

PEFC Standard and System Requirement Checklist - PEFC IGD 1007-01:2012 (PEFC Informative Guide) 2012-11-16

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	NP 4406, ch 1 defines the scope and realm of application (paragraph no.3)
b) be clear, objective-based and auditable.	YES	NP 4406, ch1 introduction (paragraph no 5, no.6 and no.7)
c) apply to activities of all operators in the defined forest area who have a measurable impact on achieving compliance with the requirements.	YES	NP 4406, ch3 establishes the requirements of the sustainable forest management system
d) require record-keeping that provides evidence of compliance with the requirements of the forest management standards.	YES	NP 4406, ch3 records (3.3.3) and documentary control (3.3.5)
Specific requirements for SFM standards		
Criterion 1: Maintenance and appropriate enhancement of forest resources and their contribution to the global carbon cycle		
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 tools that support land-use planning and nature conservation.	YES	The requirement is evidenced by indicator A1.1, in NP 4406, Annex A, which states: 'Management planning shall aim at the appropriate use of the forest area, in conformity with principle functions ... and with the management objectives... taking into account the occupation and

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		<p>the existing water and soil functions and enhance the quality of the economic, ecological, cultural and social values of forest resources.</p> <p>Additionally evidences are support by the scheme documentation in Decree law 204/99 that defines the RPFs, which are in line with the PEFC requirement 5.1.1. According to these legally mandatory RPFs, the definition of conservation, protection and production areas takes place at the national and regional levels. Maintenance and increase of forest and other wooded areas and enhancement of forest values are covered which assures full compliance with the PEFC requirement.</p> <p>Decree law 204/99, Annex1 point II, III and IV state that RPFs should include:</p> <ul style="list-style-type: none"> • II: 'Definition of general objectives for protection, conservation and development/enhancement of the forest and other natural resources and specific objectives to reach in the demarcated areas. • III: 'Identification of the most adequate general models for silviculture and management of forest and related resources. •IV: 'Definition of critical areas according to fire hazard risk, sensitivity to erosion and ecological, social and cultural importance, as well as specific rules for silviculture and sustainable use of the resources to implement in these areas.'
<p>5.1.2 Forest management shall comprise the cycle of inventory and planning, implementation, monitoring and evaluation, and shall include an appropriate assessment of the social, environmental and economic impacts of forest management operations. This shall form a basis for a cycle of continuous improvement to minimise or avoid negative impacts.</p>	<p>YES</p>	<p>NP 4406, ch 3.2.4. requires "The forest management plan shall comprise the cycle of inventory and planning, implementation, monitoring and evaluation and shall be kept up-to-date, within revision time periods settled in the present standard, incorporating all the changes that come up in its operationalization</p>

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		and monitoring or changes resulting from any situation of emergency or disaster, as well from changes to legal demands and regulations.” that is identical with PEFC ST 1003, 5.1.12
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.	YES	<p>NP 4406, Annex A1.1: states ‘Management planning shall aim at the appropriate use of the forest area, in conformity with principal functions (production, protection and conservation) and with the management objectives defined for the FMU, taking into account the occupation and the existing water and soil functions and enhance the quality of the economic, ecological, culture and social values of forest resources.’ To comply with A1.1 mandatory inventories and maps on local, regional and national level shall be available about:</p> <ul style="list-style-type: none"> – Distribution by type of soil occupation and forest area functions (production, protection and conservation); Forest area surface (ha) by main species; Non forested forest area surface and; Area under conversion <p>A1.1 also requires the use of mandatory information sources of information at the regional level and group/individual level:</p> <ul style="list-style-type: none"> – National Forest Inventory; Regional Forest Management Plans and/or other sectorial plans; Other relevant tools of territory planning; Soil occupation maps; Inventories, air photography, ortophotomaps.’ <p>NP 4406, Annex B, and B2.3.requires ‘The evaluation of the criteria for sustainable forest management shall be made for the regional FMU. If necessary information for the evaluation is not available or does not exist, it is the responsibility of the FMU manager to ensure its production.’</p> <p>NP 4406, Annex B3.3.The evaluation of the criteria of the sustainable forest management for</p>

