



Conformity Assessment
of the
Revised CERTFOR System
Final Report
June 20, 2016

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Acronyms and Abbreviations:

BOD	Board of Directors
CR	Criteria
CAR	Corrective Action Request
CTF	Forestry Workers Union
CoC	Chain of Custody
EA	European Cooperation for Accreditation
FMU	Forest Management Unit
FMP	Forest Management Plan
FMS	Forest Management Standard
GD	Guidance Document
GWGC	GreenWoodGlobal Consulting, Ltd.
IN	Indicator
IAF	International Accreditation Forum
IGD	Internal Guidance Document
ILO	International Labor Organization
INN	Instituto Nacional de Normalizacion
INFOR	National Forestry Institute
ISO/IEC	International Standards Organization/International Electrotechnical Commission
N/A	Not Applicable
NCh-ISO	
PEFC	Programme for the Endorsement of Forest Certification
PEFCC	PEFC Council

POE	Panel of Experts
SFM	Sustainable Forest Management
TBD	To Be Determined
TU	Technical Unit
WHO	World Health Organization
WG	Working Group

1. Introduction

1.1 Scope of the Assessment

The scope of this assessment is to compare the CERTFOR System 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 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 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 National Governing Body, Certfor Chile on 09.30.2015.
- Step 2: PEFC 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 CertforChile asking for additional evidentiary documents not included in the initial package of documentation.
- Step 4: Develop Technical Committee stakeholder survey and submit it to TC 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 and Certfor Chile on 03.27.2016 providing a detailed draft evaluation of the CERTFOR System 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 CERTFOR System
 - 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 Certfor Chile responses regarding The First Draft Report
- Step 8: Review surveys from respondents of the CERTFOR System TC
- Step 9: Review comments from PEFC TU regarding The Draft Report

Step 10: Adjustments to report based on feedback from PEFC TU and Certfor Chile

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 CERTFOR System as outlined in **Scope of the Assessment**.

1.3.1 Assessment of Documents

The assessment of the scheme and review of documents provided by Certfor Chile (see Chapter 1.4) was conducted from the office of GreenWoodGlobal Consulting, Ltd. As this was a standard revision procedure by Certfor Chile, a field visit was not required. The technical documentation provided in the CERTFOR System 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 Certfor Chile 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 CERTFOR System. 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 19 November, 2015 through 18 January, 2016. At the closure of the 60 day international consultation period it was determined that no comments had been filed with respect to the CERTFOR System. (See Annex 3)

Also, during the CERTFOR System assessment period, the Assessor developed a survey for the CERTFOR System Technical Committee (TC) responsible for the scheme revision and other stakeholders involved in the process. A nine-question survey was then translated into Spanish and reviewed by Mr. Andre' LaRoze, CertforChile Executive Secretariat for proper translation and grammar. Past members of the Technical Committee received the survey by way of e-mail and were provided with a 14-day response period. Thirteen survey responses were received within the requested response period. (See Annex 2)

1.4 Timetable of Assessment

The following table illustrates the actions and time involved during the CERTFOR System assessment.

Table 1: Assessment Process Schedule

Timetable for CERTFOR System Assessment		
Date	Action	Elapsed Time
20.02.2016	Begin Phase I: Assessment of CERTFOR System	
23.03.2016	Survey to Work Group Members	2 Weeks
27.03.2016	Submission of Draft Report to PEFC Secretariat and Certfor Chile for review and comment*	5 Weeks
28.03.2016	Draft Report Review and Comment Period of Certfor Chile	1 Day
22.04.2016	Draft Report Review and Comment Period of PEFC TU	3 Weeks
23.04.2016	Commence Phase II of Assessment	3 Weeks
13.05.2016	Draft Final Report Submitted to PEFC TU	3 Weeks
27.05.2016	Submission to PEFC Panel of Experts for Review	06.06.2016
12.06.2016	Inclusion of POE Comments	
	Submission of Final Report to PEFC Secretariat	20.06.2016

1.5 Reference Documents and Sources

The following is a list of documents provided by Certfor Chile to the PEFC Secretariat for the conformity assessment to evaluate for the re-endorsement of the CERTFOR System.

Normative Documents Provided by Certfor Chile:

1. CERTFOR Standard and System Requirement Checklist (September 2015).
2. DN-01-01 CERTFOR System Manual (September 2015).
3. DN-01-02 Procedure for the Development and Revision of CERTFOR Standards (January 2014).
4. DN-02-04 PEFC Logo Usage Rules (September 2015).
5. DN-02-05 CERTFOR Standard for Sustainable Management of Plantations (September 2015).
6. DN-02-07 CERTFOR Standard for Chain of Custody of Forest Products (September 2015).
7. DN-02-08 CERTFOR Standard for Group Certification (September 2015).
8. DN-02-11 Certification and Accreditation Procedures (September 2015).
9. DN-02-14 Requirements for CB Operating CERTFOR Chain of Custody (September 2015).
10. PS-02-13 Procedure for Addressing Complaints (January 2014).

11. PS-02-19 Procedure for Establishing Technical Committee for CERTFOR Standards (January 2014)
12. PS-02-20 Stakeholder Mapping Procedure (January 2014).
13. PS-02-21 Notification Procedure (September 2015).

Descriptive Documents Provided by Certfor Chile

- CERTFOR Assessment Request (30-09-15)
- CERTFOR Standard Setting Process – Development Report (September 2015).
- Public Consultation Report (September 2015)

Supporting Documents Provided by Certfor Chile

- Public announcement regarding commencing of standard revision
- Selection of Technical Committee
- Technical Committee Minutes
- Public consultation announcement
- Technical Committee meeting to review consultation comments
- Technical Committee 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, Chapter 5
- PEFC GD 1004:2009 Administration of PEFC Scheme, Chapter 6
- PEFC GD 1004:2009 Administration of PEFC Scheme, Chapter 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 Certfor Chile (www.certfor.org) 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 assessment. 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 assessor's 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 standard assessments submitted to the PEFC Board from standard 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 led 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 **RE-ENDORSE** the **CERTFOR System** 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 NONCONFORMITIES** within the CERTFOR Standard. Therefore, the Assessor concludes that the **CERTFOR Standard** to be **IN CONFORMANCE** to PEFC requirements for scheme endorsement.

3. Summary of Findings

3.1 Structure of the System

CertforChile Corporation is the non-profit organization with ownership and oversight of the Chilean Sustainable Forest Management Certification System (CERTFOR System). It is governed by a General Assembly of elected members from relevant stakeholder bodies. The Superior Council (High Council) acts as a Board of Directors addressing strategic and administrative issues of the organization. The Executive Secretariat is the manager of the organization seeing to its day-to-day operations and administration of the Certfor System and logo use. The Executive Secretariat is housed at Bucarest 046, Piso 2, Oficinia D. Providencia, Santiago, Chile. The office functions as the repository for all records and documentation in relation to the CERTFOR System.

Standard revision processes take place every five years through the establishment of a temporary Technical Committee 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 Technical Committee at all times. The Technical Committee must reach consensus on approval of the Final Draft Standard before it is submitted to the Superior Council.

Accreditation bodies must be members of IAF. Certification bodies must comply with relevant ISO standards and other additional requirements as set in the CERTFOR System. Selection of certification bodies is done in a non-discriminatory manner.

The Assessor finds that the **Structure of the System is in conformity** 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 Superior Council. The Council publicly announces the process through multiple media avenues including email, newspaper ad and personal letters inviting organizations to apply for positions on the Technical Committee. In addition the Council undertakes a stakeholder mapping exercise to ensure that key and disadvantaged stakeholders have the ability to participate in the process. During the public announcement period the Council selects a third-party to draft a working document known as Draft Zero.

From the applications received, the Council selects 10 individuals to act as the temporary Technical Committee. It is the Technical Committees charge to develop the revised standard. They are supported by the Executive Secretariat throughout the process. During the process the

Technical Committee operates through consensus and in open and transparent manner with working documents readily available to all members of the committee.

When the committee agrees, the standard is offered to the public for a period of public consultation. This is done through a series of fora held in different areas of Chile to ensure as many as possible have an opportunity to review the standard and place comments. At the end of the consultation period the relevant comments are reviewed and addressed by the committee and assembled into a report. With the comments the committee makes final adjustments to the standard and develops the Final Draft Report. Upon reaching consensus, the Technical Committee submits it to the Superior Council.

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

Standard Setting Processes

The standard setting processes was evaluated through the use of Technical Committee minutes, website screen shots, copies of newspaper advertisements and other materials. This information is readily available to the public through the CertforChile website (www.certfor.org) and by request of the Executive Secretary.

The Assessor finds that the **STANDARD SETTING PROCESSES** to be **IN CONFORMANCE** with PEFC requirements.

3.3 Forest Management Standard for Plantations

The CERTFOR System sets requirements that thoroughly and adequately cover all six principles of sustainable forest management as required by PEFC ST1003:2010. These can all be implemented at the Forest Management Unit level and are auditable.

The Assessor finds the **Forest Certification Standard for Plantations** to be **IN CONFORMANCE** with PEFC requirements with **No Minor Nonconformities** identified.

3.4 Group Certification Model

The CERTFOR System 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 CERTFOR System requires forest owner commitment to forest management in conformance to the standard and describes forest owner and group entity responsibilities. The standard calls for internal monitoring programs and addresses how corrective action requests shall be handled. In addition the standard covers how forest owner can enter and exit the system.

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

3.5 Chain of Custody Standards

CERTFOR has chosen to adopt PEFC Technical Document PEFC ST2002:2013 – Chain of Custody for Forest Based Products in its entirety but has included additional requirements in order to preserve the requirements of its national standard. These include minimum requirements for health, safety and labour issues and are extracted from the basic requirements of International Labor Organization

CERTFOR System CoC takes into account multi-site CoCs and addresses both physical separation and percentage-based claims. In addition, the standard specifies companies' adherence to specific ILO conventions regarding workers rights, forced labor, working conditions and equal employment opportunities.

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

3.6 Logo Usage Rules

In an arrangement with PEFC, CertforChile acts as the licensing body for PEFC logo use. CertforChile has translated PEFC ST 2001:2008 "PEFC Logo Usage Rules – Requirements" and corresponds to the normative document DN-02-04 Guidelines for Use of the the PEFC Logo in CERTFOR Documents.

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

3.7 Complaints and Dispute Resolution Procedures

CertforChile is the body responsible for overseeing dispute resolution procedures with regard to the certification of forest management and chain-of-custody.

The CERTFOR System provides a stairstep approach to filing and resolving complaints and disputes. The complainant may proceed through as many as three appeals in order to seek resolution. The process is designed to respond to and address complaints and disputes in a timely manner.

Complaints regarding the standard setting and revision process go in writing directly to CertforChile National Secretariat and are reviewed and adjudicated by an impartial three-person panel in a timely manner.

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

3.8 Certification and Accreditation Procedures

Certification and accreditation procedures are clearly and completely described in the CERTFOR System. The national accreditation body has to be a member of the IAFor EA. In Chile, the Instituto Nacional de Normalización (INN), member of the International Accreditation Forum (IAF) is the accreditation body.

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 for ISO/IEC 17065:2012.

In addition the CERTFOR System 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 Minor Nonconformity** identified.

3.9 Other Aspects of Importance

The Assessor wishes to compliment CertforChile for the thoroughness and comprehensiveness of the CERTFOR System as presented to PEFC. The Assessor found the document easy to navigate, well translated and written using proper grammar and syntax. In addition, the Assessor appreciates the professionalism, cooperation and support from CertforChile staff and thanks them.

3.10 Stakeholder Survey

During the course of this assessment, the Assessor was supplied from CertforChile the names, organizations and email addresses of the members of Technical Committee in order to survey them regarding the standard setting process. The survey was developed by the Assessor to help determine whether Technical Committee meetings were held in accord with CERTFOR System and in conformance to PEFC requirements.

Mr. André Laroze assisted with the proper Spanish translation. The survey was distributed to all members of the Technical Committee 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.

Responses from the survey unanimously indicate that PEFC standard setting processes were adhered to and that the Technical Committee was satisfied with the process. (See Annex 2)

4. Structure of the System

CertforChile defines itself as a non-profit, independent, legal organization which owns and administers the Chilean Sustainable Forest Management Certification System (CERTFOR) and is responsible for the development and revision of its standards.

History

CERTFOR was initially incorporated in 2002. It began as a project developed by Fundacion Chile (FCH) and the National Forest Institute (INFOR) with supporting funding received from the Production Development Corporation (CORFOR). In 2004, CERTFOR was endorsed by PEFC giving Chile the honor of being the first non-European certification system to do so.

CertforChile Corporation is a privately owned, non-profit corporation which holds ownership of CERTFOR, which has the premier objective to manage and regularly update CERTFOR certification standards and procedures. CertforChile Corporation is comprised of stakeholder representing a diverse group of forest sustainability sectors providing guidelines for the system. Early on, FCH provided institutional support for the management and administration for CERTFOR through an Executive Secretary responsible for institutional support for growth and reporting organizational milestones and progress to the CertforChile Corporation.

In 2012, CERTFOR was able to represent itself as a valid and self-sufficient organization and FCH was able to withdraw, allowing CERTFOR to operate independently.

Current Structure

Today, CertforChile Corporation operates as an independent, non-profit corporation that is the institutional entity behind the CERTFOR System. It is Certfor Chile Corporation that sets the administrative guidelines which are then carried out by the Executive Secretariat. The CERTFOR System is governed by a General Assembly and High Council (aka Superior Council) and administered by an Executive Secretariat, advised and guided by Technical Committees during the standard setting process.

The General Assembly represents the ultimate authority within the organization. It is responsible for determining and setting the organization's general guidelines. It is composed of persons from diverse organizations representing relevant areas of interest for CERTFOR. It convenes annually.

The High Council (aka Superior Council) otherwise known as the Forest Certification High Council is made up of seven members. These are President, Vice President, Secretary, Treasurer and three Councilors. They all serve one-year terms and may be elected indefinitely. The High

Council meets quarterly to discuss tactical and strategic decisions and guidelines for the organization.

The Executive Secretariat is a direct report to the High Council. This person is responsible for compliance, enforcement and execution of agreements made by the High Council and General Assembly. It is the Executive Secretary that has direct contact with PEFC-related duties including oversight of logo usage and responding to administration requirements for PEFC technical documentation.

Technical Committees function as bodies comprised of representatives of different stakeholder organizations relevant to the CERTFOR System. They offer specialized consultancy to the High Council and are temporarily convened during standard revision periods.

Finding

The Assessor finds that the **Structure of the System** to be **IN CONFORMITY** with PEFC requirements with **No Minor Nonconformities** identified.

5. Standard Setting Process

Overview

The standard setting procedures and processes applied by the CERTFOR System Technical Committee (TC) are detailed in the following documents.

- CERTFOR Standard Setting Process – Development Report (2015)
- Procedure for the Development and Revision of CERTFOR Standards: DN-01-02 (January 2014)
- Procedures for Establishing a Technical Committee for CERTFOR Standards : PS-02-19 (January 2014)
- Stakeholder Mapping Procedure: PS-02-20 (January 2014)
- Public Consultation Report

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 PEFCC requirements as defined in PEFC ST 1001:2010 - Standard Setting Procedures against Procedure for the Development and Revision of CERTFOR Standards: DN-01-02. In addition, Procedures for Establishing a Technical Committee for CERTFOR Standards : PS-02-19 and Stakeholder Mapping Procedure: PS-02-20 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 Technical Committee as well as CertforChile. CERTFOR Standard Setting Process – Development Report (2015) provides a detailed “narrative” of the standard setting process of the previously mentioned documents. In addition, other accompanying evidentiary process documentation has been provided in CertforChile 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 CERTFOR System revision. The following material provides a more detailed analysis of the standard setting procedures and processes, noting core findings and identifying nonconformities.

There were no significant areas of change with regard to the standard and therefore pilot testing was not required.

As part of the PEFC requirements for certification, national standards must be reviewed on a five-year basis. Beginning in 2013, the CertforChile Corporation began preliminary ground work to begin the assessment for the CERTFOR System. As a result a review of the current standard against PEFC requirements, the CertforChile’s Superior Council (the CERTFOR System oversight body) determined areas of specific need included the following.

- Standard for Sustainable Forest Management of Plantations – a thorough revision of the standard.
- Standard for Group Certification – improving administrative requirements and incorporating updated PEFC requirements into the standard.
- Standard for Chain of Custody for Forest Products - adoption of PEFC International standard “PEFC ST 2002:2013, Chain of Custody of Forest Based Products - Requirements”, with adaptations as needed for relevancy to the Chilean standard.

CertforChile’s Superior Council is the body in charge of supervising the work of the Technical Committee. The National Secretariat for CertforChile operates as administrative and technical support of the Technical Committee during the development of the activities as defined in the CERTFOR System. The National Secretary for CertforChile functions as the liaison between the Technical Committee and the Superior Council.

Table 2. Forest Management Standard Setting Processes and Timelines

Milestones for the Revision of the CERTFOR System			
Date	Action Taken	Responsibility	Record
31.08.2013	CertforChile Superior Council gives approval for the review of the CERTFOR System	Superior Council	Minutes of Meeting
	Key Stakeholder Mapping	Executive Secretariat	
31.03.2014	Public announcement for the standarisation process begun	Executive Secretariat	Announcements placed in www.certfor.org .
31.08.2013 – 15.05.2014	Initial CERTFOR System Draft ZeroFormulated	Executive Secretariat	DN-02-05
26.05.2014	Technical Committee Selected	Superior Council	Minutes of Meeting
10.06.2014	Technical Committee Seated	Superior Council	Minutes of Meeting

10.07.2014	Technical Committee Meeting	Executive Secretariat	Minutes of Meeting
10.06.2014 – 19.08.2015	Technical Committee Meeting 8 meetings held in Concepcion and Santiago	Executive Secretariat	Minutes of Meeting
01.10.2014 – 31.10.2014	Personal visits to the Mapuche indigenous peoples to familiarize them with the standard setting process	Exec. Secretariat with Dr. Bruce Schindler	Report (Available upon request)
10.03.2015	Public Consultation announced and locations and dates of 8 public meetings communicated	Executive Secretariat	Newspaper ads in local and national newspapers www.certfor.org
17.08.2015	Technical Committee Meeting (2 days) to review public comments and formulate final CERTFOR System Draft Report	Executive Secretariat	www.certfor.org
19.08.2015	Unanimous agreement by Technical Committee approving the Final Draft Report and forwarding it to the Superior Council		www.certfor.org

Note: Records are available at www.certfor.org.

CERTFOR System Standard Setting Process: Key Components

Initial Draft

In early 2013 the CertforChile Superior Council began formulating the formal revision process for review of the current standard. Upon receiving approval from the Superior Council, the Executive Secretariat contracted a third-party to review the CERTFOR Sustainable Forest Management Standard for Plantations and develop a working document for use during the revision process.

The Initial Draft was composed of version of principles, criteria and indicators and verifiers. In May 2014, the CERTFOR sustainable Forest Management Standards for Plantations Draft Zero, was presented to the Superior Council. It was subsequently approved in August 2014 and became the working draft for the Technical Committee,

Stakeholder Mapping Process

Prior to the public announcement of the standard review, Certfor Chile incorporated a complex and thorough method of identifying stakeholders through mapping methodology. Key and disadvantaged stakeholders were initially identified by set a set of criteria including organizational responsibility, influence, interaction, dependency and representation.

CertforChile contracted with a third-party who worked to identify key and disadvantaged stakeholders who may be interested in the process and notified about the process and potential to participate. This information was garnered from five national databases, publicly available

information and telephone interview. In all, 586 potential stakeholders were identified in the mapping process.

Notification to Interested Parties

On March 31, 2014, CertforChile Corporation posted the first public notices of the standard review process on their website www.certforchile.org. Following the post of the notification on the website, CertforChile transmitted an official press release through mass email platform directed at the stakeholders identified in the stakeholder mapping process. In addition CertforChile publicized the notice of the revision process in key media including two newspapers; La Tercera and El Mercurio.

The media releases included a description of the process, the starting date and process objectives and scope. They were invited to participate in the process by visiting the website and reviewing the process documentation and other relevant information regarding the revision process. Social media was also played a role as stakeholders were notified through Facebook™ and Twitter™.

Following the public notifications CertforChile forwarded personalized emails to NGOS and to other identities as key and disadvantaged stakeholders. Respondees either participated in the process through the CertforChile Corporation General Assembly, by being elected to serve on the Superior Council or admitted to the Technical Committee.

Technical Committee

Following the CertforChile’s public announcements regarding the standard revision, the Superior Council chose 10 members to act as the Technical Committee (TC) on May 26, 2014. The members were chosen based on balanced representation determined from the outcome of the Stakeholder Mapping procedure with representatives from the academic, environmental, industrial, public and social organizations, as well as with respect to gender and geography. The TC was formed in such a manner that no single entity could control the process to the detriment of others. The Executive Secretariat contacted all applicants announcing the selection of the TC members and set the first meeting date for the TC.

Table3. Organizations Involved in the CertforChile Technical Committee

CertforChile System Revision Technical Committee
Forest Owners
Encargado Forestal y Director Nacional del Movimiento Unitario Campesino y Etnias de Chile (MUCECH).
Wood-based Industry
Confederación Nacional de Trabajadores Forestales de Chile
Medio Ambiente de Forestal Arauco S.A.
Encargado de Gestión Ambiental-Bosque de Forestal Mininco S.A.

Environmental Non-Governmental Organizations
Consultora Forestal
Government/ Forest Agency
Oficina de Estudios y Políticas Agrarias (ODEPA) del Ministerio de Agricultura Instituto Forestal (INFOR) del Ministerio de Agricultura.
Academia
Departamento de Sociología y Antropología, Facultad de Ciencias Sociales, Universidad de Concepción.
Escuela de Ingeniería Forestal de la Universidad Mayor
Indigenous Peoples
las comunidades mapuche de las regiones del Biobío y La Araucanía

On June 10, 2014, the TC was formally constituted and proceeded with the revision process by unanimously approving the process timeline. Members signed a document informing them of the scope of their duties and the rules regarding achieving consensus and a dispute resolution process.

On July 10, 2014 the TC met and elected a president. It is the responsibility of the president to report to Superior Council about the progress of the TC. In addition, the President is to report back to the TC any observations made by the Superior Council which may be considered by the TC. On the same date the TC began review of the Enquiry Draft, version Zero. From June 10, 2014 through August 19, 2015 a total of nine (9) TC meetings were held. Several of these meetings were of two and three day lengths. Meetings were held between Santiago and Concepcion through January 2015.

External Consultancy of Key and Relevant Stakeholders

Beginning in October 2014, Dr. Bruce Schindler of Oregon State University, an expert in company and community relations was invited by Certffor Chile to visit social projects undertaken by CertforChile certified companies and a group of Marapuche communities located adjacent to CERTFOR/PEFC certified properties. It had been determined by the Superior Council that these indigenous communities carried a high level of influence on the acceptance of the revision process and the final revised Certforchile standard.

Following his exercise, Dr. Schindler recommended the following specific actions be adopted for the public consultation process.

- Communication and clarification of the public consultation objective
- Reach commitment during the consultation process

- Be clear as to how the public consultation is conducted and achieving its objectives
- Identify stakeholders important to know, understand and participate in the process
- Choose a public consultation representative with strong communication skills
- Legitimize the scope of participation

Public Consultation Process

Following consensus by the TC, the public consultation process was publicly announced on March 10, 2015. This was accomplished through paid ads in two large Chilean newspapers with both national and regional readership as well as the trade publication *Lignum*. Additional media releases inviting stakeholders to participate were provided announcing the consultation period to begin in early April. These consultations would be through a series of meetings held throughout Chile and would close in early July. Stakeholders were invited to attend these meetings through local radio, media releases to regional newspapers and through the organizations Forestry Workers Union (CTF) and Leftrau magazine.

Documents were provided at each meeting that were clearly worded, simple and direct in order to ensure understanding of the process. In addition, economic assistance was provided in order that representatives from indigenous communities might participate.

In all eight (8) meetings were held; six (6) directed to specific communities, certified companies and certification bodies. In all, 92 persons attended the meetings.

In addition to the above series of meetings, two seminar-workshops were held in Concepcion and Santiago. Key stakeholders identified in the stakeholder mapping process were contacted through personal communication, paid media ads, and articles published in the Concepcion and Santiago press. As a result, 224 people attended the seminar/workshops.

Final Draft Consensus

On August 17 – 19, 2014, the TC met to review the public comments received regarding the revised standard. Comments considered relevant were incorporated into the Criteria, Indicators and verifiers in the final report. Those not considered relevant were addressed by the TC to the respective commenters. Following this, the TC agreed by consensus that the send the final draft report to each member of the TC. Following review, each member mailed their approval of the final report by e-mail, or by certified mail to the Executive Secretary. 100% consensus was reached by the TC, approving the CERTFOR SFM Standard for Plantations Final Draft.

Finding

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

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

6. Forest Management Standard

The Forests of Chile - Background

The country of Chile can be divided into three major geological units; the Andes Mountains, the Coastal Mountains and the longitudinal valleys located between the two mountain ranges. Of the total surface area, 21% is covered in forest, both natural and plantation.

Chilean natural forests are located primarily in the Andes and Coastal mountains. The “Natural Forest” classification has been instituted into Chilean forestry legislation and is the responsibility of the State Forest Service. These forests make up approximately 13.4 million hectares with 44% classified as mature forest, 27% secondary forest, 6% adult-secondary forest and the remaining 23% as sub-alpine forests. Roughly 65% of this forest cover is protected by legislation and the remaining 35% is considered “productive forest.”

Planted forests represent 21% of the forest cover in Chile or approximately 2.1 million hectares. Approximately 68% are planted to *pinus radiata*, 23% to eucalyptus genus and the remaining 8% *psuedotsuga* and *populus* genus.

Native forests in Chile are generally privately owned with 67% being held by small and medium landowners, 4% by larger owners and 29% by the government and under protection of the national System of Protected Wild Areas. Principal landowners of the planted forests are industrial forestry companies. Large companies hold nearly 75% of the radiata plantations and 75% of the eucalypt plantations. The remaining ownership is in the hands of small to medium land owners.

Chile’s forest industry, which includes forestry management, harvesting, production (both primary and secondary) and pulp and paper manufacturing is the second largest component of the Chilean national economy. Approximately 80% of all the wood consumed by Chile’s forest industry is supplied from planted forests. Today, Certfor Chile certifies approximately 1.93 million hectares of the Chilean planted forest.

The Forest Management Standard

CERTFOR, the Chilean System for Sustainable Forest Management Certification presents for assessment The CerforChile System for Sustainable Forest Management (hereafter referred to as the System) documentation specifically addressing the CertforChile Standard for Sustainable Forest Management of Plantations.

Since the 2007 endorsement of the CERTFOR System, PEFC has added several new requirements with regard to forest certification. Specifically, PEFC ST 1003:2010 Sustainable Forest Management Requirements have added requirements regarding forest conversion, use of

WHO Type 1A and 1B pesticides, forests of high conservation value, protected and endangered species, core ILO conventions, free, prior and informed consent, and protection from illegal logging. These have been addressed in the revised standard. It was also determined that changes to the standard were minimal and that pilot testing the revised standard was not necessary.

CERTFOR certification standards are structured around a set of definitive principles, criteria, indicators and verifiers. There are nine principles addressing key requirements for the sustainable forest plantation management component of the System. Each Principle carries its own set of criteria, indicators and verifiers to demonstrate conformance in the field. (See Table 4.)

Table 4. Criteria, Indicators and Verifiers for CERTFOR System

Requirements of CERTFOR System Forest Management Standard			
Principle	Criteria	Indicators	Verifiers
<u>Planning and Long Term Objectives</u> 1. The use of forest resources from the Forest Management Unit (FMU) shall be planned and managed in accordance with Sustainable Forest Management (SFM) based on a long term Forest Management Plan suitable for the operation scale and applicable to the FMU for providing a sustainable flow of goods and services in consecutive rotations.	7	29	61
<u>Forest Conservation and High Conservation Areas</u> 2. The use of the forest resources present in the Forest Management Unit (FMU) shall be planned and managed to avoid changes in the land use as well as the native forest substitution, and to conserve High Conservation Value Areas (HCVA).	2	10	99
<u>Forest Resources Conservation</u> 3. The forest resources present in the Forest Management Unit (FMU) shall be managed to preserve their health, vitality and productivity and protecting them against fires, and other harmful agents.	6	30	77
<u>Biodiversity, Soil and Water</u> 4. The use of forest resources of the Forest Management Unit (FMU) shall be planned and managed to favour the conservation of biodiversity, maintain land productivity and minimize unfavourable impacts on the quality and quantity of water, considering particularly the needs of downstream communities.	9	43	94

<u>Local Communities</u>			
5. Forest Management Unit (FMU) representatives shall protect the safety of local communities, respect their traditions as well as their rights and resources, and promote their development by maintaining good relationships and communications.	4	23	66
<u>Indigenous Peoples</u>			
6. In the management of the forest resources of the Forest Management Unit (FMU), the representatives shall respect agreements, documented commitments and established legal rights and also consider the traditional knowledge of Indigenous People.	5	19	51
<u>Labor Relations</u>			
7. The Forest Management Unit (FMU) representatives shall respect forest workers' rights and compensate them adequate and equitably, and safeguard their security and occupational health.	5	32	106
<u>Laws, Treaties and Agreements</u>			
8. The Forest Management Unit (FMU) representatives shall respect Chilean laws, conventions, and international treaties ratified by Chile, and consider non-binding agreements that the country follows.	4	13	41
<u>Monitoring and Assessment</u>			
9. Once a year, the representatives of the Forest Management Unit (FMU) shall carry out a monitoring process of forest resources and its forest management to assess the degree of compliance with the standard's principles.	3	14	44

The objective of the Standard for the Sustainable Management of Plantations is to “establish a management mechanism to guide companies and forest owners to carry out a productive forest management in harmony with the environment and socially responsible, maintaining over time the economic stability of the sector and adding a value to the commercialization of national forest products by having better access to international markets.”

The Standard applies to plantations only and is separate from the CERTFOR System Standard for the Management of Natural Forests (DN-02-06; not being reviewed in this audit). The implementation of the forest management standard is to ensure the adherence of PEFC principles regarding forest management and to warrant that forest-based products originating from CERTFOR certified forests as being managed in an internationally recognized sustainable

manner. The forest management standard is in full compliance with international law, established by international conventions and ratified by the government of Chile (See Table 5).

Table 5. ILO Conventions Ratified by Chile

Ratification Status of ILO Conventions for Chile		
Code	Convention	Date of Ratification
ILO No 29	Forced Labor, 1930	1933
ILO No 87	Freedom of Association and Protection of the Right to Organize, 1948	1999
ILO No 98	Right to Organize and Collective Bargaining, 1949	1999
ILO No 100	Equal Remuneration, 1951	1971
ILO No 105	Abolition of Forced Labor, 1957	1999
ILO No 111	Discrimination (Employment and Occupation) 1958	1971
ILO No 138	Minimum Age for Admission to Employment, 1973	1999
ILO 182	Worst Forms of Child Labor Convention, 1999	2000

The CERTFOR System Sustainable Forest Management Standard for Plantations is designed to enable verification of the forest being sustainably managed in all three arenas of sustainability; i.e. environmental, social and economic. The SFM Standard for Plantations has a robust set of indicators and in-the-field verifiers that call for demonstration of maintaining and protecting forest productivity, forest biodiversity, soils and water while safeguarding the rights of workers and indigenous peoples.

Finding

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

7. Group Certification Model

The country of Chile can be divided into three major geological units; the Andes Mountains, the Coastal Mountains and the longitudinal valleys located between the two mountain ranges. Of the total surface area, 21% is covered in forest, both natural and plantation. Planted forests represent 21% of the forest cover in Chile or approximately 2.1 million hectares. Approximately 68% are planted to *pinus radiata*, 23% to eucalyptus genus and the remaining 8% *psuedotsuga* and *populus* genus.

Principal landowners of the planted forests are industrial forestry companies. Large companies hold nearly 75% of the radiata plantations and 75% of the eucalypt plantations. The remaining ownership is in the hands of small to medium land owners. Approximately 80% of all the wood consumed by Chile's forest industry is supplied from planted forests. Today, Certfor Chile certifies approximately 1.93 million hectares of the Chilean planted forest.

The CERTFOR System offers forest owners two forms of forest certification; individual forest management certification and group forest management certification. However, forest owners subscribing to CERTFOR System group certification is not entitled to individually enroll for a forest management certificate or belong to more than one certified group.

Group certification is a method available to forest owners who wish to demonstrate to the public that they are managing their forests in a responsible and sustainable manner. The CERTFOR System includes the Standard for Group Certification. This has been incorporated by CERTFOR in order to provide small and medium-sized forest owners an opportunity to affordably and efficiently enroll their ownerships into a certification program.

CERTFOR Group Certification offers forest owners reduced costs through economies of scale in areas such as administration, management planning, monitoring and contracting. The CERTFOR Standard for Group Certification ensures a certain level of performance of forest management from each member of the group and their respective forest holdings, but also allows a degree of flexibility which comes from sharing of group entity management responsibilities and group participant responsibilities. However, each participant of the group must be able to demonstrate evidence to certification bodies and internal monitoring personnel that their holdings meet the requirements of the standard.

