> <p>Section 5: <i>“People, communities and workers”</i></p> <p>CR 5.1: <i>“Woodland access and recreation including traditional and permissive use rights”</i></p> <p>Indicators 5.1.1: <i>“a) Existing permissive or traditional uses of the woodland shall be identified and sustained except when such uses can be shown to threaten the integrity of the woodland or the achievement of the objectives of</i></p>

Question	YES / NO*	Reference to scheme documentation
		<p><i>management.”</i></p> <p>5.1.2: <i>“a) There shall be provision for some public access subject only to limited exemptions.</i></p> <p><i>b) Where there is a special demand for further public access for the purpose of environmental education, the owner/manager shall make reasonable efforts to meet this demand.”</i></p> <p>CR 5.3 <i>“Rural Economy”</i></p> <p>IN 5.3.1: <i>“The owner/manager shall promote the integration of woodlands into the local economy by: Making the best use of the woodland’s potential products and services consistent with other objectives. Providing local people with equitable opportunities for employment and to supply goods and services.”</i></p> <p>The assessor concludes the level of detail and record keeping of these documents demonstrate conformance to this requirement.</p> <p>CONFORMITY</p>
<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.</p>	<p>YES</p>	<p>UK WOODLAND ASSURANCE STANDARD</p> <p>CR 2.2, IN 2.2.1: <i>“All areas in the WMU shall be covered by management planning documentation which shall be retained for at least ten years and shall incorporate a) A long-term policy for the woodland.</i></p> <p><i>b) Assessment of relevant components of the woodland resource, including potential products and services which are consistent with the management objectives.</i></p> <p><i>c) Assessment of environmental values, including those outside the WMU potentially affected by management, sufficient to determine appropriate conservation measures and to provide a baseline for detecting possible negative impacts. d) Identification of special characteristics and sensitivities of the woodland and appropriate treatments.</i></p> <p><i>e) Specific measures to maintain and where possible enhance those areas identified under sections 4.14.5 and 4.8, considering areas where either the extent of these areas or their sensitivity to operations may be unknown.”</i></p> <p>CR 2.6, IN 2.6.1: <i>“New woodlands shall be located and designed in ways that will: Deliver economic goods and/or ecosystem services, Maintain or enhance the visual, cultural and ecological value and character of the wider landscape, and ensure the creation of a diverse woodland over time.”</i></p>

Question	YES / NO*	Reference to scheme documentation
		<p>CR 2.7, IN 2.7.1: <i>“Even-aged woodlands shall be gradually restructured to achieve an appropriately diverse mosaic of species, sizes, ages, spatial scales, and regeneration cycles. This structural diversity shall be maintained or enhanced.”</i></p> <p>CR 2.8, IN 2.8.1: <i>“a) The range of species selected for new woodlands, and natural or artificial regeneration of existing woodlands shall be suited to the site and shall take into consideration: Improvement of long term forest resilience, Management objectives, Requirements for conservation and enhancement of biodiversity (see section 4), Requirements for enhancement and restoration of habitats (see section 4), Landscape character. b) Regeneration (natural or planted) shall restore stand composition in a timely manner to pre-harvesting or more natural conditions. Regeneration of ancient semi-natural woodland shall be in keeping with section 4.2.1. Regeneration of plantations on ancient woodland sites shall be in keeping with section 4.3.1.</i></p> <p><i>c) Native species shall be preferred to non-native. If non-native species are used it shall be shown that they will clearly outperform native species in meeting the owner’s objectives or in achieving long-term forest resilience.”</i></p> <p>CR 3.1, IN 3.1.2: <i>“The planning of woodland operations shall include: Obtaining any relevant permission and giving any formal notification required. Assessing and taking into account on and offsite impacts. Taking measures to protect water resources and soils, and prevent disturbance of and damage to priority species, habitats, ecosystems and landscape values, including adapting standard prescriptions where required. Any disturbance or damage which does occur shall be mitigated and/or repaired, and steps shall be taken to avoid recurrence. Measures to maintain and, where appropriate, enhance the value of identified services and resources such as watersheds and fisheries.”</i></p> <p>CONFORMITY</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	YES	<p>UK WOODLAND ASSURANCE STANDARD</p> <p>CR 2.4 Indicators</p> <p>2.4.1: <i>“The owner/manager shall plan and implement measures to maintain and/or enhance long-term soil and hydrological functions.”</i></p> <p>2.4.2: <i>“a) Timber shall normally be harvested from the WMU at or below a level which can be permanently sustained.”</i></p> <p>2.4.3: <i>“Harvesting of non-timber woodland products or use of ecosystem services from the WMU shall be at or below a level which can be permanently sustained”</i></p>

Question	YES / NO*	Reference to scheme documentation
trees as well as to the forest soil, and by using appropriate systems.		<p>2.4.4: <i>“Priority species shall not be harvested or controlled without the consent of the relevant statutory nature conservation and countryside agency.”</i></p> <p>CR 2.7, IN 2.7.1: <i>“Even-aged woodlands shall be gradually restructured to achieve an appropriately diverse mosaic of species, sizes, ages, spatial scales, and regeneration cycles. This structural diversity shall be maintained or enhanced.”</i></p> <p>CR 2.8, IN 2.8.1: <i>“...b) Regeneration (natural or planted) shall restore stand composition in a timely manner to pre-harvesting or more natural conditions. Regeneration of ancient semi-natural woodland shall be in keeping with section 4.2.1. Regeneration of plantations on ancient woodland sites shall be in keeping with section 4.3.1.”</i></p> <p>CR 2.10 Indicators 2.10.1: <i>“a) Appropriate silvicultural systems shall be adopted which are suited to species, sites, wind risk, tree health risks and management objectives and which stipulate soundly-based planting, establishment, thinning, felling and regeneration plans.</i> 2.10.2 <i>“a) In semi-natural woodland lower impact silvicultural systems shall be adopted. All felling shall be in accordance with the specific guidance for that type of woodland in the relevant Forestry Commission Practice Guide”</i></p> <p>CR 3.2, IN 3.2.1: <i>“a) Timber and non-timber woodland products (NTWPs) shall be harvested efficiently and with minimum loss or damage to environmental values.</i> <i>b) Timber harvesting shall particularly seek to avoid: Damage to soil and water courses during felling, extraction and burning; Damage to standing trees, especially veteran trees, during felling, extraction and burning, Degrade in felled timber.”</i></p> <p>CONFORMITY</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	YES	<p>UK WOODLAND ASSURANCE STANDARD</p> <p>CR 2.4 Indicators 2.4.1: <i>“The owner/manager shall plan and implement measures to maintain and/or enhance long-term soil and hydrological functions.”</i></p>

Question	YES / NO*	Reference to scheme documentation
<p>optimum use shall be made of the harvested forest products, with due regard to nutrient off-take.</p>		<p>2.4.2: <i>“a) Timber shall normally be harvested from the WMU at or below a level which can be permanently sustained.”</i></p> <p>2.4.3: <i>“Harvesting of non-timber woodland products or use of ecosystem services from the WMU shall be at or below a level which can be permanently sustained”</i></p> <p>2.4.4: <i>“Priority species shall not be harvested or controlled without the consent of the relevant statutory nature conservation and countryside agency.”</i></p> <p>CR 3.2 Indicators</p> <p>3.2.1: <i>“a) Timber and non-timber woodland products (NTWPs) shall be harvested efficiently and with minimum loss or damage to environmental values.</i></p> <p><i>b) Timber harvesting shall particularly seek to avoid: Damage to soil and water courses during felling, extraction and burning; Damage to standing trees, especially veteran trees, during felling, extraction and burning, Degrade in felled timber.”</i></p> <p>3.2.3: <i>“Whole tree harvesting or stump removal shall be practised only where there is demonstrable management benefit, and where a full consideration of impacts shows that there are not likely to be any significant negative effects.”</i></p> <p>CONFORMITY</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>UK WOODLAND ASSURANCE STANDARD</p> <p>CR 2.2, IN 2.2.1: <i>“All areas in the WMU shall be covered by management planning documentation which shall be retained for at least ten years and shall incorporate...j) Where applicable annual allowable harvest of non-timber woodland products (NTWPs).</i></p> <p>CR 2.4 Indicators</p> <p>2.3.2: <i>“a) Where appropriate, contact shall be made with the owners of adjoining woodlands to try to ensure that restructuring of one woodland complements and does not unreasonably compromise the management of adjoining ones. b) Management of invasive plants and of wild mammals shall be undertaken where relevant in co-operation with statutory bodies and where possible and practicable in co-ordination with neighbours (see also section 2.12.1 in relation to deer).</i></p> <p><i>c) Where appropriate and possible, the owner/manager shall consider opportunities for cooperating with neighbours in landscape scale conservation initiatives”</i></p>

Question	YES / NO*	Reference to scheme documentation
		<p>Guidance on 2.3.2: <i>“If management cannot maintain populations of wild mammals at a level that ensures they are not causing ecological damage, then sensitive areas - including regeneration sites, coppice coupes and areas with vulnerable flora - should be protected from browsing and other damage.”</i></p> <p>2.4.3: <i>“Harvesting of non-timber woodland products or use of ecosystem services from the WMU shall be at or below a level which can be permanently sustained”</i></p> <p>Guidance on IN 2.4.3: <i>“It is recognised that objective information on sustainable harvesting levels for NTWPs is limited, and also that in the case of venison it may be desirable to harvest at a level that reduces the deer population in the long term. However, in all cases the owner/manager should give careful thought to the annual allowable harvest and should be able to justify harvest levels on the basis of their objectives and best practice.”</i></p> <p>CR 2.12: <i>“Protection”</i></p> <p>IN 2.12.1: <i>“Management of wild deer shall be based on a strategy that identifies the management objectives, and aims to regulate the impact of deer.”</i></p> <p>CR 3.2, IN 3.2.1: <i>“a) Timber and non-timber woodland products (NTWPs) shall be harvested efficiently and with minimum loss or damage to environmental values.”</i></p> <p>CR 4.9: <i>“Game and fisheries management”</i></p> <p>IN 4.9.1: <i>“Game rearing and release, shooting and fishing shall be carried out in accordance with the spirit of codes of practice produced by relevant organisations.”</i></p> <p>Guidance on 4.9.1: <i>“Consider impacts on priority habitats and species and other native species. Release and feeding areas should be located in areas where there will be low impact on ground flora. Predator control should be carried out in line with best practice. The use of lead shot over wetland is restricted by regulations.”</i></p> <p>CONFORMITY</p>
5.3.8 Adequate infrastructure such as roads, skid tracks or bridges shall be planned, established	YES	<p>UK WOODLAND ASSURANCE STANDARD</p> <p>CR 3.3: <i>“Forest roads and associated infrastructure”</i></p> <p>Indicators</p>

Question	YES / NO*	Reference to scheme documentation
and maintained to ensure efficient delivery of goods and services while minimising negative impacts on the environment.		<p>3.3.1: <i>“All necessary consents shall be obtained for construction, extension and upgrades of: Forest roads, Mineral extraction sites, Other infrastructure.”</i></p> <p>3.3.2: <i>“Roads and timber extraction tracks, visitor access infrastructure and associated drainage shall be designed, created, used and maintained in a manner that minimises their environmental impact.”</i></p> <p>CONFORMITY</p>
Criterion 4: Maintenance, conservation and appropriate enhancement of biological diversity in forest ecosystems		
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.	YES	<p>UK WOODLAND ASSURANCE STANDARD</p> <p>CR 2.5, IN 2.5.2: <i>“The impacts of woodland plans shall be considered at a landscape level, taking due account of the interaction with adjoining land and other nearby habitats.”</i></p> <p>CR 2.8, IN 2.8.1: <i>“a) The range of species selected for new woodlands, and natural or artificial regeneration of existing woodlands shall be suited to the site and shall take into consideration: Improvement of long term forest resilience, Management objectives, Requirements for conservation and enhancement of biodiversity (see section 4), Requirements for enhancement and restoration of habitats (see section 4), Landscape character. b) Regeneration (natural or planted) shall restore stand composition in a timely manner to pre-harvesting or more natural conditions. Regeneration of ancient semi-natural woodland shall be in keeping with section 4.2.1. Regeneration of plantations on ancient woodland sites shall be in keeping with section 4.3.1.</i></p> <p><i>c) Native species shall be preferred to non-native. If non-native species are used it shall be shown that they will clearly outperform native species in meeting the owner’s objectives or in achieving long-term forest resilience.”</i></p> <p>CR 2.11 Indicators 2.11.1: <i>“a) Management planning shall identify a minimum of 15% of the WMU where management for conservation and enhancement of biodiversity is the primary objective b) This shall include conservation areas and features identified in the following sections: Statutory designated sites, Ancient semi-natural woodland, Plantations on ancient woodland sites, Other valuable semi-natural habitats, Areas and features of critical importance for watershed management or erosion control, Natural reserves, Long-term retentions and/or areas managed under lower</i></p>

Question	YES / NO*	Reference to scheme documentation
		<p><i>impact silvicultural systems.”</i></p> <p><i>2.11.2: “a) Management strategies and actions shall be developed to maintain and, where possible, enhance the areas and features of high conservation value identified in the following sections:</i></p> <ul style="list-style-type: none"> <i>• Statutory designated sites (section 4.1)</i> <i>• Ancient semi-natural woodland (section 4.2)</i> <i>• Plantations on ancient woodland sites (section 4.3)</i> <i>• Areas and features of critical importance for watershed management or erosion control (section 4.5).</i> <p><i>b) Management strategies and actions shall be developed in consultation with statutory bodies, interested parties and experts.”</i></p> <p>CR 4.1</p> <p>Indicators</p> <p>4.1.1: <i>“a) “Areas and features of high conservation value having particular significance for biodiversity, shall be identified by reference to statutory designations at national or regional level and/or through assessment on the ground. d) Statutory designated sites shall be managed in accordance with plans agreed with nature conservation agencies, and shall be marked on maps.”</i></p> <p>4.1.2: <i>“Appropriate measures shall be taken to protect identified priority species and habitats in accordance with plans agreed with nature conservation agencies. In planning and implementing measures within the WMU, the owner/manager shall take into account the geographic range and ecological requirements of priority species beyond the boundary of the WMU.”</i></p> <p>CR 4.2: <i>“Conservation of ancient semi-natural woodlands (ASNW)”</i></p> <p>IN 4.2.1: <i>“a) Ancient semi-natural woodland shall be identified by reference to published maps and/or by assessment on the ground”</i></p> <p>CR 4.4: <i>“Protection of conservation values in other woodlands and semi-natural habitats”</i></p> <p>IN 4.4.1: <i>“a) Areas, species and features of conservation value in other woodlands shall be identified. b) The identified areas, species and features of conservation value shall be maintained and where possible enhanced. c) Adverse ecological impacts shall be identified and inform management.”</i></p> <p>UK FORESTRY STANDARD (UKFS)</p> <p>Section 5: UK Requirements</p> <p>CR 2: <i>“Forests and Biodiversity: Woodland Management and biodiversity”</i></p>

Question	YES / NO*	Reference to scheme documentation
		<p>Good forestry practice requirement 1: <i>“Forests and woodlands should be managed in a way that conserves or enhances biodiversity; opportunities for enhancing biodiversity should be considered in forest management plans.”</i></p> <p>CR 4: <i>“Biodiversity Action Plans”</i></p> <p>Good forestry practice requirement 4: <i>“Particular consideration should be given to conserving, enhancing or restoring priority habitats and species identified in the UK Biodiversity action Plan, through the delivery of country strategies and local level plans.”</i></p> <p>The assessor concludes the level of detail and record keeping of these documents demonstrate conformance to this requirement.</p> <p>CONFORMITY</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> <p>a) protected, rare, sensitive or representative forest ecosystems such as riparian areas and wetland biotopes;</p> <p>b) areas containing endemic species and habitats of threatened species, as defined in recognised reference lists;</p> <p>c) endangered or protected genetic <i>in situ</i> resources;</p> <p>and taking into account</p>	<p>YES</p>	<p>UK WOODLAND ASSURANCE STANDARD</p> <p>CR 3.1, IN 3.1.2: <i>“The planning of woodland operations shall include: Obtaining any relevant permission and giving any formal notification required. Assessing and taking into account on and offsite impacts. Taking measures to protect water resources and soils, and prevent disturbance of and damage to priority species, habitats, ecosystems and landscape values, including adapting standard prescriptions where required. Any disturbance or damage which does occur shall be mitigated and/or repaired, and steps shall be taken to avoid recurrence. Measures to maintain and, where appropriate, enhance the value of identified services and resources such as watersheds and fisheries.”</i></p> <p>CR 4.1 Indicators</p> <p>4.1.1: “a) <i>“Areas and features of high conservation value having particular significance for biodiversity, , shall be identified by reference to statutory designations at national or regional level and/or through assessment on the ground. d) Statutory designated sites shall be managed in accordance with plans agreed with nature conservation agencies, and shall be marked on maps.”</i></p> <p>4.1.2: <i>“Appropriate measures shall be taken to protect identified priority species and habitats in accordance with plans agreed with nature conservation agencies. In planning and implementing measures within the WMU, the owner/manager shall take into account the geographic range and ecological requirements of priority species beyond the boundary of the WMU.”</i></p> <p>CR 4.2, IN 4.2.1: <i>“a) Ancient semi-natural woodland shall be identified by</i></p>

Question	YES / NO*	Reference to scheme documentation
<p>d) globally, regionally and nationally significant large landscape areas with natural distribution and abundance of naturally occurring species.</p>		<p><i>reference to published maps and/or by assessment on the ground</i></p> <p>CR 4.3: <i>“Management of plantations on ancient woodland sites (PAWS)”</i> IN 4.3.1: <i>“a) The owner/manager shall maintain and enhance or restore features and areas of high conservation value within plantations on ancient woodland sites. b) The owner/manager shall: Identify and evaluate remnant features, Identify and evaluate threats, Adopting a precautionary approach, prioritise actions based on the level of threat and the value of remnants, and Implement targeted actions.”</i></p> <p>CR 4.4 Indicators 4.4.1: <i>“a) Areas, species and features of conservation value in other woodlands shall be identified. b) The identified areas, species and features of conservation value shall be maintained and where possible enhanced. c) Adverse ecological impacts shall be identified and inform management.”</i> 4.4.2: <i>“a) Valuable small-scale semi-natural habitats that have been colonised, planted, or incorporated into the WMU, but which have retained their ecological characteristics (or have a high potential to be restored), shall be identified and enhanced, restored or treated in a manner that does not lead to further degradation of their potential for restoration. b) Adverse ecological impacts shall be identified and inform management.”</i></p> <p>CR 4.6: <i>“Maintenance of biodiversity and ecological functions”</i> IN 4.6.1: <i>“Natural reserves shall: Be located where they will deliver the greatest biodiversity benefit ☐ Constitute a proportion of the WMU equivalent to at least 1% of the plantation area and 5% of the semi-natural woodland area.”</i></p> <p>UK FORESTRY STANDARD (UKFS)</p> <p>Chapter 5: UK Requirements CR 2 Good forestry practice requirement 1: <i>“Forests and woodlands should be managed in a way that conserves or enhances biodiversity; opportunities for enhancing biodiversity should be considered in forest management plans.”</i></p> <p>CR 4 Good forestry practice requirement4: <i>“Particular consideration should be given to conserving, enhancing or restoring priority habitats and species identified in the UK Biodiversity action Plan, through the delivery of country</i></p>

Question	YES / NO*	Reference to scheme documentation
		<p><i>strategies and local level plans.”</i></p> <p>CONFORMITY</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>UK WOODLAND ASSURANCE STANDARD</p> <p>CR 2.4, IN 2.4.4: <i>“Priority species shall not be harvested or controlled without the consent of the relevant statutory nature conservation and countryside agency.”</i></p> <p>CR 3.1, IN 3.1.2: <i>“The planning of woodland operations shall include: Obtaining any relevant permission and giving any formal notification required. Assessing and taking into account on and offsite impacts. Taking measures to protect water resources and soils, and prevent disturbance of and damage to priority species, habitats, ecosystems and landscape values, including adapting standard prescriptions where required. Any disturbance or damage which does occur shall be mitigated and/or repaired, and steps shall be taken to avoid recurrence. Measures to maintain and, where appropriate, enhance the value of identified services and resources such as watersheds and fisheries.”</i></p> <p>CR 4.4 Indicators</p> <p>4.4.1: <i>“a) Areas, species and features of conservation value in other woodlands shall be identified. b) The identified areas, species and features of conservation value shall be maintained and where possible enhanced. c) Adverse ecological impacts shall be identified and inform management.”</i></p> <p>4.4.2 <i>“a) Valuable small-scale semi-natural habitats that have been colonised, planted, or incorporated into the WMU, but which have retained their ecological characteristics (or have a high potential to be restored), shall be identified and enhanced, restored or treated in a manner that does not lead to further degradation of their potential for restoration. b) Adverse ecological impacts shall be identified and inform management.”</i></p> <p>UK FORESTRY STANDARD (UKFS)</p> <p>Chapter 5: UK Requirements</p> <p>CR 2</p> <p>Good forestry practice requirement 1: <i>“Forests and woodlands should be managed in a way that conserves or enhances biodiversity; opportunities for enhancing biodiversity should be considered in forest management plans.”</i></p>

Question	YES / NO*	Reference to scheme documentation
		<p>CR 4</p> <p>Good forestry practice requirement 4: <i>“Particular consideration should be given to conserving, enhancing or restoring priority habitats and species identified in the UK Biodiversity action Plan, through the delivery of country strategies and local level plans.”</i></p> <p>CONFORMITY</p>
<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>UK WOODLAND ASSURANCE STANDARD</p> <p>CR 2.2, IN 2.2.1: <i>“All areas in the WMU shall be covered by management planning documentation which shall be retained for at least ten years and shall incorporate.... i) Outline planned felling and regeneration over the next 20 years.”</i></p> <p>CR 2.7, IN 2.7.1: <i>“Even-aged woodlands shall be gradually restructured to achieve an appropriately diverse mosaic of species, sizes, ages, spatial scales, and regeneration cycles. This structural diversity shall be maintained or enhanced.”</i></p> <p>CR 2.8, IN 2.8.1: <i>“a) The range of species selected for new woodlands, and natural or artificial regeneration of existing woodlands shall be suited to the site and shall take into consideration: Improvement of long term forest resilience, Management objectives, Requirements for conservation and enhancement of biodiversity (see section 4), Requirements for enhancement and restoration of habitats (see section 4), Landscape character. b) Regeneration (natural or planted) shall restore stand composition in a timely manner to pre-harvesting or more natural conditions. Regeneration of ancient semi-natural woodland shall be in keeping with section 4.2.1. Regeneration of plantations on ancient woodland sites shall be in keeping with section 4.3.1.</i></p> <p><i>c) Native species shall be preferred to non-native. If non-native species are used it shall be shown that they will clearly outperform native species in meeting the owner’s objectives or in achieving long-term forest resilience.”</i></p> <p>CONFORMITY</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,</p>	<p>YES</p>	<p>UK WOODLAND ASSURANCE STANDARD</p> <p>CR 2.8, IN 2.8.1: <i>“a) The range of species selected for new woodlands, and natural or artificial regeneration of existing woodlands shall be suited to the site and shall take into consideration: Improvement of long term forest resilience, Management objectives, Requirements for conservation and</i></p>

Question	YES / NO*	Reference to scheme documentation
<p>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><i>enhancement of biodiversity (see section 4), Requirements for enhancement and restoration of habitats (see section 4), Landscape character. b) Regeneration (natural or planted) shall restore stand composition in a timely manner to pre-harvesting or more natural conditions. Regeneration of ancient semi-natural woodland shall be in keeping with section 4.2.1. Regeneration of plantations on ancient woodland sites shall be in keeping with section 4.3.1.</i></p> <p><i>c) Native species shall be preferred to non-native. If non-native species are used it shall be shown that they will clearly outperform native species in meeting the owner’s objectives or in achieving long-term forest resilience.”</i></p> <p>CR 2.9, IN: 2.9.1: <i>“a) Non-native tree species shall only be introduced to the WMU when evidence or experience shows that any invasive impacts can be controlled effectively.</i></p> <p>CONFORMITY</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>UK WOODLAND ASSURANCE STANDARD</p> <p>CR 2.6, IN 2.6.1: <i>“New woodlands shall be located and designed in ways that will: Deliver economic goods and/or ecosystem services, Maintain or enhance the visual, cultural and ecological value and character of the wider landscape, and ensure the creation of a diverse woodland over time.”</i></p> <p>CR 2.7, IN 2.7.1: <i>“Even-aged woodlands shall be gradually restructured to achieve an appropriately diverse mosaic of species, sizes, ages, spatial scales, and regeneration cycles. This structural diversity shall be maintained or enhanced.”</i></p> <p>UK FORESTRY STANDARD (UKFS)</p> <p>Chapter 5: UK Requirements CR 5: <i>“Forests and Landscape: Landscape Context”</i> Good forestry practice requirement 1: <i>“Forests should be designed and managed to take account of the landscape context.”</i></p> <p>CONFORMITY</p>
<p>5.4.7 Genetically-modified trees shall not be used.</p>	<p>YES</p>	<p>UK WOODLAND ASSURANCE STANDARD</p> <p>CR 1.3: <i>“Genetically Modified Organisms”</i></p>