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		<p>the group is under the responsibility of the manager responsible for the group FMU, which should thus promote the gathering of all basic information and it's processing.'</p> <p>B2.3 and B3.3 place the responsibility for providing the information for evaluation of the requirements with the FMU manager.</p> <p>NP 4406, 3.2.2: 'The manager of the FMU shall establish a methodology to collect information related to the indicators (Annex A), appropriated to the management objectives and to the information needs for FMU and the respective time period of evaluation. Monitoring results shall be reflected in the forest management plan review.'</p> <p>NP 4406, 3.2.2 demonstrates that the system of mapping and inventories shall be maintained.</p>
<p>5.1.4 Management plans or their equivalents, appropriate to the size and use of the forest area, shall be elaborated and periodically updated. They shall be based on legislation as well as existing land-use plans, and adequately cover the forest resources.</p>	<p>YES</p>	<p>P 4406, 3.2.3 requires 'The manager of the FMU shall establish and maintain a procedure for the identification and updating of the applicable legislation and international treaties and agreements to which the country is signatory, such as ...' and 'The manager of the FMU shall ensure, at the FMU level, the fulfilment of legal obligations and obligations resulting from international treaties and agreements signed by Portugal.'</p> <p>NP 4406, 3.2.4: requires 'The forest management plan is a document with relevant information that shall promote the continuous improvement of the sustainable forest management in the FMU ... The forest management plan shall fit in the FMU dimension and complexity ... and shall be kept up-to-date, within revision periods settled in the present standard.</p> <p>NP 4406, Annex B.2.1 d requires "the sustainable forest management plan includes the</p>

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		forest planning and modelling guidelines of the respective(s) PROF's covered within the FMU boundaries"
<p>5.1.5 Management plans or their equivalents shall include at least a description of the current condition of the forest management unit, long-term objectives; and the average annual allowable cut, including its justification and, where relevant, the annually allowable exploitation of non-timber forest products.</p>	YES	<p>NP 4406, ch 3.2.4 requires 'The forest management plan is a document with relevant information that shall promote the continuous improvement of the sustainable forest management in the FMU and its operationalization, having in consideration the results obtained in the environmental and socio-economic impact assessment' ... "The forest management plan shall fit in the FMU dimension and complexity, shall describe the objectives and goals in compliance with the requirements related with indicators of Annex A.."</p> <p>NP ch 3.2.1 requires "The manager of the FMU shall collect relevant information to describe the aspects of the activities with significant environmental and socio-economic impact in the FMU, having as a reference the criteria for the sustainable forest management, including:</p> <ul style="list-style-type: none"> - characterization of the FMU dimension and complexity; - predicted and carried out activities in the FMU; - characterization of the reference situation using the criteria for sustainable forest management (Annex A) for the FMU, or from the monitoring outcome; - points of view of the stakeholders. <p>NP4406, Annex A.1.1 requires "Management planning shall guarantee the quantity and the quality of the forest resources at medium and long term, with a balance between harvesting and growth rates"</p>
<p>5.1.6 A summary of the forest management plan or its equivalent appropriate to the scope and scale of forest</p>	YES	NP 4406, ch 3.2.4 requires "The manager of the FMU shall, by

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<p>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>request, make available a summary covering the principal elements about the FMU management, respecting the confidentiality of the information” that is consistent with PEFC ST 1003, 5.1.6</p>
<p>5.1.7 Monitoring of forest resources and evaluation of their management shall be periodically performed, and results fed back into the planning process.</p>	<p>YES</p>	<p>NP 4406, ch 3.4.1 requires “The manager of the FMU shall establish and maintain documented procedures for accompanying and evaluating compliance with the forest management plan, according to established objectives and goals”</p> <p>NP 4406, 3.2.4: requires “The forest management plan shall comprise the cycle of inventory and planning, implementation, monitoring and evaluation and shall be kept up-to-date, within revision time periods settled in the present standard, incorporating all the changes that come up in its operationalization and monitoring or changes resulting from any situation of emergency or disaster, as well from changes to legal demands and regulations.”</p> <p>NP 4406, ch 3.4.5 requires “The manager of the FMU shall undertake a periodic review of the system...”</p>
<p>5.1.8 Responsibilities for sustainable forest management shall be clearly defined and assigned.</p>	<p>YES</p>	<p>NP 4406, 3.3.1 requires” The functions, responsibilities and authority of the technical corps and the direction shall be defined by the manager of the FMU, then documented and communicated so as to guarantee effectiveness of the forest management.”</p>
<p>5.1.9 Forest management practices shall safeguard the quantity and quality of the forest resources in the medium and long term by balancing harvesting and growth rates, and by preferring techniques that minimise direct or indirect damage to forest, soil or water resources.</p>	<p>YES</p>	<p>NP 4406, Annex A, A.1.2 requires “Management planning shall guarantee the quantity and the quality of the forest resources at medium and long term, with a balance between harvesting and growth rates” and “Management planning shall establish measures that ensure that appropriate forest management proactive are conducted in such a way that</p>