The CERTFOR Standard for Group Certification is a robust and comprehensive set of requirements and guidelines for forest owner organizations to meet PEFC ST 1002:2010 Group Forest Management Certification.

The Standard contains three overarching Principles which address:

1. How the group is identified and its sphere of action
2. Group obligations and responsibilities
3. A chain-of-custody control system for all timber produced by the group

With regard to group identity, groups must be recognized legal entities, demonstrate in a written document the respect for conforming to the CERTFOR System for Forest Management of Plantations, and demonstrate that it is a viable and sustaining organization.

Obligations and responsibilities for the group organization include, but are not limited to the following:

- Establishing the area which is considered certified.
- Informs forest owners about the benefits of group forest certification.
- Concludes contracts with 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 requirement of PEFC.
- Manages and administers the group database.
- Informs forest owners found to be out of compliance with the Standard
- Reports required data and information to Certfor.

In return, group forest owners agree to the following:

- Comply with the CERTFOR System
- Inform the organization on changes in their forest ownership
- Ensure that forest contractors have valid certificates for operating in the forest.
- Cooperate with all audits and auditors.
- Comply with CARs in a timely manner.

CERTFOR group forest certification is a voluntary process. However, forest owners must comply with the CERTFOR System as well as allow auditors on their property to assess conformance. Forest owners may enter and leave the group as they chose following proper notification.

Finding

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

8. Chain of Custody Standard

CERTFOR is one of the unique systems with PEFC that offers both a PEFC Chain-of-Custody and their own CERTFOR Chain-of-Custody. The Assessor's report focuses specifically on CERTFOR's PEFC Chain-of-Custody, hereafter referred to as CERTFOR (PEFC).

In addition to offering two distinct CoCs, CERTFOR has chosen to adopt PEFC Technical Document PEFC ST2002:2013 – Chain of Custody for Forest Based Products in its entirety but has included additional requirements in order to preserve the requirements of its national standard. These include minimum requirements for health, safety and labour issues and are extracted from the basic requirements of International Labor Organization (See Table 5 for list of Chile-ratified ILO conventions)

Finding

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

9. Implementation of PEFC Logo Usage

CERTFOR has translated PEFC ST 2001:2008 PEFC Logo Usage Rules in its entirety to the normative document DN-02-04 Guidelines for the Use of the PEFC Logo in CERTFOR Documentation.

The Executive Secretariat is official manager of the PEFC logo on the basis of contractual arrangement between CERTFOR and PEFC Council. Therefore, CERTFOR is the licensing body in accordance to PEFC GD 1004:2009 - Administration of PEFC Scheme. CERTFOR has the right to grant the right to the use of the PEFC logo. Termination of the contract automatically eliminates all CERTFOR (PEFC) certificates and all licenses to the the CERTFOR and/or PEFC logo(s) issued by the authorized body.

Finding

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

10. Certification and Accreditation Arrangements

CERTFOR requirements for qualifications of certification bodies and auditors are documented in DN-02-11 – Certification and Accreditation Procedures. This document covers requirements and qualifications for certification bodies for forest management systems and verification of chain of custody.

CERTFOR requires certification bodies must be legal entities, and must be accredited by a national or international accreditation body which must be a part of the International Accreditation Forum (IAF) umbrella or a member of IAF's special recognition regional groups and which implement procedures described in ISO 17011. In Chile, the Instituto Nacional de Normalización (INN), member of the International Accreditation Forum (IAF), is the accreditation body.

Certification bodies must demonstrate technical competence with regard to the method of procurement and processing timber and forest based products. Compliance of these and other requirements will be verified by the national accreditation body. Certification bodies wishing to carry out certification must meet ISO/IEC 17021:2011 for management systems and/or ISO/IEC 17065:2012.

Auditors must demonstrate adequate knowledge of the CERTFOR System 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 Minor Nonconformities** identified.

11. Complaints and Disputes Resolution Procedures

Procedure for Addressing Complaints: PS-02-13 fully describes the CERTFOR System process for complaints and disputes resolution. The standard applies to certified companies, certification bodies, INN and CertforChile when complaints are filed with regard to CERTFOR's certification process. It is also the same procedure used to address complaints during the standard setting and revision process.

CertforChile is the body responsible for overseeing dispute resolution procedures with regard to the certification of forest management and chain-of-custody. Complainants are responsible for filing in writing the evidence that supports the claim.

The CERTFOR System provides a stairstep approach to filing and resolving complaints and disputes. The complainant may proceed through as many as three appeals in order to seek resolution. Initial complaints and disputes are filed in writing with the certified company. If not redressed to the satisfaction of the complainant, it may be presented in writing to the relevant certification body. If the issue is not addressed to the complainant's satisfaction it may be filed with the INN. Finally, if not satisfied, the complainant may file the complaint with CertforChile. CertforChile provides the ultimate decision on the issue. Complaints and disputes must be settled within a four-week period.

Complaints regarding the standard setting and revision process go in writing directly to CertforChile National Secretariat. Following receipt of the complaint, a three-person panel will be established from members of the CertforChile Assembly. Members are randomly selected and must be impartial. Time to resolve the issue shall not exceed four weeks. CertforChile will be responsible for notifying all parties regarding the outcome of the decision.

Finding

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

12. PEFC Standard Requirements Checklist

Purpose

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

For all other checklists 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 **MINOR 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 beginning line of the reference starts with the attribution of the relevant document and section (e.g. DN-01-02). When supporting documentation indicated that requirements were met, citations from the standard were copied and followed the document attribution. These citations were placed in quotations and italicized (e.g., *“accredited certification bodies ...”*). In instances when the Assessor captured the findings in his words the citations were not placed in quotations or italicized.

Legend

“Yes/No” Column

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

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

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

N/A – not applicable

Legend (cont’d)

“Reference to Application Documents” Column

“*Black*” – quotations from the EFCS 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	DN-01-02 Procedure for the Development and Revision of CERTFOR Standards Criterion: 6 <i>“Standardization Body: CertforChile is the standardization body of the Chilean Sustainable Forest Management Certification System (CERTFOR) and is responsible for the development and revision of its standards (reference document: CertforChile Statutes), in addition to the building of consensus and the formal adoption of standards, in accordance with the following requirements:</i> Indicator: 6.1: <i>“CertforChile has written procedures for the development and/or revision of CERTFOR standards, which describe:</i> <i>a) Its statutes and organizational structure (reference document: CertforChile Statutes).</i> <i>b) The procedure for a balanced representation of stakeholders (reference document: PS- 02-19: Procedure for Establishing a Technical Committee for CERTFOR Standards).</i> <i>c) The process of development and/or revision of standards (Section 7).</i> <i>d) Mechanisms to build consensus (Section 7.10).</i>

Question	Assess. basis*	YES /NO *	Reference to application documents
			<p>e) <i>Mechanisms for the formal adoption of standards (Section 7.11).</i> f) <i>Record keeping (Section 9)."</i></p> <p>PS-02-19 Procedure for Establishing a Technical Committee for CERTFOR Standards. Section 6.8 <i>"Building a Consensus: The decision of the Technical Committee to recommend both the Enquiry Draft as well as the Final Draft of a standard to be approved by CertforChile's Superior Council shall be made by a minimum majority of 70% given a minimum quorum of four-fifths."</i></p> <p>CONFORMITY</p>
b) the record-keeping procedures,	Procedures	YES	<p>DN-01-02 Procedure for the Development and Revision of CERTFOR Standards</p> <p>Criterion: 9 <i>"Available Documentation"</i></p> <p>Indicator: 9.1 <i>"Documentation Management: CertforChile shall keep all records related to the development and/or revision of CERTFOR standards, including meeting minutes and comments received, among others. These records shall be kept for a minimum of 5 years and shall be made available to stakeholders requesting them."</i></p> <p>CONFORMITY</p>
c) the procedures for balanced representation of stakeholders,	Procedures	YES	<p>DN-01-02</p> <p>CR6, IN 6.1b <i>"The procedure for a balanced representation of stakeholders"</i></p> <p>PS- 02-19 Procedure for Establishing a Technical Committee for CERTFOR Standards Section 6.2. <i>"General Regulations for Establishment of the Technical Committee</i> <i>The Technical Committee shall:</i> b) <i>Have a balanced representation of the different stakeholder categories relevant to the subject matter and geographical scope of the standards."</i></p> <p>PS-02-20 Stakeholder Mapping Procedure</p> <p>Section 5.2 <i>"Stakeholder Map This is a tool used to gather, classify, analyze and organize systematically qualitative and quantitative information regarding stakeholders for the process of standardization, making it possible to determine particular</i></p>

Question	Assess. basis*	YES /NO *	Reference to application documents
			<p><i>interests to be considered throughout the process. The use of this analytical tool helps to classify those involved in the process according to their interest levels and their influence in order to facilitate the organization of stakeholders for the development of their corresponding management strategies. In particular, it helps to identify key and disadvantaged stakeholders, whose participation and contribution shall be proactively pursued during the standardization process."</i></p> <p>CONFORMITY</p>
d) the standard-setting process,	Procedures	YES	<p>DN-01-02 Procedure for the Development and Revision of CERTFOR Standards</p> <p>Section 3 <i>"SCOPE: This document presents the requirements that CertforChile shall fulfil as the CERTFOR Standardizing Body regarding the development and/or revision of CERTFOR standards."</i></p> <p>CONFORMITY</p>
e) the mechanism for reaching consensus, and	Procedures	YES	<p>DN-01-02 Procedure for the Development and Revision of CERTFOR Standards</p> <p>Criterion: 7 <i>"Development and Revision of Standards"</i></p> <p>Indicator:</p> <p>7.10: <i>"Building a Consensus on the Final Draft: In order to reach a consensus, the technical committee can use the following alternatives to establish whether there is opposition or not:</i></p> <p><i>a) A face-to-face meeting where there is a verbal yes/no vote, show of hands for a yes/no vote; a statement on consensus from the president of the committee where there are no dissenting voices or hands (votes); a formal balloting process, etc.</i></p> <p><i>b) A telephone conference meeting where there is a verbal yes/no vote.</i></p> <p><i>c) An e-mail meeting where a request for agreement or objection is provided to members with the members providing a written response (a proxy for a vote).</i></p> <p><i>d) Combinations thereof.</i></p> <p><i>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):</i></p> <p><i>e) Discussion and negotiation on the disputed issue within the Technical Committee in order to reach a compromise.</i></p> <p><i>f) Direct negotiation between the stakeholder(s) submitting the objection and the stakeholder(s) with different views on the</i></p>

Question	Assess. basis*	YES /NO *	Reference to application documents
			<p><i>disputed issue in order to reach a compromise.</i></p> <p><i>g) Dispute resolution procedures: when the Technical Committee cannot reach an agreement in some issues, the creation of a specific working group will be done to collect more information in order to make a good decision."</i></p> <p>PS-02-19: Procedure for Establishing a Technical Committee for CERTFOR Standards Section 6.8 <i>"Building a Consensus</i> <i>The decision of the Technical Committee to recommend both the Enquiry Draft as well as the Final Draft of a standard to be approved by CertforChile's Superior Council shall be made by a minimum majority of 70% given a minimum quorum of four-fifths."</i></p> <p>CONFORMITY</p>
f) revision of standards/normative documents.	Procedures	YES	<p>DN-01-02, Procedure for the Development and Revision of CERTFOR Standards</p> <p>Criterion: 8 <i>"Revision of CERTFOR Standards"</i></p> <p>Indicators:</p> <p>8.1: <i>"CERTFOR standards shall be revised at time intervals not exceeding 5 years in order to be adapted to changes in the economic, social and environmental context of forest certification in Chile and in the rest of the world, and to requirements established by the PEFC Council. The revision of standards shall follow the guidelines presented in Chapter 7 of this document."</i></p> <p>8.2: <i>"The revision shall define the application date and transition date of the revised standards."</i></p> <p>8.3: <i>"The application date shall not exceed a period of one year from the publication of the standard. This is needed for endorsement of the revised standards, introducing changes, information dissemination and training."</i></p> <p>8.4: <i>"The transition date shall not exceed a period of one year except in justified exceptional circumstances where the implementation of the revised standards requires a longer period."</i></p> <p>CONFORMITY</p>

Question	Assess. basis*	YES /NO *	Reference to application documents
<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>DN-01-02, CR 6, IN 6.2: <i>“CertforChile shall make its standard-setting procedures publicly available in its website (www.certfor.org) and shall regularly review its standard-setting procedures including consideration of comments from stakeholders.”</i></p> <p>The Assessor notes that the following documents are provided on the Certfor website at: (www.certfor.org).</p> <p>DN-01-02 Procedure for the Development and Revision of CERTFOR Standards PS-02-13 Procedure for Addressing Complaints PS-02-19 Procedure for the Establishment of a Technical Committee for Certfor Standards PS-02-20 Stakeholder Mapping Procedure</p> <p>CONFORMITY</p>
	Process	YES	<p>The following standard setting procedural documents are posted on the CertforChile website and can be found in Annex 1: <i>“Procedures Publicly Available”:</i></p> <p>The Assessor notes that the following documents are provided on the Certfor website at: (www.certfor.org).</p> <p>DN-01-02 Procedure for the Development and Revision of CERTFOR Standards PS-02-13 Procedure for Addressing Complaints PS-02-19 Procedure for the Establishment of a Technical Committee for Certfor Standards PS-02-20 Stakeholder Mapping Procedure CERTFOR Public Consultation Report</p> <p>There is a screen shot of the Certfor website portraying these documents in downloadable PDF form in Annex 1.</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</p>	Procedures	YES	<p>DN-01-02, CR 7:</p> <p>Indicators: 7.12: <i>“Documentation of Standardization Process: All the information related to the standardization process shall be published at the CertforChile website (www.certfor.org). CertforChile shall keep all records related to process of development and/or revision of CERTFOR standards. The records shall be kept for a minimum of 5 years and shall be available for an audit of CERTFOR’s endorsement process and for stakeholders that request them.”</i></p> <p>7.13: <i>“Publication of CERTFOR Standards: CERTFOR standards, formally approved by CertforChile’s Superior Council, shall be published opportunely and made accessible at the CertforChile</i></p>

Question	Assess. basis*	YES /NO *	Reference to application documents
records shall be kept for a minimum of five years and shall be available to interested parties upon request.			<p>website (www.certfor.org).</p> <p>CONFORMITY</p>
	Process	YES	<p>Records related to the Certfor standard –setting process can be found in Annex 2: “Records standards setting process.” These include: invitations to participate, meeting minutes, attendance list, comments, standard drafts, Web screenshots.</p> <p>CertforChile provided additional documentation to the assessor in the form of minutes and other meeting documentation (www.certfor.org) demonstrating conformance to the process. Because they were able to access the records it leads the assessor to believe that there is record storage and maintenance occurring. The assessor believes the level of detail and record keeping of these documents demonstrate conformance to this requirement.</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>DN-01-02, CR 6, IN 6.4: “Certfor Chile shall establish a temporary technical committee responsible for the development and/or revision of CERTFOR standards. The technical committee will be comprised of 10 members elected by the Superior Council through a public call for candidates.”</p> <p>PS-02-19, CR 6, IN 6.2: <i>“General Regulations for Establishment of the Technical Committee</i></p> <p><i>CertforChile shall establish a temporary Technical Committee responsible for the development and/or revision of CERTFOR standards.”</i></p> <p>CONFORMITY</p>
	Process	YES	<p>Technical Committee invitations, announcements, applications, working documents, meeting minutes, member list, meeting attendance and schedules of work can all be found in Annex 3: “Technical Committee.”</p> <p>In addition, the Development Report: CERTFOR Standard Setting Process outlines the establishment of the Technical Committee in Section 4: “One of the main measures for this process was to set up a Technical Committee responsible for the updating process, which in this case was the CERTFOR Sustainable Forest Management Standard for Plantations. A public call was announced by means of an official notification and advertised. Applications were received and the Superior Council finally chose the ten members of the Technical Committee at a meeting held 26 May 2014. These members were chosen based on balanced</p>

Question	Assess. basis*	YES /NO *	Reference to application documents
			<p><i>representation of academic, environmental, production, public and social organisations, as well as gender and regional representative in Chile. The Executive Secretariat sent replies to all applicants, publicly announced the election of Technical Committee members and set up a meeting schedule for updating the standard. The Technical Committee was constituted at its first meeting 10 June 2014 and it unanimously approved the updating activity schedule.</i></p> <p>The assessor believes the level of detail and record keeping of these documents demonstrate conformance to this requirement.</p> <p>CONFORMITY</p>
4.4 The working group/committee shall:			
a) be accessible to materially and directly affected stakeholders,	Procedures	YES	<p>DN-01-02, CR 7, IN 7.4: <i>“Standardization Process Review: CertforChile shall review the process of development and/or revision of CERTFOR standards based on the comments received with regard to the public announcement. In addition, CertforChile shall establish a technical committee based on the nominations received according to Section 7.3. CertforChile’s Superior Council shall be in charge of accepting or rejecting the nominations, and shall justify its decisions in relation to the requirements for a balanced representation on the technical committee and the resources available for the development and/or revision of standards (reference document: PS-02-19: Procedure for Establishing a Technical Committee for CERTFOR Standards).”</i></p> <p><i>General Regulations for Establishment of the Technical Committee CertforChile shall establish a temporary Technical Committee responsible for the development and/or revision of CERTFOR standards. The Technical Committee shall:</i></p> <p><i>a) Be accessible to stakeholders that are materially and directly affected by the standardization process.”</i></p> <p>CONFORMITY</p>
	Process	YES	<p>Technical Committee invitations, announcements, applications, working documents, meeting minutes, member list, meeting attendance and schedules of work can all be found in Annex 3: <i>“Technical Committee.”</i></p> <p>The Technical Committee members list demonstrates balance, expertise and shows that materially and directly affected stakeholders were represented. The members include representatives from forest companies, the forest workers, technical training, academia, NGO’s, as well as independent stakeholders.</p> <p>The assessor believes the level of detail and record keeping of</p>

Question	Assess. basis*	YES /NO *	Reference to application documents
			these documents demonstrate conformance to this requirement. CONFORMITY
b) have balanced representation and decision-making by stakeholder categories relevant to the subject matter and geographical scope of the standard where single concerned interests shall not dominate nor be dominated in the process, and	Procedures	YES	PS-02-19: CR6, IN 6.2 <i>“General Regulations for Establishment of the Technical Committee CertforChile shall establish a temporary Technical Committee responsible for the development and/or revision of CERTFOR standards. The Technical Committee shall: b) Have a balanced representation of the different stakeholder categories relevant to the subject matter and geographical scope of the standards. c) Implement a decision-making process guaranteeing that particular interests do not dominate to the detriment of others in the standardization process.</i> CONFORMITY
	Process	YES	The Technical Committee members list demonstrates balance, expertise and shows that materially and directly affected stakeholders were represented. The members include representatives from forest companies, the forest workers confederation, academia, technical training, NGO’s, as well as independent stakeholders. See Table 3 for a complete list of the Technical Committee organizations. The assessor believes the level of detail and record keeping of these documents demonstrate conformance to this requirement. CONFORMITY
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	Procedures	YES	PS-02-19, CR 6, IN 6.2: <i>“General Regulations for Establishment of the Technical Committee CertforChile shall establish a temporary Technical Committee responsible for the development and/or revision of CERTFOR standards. The Technical Committee shall: d) 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 implementation of the standard. The stakeholders materially-affected by the standard shall represent a significant segment of the committee members.”</i> CONFORMITY
	Process	YES	The Technical Committee members list demonstrates balance, expertise and shows that materially and directly affected stakeholders were represented. The members include

Question	Assess. basis*	YES /NO *	Reference to application documents
meaningful segment of the participants.			<p>representatives from forest companies, media, academia, technical training, NGO's, as well as independent stakeholders.</p> <p>See Table 3 for a complete list of the Technical Committee organizations The assessor believes the level of detail and record keeping of these documents demonstrate conformance to this requirement.</p> <p>CONFORMITY</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.	Procedures	YES	<p>DN-01-02, CR 6</p> <p>Indicators: 6.5: <i>"CertforChile shall establish a procedure to respond to any substantive or procedure-related complaint regarding the standardization process. This procedure shall be available to all stakeholders (reference document: PS-02-13: Procedure for Addressing Complaints).</i> 6.6: <i>"CertforChile's National Secretariat will be the contact for receiving comments, concerns and complaints related to the development and/or revision of the CERTFOR standards. The National Secretariat shall be easily accessible: (i) by phone (+56 2 23341092), (ii) via e-mail (info@certforchile.org), and (iii) through CertforChile's website (www.certfor.org)."</i></p> <p>PS-02-13 Procedure for Addressing Complaints Section 2 <i>"OBJECTIVE: To establish communication mechanisms between the stakeholders and the different parties involved in the CERTFOR certification process and its application in time, and in the development and/or revision of CERTFOR standards, in order to provide guidelines regarding the reception, handling and resolution of complaints from stakeholders."</i></p> <p>CONFORMITY</p>
	Process	YES	<p>Complaints from stakeholders and the responses from CertforChile can be found in Annex 4: Complaints and Suggestions. These complaints and responses were also posted on the CertforChile's website (www.certfor.org). A screen shot can also be found in Annex 4, showing how stakeholders could submit their complaint or suggestion on line.</p> <p>PS-02-13: Procedure for Addressing Complaints Criterion: 5 <i>"Procedures regarding complaints related to Certfors certification process and its application in time: A complaint is a formal expression of discontent made by any stakeholder, either a natural person or legal entity, when they feel directly affected by actions taken by certified companies. It is the responsibility of the complaint's author to present written evidence that supports the</i></p>

Question	Assess. basis*	YES /NO *	Reference to application documents
			<p><i>complaint so that it can be checked as precise and correct. CertforChile aims to ensure that each complaint receives proper attention by defining the sequential stages and actions to be applied in this document. The procedure specified by CertforChile for attending complaints includes the following stages:</i></p> <p><i>a) The complaint shall be first presented to the certified company involved.</i></p> <p><i>b) The second instance of complaint is the relevant certification body.</i></p> <p><i>c) The third instance of complaint is the Instituto Nacional de Normalización (INN).</i></p> <p><i>d) The final instance of complaint is CertforChile.”</i></p> <p>CONFORMITY</p>
4.5 Upon receipt of the complaint, the standard-setting body shall:			
a) acknowledge receipt of the complaint to the complainant,	Procedures	YES	<p>DN-01-02, CR6, IN 6.6a: <i>“Notify whoever filed the complaint that it has been received.”</i></p> <p>PS-02-13,CR 5, IN 5.1:</p> <p><i>“Complaint Filed to the Certified Company Involved</i></p> <p><i>A complaint shall be filed, in the first instance, to the certified company, which shall proceed as follows:</i></p> <p><i>b) Notify whoever filed the complaint that it has been received and is being handled in accordance with established procedures.”</i></p> <p>PS-02-13, CR 6. Procedures regarding complaints related to the development and/or revision of CERTFOR</p> <p>Indicator: 6.2: <i>“Confirmation of the Reception of Complaints: Once a complaint has been received, CertforChile shall confirm its reception to whoever filed the complaint within a period of one week.”</i></p> <p>CONFORMITY</p>
	Process	YES	<p>Complaints from stakeholders and the responses from CertforChile can be found in Annex 4: <i>“Complaints and Suggestions”</i>, demonstrating acknowledgment and receipt. Complaints and responses were posted on the CertforChile’s website (www.certfor.org).</p> <p>This aligns with PS-02-13: Procedure for Addressing Complaints and noted above.</p> <p>CONFORMITY</p>
b) gather and	Procedures	YES	<p>DN-01-02, CR 6, IN 6.5b</p> <p><i>“Collect and verify all the information necessary to validate the</i></p>

Question	Assess. basis*	YES /NO *	Reference to application documents
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			<p><i>complaint, then assess the subject of the complaint objectively and impartially, and make a decision in this regard.”</i></p> <p>PS-02-13 Procedure for Addressing Complaints</p> <p>Section 6.3: <i>“Handling of Complaints</i></p> <p><i>CertforChile shall collect and verify all information required in order to validate complaints, objectively and impartially assess the subject of the complaint, and then make a decision in this regard.”</i></p> <p>CONFORMITY</p>
	Process	YES	<p>Complaints from stakeholders and the responses from CertforChile can be found in Annex 4: Complaints and Suggestions. These complaints and responses were posted on the CertforChile’s website (www.certfor.org).</p> <p>The assessor believes that the complaints were evaluated objectively and impartially, meeting the requirements of PS-02-13: Procedure for Addressing Complaints and noted above.</p> <p>CONFORMITY</p>
c) formally communicate the decision on the complaint and of the complaint handling process to the complainant.	Procedures	YES	<p>DN-01-02, CR 6, IN 6.5c:</p> <p><i>“Communicate the handling procedures and the decision made regarding the complaint to whoever filed it.”</i></p> <p>PS-02-13 Procedure for Addressing Complaints</p> <p>Section 6.4: <i>“Communication of the Resolution</i></p> <p><i>CertforChile shall formally notify to whoever filed the complaint as to the decision made and actions taken with regard to the complaint.”</i></p> <p>CONFORMITY</p>
	Process	YES	<p>Complaints from stakeholders and the responses from CertforChile can be found in Annex 4: Complaints and Suggestions. These complaints and responses were posted on the CertforChile’s website (www.certfor.org).</p> <p>The assessor believes that the decision on the complaints were formally communicated, meeting the requirements of PS-02-13: Procedure for Addressing Complaints and noted above.</p> <p>CONFORMITY</p>
4.6 The standardising body shall establish at least one contact point	Procedures	YES	<p>DN-01-02, CR 6, IN 6.6:</p> <p><i>“CertforChile’s National Secretariat will be the contact for receiving comments, concerns and complaints related to the development and/or revision of the CERTFOR standards. The National</i></p>

Question	Assess. basis*	YES /NO *	Reference to application documents
for enquiries and complaints relating to its standard-setting activities. The contact point shall be made easily available.			<p><i>Secretariat shall be easily accessible: (i) by phone (+56 2 23341092), (ii) via e-mail (info@certforchile.org), and (iii) through CertforChile’s website (www.certfor.org).”</i></p> <p>PS-02-13, CR6, IN 6.1:</p> <p><i>“CertforChile shall receive all complaints from stakeholders related to its standardization processes. The contact point will be the National Secretariat of CertforChile, who may be contacted by means of the following options: a) Stakeholders who prefer to file a complaint verbally shall call the following telephone number +56 2 23341092, corresponding to the National Secretariat of CertforChile. b) Stakeholders who prefer to file a complaint via e-mail shall write to the following e-mail address: info@certforchile.org. c) Stakeholders who prefer to file a complaint online shall access the website www.certfor.org, and go to a link identified as “Re-Homologación” (Re-Endorsement) which will feature an option called “Sugerencias/Reclamos” (Suggestions/Complaints). They can then use this option to enter their personal information and the respective complaint.”</i></p> <p>CONFORMITY</p>
Standard-setting process			
5.1 The standardising body shall identify stakeholders relevant to the objectives and scope of the standard-setting work.	Procedures	YES	<p>DN-01-02, CR 7, IN 7.1: <i>“Stakeholder Identification: CertforChile shall identify relevant stakeholders for the objective and scope of the development and/or revision of CERTFOR standards.</i></p> <p>PS-02-20: Stakeholder Mapping Procedure</p> <p>Criterion: 6 <i>“Stakeholder Identification”</i></p> <p>Indicator:</p> <p>6.2: <i>“Stakeholder Identification: There is no generic list of stakeholders because these change over time and depending on location. They are groups or individuals that affect or are affected by organizations, depending on the industry, geographic location and specific issue. Stakeholder identification can be carried out according to the following aspects”</i></p> <p>See PS-02-20 for more explicit text regarding stakeholder identification procedures, including specific detail on individual stakeholders and how they are categorized.</p> <p>CONFORMITY</p>

Question	Assess. basis*	YES /NO *	Reference to application documents
	Process	YES	<p>In the Development Report: Certfor Standard Setting Process, Section 1 clearly defines the process used for identification of stakeholders: <i>“Stakeholder Identification: Information from stakeholders associated to the Chilean forest sector was pooled by means of external consulting provided by the company BE Conciencia Sustentable. We wish to highlight the following results: Information sources:</i> <ul style="list-style-type: none"> • <i>Forestal Anchile database</i> • <i>Forestal Arauco S.A. database</i> • <i>Forestal Mininco S.A. database</i> • <i>Volterra database</i> • <i>SSC-Américas S.A. database</i> • <i>Available public information</i> • <i>Telephone interviews</i> <i>Total contacts: 586</i> <p><i>This database was used to provide a list of contacts according to base segmentation by environmental, economic and social stakeholder group, highlighting key and disadvantaged stakeholders. Key stakeholders were those that were important and directly associated to the impact on the Standard and disadvantaged stakeholders were those that could have difficulties when it comes to participating in the process due to different conditions, such as geographic location, transport logistics, time available for participation, technical knowledge of standard issues and access to communication technology, among others. This segmentation was created in order to: Set up a Technical Committee. - Participate in public consultation.”</i></p> <p>In addition, Certfor Annex 5: “Stakeholder Identification” has more detail on the identification and mapping process, as well as the full list of stakeholders contacted.</p> <p>CONFORMITY</p> </p>
5.2 The standardising body shall identify disadvantaged and key stakeholders. The standardising body shall address the	Procedures	YES	<p>DN-01-02, CR 7, IN 7.2: <i>“Disadvantaged Stakeholders: CertforChile shall identify disadvantaged stakeholders for participation in the development and/or revision of CERTFOR standards. In addition, CertforChile shall determine the restrictions on their participation and proactively ensure that these stakeholders participate and contribute to the standardization process.”</i></p> <p>PS-02-20: Criterion 7, IN 7.3</p>

Question	Assess. basis*	YES /NO *	Reference to application documents
constraints of their participation and proactively seek their participation and contribution in the standard-setting activities.			<p><i>“Strategies to Gain Access to Disadvantaged Stakeholders After the stakeholder analysis has been completed, it is necessary to identify disadvantaged stakeholders who may have a variety of difficulties for participating in the process of development and/or revision of standards. The strategies for encouraging participation shall be established according to the limitations of this type of stakeholders...”</i></p> <p>CONFORMITY</p>
	Process	YES	<p>In the Development Report: Certfor Standard Setting Process, Section 1 clearly defines the process used for identification of stakeholders:</p> <p><i>“Stakeholder Identification: Information from stakeholders associated to the Chilean forest sector was pooled by means of external consulting provided by the company BE Concienca Sustentable. We wish to highlight the following results:</i></p> <p><i>Information sources:</i></p> <ul style="list-style-type: none"> • <i>Forestal Anchile database</i> • <i>Forestal Arauco S.A. database</i> • <i>Forestal Mininco S.A. database</i> • <i>Volterra database</i> • <i>SSC-Américas S.A. database</i> • <i>Available public information</i> • <i>Telephone interviews</i> <p><i>Total contacts: 586</i></p> <p><i>This database was used to provide a list of contacts according to base segmentation by environmental, economic and social stakeholder group, highlighting key and disadvantaged stakeholders. Key stakeholders were those that were important and directly associated to the impact on the Standard and disadvantaged stakeholders were those that could have difficulties when it comes to participating in the process due to different conditions, such as geographic location, transport logistics, time available for participation, technical knowledge of standard issues and access to communication technology, among others. This segmentation was created in order to: Set up a Technical Committee. - Participate in public consultation.”</i></p> <p>There are detailed graphs in the Development Report which show the breakdown of stakeholders by organization type, including key and disadvantaged. In addition, Annex 5: “Stakeholder Identification” has more detail on the identification and mapping process, as well as the full list of stakeholders contacted.</p>

Question	Assess. basis*	YES /NO *	Reference to application documents
			<p>This process demonstrates adherence to PS-02-20: Stakeholder Mapping Procedure and conformance with this requirement.</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>	Procedures	YES	<p>DN-01-02, CR7 IN 7.3:</p> <p><i>“Public Announcement of Initiation of the Standardization Process: CertforChile shall make a public announcement that the process of development and/or revision of CERTFOR standards has started, and opportunely invite stakeholders to participate through CertforChile’s website (www.certfor.org) or through other appropriate means, such as national newspapers and magazines related to the forestry sector, to enable stakeholders to contribute to the process....”.</i></p> <p>CONFORMITY</p>
	Process	YES	<p>In Development Report, Section 2: <i>“Public announcement that the standardization process had started”</i> outlines the steps taken to ensure that the announcement and invitation to participate was widespread:</p> <p><i>“Date: 31 March 2014.</i></p> <p><i>Actions:</i></p> <p><i>The first source of public information established was the official CertforChile Corporation website www.certfor.org. Official announcements regarding the process were published at this site and direct access was provided to public documents used in the process. As a second instance, official press releases were transmitted by means of a mass e-mail platform directed to stakeholders. In addition, e-mails were sent to specialised press editors and media of public interest. The company also advertised in key media (the printed newspapers La Tercera and El Mercurio, as well as the Lignum e-bulletin). Contents of this release provide information about the starting date, what the process is about and its objectives and scopes. Stakeholders were invited to participate in the process by visiting the website and reviewing process documentation and all information published at the website regarding Re-endorsement, participating in the on-line public consultation platform and sending comments, suggestions and complaints through the website. Finally, information was pooled using the official CERTFOR social networks (Facebook and Twitter). Following public notification, personalised e-mails were sent to NGOs and to persons identified as key and disadvantaged stakeholders whose participation is considered to be important for the process. The messages sent indicated when the process starts and invited recipients to apply at the Technical Committee. Some</i></p>

Question	Assess. basis*	YES /NO *	Reference to application documents
			<p><i>effective replies were received and some people participated in the process by means of the CertforChile Corporation General Assembly. Some were also elected to serve on the Superior Council while others were incorporated as applicants for the standardization Technical Committee.</i></p> <p><i>Results:</i></p> <ul style="list-style-type: none"> - 6 publications in printed and on-line press, including a two-page report published in the El Mercurio magazine Revista Del Campo. - 2 ads were published in the Lignum e-bulletin in the month of April. - 4 ads were published in the newspapers La Tercera and El Mercurio Sunday, 30 March; two in each newspaper. One announced the start of the process while the other announced the opening of applications for the Technical Committee. - 20 new members joined the CertforChile Corporation General Assembly. - 16 persons applied for the Technical Committee." <p>Annex 6: "Public Announcement of initiation of standardization process" contains advertisements from trade journals and other media including the CertforChile website (www.certfor.org), announcing the initiation of the process.</p> <p>From the CertforChile website: "According to the progress of the Committee, consultations will be scheduled, which will be invited to all the parties concerned, who will contact is via email, telephone and face-to-face meetings as the case may be. The update of the standards process will also include regional meetings to consider the opinions and contributions from the perspective of the interests of each Region."</p> <p>From the trade organization, Lignum: "The central space of communication and dissemination of the update process is the official web site of the CERTFOR system (www.certfor.org). This space contains the description of the process, the agenda of activities, reports of progress, an online platform of complementary to the face-to-face consultations, public consultation, and normative documents of the process of a public nature in form of easy access and downloading. By virtue of this launch and the space of web communication, it invites all interested parties to visit the official website and send its opinion, concerns, suggestions or complaints about the definition of the updating procedure and its reference documents."</p> <p>CONFORMITY</p>
5.3 The announcement and invitation shall include:			
a) information	Procedures	YES	DN-01-02, CR 7, IN 7.3: "Public Announcement of Initiation of the Standardization Process:

Question	Assess. basis*	YES /NO *	Reference to application documents
about the objectives, scope and the steps of the standard-setting process and its timetable,			<p><i>CertforChile shall make a public announcement that the process of development and/or revision of CERTFOR standards has started, and opportunely invite stakeholders to participate through CertforChile’s website (www.certfor.org) or through other appropriate means, such as national newspapers and magazines related to the forestry sector, to enable stakeholders to contribute to the process. The announcement and invitation shall include:</i></p> <p><i>a) Information about the objectives, scope and the steps of the standard-setting process and its timetable.</i></p> <p>CONFORMITY</p>
	Process	YES	<p>From the Development Report: Certfor Standard Setting Process: Section: 2 “Public announcement that the standardization process had started:</p> <p>“Actions:</p> <p><i>The first source of public information established was the official CertforChile Corporation website www.certfor.org. Official announcements regarding the process were published at this site and direct access was provided to public documents used in the process. As a second instance, official press releases were transmitted by means of a mass e-mail platform directed to stakeholders. In addition, e-mails were sent to specialised press editors and media of public interest. The company also advertised in key media (the printed newspapers La Tercera and El Mercurio, as well as the Lignum e-bulletin). Contents of this release provide information about the starting date, what the process is about and its objectives and scope. The messages sent indicated when the process starts and invited recipients to apply at the Technical Committee. Some effective replies were received and some people participated in the process by means of the CertforChile Corporation General Assembly. Some were also elected to serve on the Superior Council while others were incorporated as applicants for the standardization Technical Committee.”</i></p> <p>From the CertforChile website: “Stages of the process according to the work plan defined based on the documents that guide the process of updating, the official stages are: creation of the Technical Committee: April/01/2014 30/may/2014. Preparation of the draft for consultation of standards: 02/June/2014 to 27/February/2015. Public consultation: 02/March/May/08/2015 2015. Preparation of the final draft of the standards: 11/May/July/03/2015 2015. Approval and publication of the new standards: 06/July/31/July/2015 2015.”</p> <p>CONFORMITY</p>
b) information	Procedures	YES	DN-01-02, CR7, IN 7.3b: “Information about opportunities for stakeholders to participate in the process.”