Question	YES / NO*	Reference to scheme documentation
		IN 1.3.1: <i>“Genetically modified organisms (GMOs) shall not be used”</i> CONFORMITY
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	UK WOODLAND ASSURANCE STANDARD CR 2.5, IN 2.5.2: <i>“The impacts of woodland plans shall be considered at a landscape level, taking due account of the interaction with adjoining land and other nearby habitats.”</i> CR 2.7, IN 2.7.1: <i>“Even-aged woodlands shall be gradually restructured to achieve an appropriately diverse mosaic of species, sizes, ages, spatial scales, and regeneration cycles. This structural diversity shall be maintained or enhanced.”</i> UK FORESTRY STANDARD (UKFS) Chapter 5 CR 5: <i>“Forests and Landscape: Landscape Context”</i> Good forestry practice requirement 1: <i>“Forests should be designed and managed to take account of the landscape context.”</i> The assessor concludes the level of detail and record keeping of these documents demonstrate conformance to this requirement. CONFORMITY
5.4.9 Traditional management systems that have created valuable ecosystems, such as coppice, on appropriate sites shall be supported, when economically feasible.	YES	UK WOODLAND ASSURANCE STANDARD CR 2.11 Indicators 2.11.1: <i>“...b) This shall include conservation areas and features identified in the following sections: Statutory designated sites, Ancient semi-natural woodland, Plantations on ancient woodland sites, Other valuable semi-natural habitats, Areas and features of critical importance for watershed management or erosion control, Natural reserves, Long-term retentions and/or areas managed under lower impact silvicultural systems.”</i> 2.11.2: <i>“a) Management strategies and actions shall be developed to maintain and, where possible, enhance the areas and features of high conservation value identified in the following sections:</i> <ul style="list-style-type: none"> • <i>Statutory designated sites (section 4.1)</i> • <i>Ancient semi-natural woodland (section 4.2)</i> • <i>Plantations on ancient woodland sites (section 4.3)</i> • <i>Areas and features of critical importance for watershed management or erosion control (section 4.5).</i> <i>b) Management strategies and actions shall be developed in consultation</i>

Question	YES / NO*	Reference to scheme documentation
		<p><i>with statutory bodies, interested parties and experts.”</i></p> <p>CR 4.1 Indicators 4.1.1: “a) <i>Areas and features of high conservation value having particular significance for biodiversity, shall be identified by reference to statutory designations at national or regional level and/or through assessment on the ground. d) Statutory designated sites shall be managed in accordance with plans agreed with nature conservation agencies, and shall be marked on maps.”</i> 4.1.2: <i>“Appropriate measures shall be taken to protect identified priority species and habitats in accordance with plans agreed with nature conservation agencies. In planning and implementing measures within the WMU, the owner/manager shall take into account the geographic range and ecological requirements of priority species beyond the boundary of the WMU.”</i> UK FORESTRY STANDARD (UKFS)</p> <p>Chapter 5, CR 2 Good forestry practice requirement 1: <i>“Forests and woodlands should be managed in a way that conserves or enhances biodiversity; opportunities for enhancing biodiversity should be considered in forest management plans.”</i> CONFORMITY</p>
<p>5.4.10 Tending and harvesting operations shall be conducted in a way that does not cause lasting damage to ecosystems. Wherever possible, practical measures shall be taken to improve or maintain biological diversity.</p>	<p>YES</p>	<p>UK WOODLAND ASSURANCE STANDARD</p> <p>CR 3.1, IN 3.1.2: <i>“The planning of woodland operations shall include: Obtaining any relevant permission and giving any formal notification required. Assessing and taking into account on and offsite impacts. Taking measures to protect water resources and soils, and prevent disturbance of and damage to priority species, habitats, ecosystems and landscape values, including adapting standard prescriptions where required. Any disturbance or damage which does occur shall be mitigated and/or repaired, and steps shall be taken to avoid recurrence. Measures to maintain and, where appropriate, enhance the value of identified services and resources such as watersheds and fisheries.”</i></p> <p>CR 3.2, IN 3.2.1: <i>“b) Timber harvesting shall particularly seek to avoid: Damage to soil and water courses during felling, extraction and burning; Damage to standing trees, especially veteran trees, during felling, extraction and burning, Degrade in felled timber.”</i></p> <p>UK FORESTRY STANDARD (UKFS)</p>

Question	YES / NO*	Reference to scheme documentation
		<p>Chapter 5 CR 2 Good forestry practice requirement 1: <i>“Forests and woodlands should be managed in a way that conserves or enhances biodiversity; opportunities for enhancing biodiversity should be considered in forest management plans.”</i></p> <p>CR 4 Good forestry practice requirement 4: <i>“Particular consideration should be given to conserving, enhancing or restoring priority habitats and species identified in the UK Biodiversity action Plan, through the delivery of country strategies and local level plans.”</i></p> <p>CONFORMITY</p>
<p>5.4.11 Infrastructure shall be planned and constructed in a way that minimises damage to ecosystems, especially to rare, sensitive or representative ecosystems and genetic reserves, and that takes threatened or other key species – in particular their migration patterns – into consideration.</p>	<p>YES</p>	<p>UK WOODLAND ASSURANCE STANDARD</p> <p>CR 2.11 Indicators 2.11.1: <i>“a) Management planning shall identify a minimum of 15% of the WMU where management for conservation and enhancement of biodiversity is the primary objective b) This shall include conservation areas and features identified in the following sections: Statutory designated sites, Ancient semi-natural woodland, Plantations on ancient woodland sites, Other valuable semi-natural habitats, Areas and features of critical importance for watershed management or erosion control, Natural reserves, Long-term retentions and/or areas managed under lower impact silvicultural systems.”</i></p> <p>2.11.2: <i>“a) Management strategies and actions shall be developed to maintain and, where possible, enhance the areas and features of high conservation value identified in the following sections:</i></p> <ul style="list-style-type: none"> • <i>Statutory designated sites (section 4.1)</i> • <i>Ancient semi-natural woodland (section 4.2)</i> • <i>Plantations on ancient woodland sites (section 4.3)</i> • <i>Areas and features of critical importance for watershed management or erosion control (section 4.5).</i> <p><i>b) Management strategies and actions shall be developed in consultation with statutory bodies, interested parties and experts.”</i></p> <p>CR 3.1, IN 3.1.2: <i>“The planning of woodland operations shall include: Obtaining any relevant permission and giving any formal notification required. Assessing and taking into account on and offsite impacts. Taking measures to protect water resources and soils, and prevent disturbance of</i></p>

Question	YES / NO*	Reference to scheme documentation
		<p><i>and damage to priority species, habitats, ecosystems and landscape values, including adapting standard prescriptions where required. Any disturbance or damage which does occur shall be mitigated and/or repaired, and steps shall be taken to avoid recurrence. Measures to maintain and, where appropriate, enhance the value of identified services and resources such as watersheds and fisheries.”</i></p> <p>CR 3.2, IN 3.2.1: <i>“b) Timber harvesting shall particularly seek to avoid: Damage to soil and water courses during felling, extraction and burning; Damage to standing trees, especially veteran trees, during felling, extraction and burning, Degrade in felled timber.”</i></p> <p>UK FORESTRY STANDARD (UKFS)</p> <p>Chapter 5 CR 2 Good forestry practice requirement1: <i>“Forests and woodlands should be managed in a way that conserves or enhances biodiversity; opportunities for enhancing biodiversity should be considered in forest management plans.”</i></p> <p>CR 3: <i>“Biodiversity in the wider landscape”</i> Good forestry practice requirement 3: <i>“The implications of woodland creation and management for biodiversity in the wider environment should be considered, including the roles of forest habitats and open habitats in ecological connectivity.”</i></p> <p>CR 4 Good forestry practice requirement 4: <i>“Particular consideration should be given to conserving, enhancing or restoring priority habitats and species identified in the UK Biodiversity action Plan, through the delivery of country strategies and local level plans.”</i></p> <p>CONFORMITY</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	YES	<p>UK WOODLAND ASSURANCE STANDARD</p> <p>CR 2.4, IN 2.4.4: <i>“Priority species shall not be harvested or controlled without the consent of the relevant statutory nature conservation and countryside agency.”</i></p> <p>CR 2.12, IN 2.12.1: <i>“Management of wild deer shall be based on a strategy</i></p>

Question	YES / NO*	Reference to scheme documentation
growth as well as on biodiversity.		<p><i>that identifies the management objectives, and aims to regulate the impact of deer."</i></p> <p>IN 4.9.1: <i>"Game rearing and release, shooting and fishing shall be carried out in accordance with the spirit of codes of practice produced by relevant organisations."</i></p> <p>Guidance on 4.9.1: <i>"Consider impacts on priority habitats and species and other native species. Release and feeding areas should be located in areas where there will be low impact on ground flora. Predator control should be carried out in line with best practice. The use of lead shot over wetland is restricted by regulations."</i></p> <p>UK FORESTRY STANDARD (UKFS)</p> <p>Chapter 5CR 2</p> <p>Good forestry practice requirement 1: <i>"Forests and woodlands should be managed in a way that conserves or enhances biodiversity; opportunities for enhancing biodiversity should be considered in forest management plans."</i></p> <p>CR 3: <i>"Biodiversity in the wider landscape"</i></p> <p>Good forestry practice requirement 3: <i>"The implications of woodland creation and management for biodiversity in the wider environment should be considered, including the roles of forest habitats and open habitats in ecological connectivity."</i></p> <p>CR 4</p> <p>Good forestry practice requirement 4: <i>"Particular consideration should be given to conserving, enhancing or restoring priority habitats and species identified in the UK Biodiversity action Plan, through the delivery of country strategies and local level plans."</i></p> <p>CONFORMITY</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	YES	<p>UK WOODLAND ASSURANCE STANDARD</p> <p>CR 4.4, IN 4.4.1: <i>"a) Areas, species and features of conservation value in other woodlands shall be identified. b) The identified areas, species and features of conservation value shall be maintained and where possible enhanced. c) Adverse ecological impacts shall be identified and inform management."</i></p> <p>CR 4.6</p>

Question	YES / NO*	Reference to scheme documentation
<p>account the potential effect on the health and stability of forests and on surrounding ecosystems.</p>		<p>Indicators</p> <p>IN 4.6.3: <i>“The owner/manager shall plan and take action to maintain continuity of veteran tree habitat by: Keeping existing veteran trees, and Managing or establishing suitable trees to eventually take the place of existing veterans. “</i></p> <p>4.6.4: <i>“a) The owner/manager shall plan and take action to accumulate a diversity of both standing and fallen deadwood over time in all wooded parts of the WMU, including felled areas. b) The owner/manager shall identify areas where deadwood is likely to be of greatest nature conservation benefit, and shall plan and take action to accumulate large dimension standing and fallen deadwood and deadwood in living trees in those areas.”</i></p> <p>Guidance for 4.6.4: <i>“The owner/manager should refer to deadwood guidance produced by relevant statutory conservation agencies, forestry authorities and others when identifying areas of greatest nature conservation benefit and when planning actions to accumulate deadwood.”</i></p> <p>UK FORESTRY STANDARD (UKFS)</p> <p>Chapter 5 Section 1, CR 2</p> <p>Good forestry practice requirement 1: <i>“Forests and woodlands should be managed in a way that conserves or enhances biodiversity; opportunities for enhancing biodiversity should be considered in forest management plans.”</i></p> <p>CR 3</p> <p>Good forestry practice requirement 3: <i>“The implications of woodland creation and management for biodiversity in the wider environment should be considered, including the roles of forest habitats and open habitats in ecological connectivity.”</i></p> <p>CR 4</p> <p>Good forestry practice requirement 4: <i>“Particular consideration should be given to conserving, enhancing or restoring priority habitats and species identified in the UK Biodiversity action Plan, through the delivery of country strategies and local level plans.”</i></p> <p>The assessor concludes the level of detail and record keeping of these documents demonstrate conformance to this requirement.</p>

Question	YES / NO*	Reference to scheme documentation
		CONFORMITY
Criterion 5: Maintenance and appropriate enhancement of protective functions in forest management (notably soil and water)		
<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>UK WOODLAND ASSURANCE STANDARD</p> <p>CR 2.2, IN 2.2.1: <i>“All areas in the WMU shall be covered by management planning documentation which shall be retained for at least ten years and shall incorporate.....f) Identification of community and social needs and sensitivities.”</i></p> <p>CR 2.4, IN 2.4.1: <i>“The owner/manager shall plan and implement measures to maintain and/or enhance long-term soil and hydrological functions.”</i></p> <p>CR 3.1, IN 3.1.2: <i>“The planning of woodland operations shall include: Obtaining any relevant permission and giving any formal notification required. Assessing and taking into account on and offsite impacts. Taking measures to protect water resources and soils, and prevent disturbance of and damage to priority species, habitats, ecosystems and landscape values, including adapting standard prescriptions where required. Any disturbance or damage which does occur shall be mitigated and/or repaired, and steps shall be taken to avoid recurrence. Measures to maintain and, where appropriate, enhance the value of identified services and resources such as watersheds and fisheries.”</i></p> <p>CR 3.2, IN 3.2.1: <i>“...b) Timber harvesting shall particularly seek to avoid: Damage to soil and water courses during felling, extraction and burning; Damage to standing trees, especially veteran trees, during felling, extraction and burning, Degrade in felled timber.”</i></p> <p>CR 3.3, IN 3.3.2: <i>“Roads and timber extraction tracks, visitor access infrastructure and associated drainage shall be designed, created, used and maintained in a manner that minimises their environmental impact.”</i></p> <p>CR 4.5: <i>“Watershed management and erosion control”</i> IN 4.5.1: <i>“a) Areas and features of critical importance for watershed management or erosion control shall be identified in consultation with relevant statutory bodies. b) Where critically important areas or features are identified, their management shall be agreed with the relevant statutory bodies.”</i></p> <p>UK FORESTRY STANDARD (UKFS)</p>

Question	YES / NO*	Reference to scheme documentation
		<p>Chapter 5</p> <p>Section 7: "Forests and Soil"</p> <p>CR 3: "Soil properties"</p> <p>Good forestry practice requirements</p> <p>1: "The quality of forest soil should be protected or enhanced in terms of its physical, chemical and biological properties."</p> <p>2: "Forest soil fertility levels should be maintained to safeguard the soil's character and productive potential."</p> <p>3: "Forest operations should be planned and managed to avoid damage to soil structure and function; should damage occur, reinstatement measures should be undertaken and adverse effects mitigated."</p> <p>CR 4: "Environmental Protection"</p> <p>Good forestry practice requirement</p> <p>4: "The environment adjacent to forests should not be subject to adverse effects due to water run-off, contamination or erosion arising from forest management practices."</p> <p>Chapter 5</p> <p>Section 8: "Forests and water"</p> <p>CR: 6: "Water Supply"</p> <p>Legal requirement 9: "Forestry operations must not lead to harmful or polluting substances contaminating public or private water supplies."</p> <p>CR 10: "Water quality and buffer zones"</p> <p>Good forestry practice requirements</p> <p>3: "Woodland creation and management should aim to help protect or restore the quality of the freshwater environment by reducing the impact of more intensive land management activities and environmental change."</p> <p>5: "Watercourses and water bodies should be identified and appropriate buffer areas established and maintained to protect aquatic and riparian zones from adjacent activities."</p> <p>7: "Forest operations should be conducted to prevent watercourses being polluted with sediment or discoloured; inspections should be carried out during forestry works and any incidents involving contamination of the water environment reported to the water regulatory authority without delay – remedial action should be taken immediately if pollution starts to occur."</p> <p>CONFORMITY</p>
5.5.2 Areas that fulfil	YES	UK WOODLAND ASSURANCE STANDARD

Question	YES / NO*	Reference to scheme documentation
<p>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.</p>		<p>CR 4.1, IN 4.1.1: “a) <i>Areas and features of high conservation value having particular significance for biodiversity, including sites important for priority but mobile species, shall be identified by reference to statutory designations at national or regional level and/or through assessment on the ground. d) Statutory designated sites shall be managed in accordance with plans agreed with nature conservation agencies, and shall be marked on maps.</i>”</p> <p>CR 4.2, IN 4.2.1: “a) <i>Ancient semi-natural woodland shall be identified by reference to published maps and/or by assessment on the ground</i>”</p> <p>CR 4.8: “<i>Cultural and historical features/sites</i>” IN 4.8.1: “<i>Through engagement with the relevant statutory historic environment agencies, local people and other interested parties, and using other relevant sources of information, the owner/manager shall: Identify sites and features of special cultural and historical significance, ☐ Assess their condition, and adopting a precautionary approach, devise and implement measures to maintain and/or enhance them.</i>”</p> <p>CONFORMITY</p>
<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.</p>	<p>YES</p>	<p>UK WOODLAND ASSURANCE STANDARD</p> <p>CR 2.4, IN 2.4.1: “<i>The owner/manager shall plan and implement measures to maintain and/or enhance long-term soil and hydrological functions.</i>”</p> <p>CR 3.1, IN 3.1.2: “<i>The planning of woodland operations shall include: Obtaining any relevant permission and giving any formal notification required. Assessing and taking into account on and offsite impacts. Taking measures to protect water resources and soils, and prevent disturbance of and damage to priority species, habitats, ecosystems and landscape values, including adapting standard prescriptions where required. Any disturbance or damage which does occur shall be mitigated and/or repaired, and steps shall be taken to avoid recurrence. Measures to maintain and, where appropriate, enhance the value of identified services and resources such as watersheds and fisheries.</i>”</p> <p>CR 3.2, IN 3.2.1: b) <i>Timber harvesting shall particularly seek to avoid: damage to soil and water courses during felling, extraction and burning; damage to standing trees, especially veteran trees, during felling, extraction and burning, degrade in felled timber.</i>”</p> <p>CR 4.5: “<i>Watershed management and erosion control</i>”</p>

Question	YES / NO*	Reference to scheme documentation
		<p>IN 4.5.1: <i>“a) Areas and features of critical importance for watershed management or erosion control shall be identified in consultation with relevant statutory bodies. b) Where critically important areas or features are identified, their management shall be agreed with the relevant statutory bodies.”</i></p> <p>UK FORESTRY STANDARD (UKFS)</p> <p>Chapter 5</p> <p>Section 7: <i>“Forests and soils”</i></p> <p>CR 3: <i>“Soil properties”</i> Good forestry practice requirements 1: <i>“The quality of forest soil should be protected or enhanced in terms of its physical, chemical and biological properties.”</i> 2: <i>“Forest soil fertility levels should be maintained to safeguard the soil’s character and productive potential.”</i> 3: <i>“Forest operations should be planned and managed to avoid damage to soil structure and function; should damage occur, reinstatement measures should be undertaken and adverse effects mitigated.”</i></p> <p>CR 4: <i>“Environmental Protection”</i> Good forestry practice requirement 4: <i>“The environment adjacent to forests should not be subject to adverse effects due to water run-off, contamination or erosion arising from forest management practices.”</i></p> <p>Section 8: <i>“Forests and water”</i> CR: 6: <i>“Water Supply”</i> Legal requirement 9: <i>“Forestry operations must not lead to harmful or polluting substances contaminating public or private water supplies.”</i></p> <p>CONFORMITY</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</p>	<p>YES</p>	<p>UK WOODLAND ASSURANCE STANDARD</p> <p>CR 3.2, IN 3.2.1: <i>b) Timber harvesting shall particularly seek to avoid: damage to soil and water courses during felling, extraction and burning; damage to standing trees, especially veteran trees, during felling, extraction and burning, degrade in felled timber.”</i></p> <p>CR 3.4, IN 3.4.1: <i>“a) The use of pesticides and fertilisers shall be avoided where practicable.; b) The use of pesticides, biological control agents and fertilisers shall be minimized; c) Damage to environmental values from</i></p>

Question	YES / NO*	Reference to scheme documentation
<p>chemicals or other harmful substances or inappropriate silvicultural practices influencing water quality in a harmful way shall be avoided.</p>		<p><i>pesticide and biological control agent use shall be avoided, mitigated and/or repaired, and steps shall be taken to avoid recurrence.</i></p> <p>CR 3.7: <i>"Pollution"</i> Indicators 3.7.1: <i>"The owner/manager shall adopt management practices that minimise diffuse pollution arising from woodland operations."</i> 3.7.2: <i>"Plans and equipment shall be in place to deal with accidental spillages of fuels, oils, fertilisers or other chemicals."</i> CR 4.5, IN 4.5.1: <i>"a) Areas and features of critical importance for watershed management or erosion control shall be identified in consultation with relevant statutory bodies. b) Where critically important areas or features are identified, their management shall be agreed with the relevant statutory bodies."</i></p> <p>UK FORESTRY STANDARD (UKFS)</p> <p>Chapter 5</p> <p>Section 7, CR 4 Good forestry practice4: <i>"The environment adjacent to forests should not be subject to adverse effects due to water run-off, contamination or erosion arising from forest management practices."</i></p> <p>Chapter 5</p> <p>Section 8CR 3: <i>"Control of pesticides"</i> Legal requirement5: <i>"Where a designated site or priority habitat or species might be affected, appropriate regulators and conservation agencies must be consulted prior to the aerial application of pesticides and the use of pesticides in or near water, and, where appropriate, authorisation obtained."</i></p> <p>CR 5: <i>"Oil and fuel storage"</i> IN 8: <i>"Oil and fuel must be stored in a way that minimises the risks of leakage and pollution."</i> CR: 6 Legal requirement9: <i>"Forestry operations must not lead to harmful or polluting substances contaminating public or private water supplies."</i></p> <p>CR 10: <i>"Water quality and buffer zones"</i> Good forestry practice requirements</p>

Question	YES / NO*	Reference to scheme documentation
		<p>3: <i>“Woodland creation and management should aim to help protect or restore the quality of the freshwater environment by reducing the impact of more intensive land management activities and environmental change.”</i></p> <p>5: <i>“Watercourses and water bodies should be identified and appropriate buffer areas established and maintained to protect aquatic and riparian zones from adjacent activities.”</i></p> <p>7: <i>“Forest operations should be conducted to prevent watercourses being polluted with sediment or discoloured; inspections should be carried out during forestry works and any incidents involving contamination of the water environment reported to the water regulatory authority without delay – remedial action should be taken immediately if pollution starts to occur.”</i></p> <p>CONFORMITY</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>UK WOODLAND ASSURANCE STANDARD</p> <p>CR 3.3</p> <p>Indicators</p> <p>3.3.1: <i>“All necessary consents shall be obtained for construction, extension and upgrades of: Forest roads, mineral extraction sites, other infrastructure.”</i></p> <p>3.3.2: <i>“Roads and timber extraction tracks, visitor access infrastructure and associated drainage shall be designed, created, used and maintained in a manner that minimises their environmental impact.”</i></p> <p>UK FORESTRY STANDARD (UKFS)</p> <p>Chapter 5</p> <p>Section 7</p> <p>CR 4</p> <p>Good forestry practice requirement4: <i>“The environment adjacent to forests should not be subject to adverse effects due to water run-off, contamination or erosion arising from forest management practices.”</i></p> <p>CR: 6</p> <p>Legal requirement 9: <i>“Forestry operations must not lead to harmful or polluting substances contaminating public or private water supplies.”</i></p> <p>CR 10: <i>“Water quality and buffer zones”</i></p> <p>Good forestry practice requirements</p> <p>3: <i>“Woodland creation and management should aim to help protect or</i></p>