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		<p>minimize direct and indirect damages to the forest resources” that is consistance with PEFC ST 1003, 5.1.9</p> <p>Complementary NP 4406, Annex A, A.5.1 requires “The forestry management planning shall aim at the soil and water protection, taking into account the guidelines of the national, regional or local policy instruments, for the management of these resources”</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>NP 4406, Annex A, A1.2 requires ‘Management planning shall maintain or lead the total volume of the resources at an economical, ecological or socially desirable level’ that is consistance with PEFC ST 1003, 5.1.10.</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> <ul style="list-style-type: none"> a) is in compliance with national and regional policy and legislation relevant for land use and forest management and is a result of national or regional land-use planning governed by a governmental or other official authority including consultation with materially and directly interested persons and organisations; and b) entails a small proportion of forest type; and 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 d) makes a contribution to long-term conservation, economic, and social benefits. 	<p>YES</p>	<p>NP 4406, ch. 2.1.13 provides the definition of forest conversion that covers conversion of forests to other type of land use and conversion of primary forests to forest plantations.</p> <p>NP 4406, Annex A, A.1.1 includes a text relating to the forest conversion that is consistente with PEFC ST 1003, 5.1.11.a) b) c) and d)</p>
<p>5.1.12 Conversion of abandoned agricultural and treeless land into forest land shall be taken into consideration, whenever it can add economic, ecological, social and/or cultural value.</p>	<p>YES</p>	<p>NP 4406, Annex A, A.1.1 requires “Conversion of abandoned agricultural and treeless land into forest land shall be taken into consideration, whenever it can add economic, ecological, social and/or cultural value” that is identical with PEFC ST 1003, 5.1.12.</p>
<p>5.2.1 Forest management planning shall aim to maintain and increase the health and vitality of forest ecosystems and to rehabilitate degraded forest ecosystems, whenever this is possible by silvicultural means.</p>	<p>YES</p>	<p>NP 4406, Annex A, A.2.3 requires “Forest management planning shall aim to maintain and increase the health and vitality of forest ecosystems and to rehabilitate</p>

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		degraded forest ecosystems, whenever this is possible by silvicultural means” that is identical with PEFC ST 1003, 5.2.1
Criterion 2: Maintenance of forest ecosystem health and vitality		
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.	YES	NP 4406, Annex A, A.2.3 requires “The manager of the FMU shall monitor the health and vitality of the forest, for example, by the proportion of crowns showing signs of defoliation, identifying, whenever possible, the cause, specially the biotic and abiotic key factors, such as: pests, diseases, excessive pasture and cattle heads, damages caused by climatic factors or by forest management operations, hunting and tourism and inner waters fishing activities” that is consistance with PEFC ST 1003, 5.2.2.
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.	YES	NP 4406, Annex A, A.2.3 requires The manager of the FMU shall monitor the health and vitality of the forest, for example, by the proportion of crowns showing signs of defoliation, identifying, whenever possible, the cause, specially the biotic and abiotic key factors, such as: pests, diseases, excessive pasture and cattle heads, damages caused by climatic factors or by forest management operations, hunting and tourism and inner waters fishing activities” that is consistance with PEFC ST 1003, 5.2.3.
5.2.4 Forest management plans or their equivalentents 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.	YES	NP 4406, 3.2.4: ‘The forest management plan is a document with relevant information that shall promote the continuous improvement of the sustainable forest management in the FMU and its operationalization, having in consideration the results obtained in the environmental and socio-economic impact assessment.’ NP 4406, Annex A2.1: ‘The manager of the FMU shall evaluate the risk for fire hazard in the FMU and take into account the existing and/or commentary preventive and

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		<p>protection mechanisms against forest fires.'</p> <p>NP 4406, Annex A2.2: 'The manager of the FMU shall promote the appropriate balance of the nutritional levels in the soil. If necessary, the use of fertilizers should be applied in a controlled way and with a minimum impact as possible.'</p> <p>NP 4406, Annex A5.1: 'Special attention is to be given to FMU activities with potential impact in soil and water. Management guidelines and mitigation measures shall be defined. In this context erosion and compactation phenomena, oil spill and waste deposit as a result of forest management operations must be avoided.'</p> <p>NP 4406, Annex A5.2: 'The manager of the FMU shall plan, establish and maintain an appropriate network of roads and trails, fire-breaks or bridges to ensure an efficient distribution of goods and services in the FMU and improve the protection and accessibility against forest fires. The planning and the construction of this network should be done minimizing the soil exposure, avoiding watercourses siltation and preserving the natural level and functions of the watercourses and riverbeds and minimizing any damages in other conservation areas existing in the FMU.'</p> <p>Risks regarding fire, soil nutrition, use of chemicals, soil and water conservation and road construction are specifically addressed in separate indicators. References are made to regional and national statistics and policy instruments as information sources</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</p>	<p>YES</p>	<p>NP 4406, Annex A, A2.3 requires "Forest management practices shall make best use of natural structures and process and use preventive biological measures wherever and as far as economically feasible" that is</p>