Question	Assess. basis*	YES /NO *	Reference to application documents
about opportunities for stakeholders to participate in the process,	Process	YES	<p>CONFORMITY</p> <p>In the Development Report, Section 2: “<i>Public announcement that the standardization process had started</i>” clearly outlines the steps taken to ensure that the announcement and invitation to participate was widespread:</p> <p>“Date: 31 March 2014. <i>Actions:</i> The first source of public information established was the official CertforChile Corporation website www.certfor.org. Official announcements regarding the process were published at this site and direct access was provided to public documents used in the process. As a second instance, official press releases were transmitted by means of a mass e-mail platform directed to stakeholders. In addition, e-mails were sent to specialised press editors and media of public interest. The company also advertised in key media (the printed newspapers La Tercera and El Mercurio, as well as the Lignum e-bulletin). Contents of this release provide information about the starting date, what the process is about and its objectives and scopes. Stakeholders were invited to participate in the process by visiting the website and reviewing process documentation and all information published at the website regarding Re-endorsement, participating in the on-line public consultation platform and sending comments, suggestions and complaints through the website. “</p> <p>See Annex 6 for details.</p> <p>The Assessor finds that the preponderance of evidence indicates this to be in conformance with PEFC requirements.</p> <p>CONFORMITY</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	Procedures	YES	<p>DN-01-02, CR 7, IN 7.3c:</p> <p><i>c) An invitation extended to stakeholders to nominate their representative(s) for the technical 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 (reference document: PS-02-19: Procedure for Establishing a Technical Committee for CERTFOR Standards).</i></p> <p>CONFORMITY</p>

Question	Assess. basis*	YES /NO *	Reference to application documents
information reaches intended recipients and in a format that is understandable,	Process	YES	<p>The Development Report: Certfor Standard Setting Process, Section 1 states the process used for inviting and nominating stakeholders and the results of these invitations:</p> <p><i>“.....This database was used to provide a list of contacts according to base segmentation by environmental, economic and social stakeholder group, highlighting key and disadvantaged stakeholders. Key stakeholders were those that were important and directly associated to the impact on the Standard and disadvantaged stakeholders were those that could have difficulties when it comes to participating in the process due to different conditions, such as geographic location, transport logistics, time available for participation, technical knowledge of standard issues and access to communication technology, among others. This segmentation was created in order to: Set up a Technical Committee. - Participate in public consultation.....Following public notification, personalised e-mails were sent to NGOs and to persons identified as key and disadvantaged stakeholders whose participation is considered to be important for the process. The messages sent indicated when the process starts and invited recipients to apply at the Technical Committee. Some effective replies were received and some people participated in the process by means of the CertforChile Corporation General Assembly. Some were also elected to serve on the Superior Council while others were incorporated as applicants for the standardisation Technical Committee.</i></p> <p><i>Results:</i></p> <ul style="list-style-type: none"> - 6 publications in printed and on-line press, including a two-page report published in the El Mercurio magazine Revista Del Campo. - - 2 ads were published in the Lignum e-bulletin in the month of April. - 4 ads were published in the newspapers La Tercera and El Mercurio Sunday, 30 March; two in each newspaper. One announced the start of the process while the other announced the opening of applications for the Technical Committee. - - 20 new members joined the CertforChile Corporation General Assembly. - - 16 persons applied for the Technical Committee.” <p>The following is from a communication from CertforChile to Greenpeace-Chile dated April 15, 2014:</p> <p><i>“Within the framework of the public process of updating of standards of sustainable forest management for plantations, group and chain of custody of the system CERTFOR/PEFC certification, the Corporation CertforChile invites your organization to send the nomination of a representative to conform the Technical Committee of this process. The Technical Committee is a figure of temporary character within CertforChile, whose function is to develop the updated version of the standards of the</i></p>

Question	Assess. basis*	YES /NO *	Reference to application documents
			<p><i>CERTFOR/PEFC system. This Committee will be composed by 10 members with expertise and experience in forestry issues and representing in an objective and balanced the different interests and views associated with the forest certification of Chile.”</i></p> <p>This letter, along with many other examples, can be found in Annex: 7: “Inviting stakeholders and TC selection.”</p> <p>The Assessor finds that the preponderance of evidence indicates this to be in conformance with PEFC requirements.</p> <p>CONFORMITY</p>
d) an invitation to comment on the scope and the standard-setting process, and	Procedures	YES	<p>DN-01-02, CR 7, IN 7.3d: <i>“An invitation to comment on the scope and the standard-setting process. The CertforChile website (www.certfor.org) shall provide an accessible public space in order to facilitate comments regarding the process. A public record shall be kept of all comments.”</i></p> <p>CONFORMITY</p>
	Process	YES	<p>Development Report: Certfor Standard Setting Process</p> <p>Section: 2 <i>“Public announcement that the standardization process had started:</i></p> <p><i>Actions:</i></p> <p><i>The first source of public information established was the official CertforChile Corporation website www.certfor.org. Official announcements regarding the process were published at this site and direct access was provided to public documents used in the process. As a second instance, official press releases were transmitted by means of a mass e-mail platform directed to stakeholders. In addition, e-mails were sent to specialised press editors and media of public interest. The company also advertised in key media (the printed newspapers La Tercera and El Mercurio, as well as the Lignum e-bulletin). Contents of this release provide information about the starting date, what the process is about and its objectives and scopes. Stakeholders were invited to participate in the process by visiting the website and reviewing process documentation and all information published at the website regarding Re-endorsement, participating in the on-line public consultation platform and sending comments, suggestions and complaints through the website. Finally, information was pooled using the official CERTFOR social networks (Facebook and Twitter). Following public notification, personalised e-mails were sent to NGOs and to persons identified as key and disadvantaged stakeholders whose participation is considered to be important for the process. The messages sent indicated when the process starts and invited recipients to apply at the Technical Committee.</i></p> <p>From the CertforChile website: <i>“In the framework of the</i></p>

Question	Assess. basis*	YES /NO *	Reference to application documents
			<p><i>reassessment of the Chilean system of certification of sustainable forest management (CERTFOR system) should be every five years to PEFC international, is considered the revision and updating of the national standards. This process aims to assess, through the participation of all interested parties, the implementation of the requirements of the CERTFOR system thus review the principles, criteria, indicators and verifiers that define sustainable management of forests and the industry in the country.</i></p> <p><i>Stages of the process according to the work plan defined based on the documents that guide the process of updating, the official stages are: creation of the Technical Committee: April/01/2014 30/may/2014. Preparation of the draft for consultation of standards: 02/June/2014 to 27/February/2015. Public consultation: 02/March/May/08/2015 2015. Preparation of the final draft of the standards: 11/May/July/03/2015 2015. Approval and publication of the new standards: 06/July/31/July/2015 2015."</i></p> <p>CONFORMITY</p>
e) reference to publicly available standard-setting procedures.	Procedures	YES	<p>DN-01-02, CR7, IN 7.3e: <i>"References to public procedures in relation to the standardization process at CertforChile's website (www.certfor.org).</i></p> <p>CONFORMITY</p>
	Process	YES	<p>The following standard setting procedural documents are posted on the CertforChile website and can be found in Annex 1: <i>"Procedures Publicly Available"</i>:</p> <p>DN-01-02 Procedure for the Development and Revision of CERTFOR Standards PS-02-13 Procedure for Addressing Complaints PS-02-19 Procedure for the Establishment of a Technical Committee for Certfor Standards PS-02-20 Stakeholder Mapping Procedure</p> <p>(Refer to www.certfor.org Annex 1: <i>"Procedures Publicly Available"</i>.)</p> <p>CONFORMITY</p>
5.4 The standardising body shall review the standard-setting process based on comments received from the public announcement and establish a	Procedures	YES	<p>DN-01-02, CR 7, IN 7.4:</p> <p><i>"Standardization Process Review: CertforChile shall review the process of development and/or revision of CERTFOR standards based on the comments received with regard to the public announcement. In addition, CertforChile shall establish a technical committee based on the nominations received according to Section 7.3. CertforChile's Superior Council shall be in charge of accepting or rejecting the nominations, and shall justify its decisions in relation to the requirements for a balanced representation on the technical committee and the resources available for the</i></p>

Question	Assess. basis*	YES /NO *	Reference to application documents
working group/committee or adjust the composition of an already existing working group/committee based on received nominations. The acceptance and refusal of nominations shall be justifiable in relation to the requirements for balanced representation of the working group/committee and resources available for the standard-setting.			<p><i>development and/or revision of standards.”</i></p> <p>CONFORMITY</p>
	Process	YES	<p>The Development Report: Certfor Standard Setting Process, Section 1 states the process used for inviting and nominating stakeholders and the results of these invitations:</p> <p><i>“.....This database was used to provide a list of contacts according to base segmentation by environmental, economic and social stakeholder group, highlighting key and disadvantaged stakeholders. Key stakeholders were those that were important and directly associated to the impact on the Standard and disadvantaged stakeholders were those that could have difficulties when it comes to participating in the process due to different conditions, such as geographic location, transport logistics, time available for participation, technical knowledge of standard issues and access to communication technology, among others. This segmentation was created in order to: Set up a Technical Committee. - Participate in public consultation.....Following public notification, personalised e-mails were sent to NGOs and to persons identified as key and disadvantaged stakeholders whose participation is considered to be important for the process. The messages sent indicated when the process starts and invited recipients to apply at the Technical Committee. Some effective replies were received and some people participated in the process by means of the CertforChile Corporation General Assembly. Some were also elected to serve on the Superior Council while others were incorporated as applicants for the standardisation Technical Committee.”</i></p> <p><i>Results:</i></p> <p><i>6 publications in printed and on-line press, including a two-page report published in the El Mercurio magazine Revista Del Campo. - 2 ads were published in the Lignum e-bulletin in the month of April. - 4 ads were published in the newspapers La Tercera and El Mercurio Sunday, 30 March; two in each newspaper. One announced the start of the process while the other announced the opening of applications for the Technical Committee. - 20 new members joined the CertforChile Corporation General Assembly. - 16 persons applied for the Technical Committee.”</i></p> <p>The following is from a communication from CertforChile to Greenpeace-Chile:</p> <p><i>“Within the framework of the public process of updating of standards of sustainable forest management for plantations,</i></p>

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			<p><i>group and chain of custody of the system CERTFOR/PEFC certification, the Corporation CertforChile invites your organization to send the nomination of a representative to conform the Technical Committee of this process. The Technical Committee is a figure of temporary character within CertforChile, whose function is to develop the updated version of the standards of the CERTFOR/PEFC system. This Committee will be composed by 10 members with expertise and experience in forestry issues and representing in an objective and balanced way the different interests and views associated with the forest certification of Chile.”</i></p> <p>Refer to Annex 7 for letters to specific stakeholders.</p> <p>Section: 2 “Public announcement that the standardization process had started: Actions: The first source of public information established was the official CertforChile Corporation website www.certfor.org. Official announcements regarding the process were published at this site and direct access was provided to public documents used in the process. As a second instance, official press releases were transmitted by means of a mass e-mail platform directed to stakeholders. In addition, e-mails were sent to specialised press editors and media of public interest. The company also advertised in key media (the printed newspapers La Tercera and El Mercurio, as well as the Lignum e-bulletin). Contents of this release provide information about the starting date, what the process is about and its objectives and scopes. Stakeholders were invited to participate in the process by visiting the website and reviewing process documentation and all information published at the website regarding Re-endorsement, participating in the on-line public consultation platform and sending comments, suggestions and complaints through the website. Finally, information was pooled using the official CERTFOR social networks (Facebook and Twitter). Following public notification, personalised e-mails were sent to NGOs and to persons identified as key and disadvantaged stakeholders whose participation is considered to be important for the process. The messages sent indicated when the process starts and invited recipients to apply at the Technical Committee. Some effective replies were received and some people participated in the process by means of the CertforChile Corporation General Assembly. Some were also elected to serve on the Superior Council while others were incorporated as applicants for the standardization Technical Committee.”</p> <p>CONFORMITY</p>

Question	Assess. basis*	YES /NO *	Reference to application documents
5.5 The work of the working group/committee shall be organised in an open and transparent manner where:			
a) working drafts shall be available to all members of the working group/committee,	Procedures	YES	<p>DN-01-02, CR 7, IN 7.6a: <i>a) Working drafts shall be available to all members of the technical committee, which shall initiate its task based on the initial draft prepared by CertforChile's National Secretariat, as the result of an analysis of relevant issues in other selected international standards."</i></p> <p>PS-02-19: Procedure for Establishing a Technical Committee for CERTFOR Standards</p> <p>Criterion: 6 "Procedures"</p> <p>Indicator: 6.6: "Preparation of an Enquiry Draft by the Technical Committee: The tasks of the Technical Committee shall be organized in an open and transparent manner, ensuring that: <i>a) Working drafts shall be available to all members of the Technical Committee, which shall initiate its task based on an Initial Draft prepared by CertforChile's National Secretariat, based on an analysis of relevant issues present in other selected international standards."</i></p> <p>CONFORMITY</p>
	Process	YES	<p>This is a letter from the CertforChile Executive Secretary to the Technical Committee sharing ideas regarding one of the initial drafts of the standard:</p> <p><i>"Dear Technical Committee, hoping that they are all good, I write regarding the State of the beginning 1 2014 standard. In the attached documents are "Effective 2007" versions, "DraftZero" and "CERTFOR 2014-draft". A comparative analysis of documents, with the following results: CERTFOR 2014: embodied, highlighted in green, which was left out of the version "Current 2007". In the case of the indicator 1.6.3, is an especially important requirement of PEFC left explicitly forbidden GMOs. Suggestions for modifications are highlighted in yellow. There are also notes at the end of some criteria. Draft Zero: Highlights in yellow the aspects of this document are not in the "CERTFOR 2014-draft" version, and that could warrant his review in the new context. Still requires uniform style of drafting indicators and verifiers, what may be decided at the next meeting. The idea is to consolidate the advances in each principle, which are asked to review the submitted documents and you have defined its position on the matter to the meeting on September 8-9. Best regards, Andre Laroze Executive Secretary"</i></p>

Question	Assess. basis*	YES /NO *	Reference to application documents
			<p><i>The following message appeared on the CertforChile website, describing the work of the Technical Committee along with meeting minutes:</i></p> <p><i>“In accordance with the programme of activities, the update of the standard for sustainable forest management for plantations establishes that the Technical Committee meets monthly, from June 2014 until January 2015, at two-day sessions to discuss the content of the standard and its revision based on knowledge and experience members of the Committee, presentations by invited experts consultation documents and analysis of the central topics of the standard. We are publishing the minutes of the meetings held so far. The documents are published in PDF format and you can ask them to click on the name of each.”</i></p> <p>This screen shot along with meeting minutes and other Technical Committee information can be found in Annex: 3 “<i>Technical Committee</i>”, specifically the following folders: working documents, meeting minutes and public information about the Technical Committee. The assessor believes the level of detail and record keeping of these documents demonstrate conformance to this requirement.</p> <p>The assessor believes it is clear from the extensive publicly available standard setting documentation, including meeting minutes, working drafts and stakeholder comments that the Technical Committee operated openly and transparently.</p> <p>CONFORMITY</p>
<p>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</p>	Procedures	YES	<p>DN-01-02, CR 7, IN 7.6b: <i>“All members of the technical committee shall have meaningful opportunities to contribute to the development and/or revision of the standards and to submit comments on the working drafts. For this purpose, the tasks of the technical committee shall be permanently coordinated by CertforChile’s National Secretariat, which shall also manage logistics and planning of all meetings.”</i></p> <p>CONFORMITY</p>
	Process	YES	<p>This is a letter from the ChertforChile Executive Secretary to the Technical Committee sharing ideas regarding one of the initial drafts of the standard:</p> <p><i>“Dear Technical Committee, hoping that they are all good, I write regarding the State of the beginning 1 2014 standard. In the attached documents are “Effective 2007” versions, “Draf Zero” and “CERTFOR 2014-draft”. A comparative analysis of documents, with the following results: CERTFOR 2014: embodied, highlighted in</i></p>

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			<p><i>green, which was left out of the version "Current 2007". In the case of the indicator 1.6.3, is an especially important requirement of PEFC left explicitly forbidden GMOs. Suggestions for modifications are highlighted in yellow. There are also notes at the end of some criteria. Draft Zero: Highlights in yellow the aspects of this document are not in the "CERTFOR 2014-draft" version, and that could warrant his review in the new context. Still requires uniform style of drafting indicators and verifiers, what may be decided at the next meeting. The idea is to consolidate the advances in each principle, which are asked to review the submitted documents and you have defined its position on the matter to the meeting on September 8-9. Best regards, Andre Laroze Executive Secretary"</i></p> <p><i>The following message appeared on the CertforChile website, describing the work of the Technical Committee along with meeting minutes:</i></p> <p><i>"In accordance with the programme of activities, the update of the standard for sustainable forest management for plantations establishes that the Technical Committee meets monthly, from June 2014 until January 2015, at two-day sessions to discuss the content of the standard and its revision based on knowledge and experience members of the Committee, presentations by invited experts consultation documents and analysis of the central topics of the standard. We are publishing the minutes of the meetings held so far. The documents are published in PDF format and you can ask them to click on the name of each."</i></p> <p>This screen shot along with meeting minutes and other Technical Committee information can be found in Annex: 3 "Technical Committee", specifically the following folders: working documents, meeting minutes and public information about the Technical Committee.</p> <p>The assessor believes the level of detail and record keeping of these documents demonstrate conformance to this requirement.</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</p>	<p>Procedures</p>	<p>YES</p>	<p>DN-01-02, CR 7, IN,7.6 c: <i>"Comments and views submitted by any member of the technical committee shall be considered in an open and transparent manner, and their resolution and proposed changes shall be recorded. CertforChile's National Secretariat shall keep minutes of all meetings and these shall be available to support the discussion and decision-making process."</i></p> <p>CONFORMITY</p>

Question	Assess. basis*	YES /NO *	Reference to application documents
and their resolution and proposed changes shall be recorded.	Process		<p>The minutes working drafts of the Technical Committee as well as the unanimous approval of the final draft standard is indicative of the committee's commitment to transparency and resolution. Proposed changes and how they were resolved are documented in the series of working documents deliberated by the Technical Committee. They reached consensus on all issues and never needed to apply alternatives means of achieving consensus. These documents can be found in Annex: 9 : <i>TC Work.</i>"</p> <p>The assessor believes the level of detail and record keeping of these documents demonstrate conformance to this requirement.</p> <p>CONFORMITY</p>
5.6 The standardising body shall organise a public consultation on the enquiry draft and shall ensure that:			
a) the start and the end of the public consultation is announced in a timely manner in suitable media,	Procedures	YES	<p>DN-01-02, CR 7, IN 7.8a: <i>"The beginning and ending of public consultation is announced four weeks in advance and through the appropriate means."</i></p> <p>CONFORMITY</p>
	Process	YES	<p>These announcements are from the CertforChile website (CertforChile.org):</p> <p><i>"Monday, April 06, will start the public consultation on the standards of system CERTFOR/PEFC, which will have a duration of ten weeks and believes meetings with indigenous and local communities, forest workers, certification bodies and certified companies. Also open-ended regional workshops will be held."</i></p> <p><i>"Through this statement is presented the activities of public consultation program, which is particularly aimed at sustainable forest management standard for plantations and considers meetings aimed at indigenous and local communities, forest workers and companies dedicated to the management of forests and certifying bodies. In addition, workshops open to the participation of public institutions, universities, environmental and social organizations and, in general, to all those people who feel interest to participate and contribute to its renewal."</i></p> <p>The start and end of the public consultation was also announced in various media, including La Tribuna, and by personal invitation too many key stakeholders, including the forest workers confederation. These announcements and invitations can be found in Annex: 10 <i>"Communication public consultation"</i> and Annex: 11 <i>"Invitation Public Consultation"</i>.</p> <p>CONFORMITY</p>

Question	Assess. basis*	YES /NO *	Reference to application documents
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	DN-01-02, CR 7, IN 7.8b: <i>“The invitation of disadvantaged and key stakeholders shall be made by means that ensure that the information reaches its recipient and is understandable.”</i> CONFORMITY
	Process	YES	These announcements are from the CertforChile website (CertforChile.org): <i>“Monday, April 06, will start the public consultation on the standards of system CERTFOR/PEFC, which will have a duration of ten weeks and believes meetings with indigenous and local communities, forest workers, certification bodies and certified companies. Also open-ended regional workshops will be held.”</i> <i>“Through this statement is presented the activities of public consultation program, which is particularly aimed at sustainable forest management standard for plantations and considers meetings aimed at indigenous and local communities, forest workers and companies dedicated to management of forests and certifying bodies. In addition, workshops open to the participation of public institutions, universities, environmental and social organizations and, in general, to all those people who feel interest to participate and contribute to its renewal.”</i> The start and end of the public consultation was also announced in various media, including La Tribuna, and by personal invitation too many key stakeholders, including the forest workers confederation. These announcements and invitations can be found in Annex: 10 <i>“Communication public consultation”</i> and Annex: 11 <i>“Invitation Public Consultation”</i> . CONFORMITY
c) the enquiry draft is publicly available and accessible,	Procedures	YES	DN-01-02, CR 7, IN 7.8c: <i>“The enquiry draft prepared by the technical committee through consensus for each standard in development and/or revision is publically available and accessible.”</i> PS-02-19 Criterion 6, IN 6 <i>“A preliminary Enquiry Draft is subjected to pilot testing, if applicable, and with later improvements made available for public consultation.”</i> A preliminary Enquiry Draft is subjected to pilot testing, if applicable, and with later improvements made available for public consultation. CONFORMITY
	Process	YES	From the CertforChile website (www.certfor.org): <i>“Information concerning the process, where the online platform of public consultation is now available will be published on the web site of CertforChile. There users can review documents and send</i>

Question	Assess. basis*	YES /NO *	Reference to application documents
			<p><i>their comments and observations on the content of the standards. Soon the program of activities will be published and will be sent press releases to the media giving to know in advance the dates and locations of activities, said the Corporation.</i></p> <p>This screen shot can be found in Annex: 10 "Communication Public Consultation" (See www.certforchile.org.)</p> <p>CONFORMITY</p>
d) the public consultation is for at least 60 days,	Procedures	YES	<p>DN-01-02 Criterion: 7 IN 7d: <i>"The public consultation has a duration of at least nine weeks."</i></p> <p>CONFORMITY</p>
	Process	YES	<p>This announcement is from the CertforChile website (www.certforchile.org):</p> <p><i>"Monday, April 06, will start the public consultation on the standards of system CERTFOR/PEFC, which will have a duration of ten weeks and believes meetings with indigenous and local communities, forest workers, certification bodies and certified companies. Also open-ended regional workshops will be held."</i></p> <p>The start and end of the public consultation was also announced in various media, including La Tribuna, and by personal invitation too many key stakeholders, including the forest workers confederation. These announcements and invitations can be found in Annex: 10 "Communication public consultation" and Annex: 11 "Invitation Public Consultation".</p> <p>CONFORMITY</p>
e) all comments received are considered by the working group/committee in an objective manner,	Procedures	YES	<p>DN-01-02, CR, 7 IN 7.8g: <i>"All the comments received during public consultation are recorded and considered objectively by the technical committee"</i>.</p> <p>CONFORMITY</p>
	Process	YES	<p>The following are from the minutes of public consultations with key stakeholders during the comment period on the draft standard:</p> <p><i>From the forest workers:</i></p> <p><i>"Prior to the revision of the document, participants made comments on topics that mark its main concern: - timetable of work and transport - transport for workers. Baths in places of work. André Laroze explains that the mentioned issues are considered within the requirements of the standard and invites you to check principle 7. We proceed to the revision of the draft for public consultation document. Detailed comments are reflected in the consultation document, highlighting the following:...."</i></p>

Question	Assess. basis*	YES /NO *	Reference to application documents
			<p>From local communities: <i>“Participants requested that the CERTFOR seal has more presence and communication with communities but that they do not fail them expectations. • On criterion 4.5. The participants requested to consider: protection to areas of waterways by drainage of rivers. Care and control with fumigation that are affecting species and activities as beekeeping. That is add in the standard any requirement or mechanism to ensure communities with professional support to study the impact of the forest in their quality of life and its context. “</i></p> <p>From academia: <i>“After the lunch break, starts public consultation workshop. André Laroze briefly explains what it is about the process of requalify and the method of development of the public consultation, describes the document consultation draft and proposed starting by revising criteria highlighted as new in standard. Proceed to the review and comments, which are reported in detail in the public consultation document, highlighting the participation of the following: • attendees requested that there is an office of CERTFOR in conception to provide greater contact system with stakeholders of the forest area.”</i></p> <p>From Certified companies: <i>“It starts with the review of the new content on these principles of the standard. The comments and observations of content are reflected in the draft document of the standard, highlighting the following: for principle 4 is requested to leave explicit auditor manual control of the quality of water through the supervision of the first point. Completed the revision of the principles 1 to 4, proceed to the consultation of the issues of monitoring listed in principle 9. The comments and observations are reflected in the draft document of the standard, highlighting the following: prompted to redefine the point C of the criterion 9.2.4 aiming that applies a strategy for effects of water availability for the communities downstream.”</i></p> <p>The minutes of these consultations can be found in their entirety in Annex: 14 <i>“Comments Public Consultation”</i>. In addition a Public Consultation Report details the comments/observations received from stakeholders by Criterion, how it was resolved by the Technical Committee and what the final version was.</p> <p>CONFORMITY</p>
(f) a synopsis of	Procedures	YES	DN-01-02, CR 7, IN 7.8h: <i>“Once public consultation has come to an end, a summary containing the observations received and their</i>

Question	Assess. basis*	YES /NO *	Reference to application documents
received comments compiled from material issues, including the results of their consideration, is publicly available, for example on a website.			<p><i>corresponding analysis, organized by subject, shall be prepared, and be made available to the public at the CertforChile website (www.certfor.org).</i></p> <p><i>The information of changes made based on the public consultation shall be considered a result of the standardization process.”</i></p> <p>CONFORMITY</p>
	Process	YES	<p>From Section 8 of the Development Report: Certfor Standard Setting Process:</p> <p><i>“8. Public Consultation</i></p> <p><i>Date: April – August 2015</i></p> <p><i>Actions:</i></p> <p><i>The Public Consultation process was announced 10 March 2015 in paid ads published in the printed newspapers La Tercera (national coverage) and El Sur (Concepción), and in the Lignum e-bulletin. Press releases were subsequently released announcing that public consultation would start in April and inviting stakeholders to participate.</i></p> <p><i>An official announcement including the Public Consultation activities calendar was published 6 April 2014. It included meetings for key and disadvantaged stakeholders and two open participation seminar/workshops in Concepción and Santiago.</i></p> <p><i>Minutes were taken at each meeting and attendance records listing those who attended the meetings were kept.</i></p> <p><i>It was announced that public consultation would come to a close in early July by means of an official notification, mass e-mailing and advertising.</i></p> <p><i>After completing the process, the Executive Secretariat prepared a report containing comments about each meeting, which was reviewed by the Technical Committee. The Technical Committee worked on this document, reviewing which comments applied to the standard and which did not, providing a reply for each comment. The Public Consultation Report containing comments about the consultation process and answers provided by the committee was published at the website www.certfor.org, sent to the persons and organisations that provided logistics assistance for the meetings and transmitted by means of an official announcement, mass e-mailing to stakeholders, social networks and forestry sector press.....The Public Consultation Report, which includes public consultation comments, Technical Committee replies and amendments made to the CERTFOR SFM Standard for Plantations Final Draft, was announced by means of an official publication at the website www.certfor.org and by notifications</i></p>

Question	Assess. basis*	YES /NO *	Reference to application documents
			<p><i>sent by means of e-bulletins and specialised press.”</i></p> <p>The Public Consultation Report can be in Annex: 14 “Comments Public Consultation” the comments/observations received from stakeholders by Criterion, how it was resolved by the Technical Committee and what the final version was.</p> <p>CONFORMITY</p>
<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 group/committee.</p>	Procedures	YES	<p>DN-01-02, CR 7, IN 7.9: <i>“Pilot Testing When applicable, CertforChile shall organize pilot testing of the new standards and the results of those tests shall be considered by the technical committee. The preliminary enquiry draft shall be applied on-site before the public consultation process. As a result of this pilot testing, appropriate actions shall be taken in order to incorporate recommendations and improvements leading to the enquiry draft, which shall be submitted for public consultation. The pilot testing results and the changes implemented shall be available for public consultation.”</i></p> <p>CONFORMITY</p>
	Process	YES	<p>There are conformity assessments to the prior standard for individual companies in Annex 16.</p> <p>CONFORMITY</p>
<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.</p>	Procedures	YES	<p>DN-01-02, CR 7, IN 10: <i>“Building a Consensus on the Final Draft: At the end of the period of public consultation and, if applicable, pilot testing, the technical committee shall meet to incorporate comments and prepare the final draft to be approved by CertforChile’s Superior Council. The decision of the technical committee to recommend the final draft of a standard to be approved by CertforChile’s Superior Council shall be made by a minimum majority of 70% given a minimum quorum of four-fifths. In order to reach a consensus, the technical committee can use the following alternatives to establish whether there is opposition or not:</i></p> <p><i>a) A face-to-face meeting where there is a verbal yes/no vote, show of hands for a yes/no vote; a statement on consensus from the president of the committee where there are no dissenting voices or hands (votes); a formal balloting process, etc.</i></p> <p><i>b) A telephone conference meeting where there is a verbal yes/no vote.</i></p> <p><i>c) An e-mail meeting where a request for agreement or objection is provided to members with the members providing a written response (a proxy for a vote).</i></p> <p><i>d) Combinations thereof”</i></p>

Question	Assess. basis*	YES /NO *	Reference to application documents
			CONFORMITY
	Process	YES	<p>This letter was sent from a Technical Committee member to CertforChile:</p> <p><i>“Yo, NOELIA CARRASCO HENRÍQUEZ, RUT: 12.710.253-8, as a member of the Technical Committee of the Corporation CertforChile for the updating of the standard CERTFOR of management forestry sustainable for PLANTATIONS, I confirm that I have received and reviewed the following documents in their entirety: • draft Final of the CERTFOR standard of sustainable forest management for plantations • report of public consultation through this I confirm that the content of these documents faithfully reflected the work carried out by the Technical Committee and by virtue of this, I approve the final version submitted by the Executive Secretariat, for submission to the Superior Council of the Corporation CertforChile and its publication.”</i></p> <p>All 10 Technical Committee members sent similar letters, all indicating approval of the final draft. These can be found in Annex: 17 <i>“Approval of final draft by TC.”</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 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.,	Procedures	YES	<p>DN-01-02, CR 7, IN 10a: <i>“A face-to-face meeting where there is a verbal yes/no vote, show of hands for a yes/no vote; a statement on consensus from the president of the committee where there are no dissenting voices or hands (votes); a formal balloting process, etc.”</i></p> <p>CONFORMITY</p>
	Process	N/A	<p>It was not necessary to apply this process during the standard development because all members of the Technical Committee expressed support of the final draft in letters to the General Secretary. These letters, all dated September 14, 2015 can be found in Annex 17: Approval of Final Draft by TC.</p> <p>NOT APPLICABLE</p>
b) a telephone conference meeting where there is a verbal	Procedures	YES	<p>DN-01-02, CR 7, IN 7.10b: <i>“A telephone conference meeting where there is a verbal yes/no vote.”</i></p> <p>CONFORMITY</p>

Question	Assess. basis*	YES /NO *	Reference to application documents
yes/no vote,	Process	N/A	It was not necessary to apply this process during the standard development. NOT APPLICABLE
c) an e-mail meeting where a request for agreement or objection is provided to members with the members providing a written response (a proxy for a vote), or	Procedures	YES	DN-01-02, CR 7, IN 7.10c: <i>“An e-mail meeting where a request for agreement or objection is provided to members with the members providing a written response (a proxy for a vote).”</i> CONFORMITY
	Process	N/A	It was not necessary to apply this process during the standard development. NOT APPLICABLE
d) combinations thereof.	Procedures	YES	DN-01-02, CR 7, IN 7.10d: <i>“Combinations thereof.”</i> CONFORMITY
	Process	N/A	It was not necessary to apply this process during the standard development. NOT APPLICABLE
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	DN-01-02, CR 7, IN 7.10e: <i>“Discussion and negotiation on the disputed issue within the Technical Committee in order to reach a compromise. ”</i> CONFORMITY
	Process	N/A	There was no evidence of a negative vote which represented a sustained opposition in the WG minutes. NOT APPLICABLE
b) direct negotiation between the stakeholder(s) submitting the objection and stakeholders with different views on the disputed issue in order to find a	Procedures	YES	DN-01-02, CR 7, IN 7.10f: <i>“Direct negotiation between the stakeholder(s) submitting the objection and the stakeholder(s) with different views on the disputed issue in order to reach a compromise. ”</i> CONFORMITY
	Process	N/A	There was no evidence of a negative vote which represented a sustained opposition in the WG minutes.