Question	YES / NO*	Reference to scheme documentation
		<p><i>restore the quality of the freshwater environment by reducing the impact of more intensive land management activities and environmental change.</i>"</p> <p>5: <i>"Watercourses and water bodies should be identified and appropriate buffer areas established and maintained to protect aquatic and riparian zones from adjacent activities."</i></p> <p>6: <i>"Forest drainage should be planned and, where necessary, existing drains should be realigned to ensure that water is discharged slowly into buffer areas and not directly into watercourses."</i></p> <p>7: <i>"Forest operations should be conducted to prevent watercourses being polluted with sediment or discoloured; inspections should be carried out during forestry works and any incidents involving contamination of the water environment reported to the water regulatory authority without delay – remedial action should be taken immediately if pollution starts to occur."</i></p> <p>CONFORMITY</p>
Criterion 6: Maintenance of other socio-economic functions and conditions		
<p>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.</p>	<p>YES</p>	<p>UK WOODLAND ASSURANCE STANDARD</p> <p>CR 2.1, IN 2.1.1: <i>"a) The owner/manager shall have long term policy and management objectives which are environmentally sound, socially beneficial and economically viable."</i></p> <p>CR 5.3, IN 5.3.1: <i>"The owner/manager shall promote the integration of woodlands into the local economy by: Making the best use of the woodland's potential products and services consistent with other objectives. Providing local people with equitable opportunities for employment and to supply goods and services."</i></p> <p>CR 5.5, IN 5.5.1: <i>"All workers shall have appropriate qualifications, training and/or experience to carry out their roles in conformance to the requirements of this standard, unless working under proper supervision if they are currently undergoing training."</i></p> <p>UK FORESTRY STANDARD (UKFS)</p> <p>Chapter 5</p> <p>Section 1, CR 1</p> <p>Good forestry practice requirement 9: <i>"Forest management plans should state the objectives of management, and set out how the appropriate balance between economic, environmental and social objectives will be</i></p>

Question	YES / NO*	Reference to scheme documentation
		<p><i>achieved.”</i></p> <p>CR 6: <i>“Public involvement and local livelihoods”</i></p> <p>Good forestry practice requirement 8: <i>“Consideration should be given to promoting and facilitating local forest and woodland-based enterprises and economic activities.”</i></p> <p>CONFORMITY</p>
<p>5.6.2 Forest management shall promote the long-term health and well-being of communities within or adjacent to the forest management area.</p>	<p>YES</p>	<p>UK WOODLAND ASSURANCE STANDARD</p> <p>CR 2.2, IN 2.2.1: <i>“All areas in the WMU shall be covered by management planning documentation which shall be retained for at least ten years and shall incorporate ...c) Assessment of environmental values, including those outside the WMU potentially affected by management, sufficient to determine appropriate conservation measures and to provide a baseline for detecting possible negative impacts.... f) Identification of community and social needs and sensitivities.</i></p> <p>CR 2.3: <i>“Consultation and co-operation”</i></p> <p>IN 2.3.1: <i>“a) Local people, relevant organisations and interested parties shall be identified and made aware that: new or revised management planning documentation, as specified under section 2.2.1, is being produced, high impact operations are planned, the woodland is being evaluated for certification. b) The owner/manager shall ensure that there is full cooperation with the relevant forestry authority’s consultation processes. c) The owner/manager shall consult appropriately with local people, and relevant organisations and other interested parties, and provide opportunities for their engagement in planning and monitoring processes.</i></p> <p><i>d)Methods of consultation and engagement shall be designed to ensure that local people, relevant organisations and other interested parties have reasonable opportunities to participate equitably and without discrimination. e) At least 30 days shall be allowed for people to respond to notices, letters or meetings before certification.”</i></p> <p>CR 5.2, IN 5.2.1: <i>“The owner/manager shall mitigate the risks to public health and safety and other negative impacts of woodland operations on local people.”</i></p> <p>CR 5.3, IN 5.3.1: <i>“The owner/manager shall promote the integration of woodlands into the local economy by: Making the best use of the woodland’s potential products and services consistent with other</i></p>

Question	YES / NO*	Reference to scheme documentation
		<p><i>objectives. Providing local people with equitable opportunities for employment and to supply goods and services.”</i></p> <p>CONFORMITY</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>UK WOODLAND ASSURANCE STANDARD</p> <p>CR 1.1 Indicators</p> <p>1.1.3: <i>a) “The legal identity of the certificate holder (owner/forestry leaseholder) shall be documented. b) The boundaries of the certificate holder’s legal ownership or tenure shall be documented.c) The scope of the owner’s/manager’s legal rights to manage the WMU and to harvest products and/or supply services from within the WMU shall be documented. d) Legal authority to carry out specific operations, where required by the relevant authorities, shall be documented. e) Payment shall be made in a timely manner of all applicable legally prescribed charges connected with forest management.”</i></p> <p>1.1.4: <i>“a) Mechanisms shall be employed to identify, prevent and resolve disputes over tenure claims and use rights through appropriate consultation with interested parties. b) Where possible, the owner/manager shall seek to resolve disputes out of court and in a timely manner.”</i></p> <p>IN 1.1.6: <i>“a) There shall be conformance to guidance on anti-corruption legislation. b) Large enterprises shall have and implement a publicly available anti-corruption policy which meets or exceeds the requirements of legislation.”</i></p> <p>IN 1.1.7: <i>“There shall be compliance with legislation relating to the transportation and trade of forest products, including, where relevant, the EU Timber Regulation (EUTR) and phytosanitary requirements.”</i></p> <p>CR 5.1, IN 5.1.1: <i>“a) Existing permissive or traditional uses of the woodland shall be identified and sustained except when such uses can be shown to threaten the integrity of the woodland or the achievement of the objectives of management.”</i></p> <p>UK FORESTRY STANDARD (UKFS) Chapter 5 Section 6, CR 2: <i>“Access to forest and woodlands”</i></p>

Question	YES / NO*	Reference to scheme documentation
		<p>Good forestry practice requirement</p> <p>2: <i>“Where uses of woodland are established by long tradition they should be respected and allowed to continue, providing the use is sustainable and not detrimental to management objectives.”</i></p> <p>CONFORMITY</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 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</p>	<p>YES</p>	<p>UK WOODLAND ASSURANCE STANDARD</p> <p>CR 1.1 Indicators</p> <p>1.1.3: <i>a) “The legal identity of the certificate holder (owner/forestry leaseholder) shall be documented. b) The boundaries of the certificate holder’s legal ownership or tenure shall be documented. c) The scope of the owner’s/manager’s legal rights to manage the WMU and to harvest products and/or supply services from within the WMU shall be documented. d) Legal authority to carry out specific operations, where required by the relevant authorities, shall be documented. e) Payment shall be made in a timely manner of all applicable legally prescribed charges connected with forest management.”</i></p> <p>1.1.4: <i>“a) Mechanisms shall be employed to identify, prevent and resolve disputes over tenure claims and use rights through appropriate consultation with interested parties. b) Where possible, the owner/manager shall seek to resolve disputes out of court and in a timely manner.”</i></p> <p>IN 1.1.6: <i>“a) There shall be conformance to guidance on anti-corruption legislation. b) Large enterprises shall have and implement a publicly available anti-corruption policy which meets or exceeds the requirements of legislation.”</i></p> <p>IN 1.1.7: <i>“There shall be compliance with legislation relating to the transportation and trade of forest products, including, where relevant, the EU Timber Regulation (EUTR) and phytosanitary requirements.”</i></p> <p>CR 2.3, IN 2.3.1: <i>“...c) The owner/manager shall consult appropriately with local people, relevant organisations and other interested parties, and provide opportunities for their engagement in planning and monitoring processes.”</i></p> <p>CR 5.6, IN 5.6.1: <i>a) There shall be compliance with workers’ rights legislation, including equality legislation. b) Workers shall not be deterred from joining a trade union or employee association. c) Direct employees shall be permitted to negotiate terms and conditions,</i></p>

Question	YES / NO*	Reference to scheme documentation
place.		<p><i>including grievance procedures, collectively should they so wish. d) Workers shall have recourse to mechanisms for resolving grievances which meet the requirements of statutory codes of practice. e) Wages paid to workers shall meet or exceed the statutory national living wage."</i></p> <p>UK FORESTRY STANDARD (UKFS)</p> <p>Chapter 5</p> <p>Section 6, CR 1</p> <p>Legal requirement</p> <p>1: <i>"Forestry activities and businesses must comply with all relevant laws and regulations."</i></p> <p>PEFC UK SCHEME</p> <p>Appendix 2: <i>"ILO Conventions ratified by the UK and/or upheld within the structure of UKWAS."</i></p> <p><i>"29: Forced Labour Convention, 1930. 87: Freedom of Association and Protection of the Right to Organise Conventions, 1948. 97: Migration for Employment (Revised) Convention, 1949. 98: Right to Organise and Collective Bargaining Convention, 1949. 100: Equal Remuneration Convention, 1951. 105: Abolition of Forced Labour Convention, 1957. 111: Discrimination (Occupation and Employment) Convention, 1958. 131: Minimum Wage Fixing Convention, 1970. 138: Minimum Age Convention, 1973. 141: Rural Workers' Organizations Convention, 1975. 142: Human Resources Development Convention, 1975. 143: Migrant Workers (Supplementary Provisions) Convention. 1975 155: Occupational Safety and Health Convention, 1981. 169: Indigenous and Tribal Peoples Convention, 1989. 182: Worst Forms of Child Labour Convention, 1999.</i></p> <p><i>ILO Code of Practice on Safety and Health in Forestry Work (ILO 1998) Recommendation 135: Minimum Wage Fixing Recommendation, 1970."</i></p> <p>CONFORMITY</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	YES	<p>UK WOODLAND ASSURANCE STANDARD</p> <p>CR 5.1</p> <p>Indicators</p> <p>5.1.1: <i>"a) Existing permissive or traditional uses of the woodland shall be identified and sustained except when such uses can be shown to threaten the integrity of the woodland or the achievement of the objectives of management."</i></p> <p>5.1.2: <i>"a) There shall be provision for some public access subject only to limited exemptions. b) Where there is a special demand for further public</i></p>

Question	YES / NO*	Reference to scheme documentation
<p>compatibility with other functions of the forest.</p>		<p><i>access for the purpose of environmental education, the owner/manager shall make reasonable efforts to meet this demand."</i></p> <p>UK FORESTRY STANDARD (UKFS)</p> <p>Section 6, CR 2 Indicators</p> <p>1: <i>"Landowners and managers should consider providing access to their woodland, in addition to that required by statute."</i></p> <p>2: <i>"Where uses of woodland are established by long tradition they should be respected and allowed to continue, providing the use is sustainable and not detrimental to management objectives."</i></p> <p>CONFORMITY</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>	<p>YES</p>	<p>UK Woodland Assurance Standard</p> <p>CR 2.2, IN 2.2.1: <i>"All areas in the WMU shall be covered by management planning documentation which shall be retained for at least ten years and shall incorporate....d) Identification of special characteristics and sensitivities of the woodland and appropriate treatments."</i></p> <p>CR 4.8, IN 4.8.1: <i>"Through engagement with the relevant statutory historic environment agencies, local people and other interested parties, and using other relevant sources of information, the owner/manager shall: Identify sites and features of special cultural and historical significance, assess their condition, and adopting a precautionary approach, devise and implement measures to maintain and/or enhance them."</i></p> <p>UK FORESTRY STANDARD (UKFS)</p> <p>Chapter 5</p> <p>Section 4: <i>"Forest and Historic Environment"</i></p> <p>CR 4: <i>"Historic landscape character"</i></p> <p>Good forestry practice requirements</p> <p>1: <i>"Forests should be designed and managed to take account of the historical character and cultural values of the landscape."</i></p> <p>2: <i>"Forests should be designed and managed to take account of policies associated with historic landscapes, battlefield sites, historic parks and gardens, and designed landscapes of historic interest."</i></p> <p>CR 5: <i>"Historic features"</i></p>

Question	YES / NO*	Reference to scheme documentation
		<p>Good forestry practice requirements</p> <p>3: <i>“Steps should be taken to ensure that historic features, which may be adversely affected by forestry, are known and evaluated on an individual site basis, taking advice from the local historic environment services.”</i></p> <p>4: <i>“Forest management plans and operational plans should set out how important historic environment features, including veteran trees, are to be protected and managed.”</i></p> <p>CONFORMITY</p>
<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>UK Woodland Assurance Standard</p> <p>CR 2.1, IN 2.1.1: <i>“a) The owner/manager shall have long term policy and management objectives which are environmentally sound, socially beneficial and economically viable.”</i> CR 2.6, IN 2.6.1: <i>“New woodlands shall be located and designed in ways that will: Deliver economic goods and/or ecosystem services, maintain or enhance the visual, cultural and ecological value and character of the wider landscape, and ensure the creation of a diverse woodland over time.”</i></p> <p>CR 2.7, IN 2.7.1: <i>“Even-aged woodlands shall be gradually restructured to achieve an appropriately diverse mosaic of species, sizes, ages, spatial scales, and regeneration cycles. This structural diversity shall be maintained or enhanced.”</i></p> <p>CR 4.4, IN 4.4.2: <i>“a) Valuable small-scale semi-natural habitats that have been colonised, planted, or incorporated into the WMU, but which have retained their ecological characteristics (or have a high potential to be restored), shall be identified and enhanced, restored or treated in a manner that does not lead to further degradation of their potential for restoration. b) Adverse ecological impacts shall be identified and inform management.”</i></p> <p>CR 4.6, IN 4.6.3: <i>“The owner/manager shall plan and take action to maintain continuity of veteran tree habitat by: Keeping existing veteran trees, and Managing or establishing suitable trees to eventually take the place of existing veterans. “</i></p> <p>CR 5.1, IN 5.1.1: <i>“a) Existing permissive or traditional uses of the woodland shall be identified and sustained except when such uses can be shown to threaten the integrity of the woodland or the achievement of the objectives of management.”</i></p>

Question	YES / NO*	Reference to scheme documentation
		<p>UK FORESTRY STANDARD (UKFS)</p> <p>Chapter 5</p> <p>Section 1, CR 6</p> <p>Good forestry practice requirements</p> <p>14: <i>"Forests should be designed to achieve a diverse structure of habitat, and species and ages of trees, appropriate to the scale and context."</i></p> <p>15: <i>"Forests characterised by a lack of diversity due to extensive areas of even-aged trees should be progressively restructured to achieve a range of age classes."</i></p> <p>17: <i>"New forests and woodlands should be located and designed to maintain or enhance the visual, cultural and ecological value and character of the landscape."</i></p> <p>CONFORMITY</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>UK WOODLAND ASSURANCE STANDARD</p> <p>CR 2.1, IN 2.1.1 b: <i>"The policy and objectives, or summaries thereof, shall be proactively communicated to workers consistent with their roles and responsibilities."</i></p> <p>CR 3.1, IN 3.1.3: <i>"Operational plans shall be clearly communicated to all workers so that they understand and implement safety precautions, environmental protection plans, bio-security protocols, emergency procedures, and prescriptions for the management of features of high conservation value."</i></p> <p>CR 5.5.</p> <p>Indicators</p> <p>5.5.1: <i>"All workers shall have appropriate qualifications, training and/or experience to carry out their roles in conformance to the requirements of this standard, unless working under proper supervision if they are currently undergoing training."</i></p> <p>5.5.2: <i>"The owner/manager of large enterprises shall promote training, and encourage and support new recruits to the industry."</i></p> <p>CONFORMITY</p>
<p>5.6.9 Forest management practices shall make the best use of local forest-related experience and knowledge, such as</p>	<p>YES</p>	<p>UK WOODLAND ASSURANCE STANDARD</p> <p>CR 2.2, IN 2.2.3: <i>"The management planning documentation shall be reviewed periodically (at least every ten years), taking into account: monitoring results, results of certification audits, Results of stakeholder engagement, new research and technical information, and changed</i></p>

Question	YES / NO*	Reference to scheme documentation
those of local communities, forest owners, NGOs and local people.		<p><i>environmental, social, or economic circumstances.”</i></p> <p>CR 4.1, IN 4.1.1: <i>“c) There shall be ongoing communication and/or consultation with statutory bodies, local authorities, wildlife trusts and other relevant organisations.”</i></p> <p>IN 2.3.1: <i>“...c) The owner/manager shall consult appropriately with local people, relevant organisations and other interested parties, and provide opportunities for their engagement in planning and monitoring processes.”</i></p> <p><i>d)Methods of consultation and engagement shall be designed to ensure that local people, relevant organisations and other interested parties have reasonable opportunities to participate equitably and without discrimination. e) At least 30 days shall be allowed for people to respond to notices, letters or meetings before certification.”</i></p> <p>CONFORMITY</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.	YES	<p>UK WOODLAND ASSURANCE STANDARD</p> <p>CR 1.1, IND 1.1.4: <i>“a) Mechanisms shall be employed to identify, prevent and resolve disputes over tenure claims and use rights through appropriate consultation with interested parties. b) Where possible, the owner/manager shall seek to resolve disputes out of court and in a timely manner.”</i></p> <p>CR 2.2 Indicators 2.2.1: <i>“All areas in the WMU shall be covered by management planning documentation which shall be retained for at least ten years and shall incorporate.....f) Identification of community and social needs and sensitivities.”</i></p> <p>2.2.3: <i>“The management planning documentation shall be reviewed periodically (at least every ten years), taking into account: monitoring results, results of certification audits, Results of stakeholder engagement, new research and technical information, and changed environmental, social, or economic circumstances.”</i></p> <p>CR 2.3: <i>“Consultation and co-operation”</i> Indicators 2.3.1: <i>“a) Local people, relevant organisations and interested parties shall be identified and made aware that: new or revised management planning documentation, as specified under section 2.2.1, is being produced, high impact operations are planned, the woodland is being evaluated for certification. b) The owner/manager shall ensure that there is full</i></p>

Question	YES / NO*	Reference to scheme documentation
		<p><i>cooperation with the relevant forestry authority’s consultation processes.</i></p> <p><i>c) The owner/manager shall consult appropriately with local people, relevant organisations and other interested parties, and provide opportunities for their engagement in planning and monitoring processes.”</i></p> <p><i>d)Methods of consultation and engagement shall be designed to ensure that local people, relevant organisations and other interested parties have reasonable opportunities to participate equitably and without discrimination. e) At least 30 days shall be allowed for people to respond to notices, letters or meetings before certification.”</i></p> <p><i>2.3.2: “a) Where appropriate, contact shall be made with the owners of adjoining woodlands to try to ensure that restructuring of one woodland complements and does not unreasonably compromise the management of adjoining ones. b) Management of invasive plants and of wild mammals shall be undertaken where relevant in co-operation with statutory bodies and where possible and practicable in co-ordination with neighbours (see also section 2.12.1 in relation to deer).</i></p> <p><i>c) Where appropriate and possible, the owner/manager shall consider opportunities for cooperating with neighbours in landscape scale conservation initiatives.”</i></p> <p><i>CR 5.2, IN 5.2.2: “The owner/manager shall respond constructively to complaints, seek to resolve grievances through engagement with complainants in the first instance, and follow established legal process should this become necessary. “</i></p> <p>CONFORMITY</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</p>	<p>YES</p>	<p>UK WOODLAND ASSURANCE STANDARD</p> <p><i>CR 3.1, IN 3.1.3: “Operational plans shall be clearly communicated to all workers so that they understand and implement safety precautions, environmental protection plans, bio-security protocols, emergency procedures, and prescriptions for the management of features of high conservation value.”</i></p> <p><i>CR 5.4, IN 5.4.1: (a) There shall be:</i></p> <ul style="list-style-type: none"> <i>• Compliance with health and safety legislation</i> <i>• Conformance with associated codes of practice</i> <i>• Conformance with FISA guidance.</i>

Question	YES / NO*	Reference to scheme documentation
preventive measures.		<p><i>(b) There shall be contingency plans for any accidents.</i></p> <p><i>(c) There shall be appropriate competency.”</i> CR 5.5: “<i>Training and continuing development</i>” Indicators 5.5.1: “<i>All workers shall have appropriate qualifications, training and/or experience to carry out their roles in conformance to the requirements of this standard, unless working under proper supervision if they are currently undergoing training.</i>” 5.5.2: “<i>The owner/manager of large enterprises shall promote training, and encourage and support new recruits to the industry.</i>”</p> <p>UK FORESTRY STANDARD (UKFS)</p> <p>Chapter 5</p> <p>Section 6, CR 4: “<i>Employment and health and safety</i>” Legal requirements 7: “<i>Those responsible for forestry businesses and activities must be aware of the range of legislation relating to employment and ensure compliance.</i>” 8: “<i>Responsibilities under health and safety legislation must be complied with in relation to employees, contractors, volunteers and other people who may be affected by their work.</i>” 9: “<i>Safe working practices must be implemented, and the safety of plant and machinery must be ensured, as set out in legislation and the guidance produced by HSE (the Health and Safety Executive) and its arboriculture and Forestry advisory Group (aFaG).</i>”</p> <p>CONFORMITY</p>
5.6.12 Working conditions shall be safe, and guidance and training in safe working practices shall be provided to all those assigned to a task in forest operations.	YES	<p>UK WOODLAND ASSURANCE STANDARD</p> <p>CR 3.1, IN 3.1.3: “<i>Operational plans shall be clearly communicated to all workers so that they understand and implement safety precautions, environmental protection plans, bio-security protocols, emergency procedures, and prescriptions for the management of features of high conservation value.</i>”</p> <p>CR 5.4, IN 5.4.1: “<i>(a) There shall be:</i></p> <ul style="list-style-type: none"> • <i>Compliance with health and safety legislation</i> • <i>Conformance with associated codes of practice</i>

Question	YES / NO*	Reference to scheme documentation
		<ul style="list-style-type: none"> • <i>Conformance with FISA guidance.</i> <p><i>(b) There shall be contingency plans for any accidents.</i></p> <p><i>(c) There shall be appropriate competency.”</i></p> <p>CR 5.5 Indicators 5.5.1: <i>“All workers shall have appropriate qualifications, training and/or experience to carry out their roles in conformance to the requirements of this standard, unless working under proper supervision if they are currently undergoing training.”</i> 5.5.2: <i>“The owner/manager of large enterprises shall promote training, and encourage and support new recruits to the industry.”</i></p> <p>UK FORESTRY STANDARD (UKFS)</p> <p>Chapter 5</p> <p>Section 6, CR 4: <i>“Employment and health and safety”</i> Legal requirements 7: <i>“Those responsible for forestry businesses and activities must be aware of the range of legislation relating to employment and ensure compliance.”</i> 8: <i>“Responsibilities under health and safety legislation must be complied with in relation to employees, contractors, volunteers and other people who may be affected by their work.”</i> 9: <i>“Safe working practices must be implemented, and the safety of plant and machinery must be ensured, as set out in legislation and the guidance produced by HSE (the Health and Safety Executive) and its arboriculture and Forestry advisory Group (aFaG).”</i></p> <p>CONFORMITY</p>
5.6.13 Forest management shall comply with fundamental ILO conventions.	YES	<p>UK WOODLAND ASSURANCE STANDARD</p> <p>CR 1.1, IN 1.1.1: <i>“There shall be compliance with the law. There shall be no substantiated outstanding claims of non-compliance related to woodland management.”</i></p> <p>CR 5.6, IN 5.6.1: <i>a) There shall be compliance with workers’ rights legislation, including equality legislation. b) Workers shall not be deterred from joining a trade union or employee association. c) Direct employees shall be permitted to negotiate terms and conditions, including grievance procedures, collectively should they so wish. d)</i></p>

Question	YES / NO*	Reference to scheme documentation
		<p><i>Workers shall have recourse to mechanisms for resolving grievances which meet the requirements of statutory codes of practice. e) Wages paid to workers shall meet or exceed the statutory national living wage.</i></p> <p>PEFC UK SCHEME</p> <p>Appendix 2: “ILO Conventions ratified by the UK and/or upheld within the structure of UKWAS.”</p> <p>“29: Forced Labour Convention, 1930. 87: Freedom of Association and Protection of the Right to Organise Conventions, 1948. 97: Migration for Employment (Revised) Convention, 1949. 98: Right to Organise and Collective Bargaining Convention, 1949. 100: Equal Remuneration Convention, 1951. 105: Abolition of Forced Labour Convention, 1957. 111: Discrimination (Occupation and Employment) Convention, 1958. 131: Minimum Wage Fixing Convention, 1970. 138: Minimum Age Convention, 1973. 141: Rural Workers' Organizations Convention, 1975. 142: Human Resources Development Convention, 1975. 143: Migrant Workers (Supplementary Provisions) Convention. 1975 155: Occupational Safety and Health Convention, 1981. 169: Indigenous and Tribal Peoples Convention, 1989. 182: Worst Forms of Child Labour Convention, 1999.</p> <p><i>ILO Code of Practice on Safety and Health in Forestry Work (ILO 1998) Recommendation 135: Minimum Wage Fixing Recommendation, 1970.”</i></p> <p>CONFORMITY</p>
<p>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.</p>	<p>YES</p>	<p>UK WOODLAND ASSURANCE STANDARD</p> <p>CR 2.2, IN 2.2.3: “<i>The management planning documentation shall be reviewed periodically (at least every ten years), taking into account: monitoring results, results of certification audits, Results of stakeholder engagement, new research and technical information, and changed environmental, social, or economic circumstances.</i>”</p> <p>Introduction</p> <p>“<i>Research: The establishment of research trials or plots may be undertaken only in the context of a research policy and should conform to the spirit of the certification standard.</i>”</p> <p>CONFORMITY</p>
<p>Criterion 7: Compliance with legal requirements</p>		