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adverse environmental factors and strengthen natural regulation mechanisms.		<p>consistent with PEFC ST 1003, 5.2.5. (1st paragraph)</p> <p>NP 4406, Annex A, A2.3 requires "Adequate genetic, species and structural diversity shall be encouraged and/or maintained to enhance the stability, vitality and resistance capacity of forest to adverse environmental factors and strengthen natural regulation mechanisms." that is identical with PEFC ST 1003, 5.2.5 (2nd paragraph).</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.	YES	NP 4406, Annex A, A.2.1 includes a text "Lighting of fires shall only be applied for the achievement of the management goals for the FMU, and in strict line with the relevant legislation" that is consistence with PEFC ST 1003, 5.2.6.
5.2.7 Appropriate forest management practices such as reforestation and afforestation with tree species and provenances that are suited to the site conditions or the use of tending, harvesting and transport techniques that minimise tree and/or soil damages shall be applied. The spillage of oil during forest management operations or the indiscriminate disposal of waste on forest land shall be strictly avoided. Non-organic waste and litter shall be avoided, collected, stored in designated areas and removed in an environmentally-responsible manner.	YES	<p>NP 4406, Annex A, A.4.4 requires "For reforestation and afforestation, origins of native species and local provenances that are well-adapted to site conditions shall be preferred, where appropriate. It's considered appropriate only those introduced species, provenances or varieties whose impacts on the ecosystem and on genetic integrity of native species and local provenances have been evaluated, and if negative impacts can be avoided or minimized" that is consistence with PEFC ST 1003, 5.2.7 (1st paragraph)</p> <p>NP 4406, Annex A,A5.1 requires "Organic and non-organic waste and litter and oil spill, as the result of forest management operations shall be avoided, collected, stored in designated areas and removed in an environmentally-responsible manner" that is consistent with PEFC ST 1003, 5.2.7 (2nd paragraph)</p>
5.2.8 The use of pesticides shall be minimised and appropriate silvicultural alternatives and other biological measures preferred.	YES	NP 4406, A.2.3 requires "The use of chemical products should be the minimum, taking in consideration the appropriate silviculture and other biological actions" that is

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		consistence with PEFC ST 1003, 5.2.8.
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.	YES	NP 4406, A.2.3 requires “The WHO Type 1A and 1B pesticides and other highly toxic pesticides shall be prohibited, except where no other viable alternative is available” that is identical with PEFC ST 1003, 5.2.9.
5.2.10 Pesticides, such as chlorinated hydrocarbons whose derivate remain biologically active and accumulate in the food chain beyond their intended use, and any pesticides banned by international agreement, shall be prohibited.	YES	NP 4406, A.2.3 requires “Pesticides, such as chlorinated hydrocarbons whose derivate remain biologically active and accumulate in the food chain beyond their intended use, and any pesticides banned by international agreement, shall be prohibited” that is identical with PEFC ST 1003, 5.2.10.
5.2.11 The use of pesticides shall follow the instructions given by the pesticide producer and be implemented with proper equipment and training.	YES	<p>NP 4406, ch. 3.2.3 requires compliance with national legislation.</p> <p>NP 4406, ch. 3.3.2 includes a general requirement for the FMU manager to survey the training needs and to ensure training of all staff whose activities have impact on the FMU. It is assumed that those training needs would also cover pesticides usage.</p> <p>NP 4406, ch. 3.3.6 includes a general requirement for the FMU manager to define criteria for execution of operations foreseen in the forest management plan.</p> <p>NP 4406, A.6.3 includes requirements for the usage of competent personnel and their training.</p> <p>NP 4406, A.6.4 includes requirements relating to health and safe working conditions, including education and instructions. This cover the usage of pesticides to minimize the health and safety risks.</p> <p>NO 4406, 4.2.3/Law No. 173/2005[2]</p> <p>NP 4406, ch. 4.2.3 requires the FMU managers to identify</p>

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		applicable legislation and Decree law No 173/2005 [2] requires respect to instructions expressed on the pesticides label (Art. 13 (1,2)) [i.e. producers instructions]; compliance with a Code of Conduct (Art. 13 and 20); records-keeping (Art. 13); training and qualification of pesticides' "applicators" (Art. 14); pesticides' storage (Art. 18); and disposal of packaging waste and surplus of pesticides (Art. 19) which cover environmental risks of the improper usage of pesticides.
5.2.12 Where fertilisers are used, they shall be applied in a controlled manner and with due consideration for the environment.	YES	NP 4406, A.2.2, requires "fertilizes should be applied in a controlled way and with a minimum impact as possible" that is consistence with PEFC ST 1003, 5.2.12.
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	NP 4406, Annex A, A3.1 requires 'The management planning shall identify and promote the different types of wood and non-wood products attending the management objectives agreed for the FMU" that is consistence with PEFC ST 1003, 5.3.1.
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.	YES	P 4406, Annex A, A6.2: 'Planning shall promote the economic viability considering the production costs and benefits, ensuring the needed investments to maintain forest productivity.' that is consistence with PEFC ST 1003, 5.3.2.
5.3.3 Forest management plans or their equivalents shall take into account the different uses or functions of the managed forest area. Forest management planning shall make use of those policy instruments set up to support the production of commercial and non-commercial forest goods and services.	YES	NP 4406, 3.2.4 requires 'The forest management plan shall fit in the FMU dimension and complexity, in articulation with existing instruments for sectorial planning.' NP 4406, Annex A, A3.1: 'The management planning shall identify and promote the different types of wood and non-wood products attending the management objectives agreed for the FMU. Commercialized wood and non-wood productions in