Question	Assess. basis*	YES /NO *	Reference to application documents
compromise,			NOT APPLICABLE
c) dispute resolution process.	Procedures	YES	DN-01-02, CR 7, IN 7.10g: <i>“Dispute resolution procedures: when the Technical Committee cannot reach an agreement in some issues, the creation of a specific working group will be done to collect more information in order to make a good decision. “</i> CONFORMITY
	Process	N/A	There was no evidence of a negative vote which represented a sustained opposition in the WG minutes. NOT APPLICABLE
5.10 Documentation on the implementation of the standard-setting process shall be made publicly available.	Procedures	YES	DN-01-02, CR 7, IN 7.12: <i>“Documentation of Standardization Process: All the information related to the standardization process shall be published at the CertforChile website (www.certfor.org). CertforChile shall keep all records related to process of development and/or revision of CERTFOR standards. The records shall be kept for a minimum of 5 years and shall be available for an audit of CERTFOR’s endorsement process and for stakeholders that request them.”</i> CONFORMITY
	Process	YES	The following standard setting procedural documents are posted on the CertforChile website (www.certfor.org) and can be found in Annex 1: <i>“Procedures Publicly Available”</i> : DN-01-02 Procedure for the Development and Revision of CERTFOR Standards PS-02-13 Procedure for Addressing Complaints PS-02-19 Procedure for the Establishment of a Technical Committee for Certfor Standards PS-02-20 Stakeholder Mapping Procedure See www.certfor.org ; Annex: 1 <i>“Procedures publicly available”</i> From the CertforChile website (www.certfor.org): <i>“Information concerning the process, where the online platform of public consultation is now available will be published on the web site of CertforChile. There users can review documents and send their comments and observations on the content of the standards. Soon the program of activities will be published and will be sent press releases to the media giving to know in advance the dates and locations of activities, said the Corporation.”</i> This screen shot can be found in Annex: 10 <i>“Communication Public Consultation”</i> (See Annex 4)

Question	Assess. basis*	YES /NO *	Reference to application documents
			<p>From the Development Report: Certfor Standard Setting Process: Section: 2 <i>“Public announcement that the standardization process had started:</i> <i>Actions:</i> <i>The first source of public information established was the official CertforChile Corporation website www.certfor.org. Official announcements regarding the process were published at this site and direct access was provided to public documents used in the process. As a second instance, official press releases were transmitted by means of a mass e-mail platform directed to stakeholders. In addition, e-mails were sent to specialised press editors and media of public interest. The company also advertised in key media (the printed newspapers La Tercera and El Mercurio, as well as the Lignum e-bulletin). Contents of this release provide information about the starting date, what the process is about and its objectives and scopes. Stakeholders were invited to participate in the process by visiting the website and reviewing process documentation and all information published at the website regarding Re-endorsement, participating in the on-line public consultation platform and sending comments, suggestions and complaints through the website. Finally, information was pooled using the official CERTFOR social networks (Facebook and Twitter). Following public notification, personalised e-mails were sent to NGOs and to persons identified as key and disadvantaged stakeholders whose participation is considered to be important for the process. The messages sent indicated when the process starts and invited recipients to apply at the Technical Committee. Some effective replies were received and some people participated in the process by means of the CertforChile Corporation General Assembly. Some were also elected to serve on the Superior Council while others were incorporated as applicants for the standardization Technical Committee.”</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>DN-01-02, CR 7, IN 7.11: <i>“Formal Approval of CERTFOR Standards CertforChile’s Superior Council shall formally approve each standard included in the process of development and/or revision of standards based on the consensus reached by the technical committee.</i></p> <p>CONFORMITY</p>
	Process	YES	<p>Copy of the email sent by CertforChile General Secretary to the Superior Council requesting approval —(See Annex: 17 <i>“Approval of the final draft”</i>)</p> <p><i>“Dear (as), hoping that they are well, request them to send us their formal approval both of the Final draft of the CERTFOR standard of</i></p>

Question	Assess. basis*	YES /NO *	Reference to application documents
			<p><i>sustainable forest management for plantations and of the report of public consultation. Herein them the letter prepared in the regard that require their data and signature, being a requirement for application of requalify before PEFC and the subsequent audit that will make our standard update process. You can send the letter with your digital email signature or with conventional signature by mail to our office. Please send us your approval before September 25 we have a deadline until September 30 to send all documentation to PEFC. Best regards and thank you very much for your cooperation,”</i></p> <p>While there is no documentation signifying that the Superior Council formal approved the draft, it can be assumed because of the submittal of the final draft to PEFC for reassessment.</p> <p>CONFORMITY</p>
5.12 The formally approved standards/normative documents shall be published in a timely manner and made publicly available.	Procedures	YES	<p>DN-01-02, CR 7, IN 7.13: <i>“Publication of CERTFOR Standards: CERTFOR standards, formally approved by CertforChile’s Superior Council, shall be published opportunely and made accessible at the CertforChile website (www.certfor.org).”</i></p> <p>CONFORMITY</p>
	Process	N/A	<p>The final document will be formally approved and made publicly available once it has received approval by PEFC Council.</p> <p>Not Applicable</p>
Revisions of standards/normative documents			
6.1 The standards/normative documents shall be reviewed and revised at intervals that do not exceed a five-year period. The procedures for the revision of the standards/normative documents shall follow those set out in chapter 5.	Process	YES	<p>DN-01-02, CR 8, IN 8.1: <i>“CERTFOR standards shall be revised at time intervals not exceeding 5 years in order to be adapted to changes in the economic, social and environmental context of forest certification in Chile and in the rest of the world, and to requirements established by the PEFC Council. The revision of standards shall follow the guidelines presented in Chapter 7 of this document.”</i></p> <p>Upon review of Chapter 7 of DN-01-02, the assessor finds this in full conformance with Chapter 5 of the PEFC International Standard.</p> <p>The Development Report: Certfor Standard Setting Process provides an account of actions executed to ensure compliance with process requirements between 2013 and 2015.</p>

Question	Assess. basis*	YES /NO *	Reference to application documents
			CONFORMITY
6.2 The revision shall define the application date and transition date of the revised standards/normative documents.	Process	N/A	<p>DN-01-02 Procedure for the Development and Revision of CERTFOR Standards</p> <p>Criterion: 8 <i>“Revision of CERTFOR Standards”</i></p> <p>Indicator: 8.2 <i>“The revision shall define the application date and transition date of the revised standards.”</i></p> <p>The Development Report: Certfor Standard Setting Process, states in Section 12: <i>“The current CERTFOR System Standards revision process is authorised by the PEFC Council to be executed in the present period in virtue of a previous request made to PEFC considering CertforChile Corporation internal administration processes.Execution of this part of the procedure remains pending and this will be done once the PEFC Council evaluation and endorsement process has been completed.”</i></p> <p>NOT APPLICABLE</p>
6.3 The application date shall not exceed a period of one year from the publication of the standard. This is needed for the endorsement of the revised standards/normative documents, introducing the changes, information dissemination and training.	Process	N/A	<p>DN-01-02 Procedure for the Development and Revision of CERTFOR Standards</p> <p>Criterion: 8 <i>“Revision of CERTFOR Standards”</i></p> <p>Indicator: 8.3: <i>“The application date shall not exceed a period of one year from the publication of the standard. This is needed for endorsement of the revised standards, introducing changes, information dissemination and training.”</i></p> <p>The Development Report: Certfor Standard Setting Process, states in Section 12: <i>“The current CERTFOR System Standards revision process is authorised by the PEFC Council to be executed in the present period in virtue of a previous request made to PEFC considering CertforChile Corporation internal administration processes.Execution of this part of the procedure remains pending and this will be done once the PEFC Council evaluation and endorsement process has been completed.”</i></p> <p>NOT APPLICABLE</p>
6.4 The transition date shall not exceed a period	Process	N/A	DN-01-02 Procedure for the Development and Revision of CERTFOR Standards

Question	Assess. basis*	YES /NO *	Reference to application documents
of one year except in justified exceptional circumstances where the implementation of the revised standards/normative documents requires a longer period.			<p>Criterion: 8 <i>“Revision of CERTFOR Standards”</i></p> <p>Indicator: 8.4: <i>“The transition date shall not exceed a period of one year except in justified exceptional circumstances where the implementation of the revised standards requires a longer period.”</i></p> <p>The Development Report: Certfor Standard Setting Process, states in Section 12: <i>“The current CERTFOR System Standards revision process is authorised by the PEFC Council to be executed in the present period in virtue of a previous request made to PEFC considering CertforChile Corporation internal administration processes. Execution of this part of the procedure remains pending and this will be done once the PEFC Council evaluation and endorsement process has been completed.”</i></p> <p>NOT APPLICABLE</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	DN-02-08 CERTFOR Standard for Group Certification, Glossary of Terms <i>“Certification group: A group of participants represented by the group entity for the purpose of implementing the CERTFOR Standard for Sustainable Forest Management of Plantations and its certification process.”</i> CONFORMITY
b) the group entity,	YES	DN-02-08 Glossary of Terms <i>“Group entity: An entity that represents the participants, with overall responsibility for ensuring the conformity of forest management in the certified area with the CERTFOR Standard for Sustainable Forest Management of Plantations and other applicable requirements of the CERTFOR Forest Certification System”</i> CONFORMITY
c) the participant,	YES	DN-02-08 Glossary of Terms <i>“Group participant: A small or medium sized forest owner covered by a CERTFOR Certification Group certificate, who has the legal right to manage a clearly defined holding subject to forest management, and the ability to implement CERTFOR Standard for Sustainable Forest Management of Plantations requirements at said holding.”</i> CONFORMITY
d) the certified area,	YES	DN-02-08 Glossary of Terms <i>“Certified area: The forest area covered by a CERTFOR Certification Group certificate, representing the sum of all holdings subject to forest management</i>

Question	YES / NO*	Reference to system documentation
		<p><i>owned by the participants."</i></p> <p>CONFORMITY</p>
<p>e) the group forest certificate, and</p>	<p>YES</p>	<p>DN-02-08 Glossary of Terms</p> <p>"CERTFOR Certification Group Certificate: <i>A document confirming that the certification group complies with the CERTFOR Standard for Sustainable Forest Management of Plantations requirements, and other applicable requirements of the CERTFOR Forest Certification System."</i></p> <p>CONFORMITY</p>
<p>f) the document confirming participation in group forest certification.</p>	<p>YES</p>	<p>DN-02-08 CERTFOR Standard for Group Certification</p> <p>Criterion: 2.6 "There is an individual contract between the group and each of its participants"</p> <p>Indicator: 2.6.2 <i>"Each participant that has an individual contract will receive a document issued by the group entity confirming that he or she belongs to the group and is covered by the group certification scope."</i></p> <p>CONFORMITY</p>
<p>4.1.2 In cases where a forest certification scheme allows an individual forest owner to be covered by additional group or individual forest management certifications, the scheme shall ensure that non-conformity by the forest owner identified under one forest management certification is addressed in any other forest management certification that covers the forest owner.</p>	<p>N/A</p>	<p>DN-02-08 CERTFOR Standard for Group Certification</p> <p>In the introduction, CERTFOR Standard for Group Certification states that <i>"A participant belonging to a certification group shall not be entitled to individually qualify for a CERTFOR system sustainable forest management certificate nor belong to more than one certification group"</i></p> <p>NOT APPLICABLE</p>
<p>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</p>	<p>YES</p>	<p>DN-02-08 CERTFOR Standard for Group Certification</p> <p>Criterion 1.2: <i>"The group has a documented policy to respect CERTFOR Standard for Sustainable Forest Management of Plantation Principles."</i></p> <p>Indicators: 1.2.1: <i>"There is a written policy that is public domain."</i> 1.2.2: <i>"The participants of the group have agreed to comply with this policy in the contract with the group."</i> 1.2.3: <i>"The policy is actively explained to stakeholders."</i></p> <p>Criterion 2.1:</p>

Question	YES / NO*	Reference to system documentation
programme.		<p><i>"A group entity has been appointed and it is responsible for group management and operation."</i></p> <p>Indicators:</p> <p>2.1.1: <i>"There is a group entity."</i></p> <p>2.1.2: <i>"The group entity is authorized by the group to sign contracts with the CertforChile Corporation."</i></p> <p>2.1.3: <i>"The group entity is authorized to represent the group in the certification process, including communications and relations with the certification body, submittal of a certification request and contractual relations with the certification body."</i></p> <p>2.1.4: <i>"The group entity is responsible on behalf of the group for compliance with the CERTFOR Standard for Sustainable Forest Management of Plantations and other applicable requirements of the CERTFOR Forest Certification System."</i></p> <p>Criterion: 2.2 <i>"The group entity has enough authority to manage the group."</i></p> <p>Indicator:</p> <p>2.2.1: <i>"The group entity at least decides the incorporation and dismissal of participants."</i></p> <p>Criterion: 2.3 <i>"The group has an organizational chart describing its organizational structure and the responsibilities of all of its participants."</i></p> <p>Indicator: 2.3.1 <i>"There is an organizational chart."</i></p> <p><i>Note: There may be a very simple organisational structure for small groups, but large groups may have several levels of responsibility or management, with a wide range of support personnel."</i></p> <p>Criterion: 2.4 <i>"The group has clearly assigned responsibilities corresponding to the group entity, to the group in general and to its participants."</i></p> <p>Indicators:</p> <p>2.4.1: <i>"Responsibilities are clearly assigned with regard to aspects such as forest management, long-term planning and the sale of timber, among others."</i></p> <p>2.4.2: <i>"Each participant of the group has a document indicating his or her obligations and responsibilities in terms of sustainable forest management and obligations that must be managed by the group entity."</i></p> <p>Criterion: 2.5 <i>"The group entity has been appropriately trained to execute its obligations and responsibilities"</i></p>

Question	YES / NO*	Reference to system documentation
		<p>Indicator: 2.5.3 <i>“The group entity is able to execute internal audit functions (monitoring) required to ensure compliance with the CERTFOR Standard for Sustainable Forest Management for Plantations.”</i></p> <p>Criterion: 2.6 <i>“There is an individual contract between the group and each of its participants.”</i> Indicators: 2.6.1: <i>“This contract includes at least the following aspects:</i> <i>a. Each participant's adherence to the CERTFOR Standard for Sustainable Forest Management of Plantations Principles.</i> <i>b. Description of each participant's and the group entity's forest management responsibilities.</i> <i>c. Provision of all assistance and cooperation in order to effectively respond to all group entity and certification body requests with regard to the provision of relevant information and documentation.</i> <i>d. Authorized free access by the group entity to the FMU with monitoring and control objectives.</i> <i>e. Authorized certification body access for the execution of annual audits and monitoring.</i> <i>f. The obligation to implement corrective measures determined by internal audits and by the certification body.</i> <i>g. Respect for the group entity's decision to suspend or dismiss a group participant due to any major failure in the line of forest management.”</i> 2.6.2: <i>“Each participant that has an individual contract will receive a document issued by the group entity confirming that he or she belongs to the group and is covered by the group certification scope.”</i></p> <p>Criterion: 2.7 <i>“Group participants have been appropriately trained to comply with their obligations and responsibilities with regard to effective implementation of the CERTFOR Standard for Sustainable Forest Management of Plantations and other applicable requirements of the CERTFOR Forest Certification System.”</i></p> <p>Indicators: 2.71: <i>“This training may be provided by means of a formal course or by means of talks or other forms of education provided by the group entity.”</i> 2.7.2 : <i>“The group entity keeps training records for group participants.”</i></p> <p>Criterion: 2.8 <i>“The group entity has established the minimum level of training required in order to perform any role in the group and keeps records in order to verify that all forest operations are executed by appropriately trained personnel.”</i></p> <p>Indicators: 2.8.1: <i>“Training requirements are documented.”</i> 2.8.2: <i>“The group entity keeps records of all persons who have been trained.”</i></p>

Question	YES / NO*	Reference to system documentation
		<p>2.8.3: <i>“The group entity keeps a copy of all training material.”</i></p> <p>Criterion: 2.14 <i>“There is an internal group management audit system, which is applied at least once per year.”</i></p> <p>Indicators: 2.14.1: <i>“Frequency and size of the sample to be monitored have been determined.”</i> 2.14.2: <i>“This audit shall cover all aspects of group functioning, as well as group participant obligations and responsibilities (requirements, procedures, corrective actions and reports, among others).”</i> 2.14.3: <i>“In the event that corrective actions are recommended, these are implemented in the recommended timeframes.”</i></p> <p>2.14.4: <i>“Results of the internal system audit are incorporated when updating the group layout.”</i></p> <p>Criterion: 2.16 <i>“All holdings subject to forest management are subjected to a formal audit before joining the group.”</i></p> <p>Indicator: 2.16.1: <i>“The audit shall cover all aspects applicable to the CERTFOR Standard for Sustainable Forest Management of Plantations, and the checklist used shall be kept as a record.”</i></p> <p>Criterion: 2.2.7 <i>“Group participants are familiar with the minimum requirements and levels established in the CERTFOR Standard for Sustainable Forest Management of Plantations for all forest operations these participants are responsible for.”</i></p> <p>Indicators: 2.27.1: <i>“Participants are able to describe the practical procedures required for compliance with the CERTFOR Standard for Sustainable Forest Management of Plantations.”</i> 2.27.2 <i>“Group participants understand what forest operations they are responsible for.”</i></p> <p>CONFORMITY</p>
<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 forest management standard.</p>	<p>YES</p>	<p>DN-02-08, CR 2.14 <i>“There is an internal group management audit system, which is applied at least once per year.”</i></p> <p>Indicators: 2.14.1: <i>“Frequency and size of the sample to be monitored have been determined.”</i> 2.14.2: <i>“This audit shall cover all aspects of group functioning, as well as group participant obligations and responsibilities (requirements, procedures, corrective actions and reports, among others).”</i></p>

Question	YES / NO*	Reference to system documentation
		<p>2.14.3: <i>"In the event that corrective actions are recommended, these are implemented in the recommended timeframes."</i></p> <p>2.14.4 <i>"Results of the internal system audit are incorporated when updating the group layout."</i></p> <p>Criterion: 2.16 <i>"All holdings subject to forest management are subjected to a formal audit before joining the group."</i></p> <p>Indicator: 2.16.1 <i>"The audit shall cover all aspects applicable to the CERTFOR Standard for Sustainable Forest Management of Plantations, and the checklist used shall be kept as a record."</i></p> <p>CONFORMITY</p>
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:		
<p>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;</p>	YES	<p>DN-02-08, CR 1.1, IN 1.1.1: <i>"The group, participants of this group and other entities have determined legal status entitling the same to sign contracts with the CertforChile Corporation."</i></p> <p>DN-02-08, CR 2.1, IN 2.1.3: <i>"The group entity is authorised to represent the group in the certification process, including communications and relations with the certification body, submittal of a certification request and contractual relations with the certification body."</i></p> <p>CONFORMITY</p>
<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;</p>	YES	<p>DN-02-08, CR 1.2</p> <p>Indicators: 1.2.1: <i>"There is a written policy that is public domain."</i> 1.2.2: <i>"The participants of the group have agreed to comply with this policy in the contract with the group."</i> 1.2.3: <i>"The policy is actively explained to stakeholders."</i></p> <p>CR 2.1, IN 2.1.4 <i>"The group entity is responsible on behalf of the group for compliance with the CERTFOR Standard for Sustainable Forest Management of Plantations and other applicable requirements of The CERTFOR Forest Certification System."</i></p> <p>CONFORMITY</p>

Question	YES / NO*	Reference to system documentation
<p>c) To establish written procedures for the management of the group organisation;</p>	<p>YES</p>	<p>DN-02-08, CR 2.9, IN 2.9.1: <i>“There is a manual that describes group functioning and this manual includes at least the following documents:</i></p> <ul style="list-style-type: none"> <i>a. Requirements</i> <i>b. Procedures</i> <i>c. Corrective actions requests</i> <i>d. Monitoring and Control</i> <i>e. Reports”</i> <p>Criterion: 2.10 <i>“The group entity keeps records of all relevant information corresponding to its participants.”</i></p> <p>Indicators:</p> <p>2.10.1: <i>“There is an updated record of all group participants, which includes contact data, forest property identification and size for each participant. The CertforChile Corporation is notified within the space of two weeks after a participant joins or leaves the group.”</i></p> <p>2.10.2: <i>“There is an updated map indicating the location and area of all holdings subject to forest management comprising the group FMU.”</i></p> <p>Criterion: 2.11 <i>“All procedures required for group administration are documented and include the date of the last revision.”</i></p> <p>Indicators:</p> <p>2.11.1: <i>“There is a list of all procedures required for group administration (participants joining or leaving the group, corrective actions and reports, among others).”</i></p> <p>2.11.2: <i>“The group entity keeps an updated copy of all procedures.”</i></p> <p>2.11.3: <i>“The group entity has a list of all procedures required for the group participants, which includes the date of the latest review.”</i></p> <p>2.11.4: <i>“The group entity has an updated copy of all procedures required for the group participants.”</i></p> <p>Criterion: 2.12 <i>“Group participants have a copy of all required documents (procedures, checklists and forms, among others).”</i></p> <p>Indicators:</p> <p>2.12.1: <i>“Each participant has a list of required documents, including the date of the latest review.”</i></p> <p>2.12.2: <i>“Each participant has an updated copy of all required documents.”</i></p> <p>Criterion: 2.13 <i>“There is a procedure to ensure that all group participants have the latest version of any document required by the group.”</i></p> <p>Indicator:</p> <p>2.13.1: <i>“A record or distribution list of official group documentation is kept.”</i></p> <p>Criterion: 2.14 <i>“There is an internal group management audit system, which is applied at least once per year.”</i></p>

Question	YES / NO*	Reference to system documentation
		<p>Indicators: 2.14.1: "Frequency and size of the sample to be monitored have been determined." 2.14.2: "This audit shall cover all aspects of group functioning, as well as group participant obligations and responsibilities (requirements, procedures, corrective actions and reports, among others)." 2.14.3: "In the event that corrective actions are recommended, these are implemented in the recommended timeframes." 2.14.4: "Results of the internal system audit are incorporated when updating the group layout."</p> <p>CONFORMITY</p>
<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>	<p>YES</p>	<p>DN-02-08 CERTFOR Standard for Group Certification</p> <p>Criterion: 2.10 "The group entity keeps records of all relevant information corresponding to its participants."</p> <p>Indicators: 2.10.1: "There is an updated record of all group participants, which includes contact data, forest property identification and size for each participant. The CertforChile Corporation is notified within the space of two weeks after a participant joins or leaves the group." 2.10.2: "There is an updated map indicating the location and area of all holdings subject to forest management comprising the group FMU."</p> <p>Criterion 2.14 "There is an internal group management audit system, which is applied at least once per year."</p> <p>Indicators: 2.14.1: "Frequency and size of the sample to be monitored have been determined." 2.14.2: "This audit shall cover all aspects of group functioning, as well as group participant obligations and responsibilities (requirements, procedures, corrective actions and reports, among others)." 2.14.3: "In the event that corrective actions are recommended, these are implemented in the recommended timeframes." 2.14.4: "Results of the internal system audit are incorporated when updating the group layout."</p> <p>Criterion: 2.16 "All holdings subject to forest management are subjected to a formal audit before joining the group."</p> <p>Indicators: 2.16.1: "The audit shall cover all aspects applicable to the CERTFOR Standard for Sustainable Forest Management of Plantations, and the checklist used shall be kept as a record." 2.16.2: "The checklist shall be accompanied by an incorporation report indicating forest management, certified products produced and estimated</p>

Question	YES / NO*	Reference to system documentation
		<p><i>production that will be obtained from the upcoming harvest.”</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 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>	<p>YES</p>	<p>DN-02-08, CR 1.2</p> <p>Indicators: 1.2.1: <i>“There is a written policy that is public domain.”</i> 1.2.2 <i>“The participants of the group have agreed to comply with this policy in the contract with the group.”</i> 1.2.3: <i>“The policy is actively explained to stakeholders.”</i></p> <p>Criterion: 2.6 <i>“There is an individual contract between the group and each of its participants.”</i></p> <p>Indicators: 2.6.1: <i>“This contract includes at least the following aspects:</i> <i>a. Each participant's adherence to the CERTFOR Standard for Sustainable Forest Management of Plantations Principles.</i> <i>b. Description of each participant's and the group entity's forest management responsibilities.</i> <i>c. Provision of all assistance and cooperation in order to effectively respond to all group entity and certification body requests with regard to the provision of relevant information and documentation.</i> <i>d. Authorized free access by the group entity to the FMU with monitoring and control objectives.</i> <i>e. Authorized certification body access for the execution of annual audits and monitoring.</i> <i>f. The obligation to implement corrective measures determined by internal audits and by the certification body.</i> <i>g. Respect for the group entity's decision to suspend or dismiss a group participant due to any major failure in the line of forest management.”</i> 2.6.2: <i>“Each participant that has an individual contract will receive a document issued by the group entity confirming that he or she belongs to the group and is covered by the group certification scope.”</i></p>

Question	YES / NO*	Reference to system documentation
		CONFORMITY
f) To provide participants with a document confirming participation in the group forest certification;	YES	<p>DN-02-08, CR 2.4, IN 2.4.2: <i>“Each participant of the group has a document indicating his or her obligations and responsibilities in terms of sustainable forest management and obligations that must be managed by the group entity.”</i></p> <p>DN-02-08, CR 2.6, IN 2.6.2: <i>“Each participant that has an individual contract will receive a document issued by the group entity confirming that he or she belongs to the group and is covered by the group certification scope.”</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>DN-02-08 CERTFOR Standard for Group Certification</p> <p>DN-02-08, CR 2.4, IN 2.4.2: <i>“Each participant of the group has a document indicating his or her obligations and responsibilities in terms of sustainable forest management and obligations that must be managed by the group entity.”</i></p> <p><i>Criterion 2.7 “Group participants have been appropriately trained to comply with their obligations and responsibilities with regard to effective implementation of the CERTFOR Standard for Sustainable Forest Management of Plantations and other applicable requirements of the CERTFOR Forest Certification System.”</i></p> <p>Indicators: 2.7.1: <i>“This training may be provided by means of a formal course or by means of talks or other forms of education provided by the group entity.”</i> 2.7.2: <i>“The group entity keeps training records for group participants.”</i></p> <p><i>Criterion 2.8: “The group entity has established the minimum level of training required in order to perform any role in the group and keeps records in order to verify that all forest operations are executed by appropriately trained personnel.”</i></p> <p>Indicators: 2.8.1: <i>“Training requirements are documented.”</i> 2.8.2: <i>“The group entity keeps records of all persons who have been trained.”</i> 2.8.3: <i>“The group entity keeps a copy of all training material.”</i></p> <p>CONFORMITY</p>
h) To operate an annual internal monitoring programme that provides for the evaluation of the participants’ conformity with the certification	YES	<p>DN-02-08 CERTFOR Standard for Group Certification</p> <p>Criterion: 2.23 <i>“There is an internal auditing or monitoring system for all group participants, which is applied at least once per year.”</i></p> <p>Indicators:</p>

Question	YES / NO*	Reference to system documentation
requirements, and;		2.23.1: <i>“These audits shall cover all compliance aspects of the CERTFOR Standard for Sustainable Forest Management of Plantations each group participant is responsible for.”</i> 2.23.2: <i>“The audit shall include a site inspection for each group participant.”</i> 2.23.3: <i>“Audit records shall be kept for at least five years.”</i> CONFORMITY
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	DN-02-08 CERTFOR Standard for Group Certification Criterion: 2.24 <i>“There is a procedure for executing corrective actions for all non-compliance with CERTFOR Standard for Sustainable Forest Management of Plantations detected by internal audits or by the certification body.”</i> Indicators: 2.24.1: <i>“The corrective action procedure must describe the problem detected.”</i> 2.24.2: <i>“The corrective action procedure must describe the solution and deadline for solving the problem.”</i> 2.24.3: <i>“The corrective action procedure must identify the person responsible for correcting the problem.”</i> 2.24.4: <i>“The group entity shall review quarterly corrective action reports and evaluate the effectiveness of his or her administration.”</i> CONFORMITY
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 conformity with the sustainable forest management standard and other applicable requirements of the forest certification scheme;	YES	DN-02-08, CR 1.2 Indicators: 1.2.1: <i>“There is a written policy that is public domain.”</i> 1.2.2: <i>“The participants of the group have agreed to comply with this policy in the contract with the group.”</i> 1.2.3: <i>“The policy is actively explained to stakeholders.”</i> DN-02-08, CR 2.6 Indicators: 2.6.1: <i>“This contract includes at least the following aspects:</i> <i>a. Each participant's adherence to the CERTFOR Standard for Sustainable Forest Management of Plantations Principles.</i> <i>b. Description of each participant's and the group entity's forest management responsibilities.</i> <i>c. Provision of all assistance and cooperation in order to effectively respond to all group entity and certification body requests with regard to the provision of relevant information and documentation.</i> <i>d. Authorized free access by the group entity to the FMU with monitoring and control objectives.</i> <i>e. Authorized certification body access for the execution of annual audits and monitoring.</i>