Question	YES / NO*	Reference to scheme documentation
<p>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 land-use rights for indigenous people; health, labour and safety issues; and the payment of royalties and taxes.</p>	<p>YES</p>	<p>UK WOODLAND ASSURANCE STANDARD</p> <p>CR 1.1</p> <p>Indicators:</p> <p>1.1.1: <i>“There shall be compliance with the law. There shall be no substantiated outstanding claims of non-compliance related to woodland management.”</i></p> <p>1.1.2: <i>“There shall be conformance to the spirit of any relevant codes of practice or good practice guidelines”</i></p> <p>1.1.3:</p> <p>a) <i>“The legal identity of the certificate holder (owner/forestry leaseholder) shall be documented.</i></p> <p>b) <i>The boundaries of the certificate holder’s legal ownership or tenure shall be documented.</i></p> <p>c) <i>The scope of the owner’s/manager’s legal rights to manage the WMU and to harvest products and/or supply services from within the WMU shall be documented.</i></p> <p>d) <i>Legal authority to carry out specific operations, where required by the relevant authorities, shall be documented.</i></p> <p>e) <i>Payment shall be made in a timely manner of all applicable legally prescribed charges connected with forest management.”</i></p> <p>1.1.4: <i>“a) Mechanisms shall be employed to identify, prevent and resolve disputes over tenure claims and use rights through appropriate consultation with interested parties. b) Where possible, the owner/manager shall seek to resolve disputes out of court and in a timely manner.”</i></p> <p>1.1.6: <i>“a) There shall be conformance to guidance on anti-corruption legislation. b) Large enterprises shall have and implement a publicly available anti-corruption policy which meets or exceeds the requirements of legislation.”</i></p> <p>1.1.7: <i>“There shall be compliance with legislation relating to the transportation and trade of forest products, including, where relevant, the EU Timber Regulation (EUTR) and phytosanitary requirements.”</i></p> <p>CR 1.2: <i>“Protection from illegal activities”</i></p> <p>IN 1.2.1: <i>“The owner/manager shall take all reasonable measures, including engagement with the police and statutory bodies, to prevent or stop illegal or unauthorised uses of the woodland that could jeopardise fulfilment of the objectives of management.”</i></p> <p>CR 2.2, IN 2.2.1: <i>“All areas in the WMU shall be covered by management planning documentation which shall be retained for at least ten years and shall incorporate c) Assessment of environmental values, including those</i></p>

Question	YES / NO*	Reference to scheme documentation
		<p><i>outside the WMU potentially affected by management, sufficient to determine appropriate conservation measures and to provide a baseline for detecting possible negative impacts."</i></p> <p>CR 2.4, IN 2.4.4: <i>"Priority species shall not be harvested or controlled without the consent of the relevant statutory nature conservation and countryside agency."</i></p> <p>CR 2.5, IN 2.5.1: <i>"...b) The results of the environmental assessments shall be incorporated into planning and implementation in order to avoid, minimise or repair adverse environmental impacts of management activities."</i></p> <p>CR 3.1 Indicators 3.1.1: <i>"Woodland operations shall conform to forestry best practice guidance."</i> 3.1.2: <i>"The planning of woodland operations shall include: Obtaining any relevant permission and giving any formal notification required. Assessing and taking into account on and offsite impacts. Taking measures to protect water resources and soils, and prevent disturbance of and damage to priority species, habitats, ecosystems and landscape values, including adapting standard prescriptions where required. Any disturbance or damage which does occur shall be mitigated and/or repaired, and steps shall be taken to avoid recurrence. Measures to maintain and, where appropriate, enhance the value of identified services and resources such as watersheds and fisheries."</i></p> <p>CR 3.4, IN 3.4.3: <i>"Where pesticides and biological control agents are to be used: The owner/manager and workers shall be aware of and implement legal requirements and non-legislative guidance for use of pesticides and biological control agents in forestry, the owner/manager shall keep records of pesticide usage and biological control agents as required by current legislation."</i></p> <p>CR 3.6, IN 3.6.1: <i>"Waste disposal shall be in accordance with current waste management legislation and regulations."</i></p> <p>CR 5.2: <i>"Minimising adverse impacts"</i> IN 5.2.1: <i>"The owner/manager shall mitigate the risks to public health and safety and other negative impacts of woodland operations on local people."</i></p>

Question	YES / NO*	Reference to scheme documentation
		<p>CR 5.4: "Health and safety"</p> <p>IN 5.4.1: (a) There shall be:</p> <ul style="list-style-type: none"> • Compliance with health and safety legislation • Conformance with associated codes of practice • Conformance with FISA guidance. <p>(b) There shall be contingency plans for any accidents.</p> <p>(c) There shall be appropriate competency."</p> <p>IN 5.6.1: a) There shall be compliance with workers' rights legislation, including equality legislation. b) Workers shall not be deterred from joining a trade union or employee association. c) Direct employees shall be permitted to negotiate terms and conditions, including grievance procedures, collectively should they so wish. d) Workers shall have recourse to mechanisms for resolving grievances which meet the requirements of statutory codes of practice. e) Wages paid to workers shall meet or exceed the statutory national living wage.</p> <p>CR 5.7: "Insurance"</p> <p>IN 5.7.1: "The owner/manager and workers shall be covered by adequate public liability and employer's liability insurance."</p> <p>UK FORESTRY STANDARD (UKFS)</p> <p>Chapter 5</p> <p>Section 1, CR 1</p> <p>Legal requirements</p> <p>1: "Forestry activities and businesses must comply with all relevant laws and regulations."</p> <p>2: "Operations must be authorised by the legal owner."</p> <p>Good forestry practice requirements</p> <p>1: "Reasonable measures should be taken to ensure no illegal or unauthorised activity takes place within the forest or woodland."</p> <p>2: "Forestry activities and businesses should comply with relevant codes of practice and industry guidelines."</p> <p>Section 6</p>

Question	YES / NO*	Reference to scheme documentation
		<p>CR 4: <i>“Employment health and safety”</i> Legal requirement 7: <i>“Those responsible for forestry businesses and activities must be aware of the range of legislation relating to employment and ensure compliance.”</i></p> <p>CONFORMITY</p>
<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.</p>	<p>YES</p>	<p>UK WOODLAND ASSURANCE STANDARD</p> <p>CR 1.1, IN 1.1.1: <i>“There shall be compliance with the law. There shall be no substantiated outstanding claims of non-compliance related to woodland management.”</i> CR 1.2, IN 1.2.1: <i>“The owner/manager shall take all reasonable measures, including engagement with the police and statutory bodies, to prevent or stop illegal or unauthorised uses of the woodland that could jeopardise fulfilment of the objectives of management.”</i>CR 2.12, IN 2.12.2: <i>“There shall be an emergency response plan appropriate to the level of risk.”</i> Guidance for 2.12.2: <i>Incidents may include: Fire, Extreme weather events, Outbreaks of pests, diseases or invasive species, Accidents, Chemical spills and other pollution.</i></p> <p>UK FORESTRY STANDARD (UKFS)</p> <p>Chapter 5 Section 1, CR 1 Legal requirements 1: <i>“Forestry activities and businesses must comply with all relevant laws and regulations.”</i> 2: <i>“Operations must be authorised by the legal owner.”</i></p> <p>Good forestry practice requirements 1: <i>“Reasonable measures should be taken to ensure no illegal or unauthorised activity takes place within the forest or woodland.”</i></p> <p>CONFORMITY</p>

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

PART IV: Standard and System Requirement Checklist for certification and accreditation procedures (Annex 6)

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*).

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

2 Checklist

No.	Question	Reference to PEFC Council PROCEDURES	YES / NO*	Reference to scheme documentation
Certification Bodies				
1.	Does the scheme documentation require that certification shall be carried out by impartial, independent third parties that cannot be involved in the Standard-Setting Process as governing or decision making body, or in the forest management and are independent of the certified entity?	Annex 6, 3.1	YES	<p>PEFC UK SCHEME</p> <p>Section 7: <i>“Scheme Governance”</i></p> <p>CR 7.1: <i>“Accreditation & Certification Requirements”</i></p> <p>IN: 7.1.1: <i>“Certification: PEFC certifications shall be carried out by impartial, independent third parties that cannot be involved in the Standard-Setting Process as governing or decision making bodies, or in the forest management and are independent of the certified entity.”</i></p> <p>CONFORMITY</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>PEFC UK SCHEME</p> <p>Section 7, CR 7.1, IN 7.1.1: <i>“Certification bodies considered competent by the PEFC Council to carry out forest and/or chain of custody verification, shall apply auditing procedures that fulfil or are compatible with the requirements of ISO 19011 and shall fulfil the following qualifications:...ISO17021 : 2012 Conformity assessment -- Requirements for bodies providing audit and certification of management systems.”</i></p>

No.	Question	Reference to PEFC Council PROCEDURES	YES / NO*	Reference to scheme documentation
				CONFORMITY
3.	Does the scheme documentation require that certification bodies carrying out forest certification shall have the technical competence in forest management on its economic, social and environmental impacts, and on the forest certification criteria?	Annex 6, 3.1	YES	PEFC UK SCHEME Section 7, CR 7.1, IN 7.1.1: <i>“The certification body carrying out forest certification shall have the technical competence in forest management, on its economic, social and environmental impacts, on the forest certification criteria and certify against ISO 17021-2.”</i> CONFORMITY
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	PEFC UK SCHEME Section 7, CR 7.1, IN 7.1.1: <i>“The certification body shall have a good understanding of the national PEFC system against which it carries out forest or chain of custody certification.”</i> CONFORMITY
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	PEFC UK SCHEME Section 7, CR 1, IN 7.1.6: <i>“Competence Criteria for Auditors: Certification Bodies registered to operate under the Scheme are required to ensure that technical supervisors and auditors appointed by the Certification Body to carry out assessments against the requirements of the UK WOODLAND ASSURANCE STANDARD and the PEFC Chain of Custody Standards meet the competence criteria for auditors developed by the appropriate Accreditation Body. Chain of Custody auditors shall have participated in PEFC recognised training every two years.”</i> CONFORMITY
6.	Does the scheme documentation	Annex 6,	YES	PEFC UK SCHEME

No.	Question	Reference to PEFC Council PROCEDURES	YES / NO*	Reference to 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?	3.2		Section 7, CR 7.1, IN 7.1.1: <i>“Certification bodies considered competent by the PEFC Council to carry out forest and/or chain of custody verification, shall apply auditing procedures that fulfil or are compatible with the requirements of ISO 19011...”</i> CONFORMITY
7.	Does the scheme documentation include additional qualification requirements for auditors carrying out forest management audits? [*1]	Annex 6, 3.2	YES	PEFC UK SCHEME Section 7, CR 7.1 Indicators: 7.1.1: <i>“The certification body carrying out forest certification shall have the technical competence in forest management, on its economic, social and environmental impacts, on the forest certification criteria”</i> 7.1.4: <i>“...certification bodies will be required to demonstrate the following: ☐ independence and objectivity; proven technical and professional competence and appropriate level of experience in forestry, including the economic, social and environmental impacts, to hold the confidence of certification customers and the wider forest industry”</i> CONFORMITY
Certification procedures				
8.	Does the scheme documentation require that certification bodies shall have established internal procedures for forest management certification?	Annex 6, 4	YES	PEFC UK SCHEME Section 7, CR 7.1, IN 7.1.1: <i>“The certification body carrying out forest management certification or chain of custody certification, shall have established internal procedures for the above and fulfil requirements defined in:</i> <i>a) ISO 17065: 2012 if the certification is carried out as product certification (the term “product” is used in its widest sense and includes also processes and services)</i> <i>b) ISO17021: 2012 Conformity assessment -- Requirements for bodies providing audit and</i>

No.	Question	Reference to PEFC Council PROCEDURES	YES / NO*	Reference to scheme documentation
				<p><i>certification of management systems”</i></p> <p>CONFORMITY</p>
9.	<p>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?</p>	Annex 6, 4	YES	<p>PEFC UK SCHEME</p> <p>Section 7, CR 7.1, IN 7.1.1: <i>“Certification bodies considered competent by the PEFC Council to carry out forest and/or chain of custody verification, shall apply auditing procedures that fulfil or are compatible with the requirements of ISO 19011 and shall fulfil the following qualifications:</i></p> <p><input checked="" type="checkbox"/> <i>The certification body carrying out forest management certification or chain of custody certification, shall have established internal procedures for the above and fulfil requirements defined in:</i></p> <p><i>a) ISO 17065: 2012 if the certification is carried out as product certification (the term “product” is used in its widest sense and includes also processes and services)</i></p> <p><i>b) ISO17021: 2012 Conformity assessment -- Requirements for bodies providing audit and certification of management systems”</i></p> <p>CONFORMITY</p>
10.	<p>Does the scheme documentation require that applied auditing procedures shall fulfil or be compatible with the requirements of ISO 19011?</p>	Annex 6, 4	YES	<p>PEFC UK SCHEME</p> <p>Section 7, CR 7.1, IN 7.1.1: <i>“Certification bodies considered competent by the PEFC Council to carry out forest and/or chain of custody verification, shall apply auditing procedures that fulfil or are compatible with the requirements of ISO 19011...”</i></p> <p>CONFORMITY</p>
11.	<p>Does the scheme documentation require that certification body shall inform the relevant PEFC National Governing Body about all issued forest management certificates and</p>	Annex 6, 4	YES	<p>PEFC UK SCHEME</p> <p>Section 7, CR 7.1, IN 7.1.5: <i>“Roles of the Certification Body: Certification bodies operating under the Scheme will have the following key roles: Notifying PEFC UK Ltd of the award, renewal and withdrawal of all certificates, within one month of all actions”</i></p> <p>CONFORMITY</p>

No.	Question	Reference to PEFC Council PROCEDURES	YES / NO*	Reference to scheme documentation
	changes concerning the validity and scope of these certificates?			
12	Does the scheme documentation require that certification body shall carry out controls of PEFC logo usage if the certified entity is a PEFC logo user?	Annex 6, 4	YES	<p>PEFC UK SCHEME</p> <p>Section 7, CR 7.1, IN 7.1.5: <i>“Roles of the Certification Body: Certification bodies operating under the Scheme will have the following key roles: Monitoring the use of PEFC logo licence use by their clients as set out by PEFC UK Ltd.”</i></p> <p>CR 7.6: <i>“Use of Logos & Marks”</i></p> <p>IN 7.6.1: <i>“Relating to Certification Bodies</i> <i> Holders of certificates issued under the Scheme may use logos, marks or claims relating to the relevant Certification Body operating under the Scheme, provided that such usage is carried out in strict accordance with the rules and procedures issued by the Certification Body.”</i></p> <p>CONFORMITY</p>
13	Does a maximum period for surveillance audits defined by the scheme documentation not exceed more than one year?	Annex 6, 4	YES	<p>PEFC UK SCHEME</p> <p>Section 7, CR 7.2: <i>“Core Elements of the Scheme”</i></p> <p>IN 7.2.11: <i>“Surveillance audits: On-going surveillance (alternatively referred to as “monitoring” or “re-auditing”) during the period covered by the Certificate. Regular monitoring of the certificate holder will be carried out by the Certification Body at regular intervals (at least annually) following the main assessment in order to ensure continued compliance with the requirements of the certification standard(s).”</i></p> <p>CONFORMITY</p>
14	Does a maximum period for assessment audit not exceed five years for forest management certifications?	Annex 6, 4	YES	<p>PEFC UK SCHEME</p> <p>Section 7, CR 7.2, IN 7.2.10: <i>“Period of certificate validity: Certificates can only remain valid for a maximum period of five years from the date of issue.”</i></p> <p>CONFORMITY</p>

No.	Question	Reference to PEFC Council PROCEDURES	YES / NO*	Reference to scheme documentation
15	Does the scheme documentation include requirements for public availability of certification report summaries?	Annex 6, 4	YES	<p>PEFC UK SCHEME</p> <p>Section 7, CR 7.2, IN 7.2.13: <i>“Public Summary Report: ...the Scheme Governing Body will require those Certification Bodies registered to partake in the Scheme to produce a “Public Summary Report”. The Public Summary Report would be made publicly available by the relevant Certification Body.”</i></p> <p>CONFORMITY</p>
16	Does the scheme documentation include requirements for usage of information from external parties as the audit evidence?	Annex 6, 4	YES	<p>PEFC UK SCHEME</p> <p>Section 7, CR 7.2, IN 7.2.12: <i>“Stakeholder consultation: ...it would then be the responsibility of the Certification Body, as part of the main certification assessment, to verify that an appropriate level of stakeholder consultation had been carried out by the auditee in accordance with the certification standard. The assessment will include verification that the auditee had provided an opportunity for, and where appropriate, taken account of, inputs from stakeholders with regard to the applicant’s forest management.”</i></p> <p>CONFORMITY</p>
17	Does the scheme documentation include additional requirements for certification procedures? [*1]	Annex 6, 4	YES	<p>PEFC UK SCHEME</p> <p>Section 7, CR 7.1, IN 7.1.4: <i>“...certification bodies will be required to demonstrate the following: independence and objectivity; ability to carry out audits that are consistent and repeatable through the use of clear and precise procedures, and methods of recording and reporting; proven technical and professional competence and appropriate level of experience in forestry, including the economic, social and environmental impacts, to hold the confidence of certification customers and the wider forest industry; proven technical competence in the procurement, materials flow and processing of forest based products; proven professional competence and experience in certification procedures and auditing; thorough understanding of the UK WOODLAND</i></p>

No.	Question	Reference to PEFC Council PROCEDURES	YES / NO*	Reference to scheme documentation
				<p><i>ASSURANCE STANDARD and the PEFC Chain of Custody Standards and the general requirements of Scheme; the maintenance of documented procedures for the competence, admission and training of auditors."</i></p> <p>CONFORMITY</p>
Accreditation procedures				
18	Does the scheme documentation require that certification bodies carrying out forest management certification shall be accredited by a national accreditation body?	Annex 6, 5	YES	<p>PEFC UK SCHEME</p> <p>Section 7, CR 7.1, IN 7.1.3: <i>"...certification bodies will be required to have been accredited by accreditation bodies operating to internationally accepted standards (ISO 17065 and ISO 17021) and are members of the International Accreditation Forum (IAF) or substantively equivalent bodies, as set out in PEFC Council Annex 6: Certification and Accreditation Procedures. An example will be the United Kingdom Accreditation Service (UKAS), the national accreditation body for the United Kingdom."</i></p> <p>CONFORMITY</p>
19	Does the scheme documentation require that an accredited certificate shall bear an accreditation symbol of the relevant accreditation body?	Annex 6, 5	YES	<p>PEFC UK SCHEME</p> <p>Section 7, CR 7.2, IN 7.2.9: <i>"Award of Certificate: The Certificate awarded by the Certification body shall bear the symbol of the National Accreditation Body which has awarded the accreditation."</i></p> <p>CONFORMITY</p>
20	Does the scheme documentation require that the accreditation shall be issued by an accreditation body which is a part of the International Accreditation Forum (IAF) umbrella or a member of IAF's	Annex 6, 5	YES	<p>PEFC UK SCHEME</p> <p>Section 6: UK Woodland Assurance Standard (UK WOODLAND ASSURANCE STANDARD)</p> <p>CR 6.9: <i>" Accreditation: Certification bodies shall be accredited to undertake independent woodland management certification using the UK Woodland Assurance Standard by a national or international accreditation service that operates in accordance with ISO/IEC 17011 2004. Accreditation services should</i></p>

No.	Question	Reference to PEFC Council PROCEDURES	YES / NO*	Reference to scheme documentation
	special recognition regional groups and which implement procedures described in ISO 17011 and other documents recognised by the above mentioned organisations?			<p><i>normally demonstrate this through membership of the European Co-operation for Accreditation (EA), the International Accreditation Forum (IAF).</i></p> <p>Section 7, CR 7.1, IN 7.1.3: <i>“...certification bodies will be required to have been accredited by accreditation bodies operating to internationally accepted standards (ISO 17065 and ISO 17021) and are members of the International Accreditation Forum (IAF)...”</i></p> <p>CONFORMITY</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>PEFC UK SCHEME</p> <p>Section 7, CR 7.1</p> <p>Indicators:</p> <p>7.1.1: <i>“Certification bodies considered competent by the PEFC Council to carry out forest and/or chain of custody verification, shall apply auditing procedures that fulfil or are compatible with the requirements of ISO 19011 and shall fulfil the following qualifications: The certification body carrying out forest management certification or chain of custody certification, shall have established internal procedures for the above and fulfil requirements defined in: a) ISO 17065: 2012 if the certification is carried out as product certification (the term “product” is used in its widest sense and includes also processes and services) b) ISO 17021: 2012 Conformity assessment -- Requirements for bodies providing audit and certification of management systems”</i></p> <p>7.1.4: <i>“Accreditation Criteria: The scope of accreditation of Certification Bodies will be required to explicitly include: Certification of forests and woodland to the UK Woodland Assurance Standard and Chain of custody certification to the PEFC Council requirements: PEFC ST 2002:2013 Chain of Custody of Forest Based Products – Requirements”</i></p> <p>CONFORMITY</p>

No.	Question	Reference to PEFC Council PROCEDURES	YES / NO*	Reference to scheme documentation
22	Does the scheme documentation include a mechanism for PEFC notification of certification bodies?	Annex 6, 6	YES	<p>PEFC UK SCHEME</p> <p>Section 7, CR 7.2, IN 7.1.8: <i>“PEFC Notification of Certification Bodies: PEFC UK adopts Section 6 of PEFC Council Annex 6 which states:</i></p> <p><i>“Certification bodies operating forest management and / or chain of custody certification against the PEFC endorsed national schemes / standards or the PEFC international chain of custody standard shall be notified by the PEFC National Governing Body of the relevant country. Certification bodies operating chain of custody certification against the PEFC international chain of custody standard in countries without a PEFC National Governing Body shall be notified by the PEFC Council. “</i></p> <p>CONFORMITY</p>
23	Are the procedures for PEFC notification of certification bodies non-discriminatory?	Annex 6, 6	YES	<p>PEFC UK SCHEME</p> <p>Section 7, CR 7.2, IN 7.1.8: <i>“The PEFC notification conditions shall not discriminate against certification bodies or create trade obstacles.”</i></p> <p>CONFORMITY</p>

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

[*1] This is not an obligatory requirement

Part V: Standard and System Requirement Checklist for system specific Chain of custody standards – COMPLIANCE WITH PEFC ST PEFC 2002:2013

The assessor notes that PEFC UK adopts in full and without modification PEFC Council International Standard PEFC ST 2002:2013 (Second edition) - Chain of Custody of Forest Based Products: Requirements.

Part VI: Standard and System Requirement Checklist for scheme administration requirements

1 Scope

Part VI is used for the assessment of requirements for the administration of PEFC schemes outlined in PEFC 1004:2009, *Administration of PEFC scheme*.

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

The compliance with these requirements is only evaluated in the first PEFC assessment of a scheme or on specific request by the PEFC Secretariat.