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		<p>the FMU shall be quantified.”</p> <p>NP 4406, Annex B.2.1. d “The sustainable forest management plan includes the forest planning and modelling guidelines of the respective(s) PROF’s covered within the FMU boundaries”</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>NP 4406, Annex A, A3.1 requires ‘The management planning shall identify and promote the different types of wood and non-wood products attending the management objectives agreed for the FMU.</p> <p>NP 4406, Annex A, A3.2 requires “The manager planning shall aim at maximizing the productivity of the products according to the management objectives defined to the FMU.”</p>
<p>5.3.5 Regeneration, tending and harvesting operations shall be carried out in time, and in a way that does not reduce the productive capacity of the site, for example by avoiding damage to retained stands and trees as well as to the forest soil, and by using appropriate systems.</p>	<p>YES</p>	<p>NP 4406, Annex A, A3.2: ‘The manager planning shall aim at maximizing the productivity of the products according to the management objectives defined to the FMU. The management planning should adjust the level of utilization with the site quality and the best moment for harvesting.’</p> <p>NP 4406, Annex A, A 4.4.: ‘The management plans shall aim at the use of the most suitable regeneration type to the environment and to the forest species used within the objectives, ensuring a viable regeneration and a stand of good quality.’</p> <p>NP 4406, Annex A, A5.1: ‘Special attention is to be given to FMU activities with potential impact in soil and water and the necessary management guidelines and mitigation measures shall be defined. In this context erosion and compaction phenomena, oil spill and waste deposit as a result of forest management operations must be avoided, collected, stored in designated areas and removed in an environmentally-responsible manner.”</p>

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5.3.6 Harvesting levels of both wood and non-wood forest products shall not exceed a rate that can be sustained in the long term, and optimum use shall be made of the harvested forest products, with due regard to nutrient off-take.	YES	NP 4406, Annex A, A.2.2 requires "Harvesting levels of both wood and non-wood forest products shall not exceed a rate that can be sustained in the long term, and optimum use shall be made of the harvested forest products, with due regard to nutrient off-take" that is identical with PEFC ST 1003 requirement 5.3.6
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.	YES	NP 4406, Annex A, A.3.1 requires "In the case of non-wood products that are of the responsibility of the manager/owner and which are covered in management planning, its exploitation, including hunting and fishing shall be regulated, monitored and controlled" that is consistency with PEFC ST 1003 requirement 5.3.7
5.3.8 Adequate infrastructure such as roads, skid tracks or bridges shall be planned, established and maintained to ensure efficient delivery of goods and services while minimising negative impacts on the environment.	YES	NP 4406, Annex A, A5.2 requires 'The manager of the FMU shall plan, establish and maintain an appropriate network of roads and trails, fire-breaks or bridges to ensure an efficient distribution of goods and services in the FMU and improve the protection and accessibility against forest fires. The planning and the construction of this network should be done minimizing the soil exposure, avoiding watercourses siltation and preserving the natural level and functions of the watercourses and riverbeds and minimizing any damages in other conservation areas existing in the FMU' that is consistency with PEFC ST 1003 requirement 5.3.8
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 4406, Annex A, A1.3 requires 'Management planning shall aim at the maintenance or the enhancement of the structural diversity at FMU level, according to management objectives, except when it's necessary to defend the forest against biotic and e non-biotic factors.'

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		<p>NP 4406, Annex A, A.2.3- Biotic and abiotic factors, paragraph no.3</p> <p>NP 4406, Annex A, A4.1: 'The manager planning shall aim at the maintenance of the biological diversity and its conservation. The management planning shall define objectives in agreement with the orientations of the policy instruments and the objectives established for biological diversity at a national and/or regional scale.'</p> <p>Annex A, A.4.4 requires "The use of forest breeding material shall take into account genetic diversity"</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>d) globally, regionally and nationally significant large landscape areas with natural distribution and abundance of naturally occurring species.</p>	<p>YES</p>	<p>NP 4406, A.4.1 includes a text "Forest management planning, inventory and mapping of forest resources shall identify, protect and/or conserve forest areas that are considered ecologically important because they contain significant concentrations of:</p> <ul style="list-style-type: none"> – protected, rare, sensitive or representative forest ecosystems such as riparian areas and wetland biotopes; – endangered or protected genetic <i>in situ</i> resources; and taking; – abundance of species (naturally occurring), with globally, regionally and nationally significant; – large landscape areas with natural distribution. <p>That is consistence with PEFC ST1003 5.4.2</p> <p>Additional NP 4406, A.4.2 requires protection of protected and endangered species and their habitats.</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>NP 4406, A.4.2 prohibits commercial utilisation of protected and endangered species and requires measures, where necessary, to increase their population.</p>