Question	YES / NO*	Reference to system documentation
		<p><i>f. The obligation to implement corrective measures determined by internal audits and by the certification body.</i></p> <p><i>g. Respect for the group entity's decision to suspend or dismiss a group participant due to any major failure in the line of forest management."</i></p> <p><i>2.6.2: "Each participant that has an individual contract will receive a document issued by the group entity confirming that he or she belongs to the group and is covered by the group certification scope."</i></p> <p>CONFORMITY</p>
<p>b) To comply with the sustainable forest management standard and other applicable requirements of the forest certification scheme;</p>	<p>YES</p>	<p>DN-02-08, CR 2.6, IN 2.6.1: <i>"This contract includes at least the following aspects:</i></p> <p><i>a. Each participant's adherence to the CERTFOR Standard for Sustainable Forest Management of Plantations Principles."</i></p> <p>DN-02-08, CR 2.7</p> <p>Indicators:</p> <p><i>2.7.1: "This training may be provided by means of a formal course or by means of talks or other forms of education provided by the group entity."</i></p> <p><i>2.7.2: "The group entity keeps training records for group participants."</i></p> <p>DN-02-08, CR 2.16, IN 2.16.1: <i>"All holdings subject to forest management are subjected to a formal audit before joining the group."</i></p> <p>Criterion: 2.27</p> <p><i>"Group participants are familiar with the minimum requirements and levels established in the CERTFOR Standard for Sustainable Forest Management of Plantations for all forest operations these participants are responsible for."</i></p> <p>Indicators:</p> <p><i>2.27.1: "Participants are able to describe the practical procedures required for compliance with the CERTFOR Standard for Sustainable Forest Management of Plantations."</i></p> <p><i>2.27.2: "Group participants understand what forest operations they are responsible for."</i></p> <p>Criterion: 2.28</p> <p><i>"Forest management objectives and practices are similar for all group participants."</i></p> <p>Indicators:</p> <p><i>2.28.1: "The group entity is familiar with the forest management objectives and practices for all group participants."</i></p> <p><i>2.28.2: "In cases where group participant objectives and practices differ, the group entity has divided the group into similar subgroups and relates with each of these separately."</i></p> <p>Criterion: 2.29</p>

Question	YES / NO*	Reference to system documentation
		<p><i>“The group entity has annual production performance estimates for each group participant for at least one rotation.”</i></p> <p>Indicators: 2.29.1: <i>“It is acknowledged that individual participants of the group may not be able to annually harvest their holdings subject to forest management, but the group as a whole shall provide a steady flow of forest products.”</i> 2.29.2: <i>“Groups comprised of over 40 participants shall be able to manage their holdings subject to forest management with a view to generating the equivalent of a regulated forest by the group FMU.”</i></p> <p>CONFORMITY</p>
<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;</p>	<p>YES</p>	<p>DN-02-08, CR 2.6</p> <p>Indicators: 2.6.1: <i>“This contract includes at least the following aspects:</i> <i>a. Each participant's adherence to the CERTFOR Standard for Sustainable Forest Management of Plantations Principles.</i> <i>b. Description of each participant's and the group entity's forest management responsibilities.</i> <i>c. Provision of all assistance and cooperation in order to effectively respond to all group entity and certification body requests with regard to the provision of relevant information and documentation.</i> <i>d. Authorized free access by the group entity to the FMU with monitoring and control objectives.</i> <i>e. Authorized certification body access for the execution of annual audits and monitoring.</i> <i>f. The obligation to implement corrective measures determined by internal audits and by the certification body.</i> <i>g. Respect for the group entity's decision to suspend or dismiss a group participant due to any major failure in the line of forest management.</i> 2.6.2: <i>“Each participant that has an individual contract will receive a document issued by the group entity confirming that he or she belongs to the group and is covered by the group certification scope.”</i></p> <p>CONFORMITY</p>
<p>d) To implement relevant corrective and preventive actions established by the group entity.</p>	<p>YES</p>	<p>DN-02-08 CERTFOR Standard for Group Certification</p> <p>Criterion: 2.24 <i>“There is a procedure for executing corrective actions for all non-compliance with CERTFOR Standard for Sustainable Forest Management of Plantations detected by internal audits or by the certification body.”</i></p> <p>Indicators: 2.24.1: <i>“The corrective action procedure must describe the problem detected.”</i> 2.24.2: <i>“The corrective action procedure must describe the solution and deadline for solving the problem.”</i></p>

Question	YES / NO*	Reference to system documentation
		<p>2.24.3: <i>"The corrective action procedure must identify the person responsible for correcting the problem."</i></p> <p>2.24.4: <i>"The group entity shall review quarterly corrective action reports and evaluate the effectiveness of his or her administration."</i></p> <p>CONFORMITY</p>

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	DN-02-05 CERTFOR Standard for Sustainable Forest Management of Plantations The PEFC National Forest Standard for Chile clearly and precisely defines requirements for forest management at the certified group and individual forest owner level. CONFORMITY
b) be clear, objective-based and auditable.	YES	DN-02-05 CERTFOR Standard for Sustainable Forest Management of Plantations The assessor finds that the PEFC National Forest Standard for Chilean is clear, objective and auditable. CONFORMITY
c) apply to activities of all operators in the defined forest area who have a measurable impact on achieving compliance with the requirements.	YES	DN-02-08 CERTFOR Standard for Group Certification The assessor finds that the management and performance requirements of the PEFC National Forest Standard in Chile apply to all applicable operators in the defined forest area. CONFORMITY
d) require record-keeping that provides evidence of compliance with the requirements of the forest management standards.	YES	DN-02-08 CERTFOR Standard for Group Certification The assessor finds that the management and performance requirements of the PEFC National Forest Standard for Chile necessitate record-keeping that provides evidence of compliance with the standard.

Question	YES / NO*	Reference to scheme documentation
		CONFORMITY
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 tools that support land-use planning and nature conservation.</p>	YES	<p>DN-02-05 CERTFOR Standard for Sustainable Forest Management of Plantations</p> <p>Criterion: 1.2 <i>“The FMU has a documented and updated Forest Management Plan that is sustainable in the long term and clearly specifies its forest management objectives.”</i></p> <p>Indicators:</p> <p>1.2.1: <i>“The FMU Forest Management Plan includes a description of its current conditions, long term management objectives, associated actions and its sustainable harvesting rates of the main products.”</i></p> <p>1.2.2: <i>“The Forest Management Plan includes the identification and description of the environmental and social aspects to be considered in the FMU management. It also includes references to knowledge and local practices regarding the management.”</i></p> <p>1.2.3: <i>“The Forest Management Plan shall specify ways to diminish the risk of degradation and damage to the ecosystems present in the FMU.”</i></p> <p>1.2.4: <i>“The Forest Management Plan shall demonstrate that the FMU management is economically viable in the long term.”</i></p> <p>Criterion: 1.5 <i>“The forest management planning must evaluate before the application of the new technologies or species so these will not cause negative environmental, social or economical impacts.”</i></p> <p>Indicator:</p> <p>1.5.1: <i>“The FMU has a procedure to identify and assess participatory the environmental, social and economical impacts, either positive or negative, of the application of new technologies or species.”</i></p> <p>Criterion: 1.6 <i>“The harvesting rate of wood forest products is justified in the Forest Management Plan and helps to maintain or increase the production capacity of the FMU.”</i></p> <p>Indicators:</p> <p>1.6.3: <i>“The long-term planning has a balance between harvest and reforestation of plantations.”</i></p> <p>1.6.4: <i>“The long-term planning considers the application of silvicultural practices that allow maintaining or increasing the FMU's forest biomass to reach an economic, social and environmental sustainable rate.”</i></p> <p>1.6.5: <i>“Silvicultural and harvesting practices selected for the plantations have the objective of reducing negative impacts on the land and on the quality and availability of water.”</i></p>

Question	YES / NO*	Reference to scheme documentation
		<p>Criterion: 2.1 <i>“The forest area of the FMU is conserved and forest plantations that substitute native forest shall not be established.”</i></p> <p>Indicator: 2.1.3: <i>“Plantations shall be established in a land suitable for forestry without forest coverage, as long as they add social, environmental and economic value to the FMU.”</i></p> <p>Criterion: 9.1 <i>“The FMU has procedures to monitor and assess the condition of its forest resources and significant economic, social and environmental impacts of forest operations.”</i></p> <p>Indicator: 9.1.1: <i>“The FMU has procedures to monitor and assess the condition of its forest resources and significant economic, social and environmental impacts of forest operations. Procedures allow change assessment.”</i></p> <p>Criterion: 9.2 <i>“The compliance with standards principles at the FMU is monitored and assessed once a year.”</i></p> <p>Indicators: 9.2.2: <i>“.....monitoring and assessment procedures have been applied including the following aspects: a. Harvesting volume of main products, harvest yields, growth of forest plantations and reforestation rates. b. Financial results, including costs and productivity of forest operations. c. Correspondence of stand management with its prescription regarding the Forest Management</i></p> <p>9.2.4: <i>“.....monitoring and assessment procedures have been applied including the following aspects: a. Prevention and mitigation of forest operation impacts on the biodiversity, soil, water and scenic component of the landscape. b. Protection measures implemented for endangered species and/or protected by law that are present in the FMU. c. Application of strategies regarding the effects of forest management on water availability for downstream communities.”</i></p> <p>9.2.5: <i>“.....monitoring and assessment procedures have been applied including the following aspects: a. The application of participatory mechanisms for conflict resolution. b. The implementation of the development programmes and activities agreed with local communities. c. The production or harvest of NWFP.”</i></p> <p>CONFORMITY</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	YES	<p>DN-02-05 CERTFOR Standard for Sustainable Forest Management of Plantations</p> <p>Criterion: 1.2 <i>“The FMU has a documented and updated Forest Management Plan that is sustainable in the long term and clearly specifies its forest management objectives.”</i></p>

Question	YES / NO*	Reference to scheme documentation
<p>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>Indicator/verifier: 1.2.6: <i>“The Forest Management Plan is reviewed periodically and there is a person responsible for the fulfilment of the activities specified in the plan.”</i> V1: <i>“There is evidence that the Forest Management Plan is reviewed at least once a year and is updated when necessary in accordance with monitoring results, new scientific and technical information, and social, economical and environmental changes of the FMU.”</i> Criterion: 1.6 <i>“The harvesting rate of wood forest products is justified in the Forest Management Plan and helps to maintain or increase the production capacity of the FMU.”</i></p> <p>Indicator: 1.6.1: <i>“The harvest rates shall produce a sustained flow of wood products obtained from forest plantations.”</i></p> <p>Criterion: 5.1 <i>“Forest managers carry out a participatory assessment of their operations regarding social and environmental impacts, either positive or negative, on local communities.”</i></p> <p>Indicator: 5.1.2: <i>“Forest managers have identified through a participatory assessment the social and environmental impacts of their operations, either positive or negative, on local communities.”</i></p> <p>Criterion: 9.1 <i>“The FMU has procedures to monitor and assess the condition of its forest resources and significant economic, social and environmental impacts of forest operations.”</i></p> <p>Indicator: 9.1.1: <i>“The FMU has procedures to monitor and assess the condition of its forest resources and significant economic, social and environmental impacts of forest operations. Procedures allow change assessment.”</i></p> <p>Criterion: 9.2 <i>“The compliance with standards principles at the FMU is monitored and assessed once a year.”</i></p> <p>Indicator: 9.2.2: <i>“.....monitoring and assessment procedures have been applied including the following aspects: a. Harvesting volume of main products, harvest yields, growth of forest plantations and reforestation rates. b. Financial results, including costs and productivity of forest operations. c. Correspondence of stand management with its prescription regarding the Forest Management</i></p> <p>Indicator: 9.2.4: <i>“.....monitoring and assessment procedures have been applied including the following aspects: a. Prevention and mitigation of forest operation impacts on the biodiversity, soil, water and scenic component</i></p>

Question	YES / NO*	Reference to scheme documentation
		<p><i>of the landscape. b. Protection measures implemented for endangered species and/or protected by law that are present in the FMU. c. Application of strategies regarding the effects of forest management on water availability for downstream communities.”</i></p> <p><i>9.2.5: “.....monitoring and assessment procedures have been applied including the following aspects: a. The application of participatory mechanisms for conflict resolution. b. The implementation of the development programmes and activities agreed with local communities. c. The production or harvest of NWFP.”</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>DN-02-05 CERTFOR Standard for Sustainable Forest Management of Plantations</p> <p>Criterion: 1.3 <i>“The Forest Management Plan has defined the different land uses in the FMU.”</i></p> <p>Indicators/verifiers:</p> <p>1.3.1: <i>“The Forest Management Plan includes a description of the forest resources present in the FMU and the current land uses.</i> V2: <i>The cartography has defined the limits of the High Conservation Value Areas, native vegetation areas, protected areas and plantations in the FMU.”</i></p> <p>1.3.2: <i>“The Forest Management Plan includes a management prescription for each stand.</i> V1: <i>The cartography has defined the stands“ borders in the FMU indicating its management prescription.”</i></p> <p>1.3.3: <i>“The cartography is updated and reflects the changes in the land use of the FMU.</i> V1: <i>The cartography represents the current reality of the land and allows for assessing the annual changes in the land use.”</i></p> <p>Criterion 2.2: <i>“The HCVA are identified, then monitored and managed to maintain their conservation value over time and ensuring the participation of stakeholders.”</i></p> <p>Indicator/verifier:</p> <p>2.2.2: <i>“The HCVA are identified in the cartography.”</i> V1: <i>There is an updated cartography, which clearly identifies the HCVA.”</i></p> <p>Criterion 4.3: <i>“The forest management considers the environmental value of natural ecosystems present in the FMU and activities are carried out to preserve and improve them permanently.”</i></p> <p>Indicator/verifier:</p> <p>4.3.1: <i>“Areas with native vegetation present in the FMU are identified according to its structure, distribution, size, and biodiversity values</i> V2: <i>The areas with native vegetation are identified in the cartography according to its forest type or other methodology to classify vegetation.”</i></p>

Question	YES / NO*	Reference to scheme documentation
		<p>Criterion: 4.4: <i>“The land production capacity of the FMU is maintained and recovered, if necessary.”</i></p> <p>Indicator/verifier 4.4.1: <i>“The FMU has a cartography in which the soil characteristics are represented indicating the level of erosion and fragility.</i> V1: <i>There is a land cartography based on the information available at the national level.”</i></p> <p>Criterion: 4.7 <i>“The construction and maintenance of roads and storage yards are planned and implemented to minimize the dragging of sediments into watercourses, water bodies and wetlands present in the FMU.”</i></p> <p>Indicator: 4.71: <i>“The cartography identifies watercourses, water bodies and wetlands and their correspondent protection areas.”</i></p> <p>CONFORMITY</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>DN-02-05 CERTFOR Standard for Sustainable Forest Management of Plantations</p> <p>Criterion: 1.2 <i>“The FMU has a documented and updated Forest Management Plan that is sustainable in the long term and clearly specifies its forest management objectives.”</i></p> <p>Indicator/verifier” 1.2.6: <i>“The Forest Management Plan is reviewed periodically and there is a person responsible for the fulfilment of the activities specified in the plan.</i> V1: <i>There is evidence that the Forest Management Plan is reviewed at least once a year and is updated when necessary in accordance with monitoring results, new scientific and technical information, and social, economical and environmental changes of the FMU.”</i></p> <p>Criterion: 9.2: <i>“The compliance with standards principles at the FMU is monitored and assess once a year.”</i></p> <p>Indicators: 9.2.1: <i>“In relation to the Principle 1 “Planning and Long-Term Objectives” monitoring and assessment procedures have been applied including the following aspects: a. Harvesting volume of main products, harvest yields, growth of forest plantations and reforestation rates. b. Financial results, including costs and productivity of forest operations. c. Correspondence of stand management with its prescription regarding the Forest Management Plan.”</i> 9.2.8: <i>“In relation to the Principle 8 “Laws, Treaties and Agreements”</i></p>

Question	YES / NO*	Reference to scheme documentation
		<p><i>monitoring and assessment procedures have been applied including the following aspects: a. Compliance with national legislation and authority requirements.”</i></p> <p><i>Criterion: 8.1 “FMU representatives are aware and follow Chilean legislation applicable to their activities.”</i></p> <p><i>Indicators/verifiers:</i></p> <p><i>8.1.1: “FMU representatives are aware and follow Chilean legislation applicable to their activities, including forest, environmental, labour, sanitary, fiscal, indigenous people, use rights and land property rights legislation, among others.</i></p> <p><i>V1: There is a policy or written declaration, of public knowledge, that demonstrate the commitment to comply with the legislation applicable to FMU management.</i></p> <p><i>V2: There is an updated record of the legislation applicable to FMU management.</i></p> <p><i>V3: FMU representatives are aware of the legislation pertinent for its management.”</i></p> <p><i>8.1.2: “The compliance with applicable legislation and other authority requirements is assessed periodically to assure non compliances management.</i></p> <p><i>V1: There is a record of periodical assessment of the compliance with applicable legislation and authority requirements.”</i></p> <p>CONFORMITY</p>
<p>5.1.5 Management plans or their equivalents shall include at least a description of the current condition of the forest management unit, long-term objectives; and the average annual allowable cut, including its justification and, where relevant, the annually allowable exploitation of non-timber forest products.</p>	<p>YES</p>	<p>DN-02-05 CERTFOR Standard for Sustainable Forest Management of Plantations</p> <p><i>Criterion: 1.2 “The FMU has a documented and updated Forest Management Plan that is sustainable in the long term and clearly specifies its forest management objectives.”</i></p> <p><i>Indicators/verifiers:</i></p> <p><i>1.2.1: “The FMU Forest Management Plan includes a description of its current conditions, long term management objectives, associated actions and its sustainable harvesting rates of the main products.”</i></p> <p><i>1.2.5: “The Forest Management Plan shall take into account the different uses and functionalities of the forest resources in the FMU. The Forest Management Plan shall use this information to encourage the production of goods and services from the forest, which can be marketable or non marketable and can be used by the FMU and the neighboring communities.</i></p> <p><i>V1: The Forest Management Plan describes marketable products (wood and non-wood forest products) that are produced in the FMU.</i></p> <p><i>V2: The Forest Management Plan describes goods and services provided by FMU's forest resources, which benefit neighboring communities.”</i></p>

Question	YES / NO*	Reference to scheme documentation
		<p>Criterion: 1.6 <i>“The harvesting rate of wood forest products is justified in the Forest Management Plan and helps to maintain or increase the production capacity of the FMU.”</i></p> <p>Indicator: 1.6.1: <i>“The harvest rates shall produce a sustained flow of wood products obtained from forest plantations.”</i></p> <p>Criterion: 1.7 <i>“The forest management promotes the use of non-wood forest products (NWFP) present in the FMU.”</i></p> <p>Indicators: 1.7.1: <i>“The NWFP present in the FMU are identified in the Forest Management Plan”</i> 1.7.2: <i>“The harvest of NWFP that are commercialized by the FMU shall not exceed the long-term sustainable extraction rate.”</i></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>DN-02-05 CERTFOR Standard for Sustainable Forest Management of Plantations</p> <p>Criterion: 1.2 <i>“The FMU has a documented and updated Forest Management Plan that is sustainable in the long term and clearly specifies its forest management objectives.”</i></p> <p>Indicator: 1.2.7: <i>“There is a Forest Management Plan summary of the FMU, which is public and accessible to the stakeholders and shall contain at least the following information: a) management objectives; b) description of the forest resources managed; c) description of the social environment; d) description of forest operations; e) annual harvesting rate of the main products; f) identification of endangered species and/or protected by law; g) identification of management measures for High Conservation Value Areas; h) contact information of the people responsible for managing this standard.”</i></p> <p>CONFORMITY</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>DN-02-05 CERTFOR Standard for Sustainable Forest Management of Plantations</p> <p>Criterion: 9.1 <i>“The FMU has procedures to monitor and assess the condition of its forest resources and significant economic, social and environmental impacts of forest operations.”</i></p> <p>Indicator: 9.1.1: <i>“The FMU has procedures to monitor and assess the condition of</i></p>

Question	YES / NO*	Reference to scheme documentation
		<p><i>its forest resources and significant economic, social and environmental impacts of forest operations. Procedures allow change assessment."</i></p> <p>Criterion: 9.2 <i>"The compliance with the standards principles at the FMU is monitored and assess once a year."</i></p> <p>Indicator: 9.1.1: <i>"The FMU has a report of monitoring and assessment results, whose observations are considered in the annual review of the Forest Management Plan and forest operations management."</i></p> <p>CONFORMITY</p>
<p>5.1.8 Responsibilities for sustainable forest management shall be clearly defined and assigned.</p>	<p>YES</p>	<p>DN-02-05 CERTFOR Standard for Sustainable Forest Management of Plantations</p> <p>Criterion: 1.1 <i>"Forest managers formally commit themselves with the long term Sustainable Forest Management and adhere themselves to the CERTFOR/PEFC system policies."</i></p> <p>Indicator/verifier: 1.1.2: <i>"The roles and responsibilities for sustainable forest management of the FMU are clearly defined and assigned."</i> V1: <i>The Forest Management Plan includes definitions of roles and key responsibilities for the FMU sustainable forest management and also the representatives to implement the standard."</i></p> <p>CONFORMITY</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>DN-02-05 CERTFOR Standard for Sustainable Forest Management of Plantations</p> <p>Criterion: 1.2 <i>"The FMU has a documented and updated Forest Management Plan that is sustainable in the long term and clearly specifies its forest management objectives."</i></p> <p>Indicator: 1.2.3: <i>"The Forest Management Plan shall specify ways to diminish the risk of degradation and damage to the ecosystems present in the FMU."</i></p> <p>Criterion: 1.6 <i>"The harvesting rate of wood forest products is justified in the Forest Management Plan and helps to maintain or increase the production capacity of the FMU."</i></p> <p>Indicator: 1.6.1: <i>"The harvest rates shall produce a sustained flow of wood products obtained from forest plantations."</i></p> <p>Criterion: 4.4 <i>"The land production capacity of the FMU is maintained and recovered, if necessary."</i></p> <p>Indicators:</p>

Question	YES / NO*	Reference to scheme documentation
		<p>4.4.1: <i>“The FMU has a cartography in which the soil characteristics are represented indicating the level of erosion and fragility.”</i></p> <p>4.4.3: <i>“Forest operations use equipment and technologies appropriate to the soil fragility characteristics to minimize its erosion and compacting.”</i></p> <p>4.4.4: <i>“In lands with moderate or high compacting the necessary measures are taken to improve their structure.”</i></p> <p>4.4.5: <i>“The necessary measures are taken in degraded soils for their restoration.”</i></p> <p>Criterion: 4.5 <i>“FMU harvesting operations are carried out considering site conditions to minimize negative impacts on the soil, avoid impacts on watercourses, water bodies and wetlands, using effectively the products provided by forest plantations.”</i></p> <p>Indicator: 4.5.1: <i>“The FMU has a procedure to define harvest, size, shape and location without causing land productivity loss or contamination to watercourses, water bodies and wetlands”</i></p> <p>CONFORMITY</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.	YES	<p>DN-02-05, CR 1.6, IN 1.6.4: <i>“The long-term planning considers the application of silvicultural practices that allow maintaining or increasing the FMU’s forest biomass to reach an economic, social and environmental sustainable rate.”</i></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 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</p>	YES	<p>DN-02-05 CERTFOR Standard for Sustainable Forest Management of Plantations</p> <p>Criterion: 2.1 <i>“The forest area of the FMU is conserved and forest plantations that substitute native forest shall not be established.”</i></p> <p>Indicators/verifier: 2.1.1: <i>“The conversion of forest to other land use shall not occur. This shall be allowed only when the following conditions are fulfilled: a) it follows the policies and national and regional legislation, b) it is the result of land use planning at a national or regional level, if applicable, c) it has authorization from an official or governmental authority, d) it includes public consultation with people or organization directly or materially affected, if applicable, e) it does not have a negative impact on the HCVA, natural ecosystems at risk and the habitat of endangered species or the ones protected by law, f) it represents a small portion of the affected forest type, g) it contributes to environmental, social or economic benefits in the long term and h) it is compensated with an equivalent area through change of land use from non-forest to forest.”</i></p> <p>Indicator: 2.1.2: <i>“Forest plantations have not been established based on native forest substitution after 31 December 2010.”</i></p>

Question	YES / NO*	Reference to scheme documentation
<p>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>V1: <i>“There is no evidence of plantations established in native forest areas after 31 December 2010, according to analyses based on “Catastro y Evaluación de los Recursos Vegetacionales Nativos de Chile” (land registry and assessment of natural vegetation resources in Chile) and endorsed by specialists.”</i></p> <p>CONFORMITY</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>DN-02-05 CERTFOR Standard for Sustainable Forest Management of Plantations</p> <p>Criterion: 2.1 <i>“The forest area of the FMU is conserved and forest plantations that substitute native forest shall not be established.”</i></p> <p>Indicator: 2.1.3: <i>“Plantations shall be established in a land suitable for forestry without forest coverage, as long as they add social, environmental and economic value to the FMU.”</i></p> <p>CONFORMITY</p>
<p>Criterion 2: Maintenance of forest ecosystem health and vitality</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>DN-02-05 CERTFOR Standard for Sustainable Forest Management of Plantations</p> <p>Criterion: 4.3 <i>“The forest management considers the environmental value of natural ecosystems present in the FMU and activities are carried out to preserve and improve them permanently.”</i></p> <p>Indicator/verifiers 4.3.4: <i>“The forest management has the purpose to maintain, increase and restore the functionality of natural ecosystems.”</i> V1: <i>“There are prescriptions to maintain, increase and restore the functionality of natural ecosystems, which are known by the staff</i></p>

Question	YES / NO*	Reference to scheme documentation
		<p><i>involved”</i> V2: <i>“There is evidence of implementation of conservation measures in natural ecosystems, and restoration measures when necessary.”</i> V3: <i>“There is evidence of restoration of typical native species from the same area or equivalent for maintaining or increasing the genetic diversity (species and origin where the restoration is made) as much as possible.”</i></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>DN-02-05 CERTFOR Standard for Sustainable Forest Management of Plantations</p> <p>Criterion: 9.1 <i>“The FMU has procedures to monitor and assess the condition of its forest resources and significant economic, social and environmental impacts of forest operations.”</i></p> <p>Indicator:</p> <p>9.1.1: <i>“The FMU has procedures to monitor and assess the condition of its forest resources and significant economic, social and environmental impacts of forest operations. Procedures allow change assessment.”</i></p> <p>Criterion: 9.2 <i>“The compliance with the standards principles at the FMU is monitored and assess once a year.”</i></p> <p>Indicators/verifiers:</p> <p>9.2.3: <i>“In relation to the Principle 3 “Forest Resources Conservation” monitoring and assessment procedures have been applied including the following aspects: a. Forest fire detection and combat. b. Detection and management of pests, harmful agents and diseases. c. Listing of chemical products used in forest operations. d. Management and final disposal of chemical products, fuel, lubricants and waste.”</i></p> <p>V1: <i>“There is evidence of procedure implementation and assessment of aspects included in the indicator.”</i></p> <p>V2: <i>“There is a documentation that endorses the procedures implementation.”</i></p> <p>9.2.9: <i>“The FMU has a report of monitoring and assessment results, whose observations are considered in the annual review of the Forest Management Plan and forest operations management.”</i></p> <p>V1: <i>“There is a report of monitoring results and assessment including observations to improve FMU management.”</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</p>	<p>YES</p>	<p>DN-02-05 CERTFOR Standard for Sustainable Forest Management of Plantations</p> <p>Criterion: 3.1 <i>“The FMU has effective measures to prevent, detect, suppress and fight forest fires using its own or external resources.”</i></p>

Question	YES / NO*	Reference to scheme documentation
of naturally occurring fire, pests and other disturbances.		<p>Indicator: 3.1.1: <i>“The FMU has a plan or procedure to prevent forest fires, which is coordinated with preventive programmes at a local, regional or national lever according to the operation scale.”</i></p> <p>Criterion: 3.2 <i>“The FMU has a built in system to manage plagues, diseases and harmful agents, and the activities are planned accordingly to minimize social and environmental negative impacts.”</i></p> <p>Indicator: 3.2.1: <i>“Forest plantations are protected against plagues, diseases and harmful agents (including invasive species either vegetal or animal).”</i></p> <p>Criterion: 9.2 <i>“The compliance with the standards principles at the FMU is monitored and assess once a year.”</i></p> <p>Indicator/verifiers: 9.2.3: <i>“In relation to the Principle 3 "Forest Resources Conservation" monitoring and assessment procedures have been applied including the following aspects: a. Forest fire detection and combat. b. Detection and management of pests, harmful agents and diseases. c. Listing of chemical products used in forest operations. d. Management and final disposal of chemical products, fuel, lubricants and waste.”</i> V1: <i>“There is evidence of procedure implementation and assessment of aspects included in the indicator.”</i> V2: <i>“There is a documentation that endorses the procedures implementation.”</i></p> <p>CONFORMITY</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.	YES	<p>DN-02-05, CR 1.2, IN 1.2.3,V1: <i>“The Forest Management Plan shall specify ways to diminish the risk of degradation and damage to the ecosystems present in the FMU.”</i> V1: <i>“There are planning and execution procedures established with the purpose of reducing the risk of degradation and damage to the ecosystems.”</i></p> <p>CONFORMITY</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	YES	<p>DN-02-05 CERTFOR Standard for Sustainable Forest Management of Plantations</p> <p>Criterion: 1.5 <i>“The forest management planning must evaluate before the application of the new technologies or species so these will not cause negative environmental, social or economical impacts.”</i></p>

Question	YES / NO*	Reference to scheme documentation
<p>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>Indicator: 1.5.1: <i>“The FMU has a procedure to identify and assess participatory the environmental, social and economical impacts, either positive or negative, of the application of new technologies or species.”</i></p> <p>Criterion: 3.2 <i>“The FMU has a built in system to manage plagues, diseases and harmful agents, and the activities are planned accordingly to minimize social and environmental negative impacts.”</i></p> <p>Indicators: 3.2.2: <i>“The control of plagues and diseases in forest plantations is carried out with the best technology available giving priority to biological and mechanical methods or silvicultural treatments.”</i> 3.2.5: <i>The FMU has a plan for the management and control of weeds in forest plantations. The use of chemical products is duly justified, but only after considering alternative methods with similar effectiveness.</i></p> <p>Criterion: 3.3 <i>“Forest operations privilege the use of chemical product with low environmental impacts.”</i></p> <p>Indicators/verifier: 3.3.2: <i>“The dependency on chemical products (including pesticides and fertilizers) that may damage the environment is reduced to promote the use of new products that minimize real and potential impacts to the environment.”</i> 3.3.3: <i>“Silvicultural practices and biological measures that reduce and/or replace the use of pesticides are encouraged.”</i> V1 <i>“There is a programme to promote alternative control measures instead of using pesticides.”</i></p> <p>Criterion: 4.3 <i>“The forest management considers the environmental value of natural ecosystems present in the FMU and activities are carried out to preserve and improve them permanently.”</i></p> <p>Indicator/verifiers 4.3.1: <i>“Areas with native vegetation present in the FMU are identified according to its structure, distribution, size, and biodiversity value.”</i> 4.3.4: <i>“The forest management has the purpose to maintain, increase and restore the functionality of natural ecosystems.”</i> V1: <i>“There are prescriptions to maintain, increase and restore the functionality of natural ecosystems, which are known by the staff involved”</i> V2: <i>“There is evidence of implementation of conservation measures in natural ecosystems, and restoration measures when necessary.”</i> V3: <i>“There is evidence of restoration of typical native species from the same area or equivalent for maintaining or increasing the genetic diversity (species and origin where the restoration is made) as much as possible.”</i></p>