2 Checklist

No.	Question	Reference to PEFC GD 1004:2009	YES / NO*	Reference to application documents
PEFC Notification of certification bodies				
1.	Are procedures for the notification of certification bodies in place, which comply with chapter 5 of PEFC GD 1004:2009, <i>Administration of PEFC scheme</i> ?	Chapter 5	YES	PEFC UK has adopted Chapter 5 of PEFC Council Annex 6 in its entirety without modification. CONFORMITY
PEFC Logo usage licensing				
2.	Are procedures for the issuance of PEFC Logo usage licenses in place, which comply with chapter 6 of PEFC GD 1004:2009, <i>Administration of PEFC scheme</i> ?	Chapter 6	YES	PEFC UK has adopted PEFC ST 2001:2008 v2 Logo Usage Rules – Requirements in its entirety and without modification. CONFORMITY

No.	Question	Reference to PEFC GD 1004:2009	YES / NO*	Reference to application documents
Complaints and dispute procedures				
3.	Are complaint and dispute procedures for the issuance of PEFC Logo usage licenses in place, which comply with chapter 6 of PEFC GD 1004:2009, <i>Administration of PEFC scheme</i> ?		YES	<p>PEFC UK SCHEME</p> <p>Section 7: CR 7.7, IN 7.7.1: <i>“Certification Process: All Certification Bodies registered to operate under the Scheme will be required to have documented procedures for dealing with all appeals, complaints and disputes relating to the certification process - up to and including the point of award, suspension or withdrawal of forest management and/or chain of custody certificates. Such procedures will include the following: establishing and maintaining documented records of all appeals, complaints and disputes raised against the Certification Body and resultant actions; methodology, allocation of responsibilities and time-scales for responding to and addressing appeals, complaints and disputes and implementing appropriate corrective actions; provision for periodic monitoring and review of procedures and case histories with a view to developing preventative action and continuous improvement in the certification process.”</i></p> <p>CONFORMITY</p>

Annex 2: Stakeholder Survey

PEFC UK Forest Certification Scheme: Revised Standard Assessment

Standard Steering Committee: Stakeholder Survey

Name _____ Organization _____

1. When were you invited to participate in the revision process of the PEFC UK Forest Certification Scheme?

2. In your view, were all interested parties given the possibility to participate and contribute to the scheme revision development?

Yes ___ No ___

If no, please provide an explanation.

3. In your opinion, did the organizers provide you the relevant material to participate in the scheme revision?

Yes ___ No ___

If no, please provide an explanation.

4. Was the revision process well planned and structured?

Yes ___ No ___

If no, please provide an explanation.

5. Do you believe your views were appropriately considered during the revision process?

Yes_ ____ No ____

If no, please provide an explanation.

6. Do you believe a consensus was reached in the revision process of the certification criteria?

Yes_ ____ No ____

If no, please provide an explanation.

7. In your view, did the participating Steering Group members represent the range of interests in forest management of the UK? If not, in your opinion, which other interest groups should have participated?

Yes_ ____ No ____

If no, please provide an explanation.

8. Do you believe any aspects of the scheme deserve further consideration?

Yes____ No_ ____

If yes, please provide an explanation.

*Thank you for taking time to complete this survey. Please return it to simpson@gwgcltd.com. by
COB, Friday, November 4, 2016*



PEFC UK Forest Certification Scheme: Revised Standard Assessment

Standard Steering Committee: Stakeholder Survey

Survey Summary

1. When were you invited to participate in the revision process of the PEFC UK Forest Certification Scheme?

Responses

- a. I have been a member of the steering group for several years. I am also a Director of UKWAS
- b. Forestry Commission England [has] been involved in the redrafting of the UK Woodland Assurance Standard v.4 from the outset and at every stage of consultation.
- c. Member of the UKWAS Steering Group and UKWAS 4 Working Group so have been involved from the first day.
- d. At the outset (approximately 2 years ago) because I'm part of the UKWAS steering group so very closely involved with the UK national standard anyway.
- e. At the commencement
- f. 2013
- g. I sit on the UKWAS steering committee. I have also responded to UKWAS consultations and have received periodic invitations to consult on UKWAS over the last two years.
- h. September 2013

2. In your view, were all interested parties given the possibility to participate and contribute to the scheme revision development?

Yes 8 No 0

If no, please provide an explanation.

3. In your opinion, did the organizers provide you the relevant material to participate in the scheme revision?

Yes 8 No 0

If no, please provide an explanation.

4. Was the revision process well planned and structured?

Yes 8 No 0

If no, please provide an explanation.

5. Do you believe your views were appropriately considered during the revision process?

Yes 7 No 1

If no, please provide an explanation.

Comment

Almost all of them were. There was one concern I had which was to ensure our UK national standard catered much better for small and low-intensity managed forests (because this is the reality of the UK resource). The others heard my case but were unconvinced because most of them represented much larger, economically driven enterprises. A lost opportunity in my opinion to engage and make our national standard more accessible and appropriate for a significant potential audience.

6. Do you believe a consensus was reached in the revision process of the certification criteria?

Yes 8 No 0

If no, please provide an explanation.

7. In your view, did the participating Steering Group members represent the range of interests in forest management of the UK? If not, in your opinion, which other interest groups should have participated?

Yes 7

No 1

If no, please provide an explanation.

Comment

The participating members almost exclusively represented economic interests. At no point were there any social members present that I was aware of. At several meetings I was the only environmental member there, often outnumbered 10:1 by economic stakeholders. There is no doubt in my mind that our UK standard reflects this strong imbalance. We would have a more robust standard if the participants were not dominated by economic interests.

8. Do you believe any aspects of the scheme deserve further consideration?

Yes 5

No 3

If yes, please provide an explanation.

Comment

As noted above, making provision for small and low intensity managed forests and greater recognition within our standard of the very real risks associated with plantation monocultures. These risks are very real, very obvious but were not recognized by the economic interests within the review group. I remain convinced that ignoring these threats poses genuine sustainability risks for these types of certified forests and thus the wider forestry sector. It makes a mockery of a sustainable forest management standard.

Assessor's Note

Because only one comment was received from the 3 NO responses for Question 8, the Assessor concludes this to be due to misinterpretation of the question.

Annex 3: Results of International Consultation

(No comments were received by PEFCC)



Annex 4: Supplemental Documentation

Inbrief

■ This year's hunt is on for Scotland's best-loved tree and ICF Executive Director Shireen Chambers FICFor is again one of the independent judging panel. After the entries are whittled to just six, a public online vote will decide the winner in October.

■ In Timber Bulletin, UPM Tilhill's latest timber market report, Timber Operations Director Peter Whitfield FICFor said: "Looking ahead, the forecast will be different and the industry will need to reflect the impact of the exchange rates in prices. However, despite the challenges and the need for some belt tightening in the short-term, the long-term future for timber remains bright." <http://bit.do/UPMmarketreport>

■ Leading plant pathologist Charles Lane from FERA has a free online video guide to identifying Chalara at: <http://bit.do/chalaravideo>

■ Future Trees Trust needs volunteers to help identify excellent stands or individual trees of 14 species that may become important timber trees in the future. Email: tim.rowland@futuretrees.org

■ The Forestry Commission is promoting

free events in the East of England and East Midlands to support those forestry businesses considering applying for grants within the new Rural Development Programme. For details, email eandem@forestry.gsi.gov.uk or phone Corinne on 0300 067 4583.

■ Judges of the Royal Forestry Society Excellence in Forestry Awards, this year held across Wales, included ICF members Christine Cahalan MICFor (lead judge) and Philippe Morgan FICFor. The full results are at: www.rfs.org.uk

■ Input into The British Woodland Survey 2015, hosted by the Sylva Foundation, at <http://bit.do/woodlandsurvey>. Preliminary findings are due in October.

■ Congratulations to UPM Tilhill on making history in July. It won the Forestry Sector Award for the fifth consecutive year and was crowned winner of the prestigious Sir George Earle Trophy – RoSPA's greatest accolade for a company.

■ The Royal Forestry Society's unique Future Foresters programme (www.rfs.org.uk/future-foresters) will receive a £50,000

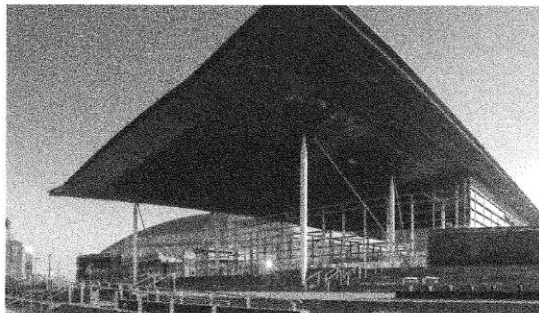
grant over three years from The Prince's Countryside Fund to help it inspire young people considering a career in forestry and woodland management.

■ Stakeholders are invited to comment on the second revision of the draft UKWAS Consultation Paper by 30 October. Download the draft at: <http://bit.do/UKWASconsult>. For reference, the previous version is at: www.ukwas.org.uk/documents

■ The Tree Council's 2015/16 programme theme is Communities Rooted to Trees. www.treecouncil.org.uk

■ PEFC UK's new online forest certification system aims to enable small and medium-sized woodland owners to participate in forest certification cost-effectively. <http://bit.do/PEFCtool>

■ Conferences: 20-23 September, Arboricultural Association, Sustainability and the Urban Forest, Warwick University, www.trees.org.uk; 28 September, NHS Forest, the Value of Health and Wellbeing at your Green Space, University Hospital, Birmingham, <http://bit.do/nhsforestevent>



Welsh Government recognises ICF membership

ICF is delighted to confirm that the Welsh Government has specified ICF membership among those recognised in the conditions to become a Glastir Woodland Management Planner.

In its Terms and Conditions for the Registration of Glastir Woodland Management Planners, under the Rural Development Programme 2015-2020, it states: "An individual must be an Associated or Full Member of the Institute of Chartered Foresters (ICF) or a similar Professional Body such as the Royal Institute

of Chartered Surveyors (RICS) or the Chartered Institute of Ecology and Environmental Management (CIEEM) or hold a qualification in forestry acceptable to the Welsh Ministers to be registered as a Glastir Woodland Management Planner."

Shireen Chambers FICFor, ICF's Executive Director, said: "It's great to see professional qualifications being recognised in this way by government and this will be a boost to those who have worked hard to gain such qualifications."

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MINUTE OF THE 49TH MEETING OF THE UKWAS STEERING GROUP
HELD ON
1ST MAY 2015 AT
CLA, 16 BELGRAVE SQUARE, LONDON SW1X 8PQ

Chair: Peter Wilson (PW)

Present:

Rachel Chamberlain (RC)	Owen Davies (OD)
Simon Hart (SH)	Andrew Heald (AH)
Richard Howe (RHo)	Ian Irwin (II)
Bill MacDonald (BMac)	Ewan McIntosh (EM)
Chris Nixon (CN)	Douglas Orr (DO)
Gordon Pfetscher (GP)	Dominic Robinson (DR)
Jonathan Spencer (JS)	Rosie Teasdale (RT)
Alun Watkins (AW)	Phil Webb (PWe)

Minute taker: Fiona Angier (FA)

In attendance: Anna Jenkins (facilitator) (AJ)

Apologies: Rob Green

Ray Hawes

Alistair Kerr

Ian Rochester

Mike Seville

Robert Smith

Stuart Wilkie

Other acronyms used: Steering Group – SGrp; Interpretation Panel – IP.

1. Welcome, apologies and agenda

PW welcomed all to the meeting – particularly some new faces – Rosie Teasdale, new CEO at FSC UK; Ian Irwin Head of Forest Management State Forests, NIFS; and Dominic Robinson, Leading Planning Manager FC England, working with Jonathan Spencer.

2. Minute of the previous Steering Group meeting of 16th December 2014

AW asked that under PEFC UK report reference be amended to largest area of growth in 2014

The minute was agreed to be a correct record.

3. Matters arising

NRW- WGov roles – BMc advised this paper was still in progress.

Pesticides:

NIPMAG – AH to look at further with FSCUK over the summer and take into account experiences from other countries. Update at next SGrp meeting.

Action AH

Derogations – DO advised the derogation application for Propyzamide went in on time with all three CBs working together. Derogation application for Gazelle is in draft and again CBs working together. Working with IW at FR and clear link with Cypermethrin withdrawal. For the stakeholder consultation a video is proposed, led by Martin Price, using the Cypermethrin papers and involvement from UPM, Scottish Woodlands and FC. OD advised that one of the presentations from the ICF conference would be very useful to include – DO took on board.

HH List – RT advised that FSC are looking at the HH List as several countries, including UK, have raised concerns. Possible concessions may come up.

4. Finance & administration

Budget report

2014 – FA advised that 2014 proceeded according to budget. The paperwork is with the accountant. As expected we incurred a deficit of £4500 on the year, though reserves run at £24k. Final accounts are due in a few weeks and will be circulated.

2015 – Majority of members have paid their subscriptions. FA noted thanks for FCGB for their continued support of £20k; FSCUK and PEFCUK of £5k each; Confor a doubling of annual subscription. PW noted that the reserves will be more than exhausted by the revision process without further support forthcoming. Annual UKWAS costs are £45-50k with the revision costing a further £40-50k. He added that the long term reliance of UKWAS on FC and suggested a funders' meeting be called over the summer to include the government sector, certification schemes and economic sector/industry to look for more long term stable solutions.

Action PW

5. Standard-setting bodies' reports

FC

- RH advised that the Forest Europe Criteria and Indicators revision is underway with a report to ministers in Europe due October 2015.
- UKFS – a discussion paper is out with countries on whether to continue as is or change. Views and government responses are awaited.

FSC UK

- RT advised that the FSC Global Strategic Plan is out for consultation, also UK Strategic Plan being developed with five main priorities for the next three years.
- IGIs were approved by FSC Board in March. They'll be published in next couple of weeks. Scale and Intensity Guideline is to have more work done. Within the Instructions to Standard developers most of UK comments have been taken on board but most of donkey work will be needed by FSCUK.
- Controlled Wood – webinar on 26 May on the revision of CW standard – let OD know if you wish to join.

PEFC UK

- Taskforce on carbon calculations for CoC standard
- SFM standard due for revision end 2015 – too late for UKWAS timings
- Australian scheme re-endorsed
- New guidance documents on CoC standard; Implementation of social issues in CoC due soon
- GMO ban now extended to 2022
- CPET review underway
- Concerns raised by both FSC and PEFC on ISO CoC standard
- Near to launch of online small owners system – some trials still ongoing but hope to launch mid to end May. Useful tool for all and in discussion with CBs as to where this can save owners money.
- Assessments for BREAM on impacts on waste, energy, transport etc. could give concrete greater values than timber – needs looking at.

6. UKWAS 4 revision

AJ reminded the SGrp that the aim of the Drafting Group is to produce a revision draft by the end of June 2015, for sharing with the SGrp for 1st July meeting. The aim of this meeting therefore is to examine the extensive work already done by the drafting group to date, particularly tricky areas of monitoring, silvicultural systems, conservation areas and game. Further meetings are scheduled and a further draft UKWAS 4 will be circulated to

the SGrp at the end of May for further input.

Action AJ

AJ commended the drafting group on their respectful nature of working together to a common goal.

In summary

- The reordering work has tried to group common elements together to rationalise and simplify the standard
- The group looked at a “planning”, “implementation” and “monitoring”, three column approach but this proved tricky and not as straight forward or advantageous as first hoped. It did however further assist in the rationalisation.
- Guidance will be just that. Any normative elements will be moved to Requirement.

Introduction

PW noted that much of the current introduction will be removed and put into stand-alone document to ensure it is actually read! Much is on accreditation rather than forest management. OD noted that the key elements to keep in the introduction are the meanings of Requirement, Verifier and Guidance, and the detail on spatial flexibility.

Monitoring

OD advised that all monitoring requirements have been brought under one heading, with more flexibility offered on how to approach this. It was suggested that a monitoring plan be part of the management plan – thus providing a form of statement on monitoring by all scales of ownership. Discussion on whether a monitoring plan template be produced, and on documentation available publicly.

Silvicultural systems

SGrp happy to keep new 2.11.1 as proposed and new 2.11.2 unchanged.

Conservation areas

SGrp advised to keep full terminology of areas in full rather than use section numbers, with additions to glossary as well for natural reserves and long term retentions.

Glossary – suggestion that italics used in main text for glossary terms to identify clearly.

Game

SGrp keen to see this section focus on best practice and happy that specific references to legislation removed. Keep reference to hares and black grouse though. No need for firearms note to auditors as a legal requirement not for UKWAS. Consistency required in terms of game management, and control of invasive species and non-native species – ie grey squirrels.

BAPS/HAPS/SAPS

New wording required here as old terminology – BMc to advise.

Action

BMc

AH noted thanks to AJ for her tireless work and keeping the drafting group on the right track. Sentiments echoed by PW and rest of Drafting Group.

7. Date of next meeting

Steering Group – 30th June 2015, Edinburgh. 10.30am-4pm

**MINUTE OF THE 50TH MEETING OF THE UKWAS STEERING GROUP
HELD ON
30TH JUNE 2015 AT
CONFOR, 59 GEORGE STREET, EDINBURGH EH2 2JG**

Chair: Peter Wilson (PW)

Present:

Owen Davies (OD)	Andy Grundy (AG)
Simon Hart (SH)	Andrew Heald (AH)
Richard Howe (RHo)	Ian Irwin (II)
Bill MacDonald (BMac)	Ewan McIntosh (EM)
Chris Nixon (CN)	Douglas Orr (DO)
Gordon Pfetscher (GP)	Robert Smith (RS)
Jonathan Spencer (JS)	Alun Watkins (AW)
Phil Webb (PWe)	Stuart Wilkie (SW)

Minute taker: Fiona Angier (FA)

In attendance: Anna Jenkins (facilitator) (AJ)

Apologies: Rachel Chamberlain Rob Green
Ray Hawes Alistair Kerr
Ian Rochester Helen Sellars
Mike Seville David Sulman
Rosie Teasdale

Other acronyms used: Steering Group – SGrp; Interpretation Panel – IP.

8. Welcome, apologies and agenda

PW welcomed all to the meeting.

9. Minute of the previous Steering Group meeting of 1st May 2015

The minute was agreed to be a correct record.

10. Matters arising

NRW-WG roles – BMac advised the paper was still in process. It was agreed to remove the item from MA.

Funders' meeting – PW advised this was set for August 26th. Attendees to include RH of FC and will bring country views, RT of FSC UK, AW of PEFC UK, SG and AH of Confor, GP of Woodland Trust, PW and FA of UKWAS.

11. Finance & administration

Budget report – FA advised that the finances for 2015 were on track with the budget, including the allowances made for UKWAS 4 revision work.

Membership & Board – FA advised that BASC had approached UKWAS with regard to joining.

AGM preparation

- FA advised that in accordance with Article 63 the Steering Group is required to make a single nomination for Chairman of the company, to serve until the next AGM. SW nominated PW, RH seconded. The nomination was unanimously agreed by the SGrp
- FA advised that as last year, the Board recommends that they be mandated to set an inflationary increase in subscriptions in advance of the AGM. The SGrp were content with this.
- New members – the SGrp agreed that any potential new members noted above would be pre-approved for voting in at the AGM.

12. Standard-setting bodies' reports

FC

- RH advised there were ongoing discussions of the future of UKFS. Country policy teams have agreed to a “light touch” review starting on 1 July 2015, with any revisions to be completed by the 5th anniversary at the end of 2016. SW asked whether there would any consultation – RH advised that is to be decided. RH to update at next SGrp meeting. **Action RH**

FSC UK

- OD advised the IGIs have now been approved and released. The critical issue now is transfer.
- OD to produce a paper on what the new Instructions to Standard Developers means for UKWAS. **Action OD**
- Certification of Ecosystem Provision – this has its own set of indicators. For UKWAS or not? Some discussion followed as to merits / demerits of add-ons. It was agreed to continue with current FSC and PEFC requirements. OD to keep SGrp informed of developments.
- FSC UK received an edict from FSC on conversion rule to keep at “very limited portion”. OD advised this is to be discussed in Bonn shortly with the aim to maintain the *status quo*.

PEFC UK

- AW advised that the PEFC UK and PEFC Annual Reports now online.
- PEFC UK AGM next week with international update to be given by Ben Gunneberg.
- PEFC members meeting in London last week, and official launch of Small Woods Portal. This will be promoted over the next few months including at the Confor Woodland Show in September. AW added that the tool is aimed to get owners to the level of an acceptance audit, thus cutting down on paperwork and time. RH asked for

a demonstration at an upcoming SGrp meeting – AW agreed.

Action AW

13. Chemicals

Derogations

- DO advised that the consultation documentation for the Derogation of Gazelle / Acetamiprid was now out, with video and documents all on the UKWAS website as well as having been sent out to 200 stakeholders. Closing date is 6th August and aim is to get the application in to FSC by 1st September to avoid new procedures. AH commended the Gazelle video to all prepared by the Hylobius Group.
- Propyzamide application still awaiting response from FSC.

NIPMAG

- AH advised that his research showed limited experience in other countries of NIPMAGs with only Brazil having a functioning one. Australia's was deemed as not neutral. NIPMAG decisions can still be overruled by FSC Bonn, and need to be signed off at FSC national level board.
 - There is however a need for an industry-wide group to pull together opinion and knowledge. AH suggests setting up of a Forest Industry Pesticides Group. SW noted this is becoming more vital and will avoid the forest industry being "pulled" by agriculture. OD noted this form of group would be well received in Bonn too as shows the industry are working together. AH to set group up and also look at training and certification issues.
- Action AH**
- DO noted the new FSC Pesticides review – AH advised he had already been volunteered to the review group.

14. UKWAS 4 revision

PW paid tribute to the Drafting Group for their full commitment to the exhaustive and exhausting revision process. Since the last SGrp meeting there had been 8 days of discussion, over two sets of three day meetings and long conference calls. One member particularly took part of their Christmas holiday period and undertook the restructuring and renumbering work which has been fundamental to this review. SW was presented with a token of appreciation.

PW noted that the focus for this meeting is to identify significant concerns per section, gaps and glaring issues, prior to sending out a consultation draft in September.

AJ summarised the revision process to date. Further reordering, particularly within section 2, has made the text much clearer. The standard is now much more logical and it is hoped this will help smooth ruffles and doubts. The introduction is also much shorter, with more on flexibility and clarification. Means of Verification are now 'example verifiers' and not normative as previously. All references to woodland size have been removed too as confusing – scale can be dealt with elsewhere and will be explained further in the introduction.

Introduction

This is much reduced, some of the previous content may go into an additional introductory document, and focusses on the use of the standard – flexibility, leases, timing, WMU and scale.

Scale – while SLIM will still be defined within the text, the key is that the nature of the evidence for audit is appropriate. The standard reflects different scales of activity and there is a closer link with evidence – see below. Concern that much work on SLIM has already been done and new style will need some “selling”. Much discussion on SLIM auditing thresholds and thus sampling intensities – schemes are different too. GP asked whether anyone present was prepared to dedicate further time to making UKWAS 4 more accessible to true SLIMF. Only FSC-UK offered assistance.

It was agreed to decouple size from the standard itself; keep 2.2.1 reference to low intensity; make minor adjustments as necessary.

Requirements / Verifiers / Guidance

Requirement is now the only normative text within UKWAS – i.e. “required” by FSC.

Verifiers – examples of objective evidence to show requirements are being met – onus on owner/manager to provide appropriate evidence

Guidance – ways of fulfilling the requirements

Discussion agreed that the onus is now on certificate holders to provide appropriate evidence to justify their activities; debate is opened up between auditor and certificate holder and thus creates a more positive engagement.

Interpretation Panel – text clearer and more sign posting.

Sections with specific concerns raised:

- 1.2.1 – concern on “jeopardise”, perhaps need wider phrase? Agreed to leave as is.
- 2.3.1 – do we need “neighbours”? Agreed to remove as already covered in 2.3.2.
- 2.8 – species selection % change in relation to climate change? Agreed to leave as is and see what consultees offer.
- 2.8 – clarification of species % across whole estate? Species % is guidance only and provides wriggle room.
- 4.6.2 – RH doesn’t like Long term retention terminology – prefers retained forest cover. Agreed to leave as is.
- 4.6.4 – deadwood and disease? Guidance covers health of woodland.
- 4.6.4 – deadwood spread across the wood? Add “throughout the WMU” to end of 2nd Rqt bullet.
- 4.9.1 – lead shot letters from BASC. PW to respond direct.
- 5.1.1 – why are “All ... uses ... sustained”? Have there been any issues? Agreed too broad, remove All.
- 5.4.1 – clarification on worker types. E.g. a licence with a council to undertake work – these are not contractors, or employees. Suggest add “licenced operators” to Workers definition in glossary. Agreed.

Consultation

DGrp to prepare a paper for the consultation outlining the principles behind the changes made. Draft text to be used without any track changes. Key specific questions to be asked. Template for responses to be provided rather than free for all. DGrp to prepare and share with SGrp. Consultation to go out early September for 60 days.