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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.	YES	NP 4406, A.4.4 includes a text "Forest management planning shall ensure for reforestation and afforestation through natural regeneration or when not appropriate, by planting resorting to the most suitable breeding material so to ensure the quantity and quality of the resources" that is consistence with PEFC ST 5.4.4
5.4.5 For reforestation and afforestation, origins of native species and local provenances that are well-adapted to site conditions shall be preferred, where appropriate. Only those introduced species, provenances or varieties shall be used whose impacts on the ecosystem and on the genetic integrity of native species and local provenances have been evaluated, and if negative impacts can be avoided or minimised.	YES	NP 4406, A.4.4 includes a text "For reforestation and afforestation, origins of native species and local provenances that are well-adapted to site conditions shall be preferred, where appropriate. It's considered appropriate only those introduced species, provenances or varieties whose impacts on the ecosystem and on genetic integrity of native species and local provenances have been evaluated, and if negative impacts can be avoided or minimized" that is consistence with PEFC ST 5.4.5
5.4.6 Afforestation and reforestation activities that contribute to the improvement and restoration of ecological connectivity shall be promoted.	YES	NP 4406, A.5.1 requires "The forestry management planning should also safeguard the protection of existent water resources namely watercourses, riparian corridors and others existing water systems in the FMU."
5.4.7 Genetically-modified trees shall not be used.	YES	NP 4406, Annex A.4.4 includes a text stating "the use of modified genetic plants is not allowed" which is in line with PEFC ST 1003, 5.4.7. NP 4406, ch. 2.2.50 provides definition of genetically modified plants based on the Portuguese national legislation.
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	NP 4406, Annex A, A1.3 requires "Management planning shall aim at the maintenance or the enhancement of the structural diversity at FMU level, according to management objectives, except when it's necessary to defend the

Question	YES / NO*	Reference to scheme documentation
		forest against biotic and e non-biotic factors.’ ” that is consistent with PEFC ST1003, 5.4.8
5.4.9 Traditional management systems that have created valuable ecosystems, such as coppice, on appropriate sites shall be supported, when economically feasible.	YES	NP 4406, A.4.4 requires “Traditional management systems that have created valuable ecosystems, such as coppice, on appropriate sites shall be supported, when economically feasible” that is identical with PEFC ST1003, 5.4.9
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.	YES	NP 4406, Annex A, A.1.2: ‘Management planning shall guarantee the quantity and the quality of the forest resources at medium and long term, with a balance between harvesting and growth rates.’ NP 4406, Annex A, A4.1: ‘The manager planning shall aim at the maintenance of the biological diversity and its conservation.’ NP 4406, Annex A, A5.1: ‘Special attention is to be given to FMU activities with potential impact in soil and water. Management guidelines and mitigation measures shall be defined.’
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.	YES	NP 4406, A.5.2 requires “The planning and the construction of this network should be done minimizing the soil exposure, avoiding watercourses siltation and preserving the natural level and functions of the watercourses and riverbeds and minimizing any damages to protected and/or threatened species and habitats and endemic species, taking into consideration their migration patterns, existing in the FMU” which is line with PEFC ST1003, 5.1.11
5.4.12 With due regard to management objectives, measures shall be taken to balance the pressure of animal populations and grazing on forest regeneration and growth as well as on biodiversity.	YES	NP 4406, Annex A.2.3. requires “The manager of the FMU shall monitor the health and vitality of the forest, for example, by ... key factors, such as: pests, diseases, excessive pasture and cattle heads, damages caused by climatic factors or by forest management operations, hunting

Question	YES / NO*	Reference to scheme documentation
		and tourism and inner waters fishing activities. The manager of the FMU shall establish proceedings to unleash appropriate actions, when damages in the stand are visible.' that is consistent with PEFC ST1003, 5.1.12
5.4.13 Standing and fallen dead wood, hollow trees, old groves and special rare tree species shall be left in quantities and distribution necessary to safeguard biological diversity, taking into account the potential effect on the health and stability of forests and on surrounding ecosystems.	YES	NP 4406, Annex A, A.4.3 requires "The management planning shall aim at the conservation of long lived and cavernous trees and dead wood. The long lived and cavernous trees conservation and the existing dead wood (stand up and fallen) is important to preserve as a safeguard for biological diversity, if it doesn't constitute focus of phytosanitary problems, excess of fuel or to be a risk for people and its belongings." that is consistent with PEFC ST1003, 5.1.13
Criterion 5: Maintenance and appropriate enhancement of protective functions in forest management (notably soil and water)		
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.	YES	<p>NP 4406, Annex A1.1. requires "Management planning shall aim at the appropriate use of the forest area, in conformity with principal functions (production, protection and conservation) and with the management objectives defined for the FMU, taking into account the occupation and the existing water and soil functions and enhance the quality of the economic, ecological, culture and social values of forest resources '</p> <p>NP 4406, Annex A 5.1: 'The forestry management planning shall aim at the soil and water protection, taking into account the guidelines of the national, regional or local policy instruments, for the management of these resources.'</p> <p>NP 4406, Annex A, A5.2: 'The manager of the FMU shall plan, establish and maintain an appropriate network of roads and trails, fire-breaks or bridges to ensure an efficient distribution of goods and services in the FMU and improve the protection and</p>