Question	YES / NO*	Reference to scheme documentation
		<p>Criterion: 4.9 <i>“Every FMU worker is aware of the measures to protect biodiversity, lands, watercourses, water bodies and wetlands that shall be implemented in the FMU and they have been trained to prevent damages caused by forest operations.”</i></p> <p>Indicator: 4.9.1: <i>“All workers are trained in topics regarding the protection and prevention of biodiversity damage.”</i></p> <p>CONFORMITY</p>
<p>5.2.6 Lighting of fires shall be avoided and is only permitted if it is necessary for the achievement of the management goals of the forest management unit.</p>	<p>YES</p>	<p>DN-02-05 CERTFOR Standard for Sustainable Forest Management of Plantations</p> <p>Criterion: 4.4 <i>“The land production capacity of the FMU is maintained and recovered, if necessary.”</i></p> <p>Indicator: 4.4.7 <i>“The use of fire, as a silvicultural practice, is only applicable in lands where the productivity is not reduced and when other methods are not suitable or viable.”</i></p> <p>CONFORMITY</p>
<p>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.</p>	<p>YES</p>	<p>DN-02-05, CR 1.6, IN 1.6.5: <i>“Silvicultural and harvesting practices selected for the plantations have the objective of reducing negative impacts on the land and on the quality and availability of water.”</i></p> <p>Criterion: 3.4 <i>“The chemical products, including pesticides and fertilizers, as well as fuel and lubricants, are managed and disposed of in a safe manner for the people and the environment.”</i></p> <p>Indicator: 3.4.4: <i>“Procedures have been defined to prevent, mitigate, control and inform spillage of chemical products, fuel or lubricants.”</i></p> <p>Criterion: 3.6 <i>“The waste produced by the FMU are handled and disposed in a safe manner for the people and the environment.”</i></p> <p>Indicators: 3.6.1: <i>“Procedures and/or manuals have been defined for the transportation and disposal of hazardous industrial waste, non-hazardous industrial waste and residential waste created by the FMU.”</i> 3.6.2: <i>“Forest operations are planned and implemented guaranteeing the appropriate disposal of liquid and solid waste.”</i> 3.6.3: <i>“The waste produced by forest operations, accommodations and others are disposed in appropriate places located far away from the operations, watercourses, water bodies and wetlands.”</i></p>

Question	YES / NO*	Reference to scheme documentation
		<p>Criterion: 4.3 <i>“The forest management considers the environmental value of natural ecosystems present in the FMU and activities are carried out to preserve and improve them permanently.”</i></p> <p>Indicator: 4.3.7: <i>“Forest operations do not cause relevant damage to standing trees or protection areas.”</i></p> <p>Criterion: 4.4 <i>“The land production capacity of the FMU is maintained and recovered, if necessary.”</i></p> <p>Indicators: 4.4.1: <i>“The FMU has a cartography in which the soil characteristics are represented indicating the level of erosion and fragility.”</i> 4.4.3: <i>“Forest operations use equipment and technologies appropriate to the soil fragility characteristics to minimize its erosion and compacting.”</i> 4.4.4: <i>“In lands with moderate or high compacting the necessary measures are taken to improve their structure.”</i></p> <p>Criterion: 4.5 <i>“FMU harvesting operations are carried out considering site conditions to minimize negative impacts on the soil, avoid impacts on watercourses, water bodies and wetlands, using effectively the products provided by forest plantations.”</i></p> <p>Indicator: 4.5.1: <i>“The FMU has a procedure to define harvest, size, shape and location without causing land productivity loss or contamination to watercourses, water bodies and wetlands”</i></p> <p>Criterion: 4.6 <i>“Construction and maintenance of roads and storage yards is planned to minimize soil erosion.”</i></p> <p>Indicator: 4.6.1: <i>“Construction and maintenance of roads and storage yards are planned to minimize soil erosion.”</i></p> <p>Criterion: 9.2 <i>“The compliance with standards principles at the FMU is monitored and assess once a year.”</i></p> <p>Indicator: 9.2.3: <i>“In relation to the Principle 3 "Forest Resources Conservation" monitoring and assessment procedures have been applied including the following aspects: d. Management and final disposal of chemical products, fuel, lubricants and waste.”</i></p> <p>CONFORMITY</p>
5.2.8 The use of pesticides shall be	YES	DN-02-05 CERTFOR Standard for Sustainable Forest Management of

Question	YES / NO*	Reference to scheme documentation
<p>minimised and appropriate silvicultural alternatives and other biological measures preferred.</p>		<p>Plantations</p> <p>Criterion: 3.3 <i>“Forest operations privilege the use of chemical product with low environmental impacts.”</i></p> <p>Indicators: 3.3.2: <i>“The dependency on chemical products (including pesticides and fertilizers) that may damage the environment is reduced to promote the use of new products that minimize real and potential impacts to the environment.”</i> 3.3.3: <i>“Silvicultural practices and biological measures that reduce and/or replace the use of pesticides are encouraged.”</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>DN-02-05 CERTFOR Standard for Sustainable Forest Management of Plantations</p> <p>Criterion: 3.3 <i>“Forest operations privilege the use of chemical product with low environmental impacts.”</i></p> <p>Indicator: 3.3.1: <i>“The forest management does not use World Health Organization Class 1A and 1B pesticides or fertilizers, chlorinated hydrocarbon pesticides, pesticides that are persistent, toxic or whose derivatives remain biologically active and accumulate in the food chain beyond their intended use, as well as any pesticides banned by international agreement.”</i></p> <p>CONFORMITY</p>
<p>5.2.10 Pesticides, such as chlorinated hydrocarbons whose derivatives remain biologically active and accumulate in the food chain beyond their intended use, and any pesticides banned by international agreement, shall be prohibited.</p>	<p>YES</p>	<p>DN-02-05, CR 3.3, IN 3.3.1: <i>“The forest management does not use World Health Organization Class 1A and 1B pesticides or fertilizers, chlorinated hydrocarbon pesticides, pesticides that are persistent, toxic or whose derivatives remain biologically active and accumulate in the food chain beyond their intended use, as well as any pesticides banned by international agreement.”</i></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>DN-02-05 CERTFOR Standard for Sustainable Forest Management of Plantations</p> <p>Criterion: 3.4 <i>“The chemical products, including pesticides and fertilizers, as well as fuel and lubricants, are managed and disposed of in a safe manner for the people and the environment.”</i></p> <p>Indicators: 3.4.1: <i>“The FMU has procedures and/or manuals for an appropriate transportation, use, management and final disposal of chemical products,</i></p>

Question	YES / NO*	Reference to scheme documentation
		<p><i>fuel and lubricants, according with current legislation and manufacturer instructions.”</i></p> <p>3.4.6: <i>“All workers involved have been trained and have the safety equipment necessary to handle and use chemical products.”</i></p> <p>CONFORMITY</p>
<p>5.2.12 Where fertilisers are used, they shall be applied in a controlled manner and with due consideration for the environment.</p>	<p>YES</p>	<p>DN-02-05 CERTFOR Standard for Sustainable Forest Management of Plantations</p> <p>Criterion: 3.5 <i>“Chemical products, fuel and lubricants are used to prevent contamination of lands, watercourses, water bodies, wetlands, crops and housing.”</i></p> <p>Indicators:</p> <p>3.5.1: <i>“In all application or handling of chemical products, fuel and lubricants, measures are taken to avoid land contamination.”</i></p> <p>3.5.2: <i>“In all application or handling of chemical products, fuel and lubricants, measures are taken to avoid contamination of watercourses, water bodies and wetlands.”</i></p> <p>3.5.3: <i>“The application of chemical products does not affect crops and housing near the FMU.”</i></p> <p>CONFORMITY</p>
<p>Criterion 3: Maintenance and encouragement of productive functions of forests (wood and non-wood)</p>		
<p>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.</p>	<p>YES</p>	<p>DN-02-05, CR 1.6, IN 1.6.1: <i>“The harvest rates shall produce a sustained flow of wood products obtained from forest plantations.”</i></p> <p>Criterion: 1.7 <i>“The forest management promotes the use of non-wood forest products (NWFP) present in the FMU.”</i></p> <p>Indicator:</p> <p>1.7.2: <i>“The harvest of NWFP that are commercialized by the FMU shall not exceed the long-term sustainable extraction rate.”</i></p> <p>CONFORMITY</p>
<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>DN-02-05 CERTFOR Standard for Sustainable Forest Management of Plantations</p> <p>Criterion: 1.2 <i>“The FMU has a documented and updated Forest Management Plan that is sustainable in the long term and clearly specifies its forest management objectives.”</i></p> <p>Indicator:</p> <p>1.2.4: <i>“The Forest Management Plan shall demonstrate that the FMU management is economically viable in the long term.”</i></p> <p>The assessor believes that the preponderance of evidence presented</p>

Question	YES / NO*	Reference to scheme documentation
		<p>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>DN-02-05 CERTFOR Standard for Sustainable Forest Management of Plantations</p> <p>Criterion: 1.2 <i>"The FMU has a documented and updated Forest Management Plan that is sustainable in the long term and clearly specifies its forest management objectives."</i></p> <p>Indicator: 1.2.5: <i>"The Forest Management Plan shall take into account the different uses and functionalities of the forest resources in the FMU. The Forest Management Plan shall use this information to encourage the production of goods and services from the forest, which can be marketable or non marketable and can be used by the FMU and the neighbouring communities."</i></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>DN-02-05 CERTFOR Standard for Sustainable Forest Management of Plantations</p> <p>Criterion: 1.2 <i>"The FMU has a documented and updated Forest Management Plan that is sustainable in the long term and clearly specifies its forest management objectives."</i></p> <p>Indicators: 1.2.1: <i>"The FMU Forest Management Plan includes a description of its current conditions, long term management objectives, associated actions and its sustainable harvesting rates of the main products."</i> 1.2.5: <i>"The Forest Management Plan shall take into account the different uses and functionalities of the forest resources in the FMU. The Forest Management Plan shall use this information to encourage the production of goods and services from the forest, which can be marketable or non marketable and can be used by the FMU and the neighbouring communities."</i></p> <p>Criterion: 1.6 <i>"The harvesting rate of wood forest products is justified in the Forest Management Plan and helps to maintain or increase the production capacity of the FMU."</i></p> <p>Indicator: 1.6.1: <i>"The harvest rates shall produce a sustained flow of wood products obtained from forest plantations."</i></p> <p>Criterion: 1.7 <i>"The forest management promotes the use of non-wood forest products (NWFP) present in the FMU."</i></p> <p>Indicator:</p>

Question	YES / NO*	Reference to scheme documentation
		<p>1.7.2: <i>“The harvest of NWFP that are commercialized by the FMU shall not exceed the long-term sustainable extraction rate.”</i></p> <p>Principle: 3 <i>“The forest resources present in the Forest Management Unit (FMU) shall be managed to preserve their health, vitality and productivity and protecting them against fires, and other harmful agents.”</i></p> <p>Criterion: 4.2 <i>“Forest operations of the FMU are carried out to prevent and mitigate negative impacts in the biodiversity and landscape scenery.”</i></p> <p>Indicator: 4.2.1: <i>“Procedures to prevent and mitigate negative impacts of forest operations on the biodiversity are applied.”</i></p> <p>CONFORMITY</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>DN-02-05 CERTFOR Standard for Sustainable Forest Management of Plantations</p> <p>Criterion: 1.6 <i>“The harvesting rate of wood forest products is justified in the Forest Management Plan and helps to maintain or increase the production capacity of the FMU.”</i></p> <p>Indicators: 1.6.4: <i>“The long-term planning considers the application of silvicultural practices that allow maintaining or increasing the FMU's forest biomass to reach an economic, social and environmental sustainable rate.”</i> 1.6.5: <i>“Silvicultural and harvesting practices selected for the plantations have the objective of reducing negative impacts on the land and on the quality and availability of water.”</i></p> <p>Criterion: 4.2 <i>“Forest operations of the FMU are carried out to prevent and mitigate negative impacts in the biodiversity and landscape scenery.”</i></p> <p>Indicator: 4.2.1: <i>“Procedures to prevent and mitigate negative impacts of forest operations on the biodiversity are applied.”</i></p> <p>Criterion 4.3 <i>“The forest management considers the environmental value of natural ecosystems present in the FMU and activities are carried out to preserve and improve them permanently.”</i></p> <p>Indicator: 4.3.7: <i>“Forest operations do not cause relevant damage to standing trees or protection areas.”</i></p> <p>Criterion: 4.4 <i>“The land production capacity of the FMU is maintained and recovered, if necessary.”</i></p> <p>Indicators: 4.4.2: <i>“The FMU has a maintenance and recovery plan of the land</i></p>

Question	YES / NO*	Reference to scheme documentation
		<p><i>productivity which is implemented.</i></p> <p>4.4.3: <i>“Forest operations use equipment and technologies appropriate to the soil fragility characteristics to minimize its erosion and compacting.”</i></p> <p>4.4.4: <i>“In lands with moderate or high compacting the necessary measures are taken to improve their structure.”</i></p> <p>4.4.5: <i>“The necessary measures are taken in degraded soils for their restoration.”</i></p> <p>4.4.6: <i>“The lands presenting nutritional deficiencies that limit their productive capacity are recovered using the appropriate methods during the establishment of forest plantations.”</i></p> <p>Criterion: 4.5 <i>“FMU harvesting operations are carried out considering site conditions to minimize negative impacts on the soil, avoid impacts on watercourses, water bodies and wetlands, using effectively the products provided by forest plantations.”</i></p> <p>Indicator:</p> <p>4.5.1: <i>“The FMU has a procedure to define harvests” size, shape and location without causing land productivity loss or contamination to watercourses, water bodies and wetlands.”</i></p> <p>CONFORMITY</p>
<p>5.3.6 Harvesting levels of both wood and non-wood forest products shall not exceed a rate that can be sustained in the long term, and optimum use shall be made of the harvested forest products, with due regard to nutrient off-take.</p>	<p>YES</p>	<p>DN-02-05, CR 1.6, IN 1.6.1: <i>“The harvest rates shall produce a sustained flow of wood products obtained from forest plantations.”</i></p> <p>DN-02-05, CR 1.7, IN 1.7.2: <i>“The harvest of NWFP that are commercialized by the FMU shall not exceed the long-term sustainable extraction rate.”</i></p> <p>Criterion: 4.4 <i>“The land production capacity of the FMU is maintained and recovered, if necessary.”</i></p> <p>Indicator:</p> <p>4.4.6: <i>“The lands presenting nutritional deficiencies that limit their productive capacity are recovered using the appropriate methods during the establishment of forest plantations.”</i></p> <p>Criterion: 4.5 <i>“FMU harvesting operations are carried out considering site conditions to minimize negative impacts on the soil, avoid impacts on watercourses, water bodies and wetlands, using effectively the products provided by forest plantations.”</i></p> <p>Indicator:</p> <p>4.5.5: <i>“Forest harvest residues are disposed in the land to allow nutrient recycling and avoid soil erosion.”</i></p> <p>CONFORMITY</p>

Question	YES / NO*	Reference to scheme documentation
<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>DN-02-05, CR 1.7</p> <p>Indicators/verifiers: 1.7.1: <i>"The NWFP present in the FMU are identified in the Forest Management."</i> 1.7.2: <i>"The harvest of NWFP that are commercialized by the FMU shall not exceed the long-term sustainable extraction rate."</i> 1.7.3: <i>"The neighboring communities are allowed to collect the products remaining after the harvest as long as they do not interfere with the FMU's forest operations and they follow the agreed procedures."</i> V1: <i>"There is a record of authorized collectors and the NWFP uses."</i> V2: <i>"There is an authorized access document given to the collectors to follow security protocols and good extraction practices."</i> V3: <i>"Interview of stakeholders."</i></p> <p>Criterion: 5.2 <i>"FMU representatives implement programs and activities that contribute to the development of local communities."</i></p> <p>Indicators/verifiers 5.2.9: <i>"Following the process for development of local business, local communities have access to the FMU, under mutual agreement, to collect NWFP and harvesting residues as long as these do not affect the objectives of the forest plantations management or people safety."</i> V1: <i>"There is evidence of mutual agreements to grant the community's access to the FMU."</i> V2: <i>"There are records that the communities have accessed the FMU."</i> V3: <i>"There are records of the extraction of NWFP and harvesting residues."</i></p> <p>Criterion: 9.1 <i>"The FMU has procedures to monitor and assess the condition of its forest resources and significant economic, social and environmental impacts of forest operations."</i></p> <p>Indicator: 9.1.1: <i>"The FMU has procedures to monitor and assess the condition of its forest resources and significant economic, social and environmental impacts of forest operations. Procedures allow change assessment."</i></p> <p>CONFORMITY</p>
<p>5.3.8 Adequate infrastructure such as roads, skid tracks or bridges shall be planned, established and maintained to ensure efficient delivery of goods and services while minimising negative impacts on the</p>	<p>YES</p>	<p>DN-02-05 CERTFOR Standard for Sustainable Forest Management of Plantations</p> <p>Criterion: 4.6 <i>"Construction and maintenance of roads and storage yards is planned to minimize soil erosion."</i></p> <p>Indicators: 4.6.1: <i>"Roads and storage yards are planned and designed to minimize soil erosion and land sliding."</i> 4.6.2: <i>"Construction and maintenance of roads and storage yards are</i></p>

Question	YES / NO*	Reference to scheme documentation
environment.		<p><i>planned to minimize soil erosion.”</i></p> <p>4.6.4: <i>“Roads and storage yards do not present signs of severe erosion and in case this occurs mitigation measures are applied.”</i></p> <p>4.6.5: <i>“Revegetation measures are implemented in roads and storage yards in disuse.”</i></p> <p>Criterion: <i>“The construction and maintenance of roads and storage yards are planned and implemented to minimize the dragging of sediments into watercourses, water bodies and wetlands present in the FMU.”</i></p> <p>Indicators/verifier:</p> <p>4.7.2: <i>“The planning and design reduce the construction of roads crossing watercourses, water bodies or wetlands.”</i></p> <p>4.7.3: <i>“If the roads cross watercourses, water bodies and/or wetlands, the construction of drainage structures is considered to avoid land sliding and minimize erosion and sediment dragging into the watercourses, water bodies and wetlands.”</i></p> <p>4.7.4: <i>“The construction and maintenance of roads and storage yards are planned and implemented to minimize the dragging of sediments into watercourses, water bodies and wetlands present in the FMU.”</i></p> <p>4.7.5: <i>“Watercourses, water bodies and wetlands are not obstructed by land sliding coming from roads and storage yards.”</i></p> <p>V1: <i>“There are prevention and mitigation procedures.”</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>DN-02-05 CERTFOR Standard for Sustainable Forest Management of Plantations</p> <p>Criterion: 4.1 <i>“Protection measures for endangered species and/or protected by law that are present in the FMU.”</i></p> <p>Indicators:</p> <p>4.1.1: <i>“The FMU has a methodology to identify and detect endangered species and/or protected by law. Protection measures are known by workers and those responsible for the FMU.”</i></p> <p>4.1.3: <i>“When endangered species and/or protected by law are detected a protection protocol is activated and then a specific action plan is created.”</i></p> <p>Criterion: 4.2 <i>“Forest operations of the FMU are carried out to prevent and mitigate negative impacts in the biodiversity and landscape scenery.”</i></p> <p>Indicators:</p> <p>4.2.1: <i>“Procedures to prevent and mitigate negative impacts of forest operations on the biodiversity are applied.”</i></p>

Question	YES / NO*	Reference to scheme documentation
		<p>4.2.2: <i>“Forest operations do not affect protection areas or natural ecosystems.”</i></p> <p>Criterion: 4.3 <i>“The forest management considers the environmental value of natural ecosystems present in the FMU and activities are carried out to preserve and improve them permanently.”</i></p> <p>Indicators:</p> <p>4.3.1: <i>“Areas with native vegetation present in the FMU are identified according to its structure, distribution, size, and biodiversity value.”</i></p> <p>4.3.2: <i>“Forest operations do not modify native vegetation areas present in the FMU.”</i></p> <p>4.3.3: <i>“At least 10% of the FMU area corresponds to natural ecosystem conservation areas and protection areas.”</i></p> <p>4.3.4: <i>“The forest management has the purpose to maintain, increase and restore the functionality of natural ecosystems.”</i></p> <p>4.3.5: <i>“The FMU has green corridors that ensure spatial connectivity between natural ecosystems at risk.”</i></p> <p>4.3.6: <i>“The management of forest plantations shall not affect green corridors.”</i></p> <p>4.3.7: <i>“Forest operations do not cause relevant damage to standing trees in protection areas.”</i></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>YES</p>	<p>DN-02-05 CERTFOR Standard for Sustainable Forest Management of Plantations</p> <p>Criterion: 1.2 <i>“The FMU has a documented and updated Forest Management Plan that is sustainable in the long term and clearly specifies its forest management objectives.”</i></p> <p>Indicators:</p> <p>1.2.3: <i>“The Forest Management Plan shall specify ways to diminish the risk of degradation and damage to the ecosystems present in the FMU.”</i></p> <p>Indicators:</p> <p>1.2.7: <i>“There is a Forest Management Plan summary of the FMU, which is public and accessible to the stakeholders and shall contain at least the following information: a) management objectives; b) description of the forest resources managed; c) description of the social environment; d) description of forest operations; e) annual harvesting rate of the main products; f) identification of endangered species and/or protected by law; g) identification of management measures for High Conservation Value Areas; h) contact information of the people responsible for managing this standard.”</i></p> <p>Criterion: 2.2 <i>“The HCVA are identified, then monitored and managed to maintain their conservation value over time and ensuring the participation of stakeholders.”</i></p> <p>Indicators:</p>

Question	YES / NO*	Reference to scheme documentation
<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>2.2.1: <i>“The FMU has a methodology to identify and validate HCVA and also to ensure stakeholder participation.”</i></p> <p>2.2.2: <i>“The HCVA are identified in the cartography.”</i></p> <p>2.2.3: <i>“Forest managers and its workers are aware of HCVA.”</i></p> <p>2.2.4: <i>“Stakeholders have been properly informed about the HCVA existence.”</i></p> <p>2.2.5: <i>“The FMU has a conservation and protection plan for the HCVA defined in a participatory manner.”</i></p> <p>2.2.6: <i>“The HCVA are protected from illegal activities.”</i></p> <p>2.2.7: <i>“Every year a HCVA monitoring is carried out to assess the effectiveness of conservation and protection measures, whose results are available to the stakeholders through a public summary.”</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>DN-02-05 CERTFOR Standard for Sustainable Forest Management of Plantations</p> <p>Criterion: 4.1 <i>“Protection measures for endangered species and/or protected by law that are present in the FMU.”</i></p> <p>Indicators:</p> <p>4.1.1: <i>“The FMU has a methodology to identify and detect endangered species and/or protected by law. Protection measures are known by workers and those responsible for the FMU.”</i></p> <p>4.1.2: <i>“Areas that present endangered species and/or protected by law have been identified in the FMU cartography.”</i></p> <p>4.1.3: <i>“When endangered species and/or protected by law are detected a protection protocol is activated and then a specific action plan is created.”</i></p> <p>4.1.4: <i>“Cutting, hunting and fishing endangered species and/or protected by law in the FMU is prohibited.”</i></p> <p>4.1.5: <i>“Endangered species and/or protected by law are not exploited with commercial purposes, except for cases authorized by competent authorities.”</i></p> <p>Criterion: 8.1 <i>“FMU representatives are aware and follow Chilean legislation applicable to their activities.”</i></p> <p>Indicator:</p> <p>8.1.4: <i>“The FMU have adequate protection of forest resources against illegal activities regarding land use, harvesting, wood theft, NWFP collection, fires, and cutting, hunting and fishing of endangered species and/or protected by law, among others.”</i></p> <p>Criterion: 8.2 <i>“FMU representatives shall respect conventions, international treaties ratified by Chile and consider non-binding international agreements that the country follows.”</i></p>

Question	YES / NO*	Reference to scheme documentation
		<p>Indicator: 8.2.1: <i>"FMU representatives are aware of the implications of the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES) in the region and have implemented appropriate control measures to assure its clauses are fulfilled."</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>DN-02-05 CERTFOR Standard for Sustainable Forest Management of Plantations</p> <p>Criterion: 1.6 <i>"The harvesting rate of wood forest products is justified in the Forest Management Plan and helps to maintain or increase the production capacity of the FMU."</i></p> <p>Indicators/verifier: 1.6.3: <i>"The long-term planning has a balance between harvest and reforestation of plantations."</i> V1: <i>"There is a plan that ensures the rapid re-establishment of the stands after harvesting, including reforestation or natural regeneration in accordance with current legislation and the Forest Management Plan."</i> 1.6.4: <i>"The long-term planning considers the application of silvicultural practices that allow maintaining or increasing the FMU's forest biomass to reach an economic, social and environmental sustainable rate. "</i></p> <p>The assessor believes that the preponderance of evidence presented demonstrate conformance to this requirement.</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, where appropriate. Only those introduced species, provenances or varieties shall be used whose impacts on the ecosystem and on the genetic integrity of native species and local provenances have been evaluated, and if negative impacts can be avoided or minimised.</p>	<p>YES</p>	<p>DN-02-05 CERTFOR Standard for Sustainable Forest Management of Plantations</p> <p>Criterion: 1.4 <i>"The management of forest plantation is carried out based on the production potential of the sites and their characteristics."</i></p> <p>Indicators: 1.4.1: <i>"The species selected for the plantations shall adapt to the conditions of the site where they are located as well as the FMU management objectives."</i> 1.4.3: <i>"The FMU has a system to control the origin of seeds and plants used in forest plantations that ensure their adaptability to the site and to optimize the performance."</i></p> <p>Criterion: 1.5 <i>"The forest management planning must evaluate before the application of the new technologies or species so these will not cause negative environmental, social or economical impacts."</i></p> <p>Indicators:</p>

Question	YES / NO*	Reference to scheme documentation
		<p>1.5.1: <i>“The FMU has a procedure to identify and assess participatory the environmental, social and economical impacts, either positive or negative, of the application of new technologies or species.”</i></p> <p>1.5.2: <i>“For the application of new technologies or species, it is necessary to implement prevention, mitigation and control measures that are established in the assessment of social and environmental impacts.”</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>DN-02-05 CERTFOR Standard for Sustainable Forest Management of Plantations</p> <p>Criterion: 2.1 <i>“The forest area of the FMU is conserved and forest plantations that substitute native forest shall not be established.”</i></p> <p>Indicator: 2.1.3: <i>“Plantations shall be established in a land suitable for forestry without forest coverage, as long as they add social, environmental and economic value to the FMU.”</i></p> <p>Criterion: 4.2 <i>“Forest operations of the FMU are carried out to prevent and mitigate negative impacts in the biodiversity and landscape scenery.”</i></p> <p>Indicators: 4.2.1: <i>“Procedures to prevent and mitigate negative impacts of forest operations on the biodiversity are applied.”</i> 4.2.2: <i>“Forest operations do not affect protection areas or natural ecosystems.”</i></p> <p>Criterion: 4.3 <i>“The forest area of the FMU is conserved and forest plantations that substitute native forest shall not be established.”</i></p> <p>Indicators: 4.3.4: <i>“The forest management has the purpose to maintain, increase and restore the functionality of natural ecosystems.”</i> 4.3.5: <i>“The FMU has green corridors that ensure spatial connectivity between natural ecosystems at risk.”</i> 4.3.6: <i>“The management of forest plantations shall not affect green corridors.”</i></p> <p>The assessor believes that the preponderance of evidence presented demonstrate conformance to this requirement.</p> <p>CONFORMITY</p>
<p>5.4.7 Genetically-modified trees shall not be used.</p>	<p>YES</p>	<p>DN-02-05 CERTFOR Standard for Sustainable Forest Management of Plantations</p> <p>Criterion: 1.4 <i>“The management of forest plantation is carried out based on the production potential of the sites and their characteristics.”</i></p>

Question	YES / NO*	Reference to scheme documentation
		<p>Indicator: 1.4.2: <i>“Forest plantations do not use new species or varieties that come from Genetically Modified Organisms (GMO).”</i></p> <p>CONFORMITY</p>
<p>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.</p>	<p>YES</p>	<p>DN-02-05 CERTFOR Standard for Sustainable Forest Management of Plantations</p> <p>Criterion: 4.3 <i>“The forest management considers the environmental value of natural ecosystems present in the FMU and activities are carried out to preserve and improve them permanently.”</i></p> <p>Indicator/verifiers 4.3.1: <i>“Areas with native vegetation present in the FMU are identified according to its structure, distribution, size, and biodiversity value.”</i> 4.3.4: <i>“The forest management has the purpose to maintain, increase and restore the functionality of natural ecosystems.”</i> V1: <i>“There are prescriptions to maintain, increase and restore the functionality of natural ecosystems, which are known by the staff involved”</i> V2: <i>“There is evidence of implementation of conservation measures in natural ecosystems, and restoration measures when necessary.”</i> V3: <i>“There is evidence of restoration of typical native species from the same area or equivalent for maintaining or increasing the genetic diversity (species and origin where the restoration is made) as much as possible.”</i></p> <p>The assessor believes that the preponderance of evidence presented demonstrate</p> <p>CONFORMITY</p>
<p>5.4.9 Traditional management systems that have created valuable ecosystems, such as coppice, on appropriate sites shall be supported, when economically feasible.</p>	<p>YES</p>	<p>DN-02-05 CERTFOR Standard for Sustainable Forest Management of Plantations</p> <p>Criterion: 4.3 <i>“The forest area of the FMU is conserved and forest plantations that substitute native forest shall not be established.”</i></p> <p>Indicators: 4.3.1: <i>“Areas with native vegetation present in the FMU are identified according to its structure, distribution, size, and biodiversity value.”</i> 4.3.3: <i>At least 10% of the FMU area corresponds to natural ecosystem conservation area and protection areas.”</i> 4.3.4: <i>“The forest management has the purpose to maintain, increase and restore the functionality of natural ecosystems.”</i></p> <p>The assessor believes that the preponderance of evidence presented demonstrates conformance to this requirement.</p>

Question	YES / NO*	Reference to scheme documentation
		CONFORMITY
<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>DN-02-05 CERTFOR Standard for Sustainable Forest Management of Plantations</p> <p>Criterion: 4.2 <i>“Forest operations of the FMU are carried out to prevent and mitigate negative impacts in the biodiversity and landscape scenery.”</i></p> <p>Indicator: 4.2.2: <i>“Forest operations do not affect protection areas or natural ecosystems.”</i></p> <p>Criterion: 4.3 <i>“The forest management considers the environmental value of natural ecosystems present in the FMU and activities are carried out to preserve and improve them permanently.”</i></p> <p>Indicator/verifiers 4.3.1: <i>“Areas with native vegetation present in the FMU are identified according to its structure, distribution, size, and biodiversity value.”</i> 4.3.4: <i>“The forest management has the purpose to maintain, increase and restore the functionality of natural ecosystems.”</i> V1: <i>“There are prescriptions to maintain, increase and restore the functionality of natural ecosystems, which are known by the staff involved”</i> V2: <i>“There is evidence of implementation of conservation measures in natural ecosystems, and restoration measures when necessary.”</i> V3: <i>“There is evidence of restoration of typical native species from the same area or equivalent for maintaining or increasing the genetic diversity (species and origin where the restoration is made) as much as possible.”</i> 4.3.7: <i>“Forest operations do not cause relevant damage to standing trees or protection areas.”</i></p> <p>Criterion: 4.6 <i>“Construction and maintenance of roads and storage yards is planned to minimize soil erosion.”</i></p> <p>Indicators: 4.6.1: <i>“Roads and storage yards are planned and designed to minimize soil erosion and land sliding.”</i> 4.6.2: <i>“Construction and maintenance of roads and storage yards are planned to minimize soil erosion.”</i></p> <p>Criterion: 4.7 <i>“The construction and maintenance of roads and storage yards are planned and implemented to minimize the dragging of sediments into watercourses, water bodies and wetlands present in the FMU.”</i></p> <p>Indicators: 4.7.2: <i>“The planning and design reduce the construction of roads crossing watercourses, water bodies or wetlands.”</i></p>

Question	YES / NO*	Reference to scheme documentation
		<p>4.7.4: <i>“The construction and maintenance of roads and storage yards are planned and implemented to minimize the dragging of sediments into watercourses, water bodies and wetlands present in the FMU.”</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>DN-02-05 CERTFOR Standard for Sustainable Forest Management of Plantations</p> <p>Criterion: 1.2 <i>“The FMU has a documented and updated Forest Management Plan that is sustainable in the long term and clearly specifies its forest management objectives.”</i></p> <p>Indicator: 1.2.7: <i>“There is a Forest Management Plan summary of the FMU, which is public and accessible to the stakeholders and shall contain at least the following information: a) management objectives; b) description of the forest resources managed; c) description of the social environment; d) description of forest operations; e) annual harvesting rate of the main products; f) identification of endangered species and/or protected by law; g) identification of management measures for High Conservation Value Areas; h) contact information of the people responsible for managing this standard.”</i></p> <p>Criterion: 1.3 <i>“The Forest Management Plan has defined the different land uses in the FMU.”</i></p> <p>Indicator/verifier: 1.3.1: <i>“The Forest Management Plan includes a description of the forest resources present in the FMU and the current land uses.</i> V2: <i>The cartography has defined the limits of the High Conservation Value Areas, native vegetation areas, protected areas and plantations in the FMU.”</i></p> <p>Criterion: 4.1 <i>“Protection measures for endangered species and/or protected by law that are present in the FMU.”</i></p> <p>Indicators: 4.1.1: <i>“The FMU has a methodology to identify and detect endangered species and/or protected by law. Protection measures are known by workers and those responsible for the FMU.”</i> 4.1.2: <i>“Areas that present endangered species and/or protected by law have been identified in the FMU cartography.”</i> 4.1.3: <i>“When endangered species and/or protected by law are detected a protection protocol is activated and then a specific action plan is created.”</i> 4.1.4: <i>“Cutting, hunting and fishing endangered species and/or protected by law in the FMU is prohibited.”</i> 4.1.5: <i>“Endangered species and/or protected by law are not exploited with commercial purposes, except for cases authorized by competent</i></p>