15. AOB

SH asked about preparation of an audit checklist? This is prepared by auditors/CBs not UKWAS. Possibly an item for meeting with CBs.

16. Date of next meeting

Steering Group & AGM – Doodle for 2nd half November to be sent out. London 10.30am-4pm.

(Date subsequently agreed as Wednesday, 2nd December 2015.)

- He asked how the work with Isle of Man is going – OD advised they are still doing a gap analysis.
- PW advised that he had received stakeholder queries from Ireland asking whether they could / should use UKWAS for a national FSC Ireland standard. He noted that some Irish stakeholders are under the impression that FSC UK is responsible for Ireland but OD confirmed that this is not the case.
- Update on format UKWAS 4 to take

OD updated that due to extra resources being mobilised within FSC, the slot for UKWAS 4 to be assessed by FSC is back on target for August 2016.

20. Finance & administration

Budget report – FA advised that UKWAS was on budget for 2016 but going forward the situation is very tight. It was agreed that the forward budgeting and resourcing issue is to be looked at by the Board once revision process is complete and final drafts have been provided to FSC UK and PEFC UK.

Action: Board

21. Standard-setting bodies' reports

FC

- RH advised that the UKFS review will be continued over the next 9-12 months, with completion by the end of 2016, to include Guidelines.
- RH noted that FC GB have funds in place for next 12-18 months, with no arrangements yet made regarding future representation on UKWAS after 15mths.

FSC UK

- OD noted he is still looking for feedback in the HCVF toolkit – it has to be done because of IGLs. OD to recirculate information.
- Action OD**
- FSC UK Board had considered the last UKWAS draft and fed in comment to the consultation.
 - Controlled Wood UK risk assessment – three more volunteers required – 1 social, 2 environmental.
 - FSC looking for Ecosystems Services to be an add-on / annex to UKWAS 4.
 - CoC – FSC now has over 30,000 certificate holders. New CoC Standard has now been published.

PEFC UK

- AW reported on a recent meeting with UKAS.
- Working groups for International Standards are being set up now to start work in next few months, to complete work end 2017.
- PEFC UK's AGM and Annual Stakeholder Forum on 5th July 2016 is being held in London – "Drivers for certified material" with 120 people expected.

22. UKWAS 4 revision

PW reported that the Drafting Group had held two two-day meetings and a Skype meeting since the consultation returns in mid-March. There are still a couple of minor and

one major issue to finalise today – protected / priority species, lead ammunition, natural reserves and species choice.

It was agreed that these will be discussed first then a check through the whole standard for approval by SGrp.

- Species protection 2.4.4, 2.10.2, 4.1.1 – after input from Natural England it was agreed that the word “priority” be used to cover all species that require protection, together with an appendix definition of “priority” to ensure no ambiguity. While there is some overlap in meaning of protected, rare and endangered, these are all a subset of “priority”. **ALL AGREED**
OD to check that correct terminology is used through the standard. **Action**
OD
- Lead ammunition 4.9.1 – RSPB had proposed that the standard should require that no lead ammunition be used, while BASC suggested awaiting the outcome of the government lead ammunition group’s deliberations: it is not for UKWAS to anticipate legal changes. Others were concerned that UKWAS should be seen as setting a higher level of forest management. Following discussion, it was agreed to make no change to current wording, and ensure all relevant Codes of Practice listed in the Appendix. **ALL AGREED**
- Species choice 2.8.1 – PW advised that SW and GP had prepared alternative texts for this section since the DGrp meeting when consensus could not be achieved. Focus of both is on resilience, removal of ‘forestry-by-numbers’ though reference to UKFS guidelines on species proportions and open ground to be retained in guidance, no loss and preferably an increase in species diversity. OD to make changes as discussed at meeting. **ALL AGREED**
- Natural reserves 4.6.1 – of the three options offered for the text it was agreed to use option 3 separated into two bullets. OD to make changes.
ALL AGREED

UKWAS 4 final approval:

- Introduction – ALL AGREED
- Using the standard – ALL AGREED
- Section 1 – ALL AGREED
- Section 2
 - 2.1.2 – SH queried why forest resilience had been added in here as it is difficult to audit. GP argued strongly for it to remain. After discussion agreed to remove forest resilience.
 - 2.1.3 – SH queried why this item added. OD advised FSC needs an economic viability requirement. Agreed to change owner/manager to woodland management planning and include additional guidance.
 - 2.2.1 – PWe noted that documentation should be kept for ten years not just five as stated. Agreed.
 - 2.9.1 – guidance to be added so that ‘introductions’ refers to species not currently present in WMU. Agreed.
 - 2.12.2 – concern that emergency response plan is another type of plan and that there is no lesser verifier for small woodlands. Guidance offers details of types of emergency incidents and appropriate scale details. Agreed.
 - ALL AGREED
- Section 3

- 3.4.2 – SWi noted need for rapid response to pests and diseases to be covered – additional guidance to be added to 2.12.2 within emergency plans. Agreed.
- ALL AGREED
- Section 4
 - 4.4.3 – SH noted that “restore” is misleading, “create/establish” clearer. OD to modify text.
 - ALL AGREED
- Section 5
 - Concern about a specific reference to anti-slavery and human trafficking legislation in the requirement is inconsistent with UKWAS style and difficult to audit. Agreed to remove specific reference in requirement, leave in equality reference, but list in appendix. Agreed.
 - ALL AGREED
- Glossary
 - Forest resilience – needs reference to recovering as well as retaining – Agreed.
 - Felling licence – “in” to be removed near end of second sentence – Agreed.
 - Priority habitats and Priority species wordings to be updated as per earlier discussions – Agreed.
 - ALL AGREED
- Appendix
 - ALL AGREED

PW called for a vote on approving the UKWAS 4 draft text with agreed amendments from today’s meeting incorporated. **UKWAS Steering Group unanimously voted to approve UKWAS 4.**

The next step is for UKWAS 4 to be forwarded to FSC UK and PEFC UK to take forward their own approval procedures – as a Word document in three columns. **Action PW, OD & AW**

OD to prepare a narrative statement on changes made. **Action OD**

The Final Draft UKWAS 4 to be placed on the UKWAS website as a pdf with DRAFT watermark. In addition, the following documents will be posted:

- Final Draft - version showing changes since the Pre-approval Draft
- Requirements-only version to include introduction, requirements, glossary and appendix
- Appendix (References and bibliography)
- Summary of the changes.

Action PW

PW thanked OD, DGrp and SGrp for their considerable inputs into the revision work.

23. UKWAS 4 Publication and website

PW advised that options on full UKWAS 4 and Requirements-only publication versions are being looked at. This would include options for navigable and interactive documents

for integration of the glossary and appendix; to work on different devices; and be printable. The possibility of a small print run if needed will be looked at. Cost effective and efficient ways to incorporate these into the current or new website also being looked at.

Board to take this forward. In the first instance PW and AH meeting Melt Communications later in May to understand possible options within the budget available.

Action Board

24. AOB

None.

25. Date of next meeting

Steering Group – date to be advised once more detail on approval timings.

Board – to be confirmed.



Annex 5: Panel of Experts Comments

**Assessment Report - Review of Conformity Assessment for the Revised
PEFC UK CERTIFICATION SCHEME for**

**SUSTAINABLE FOREST MANAGEMENT (Green Wood Global Consulting
Ltd)**

Panel of Experts member - Hannu Valtanen

General Statement on report quality

The report of the assessor is very well organised, clear, very detailed but easy to read. Especially Chapter 3 gives clear view of the content as well as results of the assessment. There are a lot of pages in Annexes – some of them do not increase the quality of the assessment report.

However, it could be worthwhile to broaden some chapters to clarify the structure and linkages of the UK system, i.e. especially linkages between PEFC and FSC as well as linkages between UKWAS and UKFS. Also some more information on stakeholders which participated the revision process (than only the table 3) could increase the quality of the assessment report (i.e. list of the names of the organisations behind table 3)

First time I review an assessment report where not a single minor non-conformity has been identified.

Specific findings

Report chapter / page	PoE member	Consultant's report statement	PoE member finding	Consultant's response
p. 6	HVa	Acronyms and Abbreviations	“PW” used on p.25 and “WMU” used on p.102 are missing on the list.	Noted and added
1.3.2 p. 10	HVa	Also, during the PEFC UK Scheme assessment period, the Assessor developed a survey for the scheme revision Steering Group (SG) responsible for the scheme revision and other stakeholders involved in the process.	It is unknown which stakeholders participated the process as members of the SG. Why this survey is limited only to members of the SG? In order to be open and transparent assessment all stakeholders or at least key stakeholders should have the possibility to comment.	Key stakeholders were identified and invited to participate in the process and constituted the key groups in the Steering Group. (See Table 3.) PEFC UK SCHEME Appendix 3 B1 “Introduction: The Steering Group members are appointed by the UKWAS membership to

				<p><i>ensure that a balanced representation of stakeholders participate in the decisions making processes on behalf of all interested parties.</i></p> <p><i>B2 "Steering Group: The standard setting body will also identify any disadvantaged and/or key stakeholders and proactively seek their assistance and participation in the Standard-Setting Process, in a format that is easily understood."</i></p>
3.1 p.15	HVa	2. Promote the UK Woodland Assurance Standard, as the national certification standard for Sustainable Forest Management in the UK.	Should there be some indication to point out that this UKWAS standard is also the standard of SFM used in PEFC certification in UK?	Noted and added.
3.1 p.15	HVa	content of the chapter	Does UKWAS mean two things: it is the name of the organisation as well as the name of the standard for SFM? If so, it confuses (at least me!) when reading the report.	<p>PEFC UK Certification Scheme for Sustainable Forest Management Revision 2016</p> <p>SECTION 6: UK WOODLAND ASSURANCE STANDARD (UKWAS) REVISION 2016</p> <p>Section 6.2: " A company called "United Kingdom Woodland Assurance</p>

				<p>Standard (UKWAS)” has been established to own and manage the standard. It is managed by its Members on a not-for-profit basis. United Kingdom Woodland Assurance Standard (UKWAS) is an independent company established in 2003 and incorporated under the Companies Act and limited by guarantee, Company Registration Number SC199337.”</p> <p>As can be seen from the above excerpted text, both the “owner” of the Standard and the Standard name are the same. The Assessor agrees this creates a level of confusion. However the Assessor believes that when taken in context, the differences can be recognized.</p>
3.2 p.16	HVa	The SG is composed of 11 constituencies comprising 33 organizations representing forestry interests in the UK including a representative from PEFC UK.	The names of the organisations must be listed somewhere in the report!	See Table 3. Organizations Involved in the UKWAS Steering Group
3.3 p.16	HVa	Two documents comprise the PEFC UK Scheme; the United Kingdom Forestry Standard, governmental forest management guidelines that apply to all forests in the UK and the UKWAS, a voluntary, third-party consensus-based standard that builds upon UKFS.	But PEFC UK Scheme does not comprise ONLY these two documents, but these documents comprise the standard for SFM in PEFC UK Scheme? This is the only place where the relationship between UKFS and UKWAS is shortly explained. Is it possible, somewhere in the report to highlight how well	Noted. The Assessor believes Section 4, Structure of the System covers UKFAS in satisfactory detail, however mention has now been made of how UKFS is used to support areas in the PEFC UK standard where

			UKWAS covers the content of UKFS, i.e. how often the requirements of PEFC cannot be covered by UKWAS, but UKFS must be taken as a reference. (In Annex 1, Part I-III can be seen that occasionally this is the case)	UKWAS cannot or does not cover them.
3.10 pp.18-19	HVa	Content of the chapter	There are no names of the stakeholder organisations which were members of the SG. It is difficult to value, how open and transparent the process was without the list of names.	Noted. See Table 3. Organizations Involved in the UKWAS Steering Group.
4. p.21	HVa	The PEFC UK scheme is unique... The PEFC UK scheme is managed by an independent company; United Kingdom Woodland Assurance Standard (UKWAS). The PEFC UK is a participating.... Additionally, the PEFC UK Scheme also includes the United Kingdom Forestry Standard (UKFS). This document codifies the criteria and indicators for sustainable forest management in the UK.	This were a good place for some more information of the linkages between UKWAS and UKFS as stated above. And probably to say some words of the linkages between PEFC and FSC standards of SFM in UK.	Noted.
5. p. 26, table 3	HVa	Woodland Owners Forest Practitioners Forest User Organizations Forest Workforce	It would be interesting to understand the difference of the various categories of interest groups or constituencies. The names only do not give very clear picture. The names of the stakeholder organisations should be included as an annex.	See Table 3. Organizations Involved in the UKWAS Steering Group
6. p. 27	HVa	Today the United Kingdom has no natural forests.	Is this really a proven fact? - or does it depend on how to interpret the term "natural forest". ("Ancient woodland", however, does exist in UK – and they can be easily classified as "natural"!)	Noted.
6. p.27	HVa	Scots pine (<i>Pinus sylvestrus</i>)	Pinus sylvestris ?	Noted and

				corrected.
6. p. 28	HVa	A primary function of the Standard is to reflect the requirements of the UK Government standard known as the UK Forestry Standard.	This is very confusing. I thought the primary function of the Standard is to be used as the SFM-standard for forest certification schemes like PEFC and FSC.	<p>PEFC UK Certification Scheme for Sustainable Forest Management Revision 2016 May 2016</p> <p>Sect. 1. Key Reference Documentation</p> <p>Sect. 1.2 “Primarily, the certification standard is designed to reflect the requirements set out in the governmental UK Forestry Standard and thereby the General Guidelines adopted by European Forestry Ministers at Helsinki in 1993, the Pan-European Operational Level Guidelines (PEOLG) subsequently adopted at Lisbon in 1998 and other relevant international agreements.”</p>
6. p. 28	HVa	No woodland owner is manager is required	No woodland owner or manager...?	Noted and corrected.
6. p. 28	HVa	Conformance with the Standard is voluntary. No woodland owner or manager is required by law to conform to the Standard. However, in order to achieve PEFC UK forest certification, an independent third-party evaluation by an accredited certifier must confirm	This wording does not add anything to the fact that forest certification based on the Standard (i.e. UKWAS) is voluntary. – But has UKFS some other role to play? Does UKFS set legal limits to forestry operations?	Noted.

		conformance, in order to obtain a forest management certificate from the certifying body.		
6. p.28	HVa	UKWAS certification standards are structured around five components.	UKWAS is not one standard but several standards? Confusing. Does it mean that PEFC UK has several, say five UKWAS standards and then also UKFS must be used in some special cases? It would be interesting to get some examples of the requirements of the five components of the UKWAS certification standards, for instance in the case of Legal Compliance or Woodland Operations.	It is one standard with five components. PEFC UK Certification Scheme For Sustainable Forest Management Revision 2016 - May 2016, Page 26, Section 6.7 identifies the five sections (components) of the UKWAS.
6. p. 28, table 4	HVa	Table 4. Requirements, Example Verifiers, Guidance Notes for UKWAS	In the text the assessor says that Guidance Notes are NOT included in the table 4! The words should then be removed from the name of the table 4!	Noted and corrected.
6. p. 29	HVa	Finding The Assessor finds the Forest Management Standard to be IN CONFORMANCE with PEFC requirements with NO NONCONFORMITY identified.	The finding is OK – but the text of the chapter does not mention any requirement of PEFC. The reader may consider, how the assessor has analysed the UK Forest management standard C&I against the requirements of PEFC! There are no signs of this comparison in the text! At least some good examples could increase the understanding of the assessor’s finding	Noted.
Annex 1, Part 1, 2 Check list, p. 44	HVa	“4.4 The standardising body shall establish a permanent or temporary working group/committee responsible for standard-setting activities.” - process - YES	In the column “Reference to application documents” does not give any proof of the process of establishing a WG/committee for standard setting activities. There are some references from the UKWAS Articles of Association. -> procedure instead of process	Noting the preponderance of supplemental process evidence provided by PEFC UK the Assessor concludes this requirement to be in conformance with PEFC

				requirements
p.49	HVa	At the end of the page there is a heading “Standard-setting process”	What is the meaning of the heading – there were no headings in the beginning of this long table.	There are three headings in the Standard Setting section of the checklist. The first is Standardizing Body which begins with requirement 4.1. The second is Standard Setting Process which begins with 5.1. The third is Revisions of Standards/Normative documents which begins with 6.1.
pp. 51-52	HVa	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. - process - YES	The references to application documents do not specifically concentrate to disadvantaged stakeholders. There are no comments of the assessor how disadvantaged stakeholders have been addressed in the present revision process.	The Standardizing Body has assigned the identifying of disadvantaged stakeholders to the Steering Committee. PEFC UK SCHEME Appendix 3 B2 “ <i>Steering Group: The standard setting body will also identify any disadvantaged and/or key stakeholders and proactively seek their assistance and participation in the Standard-Setting Process, in a format that is easily understood.</i> ”
pp. 54-	HVa	5.3 The announcement and	There is no mention on the	The timetable for

55		invitation shall include: a) information about the objectives, scope and the steps of the standard-setting process and its timetable – procedures - YES	timetable in the references to application documents. (procedures)	the standard setting process can be found in the UKWAS-Revision-Timetable-2013-16.pdf at the following website “ www.ukwas.org.uk/documents . This website is noted in the procedural evidence for 5.3.
pp. 59-62	HVa	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, - process - YES	No mention of disadvantaged stakeholders in the analysis of the assessor (Process)	The preponderance of process documentation for 5.2, including broad media, trade and website announcements, provide evidence that UKWAS made a concentrated effort to ensure <u>all</u> stakeholders were invited to participate in the standard-setting process.
pp. 73-74	HVa	a) the start and the end of the public consultation is announced in a timely manner in suitable media,	No mention concerning the start and the end of the public consultation in a timely manner in the analysis of the assessor – the only “suitable media” is UKWAS web-site.	The timetable for the standard setting process can be found in the UKWAS-Revision-Timetable-2013-16.pdf at the following website “ www.ukwas.org.uk/documents . This website is noted in the procedural evidence for 5.3. The assessor believes that the process evidence provided for 5.6 a) adequately addresses this

				requirement. Note the document “UKWAS Revision Process 2013-16” was posted on the website. This document and others were noted by the assessor.
pp- 74-76	HVa	b) the invitation of disadvantaged and key stakeholders shall be made by means that ensure that the information reaches its recipient and is understandable, - process - YES	No mention of disadvantaged stakeholders in the analysis of the process by the assessor	The preponderance of process documentation for 5.2, including broad media, trade and website announcements, provide evidence that UKWAS made a concentrated effort to ensure <u>all</u> stakeholders were invited to participate in the standard-setting process. This brings the Assessor to a strong conclusion of conformity to the PEFCC requirement.
Annex 1, Part 1, 2 checklist, pp. 37-	HVa	Partly the references in the column “reference to application documents”. Example: “PEFC UK SCHEME”, “UKWAS REVISION PROCESS 2013-16 “	In the column “reference to application documents” are listed several documents which are not listed in the list in the chapter “1.5 Reference Documents and Sources” or the references have been made in a way which makes it impossible to consider the conformity. Given examples are NOT documents	Noted.
Annex 1, Part 1, 2 checklist, pp. 37-also	HVa	“The assessor believes the level of detail and record keeping of these documents demonstrate conformance to this requirement.”	The task of the assessor is to verify that the scheme in question conforms to the requirements of the PEFCC. My understanding is that only to “believe” is not strong enough evidence to	Noted and amended.

Part 3, 2 checklist, p. 103-			conformity. There shall be facts as evidence, not only believes of the assessor. The wording may be changed?	
p. 92	HVa	<p>6.3 The application date shall not exceed a period of one year from the publication of the standard.</p> <p>- process – YES PEFC UK SCHEME Section 6.4: “The Fourth edition of the UK Woodland Assurance Standard will hope to be endorsed by PEFC for use with effect from 1st December 2016. There is a transition period of one year.”</p> <p>To ensure their continued alignment, these procedures should be subject to review, as a minimum, a year prior to the commencement of a formal revision of the UKWAS standard.”</p>	Does it CONFORM, if the requirement is “not to exceed a period of one year” and the evidence given by the assessor states “transition period of one year” and “as a minimum, a year”?	It is noted that this is a PROCESS requirement. Therefore, it is NA as the newly revised standard has not been endorsed by PEFC.
p. 156	HVa	<p>Question: “5.6.5 Adequate public access to forests for the purpose of recreation shall be provided”</p> <p>Reference: “5.1.2: “a) There shall be provision for some public access subject only to limited exemptions...”</p>	The reference hardly answers positive to the question. The assessor says YES. – So the question is, what “adequate” means... “some public access subject only to limited exemptions” is not “adequate” in my understanding.	Noted. UK laws regarding private property rights with regard to access (right of ingress) by others is different from other nations’ liberal understanding of “access” on the European mainland. The Assessor stands by the conclusion.
Annex 1, Parts I-III	HVa	Content of the Annex	It is very confusing that some questions in the column “reference to scheme documentation” are analysed or compared against texts taken from either UK WOODLAND ASSURANCE STANDARD or UK FORESTRY STANDARD or PEFC UK STANDARD. It is very confusing how these two – or	<p>The following may provide clarification to the POE member:</p> <p>The UK Woodlands Assurance Standard (UKWAS) is the Forest Management Certification Standard for the UK (The Standard).</p>

			<p>three – standards have been taken in the comparison – and how these standards are used in the PEFC UK system. It raises more questions than gives answers.</p>	<p>The United Kingdom Forestry Standard (UKFS) is the Government’s Approach to Sustainable Forestry.</p> <p>The PEFC United Kingdom Certification Scheme for Sustainable Forest Management is based on two national United Kingdom published documents, the United Kingdom Forestry Standard (UKFS), and the Forest Management Certification Standard, which is known as the United Kingdom Woodland Assurance Standard (UKWAS) (the Standard).</p> <p>PEFC UK Ltd is the National Governing Body. The PEFC United Kingdom Certification Scheme for Sustainable Forest Management is owned, governed and administered by PEFC UK Ltd.</p>
Part V, 2 checklist p.176-	HVa	Content of the part	The function of this part of the assessor’s report is unclear. The aim of the report shall not be “as-long-	Noted and amended.

			as-possible” paper!	
Part VI, 2 checklis t p. 180-	HVa	- “ -	- “ -	Noted.
Annex 2, p. 182	HVa	content of the Annex	This annex should be removed. There should be only summary of the answers of the stakeholders! Not complete answers with names!	Noted and amended.

This is a comprehensive evaluation of the PEFC UK Forest Certification Scheme or System. The depth of analysis of the criteria/indicators and supporting information for the forest management standard is to be commended especially in utilising the full suite of requirements or indicators that provide for conformity.

I have no hesitation in agreeing that PARTS II, IV, V and VI of Annex 1 are all in compliance with the PEFC requirements. Overall, PART III is in compliance but I have question marks over compliance at 4.1.c) and 5.5.2 which the Assessor should re-visit to ensure the correct evidence is presented to ensure compliance.

PART I is the section that I have major issue with as presently set out in the report. A substantial amount of procedural material is re-presented in the Process section rather than an account of what was actually done to ensure procedure was followed during the standard-setting process. The procedures are quite extensive to cover the standard-setting and I have no reason to doubt that they were followed by UKWAS but it isn't presented as such in the Process responses.

Accordingly, I would agree, in principle, with the Assessors' recommendation subject to resolution of the issues identified in PART I and the two requirements in PART III.