Question	YES / NO*	Reference to scheme documentation
		accessibility against forest fires.
<p>5.5.2 Areas that fulfil specific and recognised protective functions for society shall be registered and mapped, and forest management plans or their equivalents shall take these areas into account.</p>	YES	<p>NP 4406, Annex A.5.1: 'The forestry management planning shall aim at the soil and water protection, taking into account the guidelines of the national, regional or local policy instruments, for the management of these resources. The areas that have specific and recognized protective functions for soil and water, as well as the areas with vulnerable soils shall be registered and mapped.'</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>	YES	<p>NP 4406, Annex A.5.1: 'The forestry management planning shall aim at the soil and water protection, taking into account the guidelines of the national, regional or local policy instruments, for the management of these resources ... Special attention is to be given to FMU activities with potential impact in soil and water. Management guidelines and mitigation measures shall be defined. In this context erosion and compactation phenomena, oil spill and waste deposit as a result of forest management operations must be avoided. The forestry management planning should also safeguard the protection of existent water resources namely watercourses, riparian corridors and others existing water systems in the FMU.'</p> <p>NP 4406, Annex A 2.3: 'The manager of the FMU shall monitor the health and vitality of the forest, for example ... excessive pasture and cattle heads. The manager of the FMU shall establish proceedings to unleash appropriate actions, when damages in the stand are visible.'</p> <p>NP 4406, Annex A, A.6.3 Sufficient information and encouragement shall be supplied to the different intervenients of the FMU (forest managers, contractors, forest employees and owners), to implement continuous education and training about sustainable forestry.</p>

Question	YES / NO*	Reference to scheme documentation
<p>5.5.4 Special care shall be given to forest management practices in forest areas with water protection functions to avoid adverse effects on the quality and quantity of water resources. Inappropriate use of chemicals or other harmful substances or inappropriate silvicultural practices influencing water quality in a harmful way shall be avoided.</p>	<p>YES</p>	<p>NP 4406, Annex A 5.1: 'The forestry management planning shall aim at the soil and water protection, taking into account the guidelines of the national, regional or local policy instruments, for the management of these resources ... Special attention is to be given to FMU activities with potential impact in soil and water. Management guidelines and mitigation measures shall be defined. In this context erosion and compactation phenomena, oil spill and waste deposit as a result of forest management operations must be avoided. The forestry management planning should also safeguard the protection of existent water resources namely watercourses, riparian corridors and others existing water systems in the FMU.'</p> <p>NP 4406, Annex A2.3 requires 'The use of chemical products should be the minimum, taking in consideration the appropriate silviculture and other biological actions</p> <p>NP 4406, Annex A, A.6.3 Sufficient information and encouragement shall be supplied to the different intervenients of the FMU (forest managers, contractors, forest employees and owners), to implement continuous education and training about sustainable forestry.</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>NP 4406, Annex A5.2: 'The manager of the FMU shall plan, establish and maintain an appropriate network of roads and trails, fire-breaks or bridges to ensure an efficient distribution of goods and services in the FMU and improve the protection and accessibility against forest fires. The planning and the construction of this network should be done minimizing the soil exposure, avoiding watercourses siltation and preserving the natural level and functions of the watercourses and riverbeds and minimizing any damages in other conservation</p>

Question	YES / NO*	Reference to scheme documentation
		areas existing in the FMU.'
Criterion 6: Maintenance of other socio-economic functions and conditions		
5.6.1 Forest management planning shall aim to respect the multiple functions of forests to society, give due regard to the role of forestry in rural development, and especially consider new opportunities for employment in connection with the socio-economic functions of forests.	YES	NP 4406, Annex A6.3: The forest management planning shall respect the different forestry functions for the society, taking into account the significance of forestry in rural development and also new employment opportunities related to the socioeconomic functions of forests. Sufficient information and encouragement shall be supplied to the different intervenients of the FMU (forest managers, contractors, forest employees and owners), to implement continuous education and training about sustainable forestry.
5.6.2 Forest management shall promote the long-term health and well-being of communities within or adjacent to the forest management area.	YES	NP 4406, A.6.5 requires "Taking into account the maintenance of other socio-economic functions and conditions forest management shall promote the long-term health and well-being of communities within or adjacent to the forest management area.
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.	YES	NP 4406, Annex A.6.1 requires "In the certified area, the property rights and the ownership land should be well defined, documented and established. Also the legal rights, consuetudinary, should be recognised and respected. NP 4406, 3.2.3: 'The manager of the FMU shall ensure, at the FMU level, the fulfilment of legal obligations and obligations resulting from international treaties and agreements signed by Portugal
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	NO	The requirement is not applicable as there are no indigenous people in Portugal.