Question	YES / NO*	Reference to scheme documentation
		<p><i>authorities.”</i></p> <p>Criterion: 4.2 <i>“Forest operations of the FMU are carried out to prevent and mitigate negative impacts in the biodiversity and landscape scenery.”</i></p> <p>Indicators: 4.2.1: <i>“Procedures to prevent and mitigate negative impacts of forest operations on the biodiversity are applied.”</i> 4.2.2: <i>“Forest operations do not affect protection areas or natural ecosystems.”</i></p> <p>Criterion: 4.3 <i>“The forest management considers the environmental value of natural ecosystems present in the FMU and activities are carried out to preserve and improve them permanently.”</i></p> <p>Indicators: 4.3.1: <i>“Areas with native vegetation present in the FMU are identified according to its structure, distribution, size, and biodiversity value.”</i> 4.3.2: <i>“Forest operations do not modify native vegetation areas present in the FMU.”</i> 4.3.3: <i>“At least 10% of the FMU area corresponds to natural ecosystem conservation areas and protection areas.”</i> 4.3.4: <i>“The forest management has the purpose to maintain, increase and restore the functionality of natural ecosystems.”</i> 4.3.5: <i>“The FMU has green corridors that ensure spatial connectivity between natural ecosystems at risk.”</i> 4.3.6: <i>“The management of forest plantations shall not affect green corridors.”</i> 4.3.7: <i>“Forest operations do not cause relevant damage to standing trees in protection areas.”</i></p> <p>CONFORMITY</p>
<p>5.4.12 With due regard to management objectives, measures shall be taken to balance the pressure of animal populations and grazing on forest regeneration and growth as well as on biodiversity.</p>	<p>YES</p>	<p>DN-02-05 CERTFOR Standard for Sustainable Forest Management of Plantations</p> <p>Criterion: 2.2 <i>“The HCVA are identified, then monitored and managed to maintain their conservation value over time and ensuring the participation of stakeholders.”</i></p> <p>Indicators: 2.2.1 <i>“The FMU has a methodology to identify and validate HCVA and also to ensure stakeholder participation.”</i> 2.2.2: <i>“The HCVA are identified in the cartography.”</i> 2.2.3: <i>“Forest managers and its workers are aware of HCVA.”</i> 2.2.4: <i>“Stakeholders have been properly informed about the HCVA existence.”</i> 2.2.5: <i>“The FMU has a conservation and protection plan for the HCVA defined in a participatory manner.”</i></p>

Question	YES / NO*	Reference to scheme documentation
		<p>2.2.6: <i>"The HCVA are protected from illegal activities."</i></p> <p>2.2.7: <i>"Every year a HCVA monitoring is carried out to assess the effectiveness of conservation and protection measures, whose results are available to the stakeholders through a public summary."</i></p> <p>Criterion: 3.2 <i>"The FMU has a built in system to manage plagues, diseases and harmful agents, and the activities are planned accordingly to minimize social and environmental negative impacts."</i></p> <p>Indicator:</p> <p>3.2.1: <i>"Forest plantations are protected against plagues, diseases and harmful agents (including invasive species either vegetal or animal)."</i></p> <p>V6: <i>"There is evidence of procedures to control harmful agents to avoid the endangerment of the plantation establishment and growth and its biodiversity. This includes the control of invasive species and overgrazing"</i></p> <p>Criterion: 4.1 <i>"Protection measures for endangered species and/or protected by law that are present in the FMU."</i></p> <p>Indicators:</p> <p>4.1.1: <i>"The FMU has a methodology to identify and detect endangered species and/or protected by law. Protection measures are known by workers and those responsible for the FMU."</i></p> <p>4.1.2: <i>"Areas that present endangered species and/or protected by law have been identified in the FMU cartography."</i></p> <p>4.1.3: <i>"When endangered species and/or protected by law are detected a protection protocol is activated and then a specific action plan is created."</i></p> <p>4.1.4: <i>"Cutting, hunting and fishing endangered species and/or protected by law in the FMU is prohibited."</i></p> <p>4.1.5: <i>"Endangered species and/or protected by law are not exploited with commercial purposes, except for cases authorized by competent authorities."</i></p> <p>Criterion: 4.2 <i>"Forest operations of the FMU are carried out to prevent and mitigate negative impacts in the biodiversity and landscape scenery."</i></p> <p>Indicators:</p> <p>4.2.1: <i>"Procedures to prevent and mitigate negative impacts of forest operations on the biodiversity are applied."</i></p> <p>4.2.2: <i>"Forest operations do not affect protection areas or natural ecosystems."</i></p> <p>Criterion: 4.3 <i>"The forest management considers the environmental value of natural ecosystems present in the FMU and activities are carried out to preserve and improve them permanently."</i></p> <p>Indicators:</p> <p>4.3.1: <i>"Areas with native vegetation present in the FMU are identified"</i></p>

Question	YES / NO*	Reference to scheme documentation
		<p><i>according to its structure, distribution, size, and biodiversity value.”</i></p> <p>4.3.2: <i>“Forest operations do not modify native vegetation areas present in the FMU.”</i></p> <p>4.3.3: <i>“At least 10% of the FMU area corresponds to natural ecosystem conservation areas and protection areas.”</i></p> <p>4.3.4: <i>“The forest management has the purpose to maintain, increase and restore the functionality of natural ecosystems.”</i></p> <p>4.3.5: <i>“The FMU has green corridors that ensure spatial connectivity between natural ecosystems at risk.”</i></p> <p>4.3.6: <i>“The management of forest plantations shall not affect green corridors.”</i></p> <p>4.3.7: <i>“Forest operations do not cause relevant damage to standing trees in protection areas.”</i></p> <p>CONFORMITY</p>
<p>5.4.13 Standing and fallen dead wood, hollow trees, old groves and special rare tree species shall be left in quantities and distribution necessary to safeguard biological diversity, taking into account the potential effect on the health and stability of forests and on surrounding ecosystems.</p>	<p>YES</p>	<p>DN-02-05 CERTFOR Standard for Sustainable Forest Management of Plantations</p> <p>Criterion: 2.2 <i>“The HCVA are identified, then monitored and managed to maintain their conservation value over time and ensuring the participation of stakeholders.”</i></p> <p>Indicators:</p> <p>2.2.1: <i>“The FMU has a methodology to identify and validate HCVA and also to ensure stakeholder participation.”</i></p> <p>2.2.2: <i>“The HCVA are identified in the cartography.”</i></p> <p>2.2.3: <i>“Forest managers and its workers are aware of HCVA.”</i></p> <p>2.2.4: <i>“Stakeholders have been properly informed about the HCVA existence.”</i></p> <p>2.2.5: <i>“The FMU has a conservation and protection plan for the HCVA defined in a participatory manner.”</i></p> <p>2.2.6: <i>“The HCVA are protected from illegal activities.”</i></p> <p>2.2.7: <i>“Every year a HCVA monitoring is carried out to assess the effectiveness of conservation and protection measures, whose results are available to the stakeholders through a public summary.”</i></p> <p>Criterion: 4.1 <i>“Protection measures for endangered species and/or protected by law that are present in the FMU.”</i></p> <p>Indicators:</p> <p>4.1.1: <i>“The FMU has a methodology to identify and detect endangered species and/or protected by law. Protection measures are known by workers and those responsible for the FMU.”</i></p> <p>4.1.2: <i>“Areas that present endangered species and/or protected by law have been identified in the FMU cartography.”</i></p> <p>4.1.3: <i>“When endangered species and/or protected by law are detected a protection protocol is activated and then a specific action plan is created.”</i></p> <p>4.1.4: <i>“Cutting, hunting and fishing endangered species and/or protected</i></p>

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		<p><i>by law in the FMU is prohibited.</i></p> <p>4.1.5: <i>“Endangered species and/or protected by law are not exploited with commercial purposes, except for cases authorized by competent authorities.”</i></p> <p>Criterion: 4.2 <i>“Forest operations of the FMU are carried out to prevent and mitigate negative impacts in the biodiversity and landscape scenery.”</i></p> <p>Indicators:</p> <p>4.2.1: <i>“Procedures to prevent and mitigate negative impacts of forest operations on the biodiversity are applied.”</i></p> <p>4.2.2: <i>“Forest operations do not affect protection areas or natural ecosystems.”</i></p> <p>Criterion: 4.3 <i>“The forest management considers the environmental value of natural ecosystems present in the FMU and activities are carried out to preserve and improve them permanently.”</i></p> <p>Indicators:</p> <p>4.3.1: <i>“Areas with native vegetation present in the FMU are identified according to its structure, distribution, size, and biodiversity value.”</i></p> <p>4.3.2: <i>“Forest operations do not modify native vegetation areas present in the FMU.”</i></p> <p>4.3.3: <i>“At least 10% of the FMU area corresponds to natural ecosystem conservation areas and protection areas.”</i></p> <p>4.3.4: <i>“The forest management has the purpose to maintain, increase and restore the functionality of natural ecosystems.”</i></p> <p>4.3.5: <i>“The FMU has green corridors that ensure spatial connectivity between natural ecosystems at risk.”</i></p> <p>4.3.6: <i>“The management of forest plantations shall not affect green corridors.”</i></p> <p>4.3.7: <i>“Forest operations do not cause relevant damage to standing trees in protection areas.”</i></p> <p>The assessor believes that the preponderance of evidence presented demonstrate conformance to this requirement.</p> <p>CONFORMITY</p>
<p>Criterion 5: Maintenance and appropriate enhancement of protective functions in forest management (notably soil and water)</p>		
<p>5.5.1 Forest management planning shall aim to maintain and enhance protective functions of forests for society, such as protection of infrastructure, protection from soil erosion, protection of water resources and from</p>	<p>YES</p>	<p>DN-02-05 CERTFOR Standard for Sustainable Forest Management of Plantations</p> <p>Criterion: 4.2 <i>“Forest operations of the FMU are carried out to prevent and mitigate negative impacts in the biodiversity and landscape scenery.”</i></p> <p>Indicators:</p> <p>4.2.1: <i>“Procedures to prevent and mitigate negative impacts of forest operations on the biodiversity are applied.”</i></p>

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adverse impacts of water such as floods or avalanches.		<p>4.2.2: <i>“Forest operations do not affect protection areas or natural ecosystems.”</i></p> <p>4.2.3: <i>“Participatory procedures are applied to prevent and mitigate the visual impact of forest operations in areas close to towns, high traffic roads, places with special landscape beauty, areas of cultural value, and areas where tourism has an important role.”</i></p> <p>Criterion: 4.4 <i>“The land production capacity of the FMU is maintained and recovered, if necessary.”</i></p> <p>Indicators:</p> <p>4.4.2: <i>“The FMU has a maintenance and recovery plan of the land productivity which is implemented.”</i></p> <p>4.4.3: <i>“Forest operations use equipment and technologies appropriate to the soil fragility characteristics to minimize its erosion and compacting.”</i></p> <p>4.4.4: <i>“In lands with moderate or high compacting the necessary measures are taken to improve their structure.”</i></p> <p>4.5.6: <i>“The lands presenting nutritional deficiencies that limit their productive capacity are recovered using the appropriate methods during the establishment of forest plantations.”</i></p> <p>4.4.6: <i>“The lands presenting nutritional deficiencies that limit their productive capacity are recovered using the appropriate methods during the establishment of forest plantations.”</i></p> <p>Criterion 4.5 <i>“FMU harvesting operations are carried out considering site conditions to minimize negative impacts on the soil, avoid impacts on watercourses, water bodies and wetlands, using effectively the products provided by forest plantations.”</i></p> <p>Indicator:</p> <p>4.5.1: <i>“The FMU has a procedure to define harvest, size, shape and location without causing land productivity loss or contamination to watercourses, water bodies and wetlands”</i></p> <p>Criterion: 4.8 <i>“Forest management is implemented considering water availability of watercourses, water bodies and wetlands present in the FMU and taking into account the downstream communities.”</i></p> <p>Indicator:</p> <p>4.8.2: <i>“A participatory strategy is defined to prevent or mitigate the unfavorable effects and also increase the positive effects the forest management has on water availability for the communities located downstream.”</i></p> <p>CONFORMITY</p>
5.5.2 Areas that fulfil specific and recognised protective functions for society shall be registered	YES	<p>DN-02-05, CR 2.2</p> <p>Indicators:</p> <p>2.2.2: <i>“The HCVA are identified in the cartography.”</i></p>

Question	YES / NO*	Reference to scheme documentation
<p>and mapped, and forest management plans or their equivalents shall take these areas into account.</p>		<p>2.2.3: <i>“Forest managers and its workers are aware of HCVA.”</i> 2.2.4: <i>“Stakeholders have been properly informed about the HCVA existence.”</i> 2.2.5: <i>“The FMU has a conservation and protection plan for the HCVA defined in a participatory manner.”</i> 2.2.6: <i>“The HCVA are protected from illegal activities.”</i> 2.2.7: <i>“Every year a HCVA monitoring is carried out to assess the effectiveness of conservation and protection measures, whose results are available to the stakeholders through a public summary.”</i></p> <p>Criterion: 5.5.2 <i>“The use rights, areas of special significance, and transit areas have been identified and agreed with local communities in a participatory manner.”</i></p> <p>Indicators: 5.5.1: <i>“Participatory mechanisms are implemented to identify and communicate local communities' use rights, which are identified in the FMU cartography to protect them during forest operations.”</i> 5.5.2: <i>“There are participatory mechanisms to identify and protect the use and access to sites of special significance to local communities.”</i></p> <p>Criterion: 6.2 <i>“FMU representatives identify, protect and preserve areas with special archaeological, historical, religious, spiritual or cultural significance for indigenous communities, which are recognized and managed as HCVA.”</i></p> <p>Indicators: 6.2.2: <i>“FMU representatives protect and preserve, in a participatory way, the areas of special significance for indigenous communities.”</i> 6.2.3: <i>“The areas of special significance for indigenous communities are declared as HCVA and are managed according to applicable specifications.”</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>DN-02-05 CERTFOR Standard for Sustainable Forest Management of Plantations</p> <p>Criterion: 4.4: <i>“The land production capacity of the FMU is maintained and recovered, if necessary.”</i></p> <p>Indicators: 4.4.1: <i>“The FMU has a cartography in which the soil characteristics are represented indicating the level of erosion and fragility.”</i> 4.4.2: <i>“The FMU has a maintenance and recovery plan of the land productivity which is implemented.”</i> 4.4.3: <i>“Forest operations use equipment and technologies appropriate to the soil fragility characteristics to minimize its erosion and compacting.”</i></p> <p>CONFORMITY</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>DN-02-05, CR 1.6</p> <p>Indicator: 1.6.5 <i>“Silvicultural and harvesting practices selected for the plantations have the objective of reducing negative impacts on the land and on the quality and availability of water.”</i></p> <p>Criterion: 3.5 <i>“Chemical products, fuel and lubricants are used to prevent contamination of lands, watercourses, water bodies, wetlands, crops and housing.”</i></p> <p>Indicator: 3.5.2: <i>“In all application or handling of chemical products, fuel and lubricants, measures are taken to avoid contamination of watercourses, water bodies and wetlands.”</i></p> <p>Criterion: 3.6 <i>“The waste produced by the FMU are handled and disposed in a safe manner for the people and the environment.”</i></p> <p>Indicator: 3.6.3: <i>“The waste produced by forest operations, accommodations and others are disposed in appropriate places located far away from the operations, watercourses, water bodies and wetlands.”</i></p> <p>Criterion: 4.2 <i>“Forest operations of the FMU are carried out to prevent and mitigate negative impacts in the biodiversity and landscape scenery.”</i></p> <p>Indicator: 4.2.2: <i>“Forest operations do not affect protection areas or natural ecosystems.”</i></p> <p>Criterion 4.5 <i>“FMU harvesting operations are carried out considering site conditions to minimize negative impacts on the soil, avoid impacts on watercourses, water bodies and wetlands, using effectively the products provided by forest plantations.”</i></p> <p>Indicator: 4.5.1: <i>“The FMU has a procedure to define harvest, size, shape and location without causing land productivity loss or contamination to watercourses, water bodies and wetlands”</i></p> <p>Criterion: 4.8 <i>“Forest management is implemented considering water availability of watercourses, water bodies and wetlands present in the FMU and taking into account the downstream communities.”</i></p> <p>Indicators: 4.8.1: <i>“The uses of water from watercourses, water bodies and wetlands present in the FMU are known.”</i> 4.8.2: <i>“A participatory strategy is defined to prevent or mitigate the</i></p>

Question	YES / NO*	Reference to scheme documentation
		<p><i>unfavourable effects and also increase the positive effects the forest management has on water availability for the communities located downstream.”</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>DN-02-05 CERTFOR Standard for Sustainable Forest Management of Plantations</p> <p>Criterion: 4.6 <i>“Construction and maintenance of roads and storage yards is planned to minimize soil erosion.”</i></p> <p>Indicators:</p> <p>4.6.1: <i>“Construction and maintenance of roads and storage yards are planned to minimize soil erosion.”</i></p> <p>4.6.2: <i>“Construction and maintenance of roads and storage yards are planned to minimize soil erosion.”</i></p> <p>4.6.4: <i>“Roads and storage yards do not present signs of severe erosion and in case this occurs mitigation measures are applied.”</i></p> <p>4.6.5: <i>“Revegetation measures are implemented in roads and storage yards in disuse.”</i></p> <p>CONFORMITY</p>
<p>Criterion 6: Maintenance of other socio-economic functions and conditions</p>		
<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>DN-02-05 CERTFOR Standard for Sustainable Forest Management of Plantations</p> <p>Criterion: 5.2 <i>“FMU representatives implement programs and activities that contribute to the development of local communities.”</i></p> <p>Indicators:</p> <p>5.2.1: <i>“There is a social management policy and/or program for local communities oriented to mutual collaboration.”</i></p> <p>5.2.2: <i>“Participatory mechanisms have been defined to incorporate the concerns and proposals of the local communities in the development programs.”</i></p> <p>5.2.3: <i>“The development programs and activities agreed with local communities have been implemented.”</i></p> <p>5.2.4: <i>“Training programs has been implemented for local communities to comply with the requirements defined by mutual understanding, promoting the participation of monitors with local knowledge.”</i></p> <p>5.2.5: <i>“FMU representatives contribute to local education programs and/or training regarding forest and environmental operations.”</i></p> <p>5.2.6: <i>“FMU representatives support technology transfer programs regarding forest management practices.”</i></p> <p>5.2.7: <i>“The residents of local communities, according to a policy for equal opportunities, have high priority when hiring workers for the forest operations.”</i></p> <p>5.2.8: <i>“Under certain circumstances, some of the forest products</i></p>

Question	YES / NO*	Reference to scheme documentation
		<p><i>extracted from the FMU will be commercialized to processing plants that belong to third parties, which are located in neighboring areas.”</i></p> <p><i>5.2.9: “Following the process for development of local business, local communities have access to the FMU, under mutual agreement, to collect NWFP and harvesting residues as long as these do not affect the objectives of the forest plantations management or people’s safety.”</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>DN-02-05 CERTFOR Standard for Sustainable Forest Management of Plantations</p> <p>Criterion: 5.1 <i>“Forest managers carry out a participatory assessment of their operations regarding social and environmental impacts, either positive or negative, on local communities.”</i></p> <p>Indicators:</p> <p>5.1.1: <i>“Forest managers have updated information about the socio-economic status of local communities and a profile of neighboring areas to plan their actions for the benefit of local development.”</i></p> <p>5.1.2: <i>“Forest managers have identified through a participatory assessment the social and environmental impacts of their operations, either positive or negative, on local communities.”</i></p> <p>5.1.3: <i>“The relationship with local communities is based on understanding, transparency and participation.”</i></p> <p>5.1.4: <i>“Regular communication channels are established to exchange information between forest managers and local communities.”</i></p> <p>5.1.5: <i>“Local communities have access to a representative of the FMU to discuss their concerns and problems.”</i></p> <p>DN-02-05, CR 5.2</p> <p>Indicators:</p> <p>5.2.1: <i>“There is a social management policy and/or program for local communities oriented to mutual collaboration.”</i></p> <p>5.2.2: <i>“Participatory mechanisms have been defined to incorporate the concerns and proposals of the local communities in the development programs.”</i></p> <p>5.2.3: <i>“The development programs and activities agreed with local communities have been implemented.”</i></p> <p>5.2.4: <i>“Training programs has been implemented for local communities to comply with the requirements defined by mutual understanding, promoting the participation of monitors with local knowledge.”</i></p> <p>5.2.5: <i>“FMU representatives contribute to local education programs and/or training regarding forest and environmental operations.”</i></p> <p>5.2.6: <i>“FMU representatives support technology transfer programs regarding forest management practices.”</i></p> <p>5.2.7: <i>“The residents of local communities, according to a policy for equal opportunities, have high priority when hiring workers for the forest operations.”</i></p>

Question	YES / NO*	Reference to scheme documentation
		<p>5.2.8: <i>“Under certain circumstances, some of the forest products extracted from the FMU will be commercialized to processing plants that belong to third parties, which are located in neighboring areas.”</i></p> <p>5.2.9: <i>“Following the process for development of local business, local communities have access to the FMU, under mutual agreement, to collect NWFP and harvesting residues as long as these do not affect the objectives of the forest plantations management or people’s safety.”</i></p> <p>Criterion: 5.3 <i>“The FMU representatives implement measures to protect local communities from risks and negative impacts from forest operations.”</i></p> <p>Indicators:</p> <p>5.3.1: <i>“Procedures have been defined to identify and reduce negative risks, damages and impacts to local communities associated to wood harvest and transportation.”</i></p> <p>5.3.2: <i>“Dissemination measures have been implemented towards local communities regarding the risk of forest operations.”</i></p> <p>5.3.3: <i>“The FMU has implemented a program to inform neighboring communities of the risks and correct use of chemical products in forest operations.”</i></p> <p>5.3.4: <i>“The FMU representatives participate in coordination meetings with neighboring communities in regard to fire prevention and emergency plans.”</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>DN-02-05, CR 5.1</p> <p>Indicators:</p> <p>5.1.6: <i>“Forest managers of the FMU are aware of historical and current conflicts with local communities and have established participatory mechanisms, in accordance with local activities, to resolve them.”</i></p> <p>5.1.7: <i>“Consensual mechanisms have been established to compensate local communities when their legal rights, customary rights and/or resources have been violated.”</i></p> <p>Criterion: 5.4 <i>“The use rights, areas of special significance, and transit areas have been identified and agreed with local communities in a participatory manner.”</i></p> <p>Indicators:</p> <p>5.4.1: <i>“Participatory mechanisms are implemented to identify and communicate local communities’ use rights, which are identified in the FMU cartography to protect them during forest operations.”</i></p> <p>5.4.2: <i>“There are participatory mechanisms to identify and protect the use and access to sites of special significance to local communities.”</i></p>

Question	YES / NO*	Reference to scheme documentation
		<p>Criterion: 6.1 <i>“FMU representatives identify indigenous communities in the areas where forest operations are carried out, respect agreements and established commitments, as well as their traditions and rights.”</i></p> <p>Indicators:</p> <p>6.1.1: <i>“FMU representative have identified, located and quantified indigenous communities that live in the areas where they conduct their forest operations.”</i></p> <p>6.1.2: <i>“FMU forest operations, in neighboring areas of indigenous communities, are previously informed and subjected to a participatory consultation process with the community.”</i></p> <p>6.1.3: <i>“The FMU has a record of documented agreements with indigenous communities.”</i></p> <p>6.1.4: <i>“The FMU representatives respect rights, knowledge and cultural practices of indigenous people.”</i></p> <p>Criterion: 6.3 <i>“The FMU representatives consider the dispositions of Convention 169 of the International Labour Organisation (ILO), especially the ones including consultation, consent and compensation mechanisms.”</i></p> <p>Indicators:</p> <p>6.3.1: <i>“The FMU operations shall be carried out in conformity with legal, customary and traditional rights included in Convention 169 of the ILO.”</i></p> <p>6.3.2: <i>“The FMU representatives have formal communication, participation and/or consultation channels with indigenous communities recognizing their traditional authorities and the right to use their language.”</i></p> <p>6.3.3: <i>“If the forest operations are carried out in indigenous lands, owned by people or communities, these shall have free, prior and informed consent.”</i></p> <p>6.3.4: <i>“Any damaged caused by forest operations to indigenous communities resources or lands shall be assessed, compensated and restored according to mutual agreement with the affected communities.”</i></p> <p>Criterion: 6.4 <i>“The FMU representatives are willing to handle land claims and use rights from indigenous communities with mutual respect.”</i></p> <p>Indicators:</p> <p>6.4.1: <i>“Land claims are clearly identified and handled by FMU representatives.”</i></p> <p>6.4.2: <i>“Use rights claims are clearly identified and handled by FMU representatives.”</i></p> <p>6.4.3: <i>“Land and use right claims are considered in the planning and carrying out of forest operations giving the communities involved a significant opportunity to participate in the decisions regarding forest management.”</i></p> <p>6.4.4: <i>“In case of agreement to land transference from the FMU to indigenous communities, the FMU representatives will provide a technical proposal to continue with the forest activities in the land, according with</i></p>

Question	YES / NO*	Reference to scheme documentation
		<p><i>their cultural practices.”</i></p> <p>Criterion: 8.1 <i>“FMU representatives are aware and follow Chilean legislation applicable to their activities.”</i></p> <p>Indicator: 8.1.1: <i>“FMU representatives are aware and follow Chilean legislation applicable to their activities, including forest, environmental, labour, sanitary, fiscal, indigenous people, use rights and land property rights legislation, among others.”</i></p> <p>Criterion: 8.2 <i>“FMU representatives shall respect conventions, international treaties ratified by Chile and consider non-binding international agreements that the country follows.”</i></p> <p>Indicator: 8.2.2: <i>“FMU representatives are aware of the conventions of International Labour Organization (ILO) ratified by Chile and implement appropriate measures to assure their compliance in regard to FMU management.”</i></p> <p>Criterion: 9.2 <i>“The compliance with standards principles at the FMU is monitored and assess once a year.”</i></p> <p>Indicator: 9.2.6: <i>“Indigenous People” monitoring and assessment procedures have been applied including the following aspects: a. The identification of indigenous communities in areas where forest operations are carried out. b. The respect of mutual agreements, documented commitments and legal rights of these communities. c. The recognition and management of the sites of special significance as HCVA. d. The application of consultation, consent and compensation mechanisms. e. The management of land claims and use rights for indigenous communities.”</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</p>	<p>YES</p>	<p>DN-02-05, CR 5.1</p> <p>Indicators: 5.1.6: <i>“Forest managers of the FMU are aware of historical and current conflicts with local communities and have established participatory mechanisms, in accordance with local activities, to resolve them.”</i> 5.1.7: <i>“Consensual mechanisms have been established to compensate local communities when their legal rights, customary rights and/or resources have been violated.”</i></p> <p>Criterion: 5.4 <i>“The use rights, areas of special significance, and transit areas have been identified and agreed with local communities in a participatory manner.”</i></p> <p>Indicators: 5.4.1: <i>“Participatory mechanisms are implemented to identify and</i></p>

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<p>yet resolved or is in dispute there are processes for just and fair resolution. In such cases forest managers shall, in the interim, provide meaningful opportunities for parties to be engaged in forest management decisions whilst respecting the processes and roles and responsibilities laid out in the policies and laws where the certification takes place.</p>		<p><i>communicate local communities' use rights, which are identified in the FMU cartography to protect them during forest operations."</i></p> <p>5.4.2: <i>"There are participatory mechanisms to identify and protect the use and access to sites of special significance to local communities."</i></p> <p>Criterion: 6.1 <i>"FMU representatives identify indigenous communities in the areas where forest operations are carried out, respect agreements and established commitments, as well as their traditions and rights."</i></p> <p>Indicators:</p> <p>6.1.1: <i>"FMU representative have identified, located and quantified indigenous communities that live in the areas where they conduct their forest operations."</i></p> <p>6.1.2: <i>"FMU forest operations, in neighboring areas of indigenous communities, are previously informed and subjected to a participatory consultation process with the community."</i></p> <p>6.1.3: <i>"The FMU has a record of documented agreements with indigenous communities."</i></p> <p>6.1.4: <i>"The FMU representatives respect rights, knowledge and cultural practices of indigenous people."</i></p> <p>Criterion: 6.3 <i>"The FMU representatives consider the dispositions of Convention 169 of the International Labour Organisation (ILO), especially the ones including consultation, consent and compensation mechanisms."</i></p> <p>Indicators:</p> <p>6.3.1: <i>"The FMU operations shall be carried out in conformity with legal, customary and traditional rights included in Convention 169 of the ILO."</i></p> <p>6.3.2: <i>"The FMU representatives have formal communication, participation and/or consultation channels with indigenous communities recognizing their traditional authorities and the right to use their language."</i></p> <p>6.3.3: <i>"If the forest operations are carried out in indigenous lands, owned by people or communities, these shall have free, prior and informed consent."</i></p> <p>6.3.4: <i>"Any damaged caused by forest operations to indigenous communities resources or lands shall be assessed, compensated and restored according to mutual agreement with the affected communities."</i></p> <p>Criterion: 6.4 <i>"The FMU representatives are willing to handle land claims and use rights from indigenous communities with mutual respect."</i></p> <p>Indicators:</p> <p>6.4.1: <i>"Land claims are clearly identified and handled by FMU representatives."</i></p> <p>6.4.2: <i>"Use rights claims are clearly identified and handled by FMU representatives."</i></p> <p>6.4.3: <i>"Land and use right claims are considered in the planning and carrying out of forest operations giving the communities involved a</i></p>

Question	YES / NO*	Reference to scheme documentation
		<p><i>significant opportunity to participate in the decisions regarding forest management.”</i></p> <p>6.4.4: <i>“In case of agreement to land transference from the FMU to indigenous communities, the FMU representatives will provide a technical proposal to continue with the forest activities in the land, according with their cultural practices.”</i></p> <p>Criterion: 8.1 <i>“FMU representatives are aware and follow Chilean legislation applicable to their activities.”</i></p> <p>Indicator: 8.1.1: <i>“FMU representatives are aware and follow Chilean legislation applicable to their activities, including forest, environmental, labour, sanitary, fiscal, indigenous people, use rights and land property rights legislation, among others.”</i></p> <p>Criterion: 8.2 <i>“FMU representatives shall respect conventions, international treaties ratified by Chile and consider non-binding international agreements that the country follows.”</i></p> <p>Indicator: 8.2.2: <i>“FMU representatives are aware of the conventions of International Labour Organization (ILO) ratified by Chile and implement appropriate measures to assure their compliance in regard to FMU management.”</i></p> <p>Criterion: 8.4 <i>“Property and land use rights and forest resources are clearly defined, documented and legally established. There are procedures to resolve property rights and use rights.”</i></p> <p>Indicators: 8.4.1: <i>“The FMU has an updated record of all forms of property related to land use and forest resources such as property titles, agreements, rent, concessions, legal usufruct and forest purchase.”</i> 8.4.2: <i>“In all forms of property related to land and forest resources use, pertinent payments are made when and to whom they correspond.”</i> 8.4.3: <i>“In case of conflicts regarding land property and/or forest resources present in the FMU, procedures for conflict resolution are applied, giving priority to extra judicial agreements.”</i></p> <p>Criterion: 9.2 <i>“The compliance with standards principles at the FMU is monitored and assess once a year.”</i></p> <p>Indicator: 9.2.6: <i>“Indigenous People” monitoring and assessment procedures have been applied including the following aspects: a. The identification of indigenous communities in areas where forest operations are carried out. b. The respect of mutual agreements, documented commitments and legal rights of these communities. c. The recognition and management of</i></p>

Question	YES / NO*	Reference to scheme documentation
		<p><i>the sites of special significance as HCVA. d. The application of consultation, consent and compensation mechanisms. e. The management of land claims and use rights for indigenous communities.”</i></p> <p>CONFORMITY</p>
<p>5.6.5 Adequate public access to forests for the purpose of recreation shall be provided taking into account respect for ownership rights and the rights of others, the effects on forest resources and ecosystems, as well as compatibility with other functions of the forest.</p>	<p>YES</p>	<p>DN-02-05 CERTFOR Standard for Sustainable Forest Management of Plantations</p> <p>Criterion: 5.4 <i>“The use rights, areas of special significance, and transit areas have been identified and agreed with local communities in a participatory manner.”</i></p> <p>Indicators:</p> <p>5.4.1: <i>“Participatory mechanisms are implemented to identify and communicate local communities’ use rights, which are identified in the FMU cartography to protect them during forest operations.”</i></p> <p>5.4.2: <i>“There are participatory mechanisms to identify and protect the use and access to sites of special significance to local communities.”</i></p> <p>5.4.3: <i>“The residents of local communities can move through the FMU to access their homes and work places in accordance with established procedures.”</i></p> <p>Criterion: 1.7 <i>“The forest management promotes the use of non-wood forest products (NWFP) present in the FMU.”</i></p> <p>Indicator:</p> <p>1.7.3: <i>“The neighboring communities are allowed to collect the products remaining after the harvest as long as they do not interfere with the FMU’s forest operations and they follow the agreed procedures.”</i></p> <p>The assessor believes that the preponderance of evidence presented demonstrate conformance to this requirement.</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>DN-02-05 CERTFOR Standard for Sustainable Forest Management of Plantations</p> <p>Criterion: 6.2 <i>“FMU representatives identify, protect and preserve areas with special archaeological, historical, religious, spiritual or cultural significance for indigenous communities, which are recognized and managed as HCVA.”</i></p> <p>Indicators:</p> <p>6.2.1: <i>“FMU representatives identify and describe in a participatory way the areas of special significance for indigenous communities.”</i></p> <p>6.2.2: <i>“FMU representatives protect and preserve, in a participatory way, the areas of special significance for indigenous communities.”</i></p> <p>6.2.3: <i>“The areas of special significance for indigenous communities are</i></p>