Some extra general comments on the report:

- 1 In PART 1 – assume that references to Section 6, Appendix 3 etc relate to the main document quoted at the start of 4.1?
- 2 There is reference to 40 criteria in the References column with the first reference to a criterion including its heading – correct? Any further reference to the criterion doesn't repeat the heading – correct? If so, this should be explained in the introduction to Annex 1
- 3 PART V – I don't believe the Checklist is required in this case – a simple statement after the Scope with a further clarification that Q 1 to 32 are in conformance based on PEFC UK adoption of PEFC ST 2002:2013
- 4 The body of text could be tightened up considerably as there is quite a lot of empty space in cells in all the tables
- 5 I have provided some essential editorial changes which I trust the Assessors will take on board in finalising the report. In terms of editorial comments on the report, additional text is **bolded** and deleted text is shown as ~~striketrough~~ text

General Statement on report quality

Specific findings

Report chapter / page	PoE member	Consultant's report statement	PoE member finding	Consultant's response
Inside Cover Page Pg 2	ME	Email www.pefc.org	This is a website address, not an email address!	Report amended per POE finding
Acknowledgements Pg 5	ME	Stuart Wilkie	Or is it Stuart (See Pg 69)	Report amended per POE finding

Acronyms and Abbreviations Pg 6/7	ME		PEFC ST PEOLG SLIM WMU	Report amended per POE finding
1.1 1 st para Pg 8 2 nd para, last dot point 2 nd para, 1 st & 10 th dot points	ME	... (UK Certification Scheme) ... “... the submitted system.”	Is this the preferred abbreviation? If so, it should be used consistently. Otherwise, I would suggest ‘PEFC UK Scheme’ if it is suitable as it seems more common in the report. Use the term defined in Para. 1 ie use scheme consistently if that is the wording used by PEFC UK To be consistent with other dot points, remove full stop at end of dot point	Report amended per POE finding
1.2 Phase 1 Pg 9 Phase II	ME	Step 4: Develop Steering Group stakeholder survey and submit it to Steering Group members. Step 9:	As only at the beginning, would be better to use ‘PEFC UK Steering Group’ Is it ‘The <u>First</u> Draft Report’?	Report amended per POE finding
1.3.1 3 rd para 1.3.2 1 st para 2 nd para Pg 10	ME	‘... and draft report was ...’ ‘... consultation period it was determined that no (0) ...’ ‘... transmitted to the SG via email ...’	draft report – capitalise, is used in capitals previously Wouldn’t it be that ‘the PEFC Secretariat or TU advised’? How many of the SG received the email?	Report amended per POE finding All steering group members received the email
Table 1 Pg 11	ME	2 nd row 3 rd row ‘... Draft First Report ...’	Wouldn’t Step 2, 1.2 be included? Is Step 3 shown in the table? Isn’t it Steering Group and NOT Work Group? Wouldn’t it be ‘First Draft Report’? – See Step 6, 1.2 & Step 7	Report amended per POE finding
1.5 2 nd para, 2 nd dot point Pg 11 6 th para, 7-9 dot points Pg 12	ME	United Kingdom Woodland Standard – Fourth Edition (Final Draft) PEFC GD 1004:2009 Administration of PEFC Scheme, Chapter 5	United Kingdom Woodland Assurance Standard – Fourth Edition (Final Draft) – retain its full title Unless providing the topic/issue, seems repetitious; could have one line with Chapters 5, 6 & 8	Report amended per POE finding

1.5 Last para Pg 12	ME	...and PEFC UK (http://ukwas.org.uk/documents) functioned ...	This is the forest management standard website NOT the PEFC UK website being pefc.co.uk	It is not the forest management website – it is the site with an array of standard-setting documents used during the review and assessment.
3 whole section Pg 15 - 34	ME	‘Scheme’ or ‘UK Scheme’	Where ‘Scheme’ or ‘UK Scheme’ is used, why not use the abbreviation provided in 1.1 on a consistent basis (subject to comment on this at 1.1)	Report amended per POE finding
3.1 3 rd para 5 th para Pg 15 6 th para Pg 16	ME	‘... set the forest certification scheme.’ ‘... on approval of the Final Draft Standard before ...’ ‘Selection of certification bodies ...’	I would say that it is the forest management standard NOT the whole PEFC UK scheme! Is this of the UKWAS forest management standard? Or is it notification as PEFC UK cannot pick and choose certification bodies to certify within its scheme!	Report amended per POE finding
3.2 4 th para 7 th para Pg 16	ME	‘... to approve the Draft Standard.’ ... the STANDARD SETTING PROCESSES to be ...’	Would this be the Final Draft Standard? See 3.1, 5 th para Why capitals when compared with the other sections?	Report amended per POE finding
3.4 1 st para Pg 17	ME	2 nd to 4 th sentences	What standard – needs clarifying?	Report amended per POE finding
3.5 1 st para Pg 17	ME	‘... to adopt PEFC Technical Document PEFC ST ...’	I thought it was a ‘PEFC International Standard’ – as per title page of the document	Report amended per POE finding
3.7 3 rd para Pg 18	ME	‘... UK will normally be UKAS.’	The first time should have organisation in full followed by the abbreviation	Report amended per POE finding
4 <u>History</u>	ME	5 th sentence Last sentence	Differs from 1.1 – need to be consistent If initial endorsement was in 2002, can’t have a re-endorsement also in 2002!	Report amended per POE finding

<p><u>Current Structure</u> 2nd para 3rd para Pg 20</p>		<p>Dot points 1, 3, 4 & 5 Dot points 1, 2, 3 & 4</p>	<p>First re-endorsement would have been 2007. Change to active language i.e. Manage; Participate; Set and review; Resolve Change to active language i.e. Maintain; Verify; Manage; Manage</p>	
<p>5 <u>Overview</u> 4th & 5th para Pg 23 The UKWAS Process... Pg 24</p>	ME	<p>Phase I PhaseII</p> <p>‘The comment period ...’</p>	<p>Insert space between the paragraphs</p> <p>Delete 2 full stops after 2nd sentence Space between Phase and II What about the stakeholders and public? Is a draft standard compiled & made available for public comment? Is this the case for the SG work?</p>	<p>Report amended per POE finding</p>
<p>Table 2 Phase I Pg 24</p> <p>Phase II Pg 25</p> <p>Phase III Pg 25/26</p>	ME	<p>a) b) – g) e) f) c) d) & f) d) – f)</p> <p>Output – ‘A Revision Draft of the UKWAS standard ...’</p> <p>a) c) “Pre-approval Draft” e) ‘... to PEFK UK for ...’</p>	<p>Presume this was the UKWAS? Best to clarify Done by whom in UKWAS? What was the consultation on – clarify? What is SLIM? Not in Acronyms and Abbreviations With whom and what is the object of the consultation? Who or what is PW? Not in Acronyms and Abbreviations This Issues Paper is discussed in Phase I. Is it a different Issues Paper. There is no indication that a Draft Standard was prepared! Is this the Enquiry Draft as required under PEFC terminology? Consultation on the what? Or is this the Enquiry Draft as required under PEFC terminology? Presume its PEFC!</p>	<p>Noted. Consultation focused on the draft. The UWAS SG and ED were responsible for all aspects of the review.</p> <p>SLIM: PW is Acronyms defined in report.</p> <p>Noted. This is the enquiry draft as defined by PEFC.</p>

Table 3 Pg 26	ME	Table3. Organizations ...	Space between Table and 3	Report amended per POE finding
6 <u>Forests of United Kingdom</u> Pg 27 <u>The UKWAS (UK Woodland Assurance Standard)</u> Pg 28/29	ME	Use of % in text 2/3 and 1/3 5 th para 3 rd para 4 th para '... UKWAS certification standards ...' Para under Table 5 Last para – 'with NO NONCOMFORMITY identified	Would prefer to use 'per cent' in body text Should be two-thirds and one-third Is it 'cubic meters per annum'? Should maintain the formal designation for the standard as 'UKWAS Standard' to differentiate from the company – UKWAS In Annex 1 it isn't 'components' but 'sections' – so keep sections Also, there is only one forest management standard This seems to be an assessor's comment rather than a statement of fact; also the 2 nd sentence is a repeat of information supplied in the 2 nd para Why in capitals when not used for all other sections?	Report amended per POE finding on use of % and per annum UKWAS stands for United Kingdom Woodland Assurance Standard so it is a standard not an organization of company. Other findings noted.
7 Pg 30/31	ME	1 st to 3 rd para 'Group Member'; 'forest owners'; 'group forest owners'; 'Group Participants' 6 th para	Where 'Scheme' is used – presume its 'PEFC UK Scheme' See comments at 1.1 Also, where 'system' is used – again, presume its as above Seems to be four different terms – are they all for the same body? Is it 'notified' rather than 'registered'?	Report amended per POE finding
9 Pg 32	ME	'... as the appropriate 3-party licensing authority ...' 3 rd para	Please explain the relevance of this Seems to be a repeat paragraph – delete in favour of the Finding paragraph	PEFC UK issues the logo licenses to interested group members. Report amended per

				POE finding
11 1 st para Pg 33	ME	'... all certification bodies registered to ...'	Is it 'notified' rather than 'registered'?	Registered is fine in this context. The text comes directly from the PEFC Scheme document – see Section 7.1.7: Register of Certification Bodies.
Annex 1 Pg 35/36	ME	Whole of Annex 2 nd para, 2 nd sentence Legend – “ <i>Black</i> ”	There is no linkage from the main body of the report to this Annex. Requires a statement in main body indicating its relevance to the conformity assessment There is a reference to 'EFCS' BUT this is the PEFC UK scheme! Where it indicates EFCS, I presume it really is PEFC UK!	The Appendix and other supporting documents are listed in the Table of Contents in the report. Inclusion the Table of Contents provides the linkage and indicates its relevance in the conformity assessment.
4.1 a) Pg 37	ME		There are two types of font in the italicised text – should be only one font	Report amended per POE finding
4.1 f) Pg 41/42	ME		Covers the forest management standard but is silent on the normative documents; presumably PEFC UK's, if applicable	Noted
4.2 Pg 42	ME		I can see these are responses to comments but seem to be on the forest management standard rather than standard-setting procedure as required in PEFC 4.2	Noted. It's just an example picked at random from the referenced document.
4.3 Process Pg 44	ME		Seems overkill to repeat in whole – could just reference it from Procedures section	Noted

			and go to last comment	
4.4 a) Process Pg 46	ME		Is it the Working Group or the Steering Group? If it's the Working Group, it's a new term and hasn't been explained as all previous commentary has been the Steering Group	Report amended per POE finding
4.4 b) Process Pg 46	ME		See 4.4 a) Process comment	Report amended per POE finding
4.4 c) Process Pg 47	ME		See 4.4 a) Process comment	Report amended per POE finding
5.1 Process Pg 50	ME	1 st para	Is it 'working group' or is it 'Steering Group'?	The correct term is Steering Group. Report amended per POE finding
5.2 Process Pg 52/53	ME	3rd para 'From the PEFC website on ...' 5 th para 'From the PEFC October 2015 Newsletter ...'	Presumably it is PEFC UK's website – need to be specific as just PEFC would indicate pefc.org See previous comment to clarify which 'PEFC' body While the 2 nd part of 5.2 isn't specifically addressed, the call for comments would allow such to be brought to UKWAS's attention to fulfill the requirement	Noted and agree. Report amended per POE finding
5.3 Process Pg 53/54	ME	2 nd para 'Phase 2 in 2014/15 is the main revision drafting phase leading to a Revision Draft for consultation.'	This is missing from Table 2, Phase II in the Action Taken!	Phase II is the main revision drafting phase and encompasses the actions shown in Table 2.
5.3 b) Process Pg 57/58	ME	3 rd and 5 th paras	See comments at 5.2 Process	Noted and agree. Report amended per POE finding
5.3 c) Process Pg 60	ME	2 nd para	This is about b) and doesn't directly respond to c) – it's more about comments on the standard and drafts rather	Noted and irrelevant part of paragraph omitted.

			than invitation to membership! I don't believe this fully covers B2 UK Standard-Setting Process	
5.3 d) Procedures Pg 62 Process Pg 63	ME		Would seem to be more implicit rather than explicit! Comment similar as Procedure but is more explicit in B3 Appendix 3, PEFC UK Scheme	Noted. Evidence of conformance is not always explicit. At times the assessor will accept implied evidence as proof of conformance, especially when the documentation provided as a whole is thorough and detailed.
5.3 e) Procedures Pg 65	ME		Doesn't B3, Appendix 3, PEFC UK Scheme provide the response? Nothing in B7 to indicate compliance with e)! This response covers records.	Noted and agree. Report amended per POE finding
5.3 e) Process Pg 66	ME		PEFC UK Scheme text – this is procedure!	These are direct actions taken to respond to the procedure. They note that the standard process documents are publicly available throughout the revision process.
5.4 Process Pg 69	ME		Is it 'working group' or is it 'Steering Group'? The SG representation – this doesn't show stakeholder group, constituency or interest – it is just a list of members either present or	Report amended per POE finding The document "Membership and Steering

			absent! This would provide compliance if the stakeholder group, constituency or interest was shown or linked to the document	Group representation ” is referenced and shows the breakdown by stakeholder group, constituency and interests.
5.5 b) Process Pg 71	ME		‘Steering Group’ to be consistent	Report amended per POE finding
5.6 a) Procedures Process Pg 74	ME		Is implicit rather than explicit with the indication of the number of days for consultation 3 rd para – this is the initial public consultation – not the ‘enquiry draft’. This would be document for Phase II!	
5.6 b) Process Pg 75	ME		3 rd para – this is more so generic communication rather than targeted which seems to be the requirement	Noted. The initial public consultation is focused on the enquiry draft. The enquiry draft is the proposed document that is available for public consultation. Evidence of conformance is not always explicit. At times the assessor will accept implied evidence as proof of conformance, especially when the documentation provided as a whole is

				thorough and detailed.
5.6 c) Process Pg 77	ME		3 rd & 5 th para – these aren't for the 'enquiry draft' – this would be the Phase II draft. Was there similar information for this draft? If so, it provides the compliance	The evidence states that there will be further opportunities to comment on future drafts.
5.6 d) Procedures Process Pg 78	ME		The requirement is for the 'enquiry draft' at Phase II not the Phase I draft! 4 th & 5 th para – don't provide compliance	Noted. The assessor believes that the body of process evidence provides adequate demonstration of conformance with this requirement.
5.6 e) Procedures Process Pg 80/81	ME		The latter part of B4 – this is required at d) as more so closely conforms to an 'enquiry draft' 2 nd para – see comment above	Noted. B4 is already in the process evidence for 5.6 d)
5.6 f) Procedures Pg 82	ME		Doesn't B7, Appendix 3, f), g) & h) provide compliance as this is outcome of consultation and not the consultation process	Comment noted and report amended per POE finding.
5.7 Process Pg 84	ME		Spelling – 'from' NOT 'frim'	Report amended per POE finding
4.3.1 b), c) & d) 4.3 d) Pg 101	ME		Presume the text should be preceded by 'Responsibility of Participants:' – this would avoid any doubt Text should be in italics	Report amended per POE finding
4.1 a) 4.1 c) Pg 103	ME		As this is a finding, presume that it should have 'The assessor finds that ...' I don't believe that conformity has been proven – evidence doesn't support	Report amended per POE finding The assessor

			compliance with requirement especially as it deals with training and WHS legislation NOT all of the requirements	believes that the body of evidence provided demonstrates conformance with this requirement.
5.1.5 Pg 110 5.1.9 Pg 114	ME		For 'in', I presume it should be 'IN'?	Report amended per POE finding
5.1.9 Pg 115	ME		'Section 5' – and it's just blank? What is meant to be associated with the reference?	Report amended per POE finding
5.2.7 Pg 124/125	ME		There are two fonts in the 'Question'!	Report amended per POE finding
5.3.7 Pg 134	ME		Insert 'IN' before 2.4.3 'Guidance on 2.3.2' – have used this but haven't used the indicator!	Report amended per POE finding
5.4.2 Pg 137	ME		There are two fonts in the 'Question'!	Report amended per POE finding
5.4.4 Pg 139	ME		'CR 2.2, IN 2.2.1' – need a lead in for the context – see 5.3.7	Report amended per POE finding
5.4.5 Pg 140	ME		'The Consultant ...' – Use Assessor in body text of the review report eg Acknowledgements	Section removed. UKWAS is not a plantation standard.
5.5.1 Pg 146	ME		'CR 2.2, IN 2.2.1' – need a lead in for the context – see 5.3.7 – not sure of the context to include this!	Report amended per POE finding Indicator refers to social needs.

5.5.2 Pg 148	ME		CONFORMITY – No, these indicators are for conservation – this criterion and requirement is about protection in relation to soil and water	This requirement refers to “Areas that fulfil specific and recognised protective functions for society...” and is adequately covered by the evidence provided. 5.5.1 covers the soil & water requirement of CR 5.
5.6.5 Pg 156	ME		Maybe 5.1.1 assists?	Good catch. Report amended per POE finding
5.6.6 Pg 156	ME		‘Historic features’ should be in italics	Report amended per POE finding
5.6.7 Pg 158	ME		Is the Assessor’s comment needed?	Report amended per POE finding
5.6.11 Pg 160	ME		In 3.1.3 may assist here?	Report amended per POE finding
Criterion 7 Heading Pg 163	ME		Checking the PEFC ST, I find that this criterion is titled ‘Compliance with legal requirements’!	Report amended per POE finding
5.7.1 Pg 165	ME		Section 1, CR 1 – why are the indicators numbered 1 and 2 and 1 and 2? What is FISA?	In the UKFS there are two sets of indicators: Legal Requirements and Good

				forestry practice requirements. The assessor has clarified this throughout the report. FISA is the Forest Industry Safety Accord
5.7.2 Pg 166	ME		For CR 2.12, IN 2.12.2 – I presume its ‘Guidance for IN 2.12.2’? Section 1, CR 1 – why are the indicators numbered 1 and 2 and 1?	Report amended per POE finding See above clarification.
PART IV Table	ME		Need to sort out column width to at least fix up ‘Reference’ onto one line	Report amended per POE finding
17 Pg 172 18 Pg 173	ME		Need spacing between ‘7.1,’ and ‘IN’	Report amended per POE finding
PART VI 3.	ME	‘... procedures go usage licenses ...’	I believe the text is incorrect for the question!	Report amended per POE finding

Editorial comments

Report chapter / page	PoE member	Consultant’s report statement	PoE member editorial comment	Consultant’s response
1.3. 2 1 st para Pg	ME	During the review and assessment of the documentation, the PEFC Secretariat ... At the closure of the 60 day ...	During the review and assessment of the scheme documentation, the PEFC Secretariat ... At the closure close of the 60 day	Report amended per POE finding

10				
1.3.2 2 nd para Pg 10	ME	Also, during the PEFC UK Scheme assessment period, the Assessor developed a survey for the scheme revision Steering Group (SG) responsible for the scheme revision and other stakeholders involved in the process. The nine-question survey was then transmitted to the SG via email and asked to return the response within 14 days. ...	Also, during the PEFC UK Scheme assessment period, the Assessor developed a survey for the scheme revision Steering Group (SG) responsible for the scheme revision and other stakeholders involved in the process. The nine-question survey was sent then transmitted to the SG members via email and they were asked to return the response within 14 days. ...	Report amended per POE finding
1.4 1 st para Pg 10	ME	The following table illustrates ...	The following Table 1 illustrates ...	Report amended per POE finding
1.5 1 st para Pg 11 4 th para Pg 12	ME	The following is a list of documents provided by PEFC UK to the PEFC Secretariat for the conformity assessment to evaluate for the re-endorsement of the PEFC UK Scheme. Public announcement regarding commencing of standard revision	The following is a list of scheme documentation documents provided by PEFC UK to the PEFC Secretariat for the conformity assessment to evaluate for in seeking the re-endorsement of the PEFC UK Scheme. Public announcement regarding commencing commencement of standard revision	Report amended per POE finding
1.6 1 st para Pg 12 2 nd para a 4 th para a	ME	Robert S. Simpson is President and CEO of GreenWoodGlobal Consulting, LLC. He will be the supervising assessment. Prior to founding GreenWoodGlobal Consulting, LLC, Simpson spent 17 years with the American Forest Foundation. He has reviewed dozens of standard assessments submitted to the PEFC Board from standard assessors.	Robert S. Simpson is President and CEO of GreenWoodGlobal Consulting, LLC. He will be the supervising assessor assessment . Prior to founding GreenWoodGlobal Consulting, LLC, Simpson spent 17 years with the American Forest Foundation (AFF). He has reviewed dozens of scheme standard assessments submitted to the PEFC Board from scheme standard assessors.	Report amended per POE finding

Pg 13				
3.1 1 st para 2 nd para 3 rd para 4 th para Pg 15	ME	<p>PEFC UK This is overseen by a nine-member Board of Directors, including the Chairman and managed by the National Secretary.</p> <p>Resolving appeals, complaints and disputes arising out of the operation of the Scheme that cannot be resolved between the Certification Body and the Auditee or the UKWAS interpretation panel, or arise due to suspension, or withdrawal of a license to use the product label.</p> <p>The PEFC UK scheme revision is managed by an independent company; United Kingdom Woodland Assurance Standard (UKWAS).</p> <p>The PEFC UK is a participating member of the UK Steering Group, the body that is responsible for the required five-year review and revision of the standard. The UKWAS is an independent standard setting body that is not involved with certification or accreditation.</p> <p>The Steering must reach consensus on approval of the Final Draft Standard before it is submitted to the PEFC UK for adoption.</p>	<p>PEFC UK This is overseen by a nine-member Board of Directors, including the Chairman and managed by the National Secretary.</p> <p>Resolving appeals, complaints and disputes arising out of the operation of the Scheme that cannot be resolved between the Certification Body and the Auditee or the UKWAS interpretation panel, or arise arising due to suspension, or arising due to withdrawal of a license to use the product label.</p> <p>The PEFC UK scheme's forest management standard revision is managed by an independent company; United Kingdom Woodland Assurance Standard (UKWAS).</p> <p>The PEFC UK is a participating member of the UK Steering Group, the body that is responsible for the required five-year review and revision of the UKWAS's standard. The UKWAS is an independent standard setting body that is not involved with certification or accreditation.</p> <p>The Steering Group must reach consensus on approval of the Final Draft Standard before it is submitted to the PEFC UK for adoption.</p>	<p>Report amended per POE finding</p> <p>It is acceptable to refer to UKWAS as <u>the</u> UKWAS as opposed to the UKWAS Standard or the UKWAS forest management standard.</p>
3.2 2 nd para Pg 16	ME	The design of the SG is designed in such a manner that no single constituency can dominate or be dominated during the standard setting process.	The design of the SG is designed in such a manner that no single constituency can dominate or be dominated during the standard setting process.	Report amended per POE finding
3.3 1 st para Pg 16	ME	The PEFC Scheme sets requirements that thoroughly and adequately cover all six principles of sustainable forest management as required by PEFC ST1003:2010. Two documents comprise the PEFC UK Scheme; the United Kingdom Forestry Standard, governmental forest	The PEFC UK Certification Scheme sets requirements that thoroughly and adequately cover all six principles of sustainable forest management as required by PEFC ST1003:2010. Two documents comprise the PEFC UK Scheme; the	Report amended per POE finding

		management guidelines that apply to all forests in the UK and the UKWAS, a voluntary, third-party consensus-based standard that builds upon UKFS. The requirements and verifiers can all be implemented at the Forest Management Unit level and are audible. They are adequately covered in the UKWAS and UKFS.	United Kingdom Forestry Standard (UKFS), governmental forest management guidelines that apply to all forests in the UK and the UKWAS Standard , a voluntary, third-party consensus-based standard that builds upon the UKFS. The requirements and verifiers can all be implemented at the Forest Management Unit level and are auditable audible . They are adequately covered in the UKWAS Standard and UKFS.	
3.4 1 st para Pg 17	ME	The PEFC UK Scheme provides ...	The PEFC UK Certification Scheme provides ...	Report amended per POE finding
3.6 1 st para Pg 17	ME	PEFC UK has adopted the rules and guidance set out in PEFC International Standard ST 2001:2008 v2 Logo Usage Rules – Requirements and will be followed by all certificate holders.	PEFC UK has adopted the rules and guidance set out in PEFC International Standard ST 2001:2008 v2 Logo Usage Rules – Requirements and which will be followed implemented by all certificate holders.	Report amended per POE finding
3.7 1 st para Pg 17 3 rd para Pg 18	ME	The PEFC UK Scheme states ... In event regarding appeals, complaints or dispute concerning the certification process or conduct of the Certification Body not being resolved to the satisfaction of the auditee,	The PEFC UK Certification Scheme states ... In the event regarding that appeals, complaints or dispute concerning the certification process or conduct of the Certification Body not being resolved to the satisfaction of the auditee,	Report amended per POE finding
3.8 1 st para 2 nd para Pg 18	ME	Certification and accreditation procedures are clearly and completely described in PEFC UK Scheme. ... must fulfill requirements for ISO/IEC 17065:2012.	Certification and accreditation procedures are clearly and completely described in the PEFC UK Certification Scheme. ... must fulfill requirements for defined in ISO/IEC 17065:2012.	Report amended per POE finding
3.9 Pg	ME	The Assessor wishes to compliment PEFC UK on the thoroughness and	The Assessor wishes to compliment PEFC UK on the thoroughness and	Report amended per