Question	YES / NO*	Reference to scheme documentation
the processes and roles and responsibilities laid out in the policies and laws where the certification takes place.		
5.6.5 Adequate public access to forests for the purpose of recreation shall be provided taking into account respect for ownership rights and the rights of others, the effects on forest resources and ecosystems, as well as compatibility with other functions of the forest.	YES	NP 4406, Annex A 6.5 requires 'Forest management plan shall protect areas with special and recognized historical, cultural or spiritual importance. Must also have into account other socio-economic functions, especially the recreational function and the aesthetic values of forests. Taking into account the owner's and other stakeholders' rights, an adequate access of the public to the forests, should be permitted, if forest resources and ecosystems are safeguarded"
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.	YES	NP 4406, A.6.5 requires that a forest management plan shall protect areas with special and recognized historical, cultural or spiritual importance.
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.	YES	NP 4406, Annex A 6.5 requires 'Forest management plan shall protect areas with special and recognized historical, cultural or spiritual importance. Must also have into account other socio-economic functions, especially the recreational function and the aesthetic values of forests.
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.	YES	NP 4406, Annex A 6.3: 'Sufficient information and encouragement shall be supplied to the different intervenients of the FMU (forest managers, contractors, forest employees and owners), to implement continuous education and training about sustainable forestry.
5.6.9 Forest management practices shall make the best use of local forest-related experience and knowledge, such as those of local communities, forest owners, NGOs and local people.	YES	NP 4406, A.6.5 requires "Forest management practices shall make the best use of local forest-related experience and knowledge, such as those of local communities, forest owners, NGOs and local people" which is identical with PEFC ST1003, 5.6.9
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	YES	NP 4406, ch. 3.3.3 requires The manager of the FMU shall provide for effective communication and consultation with local people and

Question	YES / NO*	Reference to scheme documentation
complaints and disputes relating to forest management between forest operators and local people.		other stakeholders relating to sustainable forest management. Shall also establish a procedure for receiving, documenting and responding to questions raised by stakeholders, as well provide appropriate mechanisms for resolving complains and demonstrate a pro-active attitude in resolving disputes relating to forest management between forest operators and local people” that is in line with PEFC ST 1003, 5.6.10.
5.6.11 Forestry work shall be planned, organised and performed in a manner that enables health and accident risks to be identified and all reasonable measures to be applied to protect workers from work-related risks. Workers shall be informed about the risks involved with their work and about preventive measures.	YES	NP 4406, A.6.4 requires “The manager of the FMU must ensure that forestry work shall be planned, organised and performed in a manner that enables the identification work-related dangers and work-related risk assesment (work accidents and professional health diseases) as well the application of all reasonable preventive and protection measures concerning the foretry work to be performed. Workers shall be informed and trained about the risks involved with their work and about the applicable preventive measures.” that is in line with PEFC ST 1003, 5.6.11
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	NP 4406, Annex A6.4 requires “The manager of the FMU must ensure that forestry work shall be planned, organised and performed in a manner that enables the identification work-related dangers and work-related risk assesment (work accidents and professional health diseases) as well the application of all reasonable preventive and protection measures concerning the foretry work to be performed. Workers shall be informed and trained about the risks involved with their work and about the applicable preventive measures.” that is in line with PEFC ST 1003, 5.6.12
5.6.13 Forest management shall comply with fundamental ILO conventions.	YES	NP 4406, ch 3.2.3 requires “The manager of the FMU shall establish and maintain a procedure for the identification and updating of the applicable legislation and international treats and

Question	YES / NO*	Reference to scheme documentation
		agreements to which the country is signatory, such as ... Relevant ILO Conventions (International Labour Organisation)..."
5.6.14 Forest management shall be based inter-alia on the results of scientific research. Forest management shall contribute to research activities and data collection needed for sustainable forest management or support relevant research activities carried out by other organisations, as appropriate.	YES	NP 4406, ch 3.2.4 "Whenever relevant to the activities conducted at the FMU, forest management shall be based inter-lia on the results of scientific research." Additional NP4406, Annex A.6.5 requires "It also shall contribute to research activities and data collection needed for sustainable forest management or support relevant research activities carried out by other organizations, as appropriate."
Criterion 7: Maintenance and appropriate enhancement of protective functions in forest management (notably soil and water)		
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.	YES	NP 4406, ch. 3.2.3 requires the FMU managers to identify an update applicable legislation. NP 4406, ch. 3.2.3 requires the manager to ensure, at the FMU level compliance with legal obligations.
5.7.2 Forest management shall provide for adequate protection of the forest from unauthorised activities such as illegal logging, illegal land use, illegally initiated fires, and other illegal activities.	YES	NP 4406, ch. 3.2.3 requires compliance with legal obligations which include all the attributes defined in PEFC requirement 5.7.2., complemented by NP 4406, A.2.1 confirming that it covers protection of forest against fires initiated by other parties.

* 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.

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.