18		comprehensiveness of the PEFC UK Forest Certification Scheme as presented to PEFC. The Assessor found the document easy to navigate.	comprehensiveness of the PEFC UK Forest Certification Scheme as presented to PEFC. The Assessor found the documents easy to navigate.	POE finding
3.1 0 1 st para Pg 18	ME	<p>During the course of this assessment, the Assessor was supplied from PEFC UK the names, organizations and email addresses of the members of the Steering Group in order to survey them regarding the standard setting process.</p> <p>In whole, responses from the survey indicate to the Assessor that standard revision setting processes were open, transparent, consensus based, met PEFC standard setting procedures and process requirements and that the Steering Committee was overall approving of the process.</p>	<p>During the course of this assessment, the Assessor was supplied from PEFC UK supplied the names, organizations and email addresses of the members of the Steering Group to the Assessor in order to survey members them regarding the standard setting process.</p> <p>In On the whole, responses from the survey indicate to the Assessor that standard revision setting processes were open, transparent, consensus based, met PEFC standard setting procedures and process requirements and that the Steering Group Committee was overall approving of the process.</p>	Report amended per POE finding
5 th para Pg 19				
4 History	ME	<p>PEFC UK Ltd was initially established in 2000 and is currently registered in Scotland. The organization currently maintains an administrative office in and Sheffield, England. It is registered as a not-for-profit organization. The Articles of Association were first adopted in 2000 and were most currently updated in 2010. PEFC UK Ltd owns, governs and administers the PEFC United Kingdom Forest Certification Scheme for Forest Management (the Scheme). PEFC UK is the recognized national governing body by PEFC Council. PEFC Council initially endorsed the Scheme in 2002 and has re-endorsed the Scheme revisions in 2002, 2007 and 2013.</p> <p>Promote the UK Woodland Assurance Standard, as the national certification standard for Sustainable Forest Management in the UK.</p> <p>Resolving appeals, complaints and disputes arising out of the operation of the Scheme that cannot be resolved</p>	<p>PEFC UK Ltd was initially established in 2000 and is currently registered in Scotland. The organization currently maintains an administrative office in and Sheffield, England. It is registered as a not-for-profit organization. The Articles of Association were first adopted in 2000 and were most recently currently updated in 2010. PEFC UK Ltd owns, governs and administers the PEFC United Kingdom Forest Certification Scheme for Forest Management (the Scheme). PEFC UK is a the recognized national governing body by the PEFC Council. The PEFC Council initially endorsed the Scheme in 2002 and has re-endorsed the Scheme's revisions in 2002, 2007 and 2013.</p> <p>Promote the UK Woodland Assurance Standard's forest management standard, as the national certification standard for Sustainable Forest Management in the UK.</p> <p>Resolving appeals, complaints and</p>	<p>It is acceptable to refer to UKWAS as <u>the UKWAS</u> as opposed to the UKWAS Standard or the UKWAS forest management standard.</p> <p>Report amended per POE finding</p> <p>UKWAS note per above</p>
Current Structure 2 nd para				

<p>3rd par a Pg 20</p>		<p>between the Certification Body and the Auditee or the UKWAS interpretation panel, or arise due to suspension, or withdrawal of a license to use the product label.</p> <p>In addition to the Board, PEFC UK is managed by a National Secretary. This position ensures the coordination and daily management activities of the organization.</p> <p>The PEFC UK scheme is unique to many other PEFC recognized national governing bodies in that it does not formally set the forest certification scheme. The PEFC UK scheme is managed by an independent company; United Kingdom Woodland Assurance Standard (UKWAS). The PEFC UK is a participating member of the UK Steering Group, the body that is responsible for the required five-year review and revision of the standard.</p>	<p>disputes arising out of the operation of the Scheme that cannot be resolved between the Certification Body and the Auditee or the UKWAS interpretation panel, or arise arising due to suspension, or arising due to withdrawal of a license to use the product label. In addition to the Board, PEFC UK is managed by a National Secretary. This position The National Secretary ensures the coordination and daily management activities of the organization.</p> <p>The PEFC UK scheme is unique among to among many other PEFC recognized national governing bodies in that it does not formally set the forest certification standard standard scheme. The PEFC UK forest management standard scheme is managed by an independent company; United Kingdom Woodland Assurance Standard (UKWAS). The PEFC UK is a participating member of the UK Steering Group, the body that is responsible for the required five-year review and revision of the UKWAS standard.</p>	
<p>4th par a Pg 21</p>		<p>The “United Kingdom Woodland Assurance Standard (UKWAS)”, was established in 2003 as a no-for-profit body ...</p> <p>The certification standard is primarily designed to reflect the requirements set out in the governmental UK Forestry Standard (UKFS) thereby ...</p> <p>This allows PEFC UK the ability to adopt the UKWAS and put it forward for PEFC endorsement.</p>	<p>The “United Kingdom Woodland Assurance Standard (UKWAS)”, was established in 2003 as a nonot-for-profit body ...</p> <p>The certification standard is primarily designed to reflect the requirements set out in the governmental UK Forestry Standard UKFS thereby ...</p> <p>This allows PEFC UK the ability means to adopt the UKWAS forest management standard and put it forward for PEFC endorsement.</p>	
<p>UK WA S 1st par a Pg 21</p>				
<p>2nd par a</p>				

4 th para				
5 Overview 1 st para 3 rd para 4 th para 5 th para 6 th para Pg 23	ME	<p>... is provided in more detail in Annex (4) of this report.</p> <p>The second aspect of the standard setting conformance assessment regards conformity of the standard setting processes undertaken by the UKWAS Steering Group (SG). Refer to Chapter 4 of this report for a general summary of the organization and the structure and responsibilities of the involved parties in the PEFC UK Scheme revision.</p> <p>Pilot testing was undertaken with the initial PEFC UK Scheme. There were no significant areas of change with regard to the standard. In addition, experience gained in working with the scheme over previous years and assisted by the comments received at the initial consultation prior to the revision process starting at subsequent consultations, pilot testing was not required.</p> <p>The following provides a more detailed analysis of the standard setting procedures and processes, noting core findings and identifying any nonconformities noted by the Assessor.</p>	<p>... is provided in more detail in Annex (4) of this report.</p> <p>The second aspect of the standard setting conformance assessment regards conformity of the standard setting processes undertaken by the UKWAS Steering Group (SG). Refer to Chapter 4 of this report provides for a general summary of the organization and the structure and responsibilities of the involved parties in the PEFC UK Scheme revision.</p> <p>Pilot testing was undertaken with the initial PEFC UK Scheme. There were no significant areas of change with regard to the forest management standard. In addition, experience gained in working with the scheme PEFC UK Scheme over previous years and assisted by the both comments received at the initial consultation prior to the revision process starting and at subsequent consultations, pilot testing was not required.</p> <p>The following provides a more detailed analysis of the standard setting procedures and processes, noting core findings for PEFC requirements and identification of ing any nonconformities noted by the Assessor.</p>	Report amended per POE finding
5 The UKWAS Process 1 st para	ME	<p>Beginning in 2013, the UKWAS began preliminary ground work to begin the assessment for the Standard. The UKWAS revision and consultation process was undertaken in three specific phases. These are as follows:</p> <p>PEFC UK and other certification schemes</p>	<p>Beginning in 2013, the UKWAS began preliminary ground work to begin commence the assessment for the UKWAS Standard. The UKWAS revision and consultation process was undertaken in three specific phases These are as follows:</p>	<p>Note on UKWAS per above</p> <p>Report amended per POE finding</p>

<p>a Pg 23</p> <p>Phase II</p> <p>Phase III Pg 24</p>		<p>provide comments for SG. Issues papers are presented to SG and SG meets to review.</p> <p>SG reaches consensus on the draft and submits to PEFC UK and other certification systems.</p>	<p>PEFC UK and other certification schemes provide comments for SG. Issues papers are presented to SG and the SG meets to review comments and papers. SG reaches consensus on the draft and submits the approved standard to PEFC UK and other certification systems.</p>	
<p>5 UK WAS Steering Group Pg 26</p>	ME	<p>They are appointed by the UKWAS in a manner that ensure that no single interest will dominate or be dominated during the process.</p>	<p>They are appointed by the UKWAS in a manner that ensures that no single interest will dominate or be dominated during the process.</p>	<p>Report amended per POE finding</p>
<p>6 For ests of UK 1st para Pg 27</p>	ME	<p>By the 20th century this occupation and forest land use reduced the UK's forest cover to approximately 5% of the UK's landmass. With steady programs of planting, woodland owner education and enthusiasm for great forest land cover, this number has increased to 13% or, nearly tripling in size in the past 100 years to approximately 3 million hectares.</p>	<p>By the 20th century, this occupation and forest land use reduced the UK's forest cover to approximately 5 per cent % of the UK's landmass. With steady programs of planting, woodland owner education and enthusiasm for great forest land cover, this area number has increased to 13 per cent % or, nearly tripling in size in the past 100 years to approximately 3 million hectares.</p>	<p>Report amended per POE finding</p>
<p>6 The UK WAS 1st para Pg 27 3rd</p>	ME	<p>The UKWAS has been designed to be an independent forest certification standard, defining ...</p> <p>Conformance with the Standard is voluntary. No woodland owner is manager is required by law to conform to the Standard.</p> <p>UKWAS certification standards are</p>	<p>The UKWAS Standard has been designed to be an independent forest certification standard, defining ...</p> <p>Conformance with the UKWAS Standard is voluntary. No woodland owner is or manager is required by law to conform to the UKWAS Standard.</p>	<p>Note on UKWAS per above</p> <p>Report amended per POE findings</p>

<p>para</p> <p>4th para</p> <p>5th para</p> <p>Pg 28</p> <p>6th para</p> <p>7th para</p> <p>Pg 29</p>		<p>structured around five components.</p> <p>These are broken down further described as the following.</p> <p style="padding-left: 40px;">Requirements - compulsory elements of the Standard. ...</p> <p style="padding-left: 40px;">Example Verifiers – these act as indicators offering evidence that the requirement is being met.</p> <p>The forest management standard is in full compliance with international law, established by international conventions and ratified by the government of the United Kingdom (See Table 5).</p> <p>The UKWAS is designed to enable verification of the forests in the UK being sustainably managed in all three arenas of sustainability; ...</p> <p>The SFM Standard has a robust set of Requirements and in-the-field Verifiers that call for demonstration of maintaining and protecting</p>	<p>The UKWAS certification standards are is structured around five sections components:</p> <p>These sections are broken down further described using as the following:</p> <p style="padding-left: 40px;">Requirements - compulsory elements of the Standard (Table 4).</p> <p>...</p> <p style="padding-left: 40px;">Example Verifiers – these act as indicators offering evidence that the requirement is being met (Table 4).</p> <p>The forest management UKWAS standard is in full compliance with international law, established by including relevant international conventions and which have been ratified by the government of the United Kingdom (See Table 5).</p> <p>The UKWAS standard is designed to enable verification of the forests in the UK being sustainably managed in all three arenas pillars of sustainability; ...</p> <p>The SFM UKWAS Standard has a robust set of Requirements and in-the-field Verifiers that call for the demonstration of maintaining maintenance and protecting protection of ...</p>	
<p>7th para</p> <p>Pg 30</p> <p>6th para</p>	<p>ME</p>	<p>The Group Entity is responsible for such things as the following.</p> <p style="padding-left: 40px;">Establishing the area which is considered certified.</p> <p style="padding-left: 40px;">Informing forest owners about the benefits of group forest certification.</p> <p>In addition, certification bodies registered to operate under the Scheme are required to have</p>	<p>The Group Entity is responsible for such things certain matters such as the following:</p> <p style="padding-left: 40px;">Establishing Establishes the area which is considered to be certified.</p> <p style="padding-left: 40px;">Informing Informs forest owners about the benefits of group forest certification.</p> <p>In addition Additionally, certification bodies registered to operate under the Scheme are required to have</p>	<p>Report amended per POE finding</p>

a Pg 31				
8 Pg 32	ME	PEFC UK adopts in full and without modification PEFC Council International Standard PEFC ST ...	PEFC UK adopts has adopted in full and without modification the PEFC Council's PEFC International Standard PEFC ST ...	Report amended per POE finding Second PEFC is redundant
9 Pg 32	ME	PEFC UK has adopted the rules and guidance set out in PEFC International Standard ST 2001:2008 v2 Logo Usage Rules – Requirements and will be followed by all certificate holders.	PEFC UK has adopted the rules and guidance set out in PEFC Council's PEFC International Standard ST 2001:2008 v2 Logo Usage Rules – Requirements and it will be followed by all certificate holders.	Second PEFC is redundant
10 1 st para 2 nd para Pg 32	ME	PEFC UK has adopted PEFC Council Annex 6: Certification and Accreditation Procedures and PEFC ST 2003:2012 (Second edition) ... Compliance of these and other requirements will be verified by the national accreditation body.	PEFC UK has adopted PEFC Council's Annex 6: Certification and Accreditation Procedures and PEFC International Standard ST 2003:2012 (Second edition) ... Compliance of with these and other requirements will be verified by the national accreditation body.	Report amended per POE finding
11 2 nd para 3 rd para Pg 33	ME	In cases where the dispute relates specifically to the interpretation of the UKWAS, and it cannot be solved by the certification body's ... In events regarding appeals, complaints or dispute concerning the certification process or ...	In cases where the dispute relates specifically to the interpretation of the UKWAS Standard , and it cannot be resolved by the certification body's ... In the events regarding that appeals, complaints or dispute concerning the certification process or ...	Report amended per POE finding
An nex 1 Pur pose Met	ME	They were employed by the Assessor to aid and provide detailed analysis of compliance to the PEFC Council requirements for the PEFC UK Scheme endorsement process. The first column on the left documents the standard criteria and poses the question of conformance. For Part I: Standard and System Requirement	They were employed utilised by the Assessor to aid and provide detailed analysis of compliance to the PEFC Council requirements for the PEFC UK Scheme re- endorsement process. . For Part I: Standard and System Requirement Checklist for standard setting (PEFC ST 1001:2010) - the	Report amended per POE finding

<p>hodology 1st para</p> <p>2nd para</p> <p>References et al 2nd para Pg 35</p>		<p>Checklist for standard setting (PEFC ST 1001:2010) the second column from the left denotes either Process or Procedure.</p> <p>The final column on the right is the Assessors detailed reference to the submitted standard revision documentation.</p> <p>For all other checklists the first column on the left references the standard criteria and poses the question of conformance.</p> <p>The beginning line of the reference starts with the attribution of the relevant document and section (e.g. DN-01-02).</p>	<p>first column on the left documents the standard criteria and poses the question of conformance and the second column from the left denotes either Process or Procedure.</p> <p>The final column on the right is the Assessors detailed reference to the submitted standard revision documentation and where required, commentary on the requirement from the Assessor.</p> <p>For all other checklists (Parts II to VI), the first column on the left references the standard criteria and poses the question of conformance.</p> <p>The beginning first line of the reference starts with the attribution of the relevant document and section (e.g. DN-01-02).</p>	
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General Statement on report quality

Generally good but some details missed on accreditation and certification.

Specific findings

Report chapter / page	PoE member	Consultant's report statement	PoE member finding	Consultant's response
Acronyms .../6	KG	-	EA European cooperation for accreditation is not listed.	Noted and amended.
3.1/16	KG	Accreditation bodies must be members of IAF.	Annex 6,5: ... accreditation body shall be a part of the IAF umbrella or a member of IAF's special recognition groups ...	Noted and amended.
3.7/18	KG	In event regarding appeals, complaints or dispute concerning the certification process or conduct of the Certification Body not being resolved to the satisfaction of the auditee, Certification Body or other third party, the matter will be referred to the relevant Accreditation Body, which in the UK will normally be UKAS. Failing resolution by the Accreditation Body the matter will then be referred to PEFC UK Ltd for a final decision. In addition, PEFC UK acts as the final decision making body for appeals regarding certification decisions , use of the PEFC logo and label and/or loss of the certificate.	According to ISO 17065:2012, 7.6.1 and ISO 17021:2011, 5.1.3 and 9.7.3 " <i>The certification body shall be responsible for, and shall retain authority for, its decision relating to certification, including the granting, maintaining, renewing, extending, reducing, suspending and withdrawing of certification.</i> " It is against the standards that another body can change the decision from the CB.	Noted and amended.
3.8/18	KG	The national accreditation body has to be a member of IAF.	Annex 6,5: ... accreditation body shall be a part of the IAF umbrella or a member of IAF's special recognition groups ...	Noted and amended.
10/32	KG	Compliance of these and other requirements will be verified by the national accreditation body.	... will be verified by a national accreditation body which is a part of the IAF umbrella or a member of IAF's special recognition groups ...	Noted and amended.
10/32	KG	Certification bodies wishing to carry out certification must meet ISO/IEC 17021:2011 for management systems and/or ISO/IEC 17065:2012.	... meet ISO/IEC 17021:2011 for management systems and ISO/IEC 17065:2012 for CoC.	Noted and amended.

11/33	KG	See 3.7/18 above.	See 3.7/18 above.	Noted and amended.
Annex1, PartIV 2,2./167	KG	Section 7, CR 7.1, IN 7.1.1: <i>“Certification bodies considered competent by the PEFC Council to carry out forest and/or chain of custody verification, shall apply auditing procedures that fulfil or are compatible with the requirements of ISO 19011 and shall fulfil the following qualifications: b) ISO17021 – 2: 2012 Conformity assessment -- Requirements for bodies providing audit and certification of management systems.”</i>	Bodies carrying out CoC verification must fulfil ISO117065:2012. But CBs for forest management can accredited to both ISO 17021 or ISO 17065. Delete b) and -2 . ISO 17021-2:2012 is a Technical Specification to ISO 17021:2011 Conformity assessment -- Requirements for bodies providing audit and certification of management systems. – 2 Competence requirements for auditing and certification of environmental management systems”	Noted and amended.
Annex1, PartIV 2,3./168	KG	<i>... on the forest certification criteria and certify against ISO 17021-2.”</i>	ISO 17021-2 is a Technical Specification with the requirements on the CB. See Annex1, PartIV 2,2./167 above. The CB do not certify against it. The certification standard is in this case PEFC UK Certification Scheme for SFM.	Noted and amended.
Annex1, PartIV 2,7./169	KG	See Annex1, PartIV 2,3./168 above.	See Annex1, PartIV 2,3./168 above.	Noted and amended.
Annex1, PartIV 2,8./169	KG	b) ISO 17021-2:2012 Conformity ...	Delete -2 because it is wrong reference. See also Annex1, PartIV 2,2./167 above.	Noted and amended.
Annex1, PartIV 2,9./169	KG	b) ISO 17021-2:2012 Conformity ...	Delete -2 because it is wrong reference. See also Annex1, PartIV 2,2./167 above.	Noted and amended.
Annex1, Part IV 2.20/ 173	KG	<i>... Accreditation services should normally demonstrate this through membership of the European Co-operation for Accreditation (EA), the International Accreditation Forum (IAF).</i>	Accreditation services should normally demonstrate this through membership 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.	Noted.

Annex1, Part IV 2.21/ 174	KG	<i>... and services) b) ISO 17021 – 2: 2012 Conformity ...</i>	Delete -2 because it is wrong reference. See also Annex1, PartIV 2,2./167 above.	Noted and amended.

Editorial comments

Report chapter / page	PoE member	Consultant's report statement	PoE member editorial comment	Consultant's response
4.1b/39	KG	... accreditation ...	Probably another definition or use of accreditation than accreditation of certification bodies.	Noted.
4.3/43				
5.5/72				
5.6e/82				
Annex4/ 206				

**Annex 6: Post Final Report: Amendments to PEFC
UK Certification Scheme for
Sustainable Forest Management**

Assessors Postscript

While in the process of assessing the revised UKWAS standard, GreenWoodGlobal Consulting, Ltd was notified by PEFC UK in late November, 2016 that there were possible issues with FSC regarding the UKWAS and that some changes to the standard may be necessary. This was confirmed in an email from PEFC UK dated January 3, 2017 which contained an amended version of the UKWAS with changes as called for by FSC. It was decided by GWGC and PEFC UK that the assessment report would be put on hold in order to await approval of the new version of UKWAS. On February 21, PEFC UK requested the report submission be delayed until April when UKWAS might learn if proposed changes being demanded by FSC had been approved.

During the course of the day of February 21, GWGC consulted with PEFC TU and PEFC UK and all parties came to agreement that the delay being asked was too long. GWGC would submit the assessment report using the UKWAS initially submitted. In addition, it was agreed that any further changes made to the UKWAS would call for a subsequent report to PEFC TU by the Assessor to determine if the amended UKWAS was in conformance to PEFC standard requirements. PEFC UK would notify GWGC when it would be germane to proceed with the amended report. As of December 5, 2017, FSC had still not formally approved the changes submitted by UKWAS. On December 12, 2017, GWGC conferred with PEFC TU and it was agreed that the Amended Revised UKWAS report be submitted to PEFC TU using changes submitted January 3 and October 18. (See Table below for timetable of actions)

Timeline for Amended Revised UKWAS Assessment	
Action	Date
Initial notice from PEFC UK that there may be revisions to scheme under assessment by GWGC	29.11.2016
PEFC confirms changes need to be made to the scheme	03.01.2017
GWGC Ltd halts the revised UKWAS assessment process	03.01.2017
GWGC submits Draft Final Report to PEFC TU with the understanding that additional changes may have to be incorporated due to PEFC demands to UKWAS	08.01.2017
PEFC UK asks for delay on Final Report	10.01.2017
PEFC UK asks for delay on report submission until April	21.02.2017
GWGC submits UKWAS Final Report with understanding with PEFC TU and PEFC UK that GWGC will submit amended report once FSC approves changes to UKWAS	21.02.2017
PEFC UK asks amended report be delayed until June	03.05.2017
PEFC UK asks amended report be delayed until notified	08.06.2017
GWGC receives additional UKWAS revisions from PEFC UK	18.10.2017
PEFC UK notifies GWGC they are still awaiting FSC approval	07.11.2017

PEFC UK notifies GWGC they are still awaiting FSC approval	05.12.2017
GWGC notifies PEFC TU and PEFC UK that amended report is being finalized for submission with the understanding that if significant changes come in from FSC the report will be revisited by GWGC	12.12.2017

Process

UKWAS amendments submitted January 3 and October 18 by PEFC UK were reviewed by GWGC to determine what changes needed to be incorporated in the PEFC UK Certification Scheme for Sustainable Forest Management Final Report submitted GWGC February 21, 2017.

Changes to the existing standard were identified and noted. A search was then done of the report's checklist to find the standard text that needed to be modified in order to match the amended version. (See Table below for identified amendments to the UKWAS)

United Kingdom Woodland Assurance Standard: Fourth Edition		
Changes to UKWAS Post Final Standard Revision Assessment Report		
1. Legal Compliance with UKWAS Conformance		
Requirements	Example Verifiers	Guidance
1.1.3a,b,c,d,e	1.1.3	1.1.3
1.1.5		1.1.5
1.1.6 a, b	1.1.6	1.1.6
1.1.7	1.1.7	1.1.7
2. Management Planning		
Requirements	Example Verifiers	Guidance
2.1.2		
2.1.3a,b	2.1.3	2.1.3
2.2.1b, g		
2.3.1c,d,e,f		
2.3.2b		2.3.2
2.8.1b		
2.11.1a		
2.11.2a,b	2.11.2	2.11.2
2.12.1		2.12.1
2.15.1c		
2.15.2		
3. Woodland Operations		
Requirements	Example Verifiers	Guidance
3.4.1a,b,c		
3.4.4a,b		
3.7.2		
4. Natural, Historical, Cultural Environment		
Requirements	Example Verifiers	Guidance
4.1.1a		4.1.1
4.1.2	4.1.2	4.1.2

4.4.3		4.4.3
		4.6.1
		4.6.2
5. People, Communities and Workers		
Requirements	Example Verifiers	Guidance
5.4.1a,b,c		
5.6.1a,b,c,d		5.6.1

Following this, GWGC then reviewed the report’s PEFC Standards Checklist to determine if the modified UKWAS requirements would provide additional support to any of the checklist requirements. If this was found to be the case they were inserted where appropriate.

Finally, GWGC reviewed the UKWAS modifications to determine if there had been a significant change to the UKWAS that would affect its conformity to the PEFC Standard.

Findings

It is the Assessor’s determination that changes to the UKWAS following the submission of the GWGC Final Report are not significant and have no effect on the conformity of the UKWAS to PEFC requirements.

Recommendation

The Assessor recommends that the PEFC Board approves the amended standard.