Question	YES / NO*	Reference to scheme documentation
		<p><i>declared as HCVA and are managed according to applicable specifications."</i></p> <p>Criterion: 9.2 <i>"The compliance with standards principles at the FMU is monitored and assess once a year."</i></p> <p>Indicator: 9.2.6: <i>"Indigenous People" monitoring and assessment procedures have been applied including the following aspects: a. The identification of indigenous communities in areas where forest operations are carried out. b. The respect of mutual agreements, documented commitments and legal rights of these communities. c. The recognition and management of the sites of special significance as HCVA. d. The application of consultation, consent and compensation mechanisms. e. The management of land claims and use rights for indigenous communities."</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>	NO	<p>DN-02-05 CERTFOR Standard for Sustainable Forest Management of Plantations</p> <p>Criterion: 4.2 <i>"Forest operations of the FMU are carried out to prevent and mitigate negative impacts in the biodiversity and landscape scenery."</i></p> <p>Indicators: 4.2.1: <i>"Procedures to prevent and mitigate negative impacts of forest operations on the biodiversity are applied."</i> 4.2.2: <i>"Forest operations do not affect protection areas or natural ecosystems."</i> 4.2.3: <i>"Participatory procedures are applied to prevent and mitigate the visual impact of forest operations in areas close to towns, high traffic roads, places with special landscape beauty, areas of cultural value, and areas where tourism has an important role."</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>	YES	<p>DN-02-05 CERTFOR Standard for Sustainable Forest Management of Plantations</p> <p>Criterion: 1.1 <i>"Forest managers formally commit themselves with the long term Sustainable Forest Management and adhere themselves to the CERTFOR/PEFC system policies."</i></p> <p>Indicator: 1.1.4: <i>"All FMU workers are trained in relevant aspects of the Forest Management Plan regarding their jobs."</i></p> <p>Criterion: 3.1 <i>"The FMU has effective measures to prevent, detect, suppress and fight forest fires using its own or external resources."</i></p>

Question	YES / NO*	Reference to scheme documentation
		<p>Indicator: 3.1.8: <i>“All FMU workers have been trained on the importance to prevent forest fires.”</i></p> <p>Criterion: 4.9 <i>“Every FMU worker is aware of the measures to protect biodiversity, lands, watercourses, water bodies and wetlands that shall be implemented in the FMU and they have been trained to prevent damages caused by forest operations.”</i></p> <p>Indicators: 4.9.1: <i>“All workers are trained in topics regarding the protection.”</i> 4.9.2: <i>“All workers are trained in topics regarding the protection and prevention of land damages.”</i> 4.9.3: <i>“All workers are trained in topics related with the protection of watercourses, water bodies and wetlands.”</i></p> <p>Criterion: 7.5 <i>“FMU representatives shall assure that workers are trained to do their jobs productively and to have labour development opportunities.”</i></p> <p>Indicator: 7.5.1: <i>“The FMU has a representative for the training programs. Training programs are carried out by suitable instructors.”</i> 7.5.2: <i>“Workers receive appropriate training for their job position.”</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 those of local communities, forest owners, NGOs and local people.</p>	<p>YES</p>	<p>DN-02-05, CR 1.2, IN 1.2.2: <i>“The Forest Management Plan includes the identification and description of the environmental and social aspects to be considered in the FMU management. It also includes references to knowledge and local practices regarding the management.”</i></p> <p>Criterion: 4.8 <i>“Forest management is implemented considering water availability of watercourses, water bodies and wetlands present in the FMU and taking into account the downstream communities.”</i></p> <p>Indicator: 4.8.2: <i>“A participatory strategy is defined to prevent or mitigate the unfavorable effects and also increase the positive effects the forest management has on water availability for the communities located downstream.”</i></p> <p>Criterion: 6.5 <i>“FMU representatives fairly compensate the indigenous communities for the application of their traditional knowledge in regard to the specific use of native vegetation species and the management of</i></p>

Question	YES / NO*	Reference to scheme documentation
		<p><i>FMU forest resources.”</i></p> <p>Indicators: 6.5.1: <i>“All applications of traditional knowledge on FMU forest operations have been identified.”</i> 6.5.2: <i>“Indigenous communities have been informed and participate in the application of their traditional knowledge.”</i></p> <p>CONFORMITY</p>
<p>5.6.10 Forest management shall provide for effective communication and consultation with local people and other stakeholders relating to sustainable forest management and shall provide appropriate mechanisms for resolving complaints and disputes relating to forest management between forest operators and local people.</p>	<p>YES</p>	<p>DN-02-05 CERTFOR Standard for Sustainable Forest Management of Plantations</p> <p>Criterion: 5.1 <i>“Forest managers carry out a participatory assessment of their operations regarding social and environmental impacts, either positive or negative, on local communities.”</i></p> <p>Indicators: 5.1.1: <i>“Forest managers have updated information about the socio-economic status of local communities and a profile of neighboring areas to plan their actions for the benefit of local development.”</i> 5.1.2: <i>“Forest managers have identified through a participatory assessment the social and environmental impacts of their operations, either positive or negative, on local communities.”</i> 5.1.3: <i>“The relationship with local communities is based on understanding, transparency and participation.”</i> 5.1.4: <i>“Regular communication channels are established to exchange information between forest managers and local communities.”</i> 5.1.5: <i>“Local communities have access to a representative of the FMU to discuss their concerns and problems.”</i> 5.1.6: <i>“Forest managers of the FMU are aware of historical and current conflicts with local communities and have established participatory mechanisms, in accordance with local activities, to resolve them.”</i> 5.1.7: <i>“Consensual mechanisms have been established to compensate local communities when their legal rights, customary rights and/or resources have been violated.”</i></p> <p>Criterion: 6.4 <i>“The FMU representatives are willing to handle land claims and use rights from indigenous communities with mutual respect.”</i></p> <p>Indicators: 6.4.1: <i>“Land claims are clearly identified and handled by FMU representatives.”</i> 6.4.2: <i>“Use rights claims are clearly identified and handled by FMU representatives.”</i> 6.4.3: <i>“Land and use right claims are considered in the planning and carrying out of forest operations giving the communities involved a significant opportunity to participate in the decisions regarding forest management.”</i></p>

Question	YES / NO*	Reference to scheme documentation
		<p>Criterion: 8.4 <i>“Property and land use rights and forest resources are clearly defined, documented and legally established. There are procedures to resolve property rights and use rights.”</i></p> <p>Indicator: 8.4.3: <i>“In case of conflicts regarding land property and/or forest resources present in the FMU, procedures for conflict resolution are applied, giving priority to extra judicial agreements.”</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 preventive measures.</p>	<p>YES</p>	<p>DN-02-05 CERTFOR Standard for Sustainable Forest Management of Plantations</p> <p>Criterion: 7.1 <i>“FMU workers have contracts and receive adequate and equitable compensation for their work.”</i></p> <p>Indicators: 7.1.1: <i>“FMU workers have an established contract according to current legislation including contractual conditions.”</i> 7.1.3: <i>“Contracted workers have access to social benefits, health care and social security.”</i></p> <p>Criterion: 7.2 <i>“FMU representatives respect labor rights and recognize the benefits of organizing and collective negotiations.”</i></p> <p>Indicators: 7.2.5: <i>“Companies associated with the FMU have internal policies of security and hygiene according to current legislation.”</i> 7.2.8: <i>“The amount of working hours does not exceed the limits established by current legislation.”</i></p> <p>Criterion: 7.3 <i>“FMU representatives safeguard the security and occupational health of workers.”</i></p> <p>Indicators: 7.3.1: <i>“Workers have been trained in security and occupational health matters.”</i> 7.3.2: <i>“Workers have access to health care in case of labour accidents or diseases.”</i> 7.3.3: <i>“Companies associated with FMU have a representative committee for security and hygiene according to current legislation.”</i> 7.3.4: <i>“Companies associated with the FMU have a risk prevention program according to current legislation.”</i> 7.3.5: <i>“FMU representatives provide and maintain all personal safety equipment necessary for forest operations and take measures to assure all workers use them.”</i> 7.3.6: <i>“The FMU has a system or procedure to finalize forest operations that may result dangerous for the workers without any repercussion to the person who made the decision.”</i></p>

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		<p>7.3.7: <i>“Machineries and tools are appropriate for the activities they are used for and well-maintained.”</i></p> <p>Criterion: 7.4 <i>“FMU representatives provide workers with adequate transportation, accommodation, rest and food conditions.”</i></p> <p>Indicators: 7.4.1: <i>“Workers' transportation is carried out safely and using appropriate vehicles.”</i> 7.4.2: <i>“If the location of the forest operation allows it, the workers will be transported daily to their homes.”</i> 7.4.3: <i>“The design and construction of accommodations comply with the requirements of current legislation.”</i> 7.4.4: <i>“Workers have appropriate rest hours during the workday.”</i> 7.4.5: <i>“Workers receive appropriate nutrition according to the activities performed.”</i></p> <p>CONFORMITY</p>
<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.</p>	<p>YES</p>	<p>DN-02-05 CERTFOR Standard for Sustainable Forest Management of Plantations</p> <p>Criterion: 7.1 <i>“FMU workers have contracts and receive adequate and equitable compensation for their work.”</i></p> <p>Indicator: 7.1.3: <i>“Contracted workers have access to social benefits, health care and social security.”</i></p> <p>Criterion: 7.2 <i>“FMU representatives respect labor rights and recognize the benefits of organizing and collective negotiations.”</i></p> <p>Indicators: 7.2.5: <i>“Companies associated with the FMU have internal policies of security and hygiene according to current legislation.”</i> 7.2.8: <i>“The amount of working hours does not exceed the limits established by current legislation.”</i></p> <p>Criterion: 7.3 <i>“FMU representatives safeguard the security and occupational health of workers.”</i></p> <p>Indicators: 7.3.1: <i>“Workers have been trained in security and occupational health matters.”</i> 7.3.2: <i>“Workers have access to health care in case of labour accidents or diseases.”</i> 7.3.3: <i>“Companies associated with FMU have a representative committee for security and hygiene according to current legislation.”</i> 7.3.4: <i>“Companies associated with the FMU have a risk prevention</i></p>

Question	YES / NO*	Reference to scheme documentation
		<p><i>program according to current legislation.”</i></p> <p>7.3.5: <i>“FMU representatives provide and maintain all personal safety equipment necessary for forest operations and take measures to assure all workers use them.”</i></p> <p>7.3.6: <i>“The FMU has a system or procedure to finalize forest operations that may result dangerous for the workers without any repercussion to the person who made the decision.”</i></p> <p>7.3.7: <i>“Machineries and tools are appropriate for the activities they are used for and well-maintained.”</i></p> <p>Criterion: 7.4 <i>“FMU representatives provide workers with adequate transportation, accommodation, rest and food conditions.”</i></p> <p>Indicators:</p> <p>7.4.1: <i>“Workers' transportation is carried out safely and using appropriate vehicles.”</i></p> <p>7.4.2: <i>“If the location of the forest operation allows it, the workers will be transported daily to their homes.”</i></p> <p>7.4.3: <i>“The design and construction of accommodations comply with the requirements of current legislation.”</i></p> <p>7.4.4: <i>“Workers have appropriate rest hours during the workday.”</i></p> <p>7.4.5: <i>“Workers receive appropriate nutrition according to the activities performed.”</i></p> <p>CONFORMITY</p>
5.6.13 Forest management shall comply with fundamental ILO conventions.	YES	<p>DN-02-05 CERTFOR Standard for Sustainable Forest Management of Plantations</p> <p>Criterion: 6.3 <i>“The FMU representatives consider the dispositions of Convention 169 of the International Labour Organisation (ILO), especially the ones including consultation, consent and compensation mechanisms.”</i></p> <p>Indicators:</p> <p>6.3.1: <i>“The FMU operations shall be carried out in conformity with legal, customary and traditional rights included in Convention 169 of the ILO.”</i></p> <p>Criterion: 8.1 <i>“FMU representatives are aware and follow Chilean legislation applicable to their activities.”</i></p> <p>Indicators:</p> <p>8.1.1: <i>“FMU representatives are aware and follow Chilean legislation applicable to their activities, including forest, environmental, labour, sanitary, fiscal, indigenous people, use rights and land property rights legislation, among others.</i></p> <p>8.1.2: <i>“The compliance with applicable legislation and other authority requirements is assessed periodically to assure non compliances management.</i></p>

Question	YES / NO*	Reference to scheme documentation
		<p>Criterion: 8.2 <i>“FMU representatives shall respect conventions, international treaties ratified by Chile and consider non-binding international agreements that the country follows.”</i></p> <p>Indicator: 8.2.2: <i>“FMU representatives are aware of the conventions of International Labour Organization (ILO) ratified by Chile and implement appropriate measures to assure their compliance in regard to FMU management.”</i></p> <p>Chile has ratified all of the ILO core conventions.ⁱ The assessor believes that the preponderance of evidence presented demonstrate conformance to this requirement.</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>DN-02-05, CR 1.2, IN 1.2.6, V1: <i>“The Forest Management Plan is reviewed periodically and there is a person responsible for the fulfilment of the activities specified in the plan.”</i> V1: <i>“There is evidence that the Forest Management Plan is reviewed at least once a year and is updated when necessary in accordance with monitoring results, new scientific and technical information, and social, economical and environmental changes of the FMU.”</i></p> <p>Criterion: 1.4 <i>“The management of forest plantation is carried out based on the production potential of the sites and their characteristics.”</i></p> <p>Indicators: 1.4.4: <i>“The scientific information available and the characteristics of the site are considered to define the forest management practices.”</i> 1.4.5: <i>“Forest managers support research programmes and data compilation regarding the forest management, either their own or by other entities.”</i></p> <p>CONFORMITY</p>
<p>Criterion 7: Maintenance and appropriate enhancement of protective functions in forest management (notably soil and water)</p>		
<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</p>	<p>YES</p>	<p>DN-02-05 CERTFOR Standard for Sustainable Forest Management of Plantations</p> <p>Criterion: 4.1 <i>“Protection measures for endangered species and/or protected by law that are present in the FMU.”</i></p> <p>Indicators: 4.1.1: <i>“The FMU has a methodology to identify and detect endangered species and/or protected by law. Protection measures are known by workers and those responsible for the FMU.”</i></p>

Question	YES / NO*	Reference to scheme documentation
<p>people; health, labour and safety issues; and the payment of royalties and taxes.</p>		<p>4.1.2: <i>“Areas that present endangered species and/or protected by law have been identified in the FMU cartography.”</i></p> <p>4.1.3: <i>“When endangered species and/or protected by law are detected a protection protocol is activated and then a specific action plan is created.”</i></p> <p>4.1.4: <i>“Cutting, hunting and fishing endangered species and/or protected by law in the FMU is prohibited.”</i></p> <p>4.1.5: <i>“Endangered species and/or protected by law are not exploited with commercial purposes, except for cases authorized by competent authorities.”</i></p> <p>Criterion: 7.1 <i>“FMU workers have contracts and receive adequate and equitable compensation for their work.”</i></p> <p>Indicators:</p> <p>7.1.1: <i>“FMU workers have an established contract according to current legislation including contractual conditions.”</i></p> <p>7.1.2: <i>“The remuneration level for workers is determined according to various factors, such as: current legislation, individual or collective negotiation instruments, risk level of the occupation, productivity and responsibility level of the job.”</i></p> <p>Criterion: 7.2 <i>“FMU representatives respect labour rights and recognize the benefits of organizing and collective negotiations.”</i></p> <p>Indicator:</p> <p>7.2.1: <i>“The workers are informed of obligations and rights established in current labour legislation.”</i></p> <p>Criterion: 8.1 <i>“FMU representatives are aware and follow Chilean legislation applicable to their activities.”</i></p> <p>Indicators/verifiers:</p> <p>8.1.1: <i>“FMU representatives are aware and follow Chilean legislation applicable to their activities, including forest, environmental, labour, sanitary, fiscal, indigenous people, use rights and land property rights legislation, among others.</i></p> <p>V1: <i>There is a policy or written declaration, of public knowledge, that demonstrate the commitment to comply with the legislation applicable to FMU management.</i></p> <p>V2: <i>There is an updated record of the legislation applicable to FMU management.</i></p> <p>V3: <i>FMU representatives are aware of the legislation pertinent for its management.”</i></p> <p>8.1.2: <i>“The compliance with applicable legislation and other authority requirements is assessed periodically to assure non compliances management.</i></p> <p>V1: <i>There is a record of periodical assessment of the compliance with applicable legislation and authority requirements.”</i></p>

Question	YES / NO*	Reference to scheme documentation
		<p>Indicator: 8.1.4: <i>“The FMU have adequate protection of forest resources against illegal activities regarding land use, harvesting, wood theft, NWFP collection, fires, and cutting, hunting and fishing of endangered species and/or protected by law, among others.”</i></p> <p>Criterion: 8.2 <i>“FMU representatives shall respect conventions, international treaties ratified by Chile and consider non-binding international agreements that the country follows.”</i></p> <p>Indicator: 8.2.2: <i>“FMU representatives are aware of the conventions of International Labour Organization (ILO) ratified by Chile and implement appropriate measures to assure their compliance in regard to FMU management.”</i></p> <p>Criterion: 8.3 <i>“FMU representatives make opportune payments of their obligations with the State and service and good suppliers.”</i></p> <p>Indicator: 8.3.1: <i>“All obligations with the State, such as taxes, permits, patents and others are paid opportunely.”</i> 8.3.2: <i>“All payments to suppliers, such as, invoices, remunerations, patents, allowances and others are made opportunely.”</i></p> <p>Criterion: 8.4 <i>“Property and land use rights and forest resources are clearly defined, documented and legally established. There are procedures to resolve property rights and use rights.”</i></p> <p>Indicators: 8.4.1: <i>“The FMU has an updated record of all forms of property related to land use and forest resources such as property titles, agreements, rent, concessions, legal usufruct and forest purchase.”</i> 8.4.2: <i>“In all forms of property related to land and forest resources use, pertinent payments are made when and to whom they correspond.”</i></p> <p>Criterion: 9.2 <i>“The compliance with the standards principles at the FMU is monitored and assess once a year.”</i></p> <p>Indicator: 9.2.8: <i>“In relation to the Principle 8 “Laws, Treaties and Agreements” monitoring and assessment procedures have been applied including the following aspects: a. Compliance with national legislation and authority requirements.”</i></p> <p>CONFORMITY</p>
5.7.2 Forest management shall provide for adequate protection of the forest	YES	DN-02-05 CERTFOR Standard for Sustainable Forest Management of Plantations

Question	YES / NO*	Reference to scheme documentation
<p>from unauthorised activities such as illegal logging, illegal land use, illegally initiated fires, and other illegal activities.</p>		<p>Criterion: 2.2 <i>“The HCVA are identified, then monitored and managed to maintain their conservation value over time and ensuring the participation of stakeholders.”</i></p> <p>Indicator: 2.2.6: <i>“The HCVA are protected from illegal activities.”</i></p> <p>Criterion: 4.1 <i>“Protection measures for endangered species and/or protected by law that are present in the FMU.”</i></p> <p>Indicators: 4.1.1: <i>“The FMU has a methodology to identify and detect endangered species and/or protected by law. Protection measures are known by workers and those responsible for the FMU.”</i> 4.1.2: <i>“Areas that present endangered species and/or protected by law have been identified in the FMU cartography.”</i> 4.1.3: <i>“When endangered species and/or protected by law are detected a protection protocol is activated and then a specific action plan is created.”</i> 4.1.4: <i>“Cutting, hunting and fishing endangered species and/or protected by law in the FMU is prohibited.”</i></p> <p>Criterion: 8.1 <i>“FMU representatives are aware and follow Chilean legislation applicable to their activities.”</i></p> <p>Indicator: 8.1.4: <i>“The FMU have adequate protection of forest resources against illegal activities regarding land use, harvesting, wood theft, NWFP collection, fires, and cutting, hunting and fishing of endangered species and/or protected by law, among others.”</i></p> <p>Criterion: 9.2 <i>“The compliance with the standards principles at the FMU is monitored and assess once a year.”</i></p> <p>9.2.8: <i>“In relation to the Principle 8 “Laws, Treaties and Agreements” monitoring and assessment procedures have been applied including the following aspects: a. Compliance with national legislation and authority requirements.”</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.

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	DN-02-11 Certification and Accreditation Procedures Criterion: 3.1 <i>“Competence of Certification Bodies: PEFC and CERTFOR 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> CONFORMITY
2.	Does the scheme documentation require that certification body for forest management certification shall fulfill requirements defined in ISO 17021 or ISO Guide 65?	Annex 6, 3.1	YES	DN-02-11 Certification and Accreditation Procedures Criterion: 3.1 <i>“Competence of Certification Bodies”</i> Indicators: 3.1.1: <i>“The certification body carrying out forest management certification or chain of custody certification against a scheme specific chain of custody standard, shall fulfill requirements defined in: a) ISO/IEC 17021:2011 (NCh-ISO 17021:2011) if the certification is carried out as management system certification,</i>

No	Question	Reference to PEFC Council PROCEDURES	YES / NO*	Reference to scheme documentation
				<p>b) ISO/IEC 17065:2012 (NCh-ISO 17065:2013) if the certification is carried out as product certification (the term “product” is used in its widest sense and includes also processes and services)(2),</p> <p>3.1.2: “The certification body carrying out chain of custody certification against ST 2002:2013 (Chain of Custody of Forest Based Products – Requirements) or the CERTFOR standard DN-02-07 (Cadena de Custodia de Productos Forestales) shall fulfil requirements defined in ISO/IEC 17065:2012 (NCh-ISO 17065:2013).”</p> <p>CONFORMITY</p>
3.	Does the scheme documentation require that certification bodies carrying out forest certification shall have the technical competence in forest management on its economic, social and environmental impacts, and on the forest certification criteria?	Annex 6, 3.1	YES	<p>DN-02-11 Certification and Accreditation Procedures</p> <p>Criterion: 3.1 “Competence of Certification Bodies”</p> <p>Indicators:</p> <p>3.1.3: “The certification body 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.</p> <p>The certification body carrying out chain of custody certification shall have the technical competence in forest based product procurement and processing, material flows in different stages of processing and trading.</p> <p>CONFORMITY</p>
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	<p>DN-02-11 Certification and Accreditation Procedures</p> <p>Criterion: 3.1 “Competence of Certification Bodies”</p> <p>Indicator: 3.1.4</p> <p>“The certification body shall have a good understanding of the national PEFC system (in Chile, CERTFOR System) against which it carries out forest or chain of custody certification. Compliance of the certification body with the above requirements shall be verified by an accreditation as described in Criterion 5, Accreditation.”</p> <p>CONFORMITY</p>

No	Question	Reference to PEFC Council PROCEDURES	YES / NO*	Reference to scheme documentation
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	<p>DN-02-11 Certification and Accreditation Procedures</p> <p>Criterion: 3.2 <i>“Auditors: Certification bodies have the responsibility to use competent auditors that have adequate technical know-how on the certification process and issues related to forest management or chain of custody certification respectively. The auditors shall fulfil general criteria for quality and environmental management systems auditors as defined in ISO 19011:2002 (NCh-ISO 19011. Of 2003). Additional qualification requirements for auditors carrying out forest management or chain of custody audits against a scheme specific standard should be defined by the respective national forest certification scheme (in Chile, CERTFOR System) The certification body can fulfil the technical competence defined for auditors by the presence of a technical expert(s) in a group of auditors carrying out forest management or chain of custody audits.</i></p> <p><i>The compliance of auditors with the above requirements is verified by an accreditation.”</i> described in Criterion 5, Accreditation.</p> <p>CONFORMITY</p>
6.	Does the scheme documentation require that the auditors must fulfil the general criteria of ISO 19011 for Quality Management Systems auditors or for Environmental Management Systems auditors?	Annex 6, 3.2	YES	<p>DN-02-11 Certification and Accreditation Procedures</p> <p>Criterion: 3.2 <i>“Auditors Certification bodies have the responsibility to use competent auditors that have adequate technical know-how on the certification process and issues related to forest management or chain of custody certification respectively. The auditors shall fulfil general criteria for quality and environmental management systems auditors as defined in ISO 19011:2002 (NCh-ISO 19011. Of 2003).</i></p> <p>CONFORMITY</p>
7.	Does the scheme documentation include additional qualification requirements for auditors carrying out forest management	Annex 6, 3.2	YES	<p>DN-02-11 Certification and Accreditation Procedures</p> <p>Criterion: 3.2 <i>“Additional qualification requirements for auditors carrying out forest management or chain of custody audits against a scheme specific standard should be defined by the respective national forest certification scheme (in Chile, CERTFOR System) The certification body can fulfil the technical competence defined for auditors by the presence of a technical expert(s) in a group of auditors carrying out forest</i></p>

No	Question	Reference to PEFC Council PROCEDURES	YES / NO*	Reference to scheme documentation
	audits? ^[11]			<p><i>management or chain of custody audits. The compliance of auditors with the above requirements is verified by an accreditation as described in Criterion 5, Accreditation.</i></p> <p>Criterion: 3.3 <i>“Requirements for auditing standards of the CERTFOR System In addition to fulfilling the requirements established in clauses 3.1 and 3.2, to audit the standards of the CERTFOR system the certification bodies shall have auditors that meet at least one of the following requirements:”</i></p> <p>Indicators:</p> <p>3.3.1: <i>“Professional with five or more years of relevant experience in the forestry sector, which as an internal auditor has participated in at least three audits of CERTFOR certification as an expert or assistant auditor.”</i></p> <p>3.3.2: <i>“Professional that without being an internal auditor, has participated in at least four audits of ISO certification as an assistant auditor, and has appropriate knowledge of the CERTFOR system and Forest Management and Chain of Custody Standards.”</i></p> <p>3.3.3: <i>“ Professional without being an internal auditor, has participated in Chile at least two audits of ISO certification as lead auditor, and has appropriate knowledge of the CERTFOR system and Forest Management and Chain of Custody standards.”</i></p> <p>CONFORMITY</p>
Certification procedures				
8.	Does the scheme documentation require that certification bodies shall have established internal procedures for forest management certification?	Annex 6, 4	YES	<p>DN-02-11 Certification and Accreditation Procedures</p> <p>Criterion 4: <i>“Certification Procedures: The certification body shall have established internal procedures for forest management certification against CERTFOR System of forest certification and for chain of custody certification against PEFC ST 2002:2013 (Chain of Custody of Forest Based Products – Requirements) or against CERTFOR DN-02-07 (Cadena de Custodia de Productos Forestales).”</i></p> <p>CONFORMITY</p>
9.	Does the scheme documentation require that applied certification	Annex 6, 4	YES	<p>DN-02-11 Certification and Accreditation Procedures</p> <p>Criterion 4: <i>“Certification Procedures: The applied certification procedures for forest management certification or chain of custody certification against CERTFOR</i></p>

No	Question	Reference to PEFC Council PROCEDURES	YES / NO*	Reference to scheme documentation
	procedures for forest management certification shall fulfil or be compatible with the requirements defined in ISO 17021 or ISO Guide 65?			<p><i>System chain of custody standard shall fulfil or be compatible with the requirements defined in any of the following documents:</i></p> <p><i>a) ISO/IEC 17021:2011 (NCh-ISO 17021:2011) if the certification is carried out as management system certification,</i></p> <p><i>b) ISO/IEC 17065:2012 (NCh-ISO 17065:2013) 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>CONFORMITY</p>
10	Does the scheme documentation require that applied auditing procedures shall fulfil or be compatible with the requirements of ISO 19011?	Annex 6, 4	YES	<p>DN-02-11 Certification and Accreditation Procedures</p> <p>Criterion: 4 <i>"Certification Procedures: The applied certification procedures for chain of custody certification against the standard PEFC ST 2002:2013 (Chain of Custody of Forest Products - Requirements) or against the standard CERTFOR DN-02-07 (Cadena de Custodia de Productos Forestales), shall fulfil requirements defined in ISO/IEC 17065:2012 (NCh-ISO 17065:2013). The applied auditing procedures shall fulfil or be compatible with the requirements of ISO 19011:2002 (NCh-ISO 19011. Of 2003)."</i></p> <p>CONFORMITY</p>
11	Does the scheme documentation require that certification body shall inform the relevant PEFC National Governing Body about all issued forest management certificates and changes concerning the validity and scope of these certificates?	Annex 6, 4	YES	<p>DN-02-11 Certification and Accreditation Procedures</p> <p>Criterion: 4 <i>"Certification Procedures: In addition to above requirements the certification body:</i></p> <p><i>a) informs the relevant PEFC National Governing Bodies (in Chile, the CertforChile Corporation) about all issued forest management and chain of custody certificates and changes concerning validity and scope of these certificates."</i></p> <p>CONFORMITY</p>
12	Does the scheme documentation require that certification body shall carry	Annex 6, 4	YES	<p>DN-02-11 Certification and Accreditation Procedures</p> <p>Criterion: 4 <i>"Certification Procedures: In addition to above requirements the certification body:</i></p> <p><i>b) carries out control of PEFC (CERTFOR) logo usage if the</i></p>

No	Question	Reference to PEFC Council PROCEDURES	YES / NO*	Reference to scheme documentation
	out controls of PEFC logo usage if the certified entity is a PEFC logo user?			<i>certified entity is a PEFC (CERTFOR) logo user."</i> CONFORMITY
13	Does a maximum period for surveillance audits defined by the scheme documentation not exceed more than one year?	Annex 6, 4	YES	DN-02-11 Certification and Accreditation Procedures Criterion: 4 <i>"Certification Procedures: The maximum period for surveillance audits is one year ..."</i> CONFORMITY
14	Does a maximum period for assessment audit not exceed five years for forest management certifications?	Annex 6, 4	YES	DN-02-11 Certification and Accreditation Procedures Criterion: 4 <i>"Certification Procedures: states "[the]maximum period for re-assessment audit is five years for both forest management and chain of custody certifications."</i> CONFORMITY
15	Does the scheme documentation include requirements for public availability of certification report summaries?	Annex 6, 4	YES	DN-02-11 Certification and Accreditation Procedures Criterion: 4 <i>"Certification Procedures: A summary of the certification report, including a summary of findings on the auditee's conformity with the forest management standard, written by the certification body, shall be made available to the public by the auditee or in accordance with any applicable requirements defined by the respective forest certification scheme. The CERTFOR System will make available the summary of the certification report on the official website of the CertforChile Corporation (www.certfor.org)."</i> CONFORMITY
16	Does the scheme documentation include requirements for usage of information from external parties as the audit evidence?	Annex 6, 4	YES	DN-02-11 Certification and Accreditation Procedures Criterion: 4 <i>"Certification Procedures: The audit evidence to determine the conformity with the forest management standard shall include relevant information from external parties (e.g. government agencies, community groups, conservations organizations, etc.) as appropriate."</i> CONFORMITY
17	Does the scheme	Annex 6, 4		DN-02-14 Requirements of Certification Bodies operating

No	Question	Reference to PEFC Council PROCEDURES	YES / NO*	Reference to scheme documentation
	documentation include additional requirements for certification procedures? ^[*1]		N/A	Certification against the CERTFOR Chain of Custody System NOT APPLICABLE
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	DN-02-11 Certification and Accreditation Procedures Criterion: 5 <i>“Accreditation: Certification bodies carrying out forest management or chain of custody certification shall be accredited by a national accreditation body ...”</i> CONFORMITY
19	Does the scheme documentation require that an accredited certificate shall bear an accreditation symbol of the relevant accreditation body?	Annex 6, 5	YES	DN-02-11 Certification and Accreditation Procedures Criterion: 5 <i>“Accreditation: Certification bodies carrying out forest management or chain of custody certification, shall be accredited by a national accreditation body so as to ensure the credibility of the certification work and to facilitate mutual recognition. An accredited certificate shall bear an accreditation symbol of the relevant accreditation body.”</i> CONFORMITY
20	Does the scheme documentation require that the accreditation shall be issued by an accreditation body which is a part of the International Accreditation Forum (IAF) umbrella or a member of IAF’s special recognition regional groups and which	Annex 6, 5	YES	DN-02-11 Certification and Accreditation Procedures Criterion: 5 <i>“Accreditation: Accreditation bodies shall be a member of the International Accreditation Forum (IAF) or a member of IAF’s special recognition regional groups and implement procedures described in ISO/IEC 17011:2004 (NCh-ISO 17011) and other documents recognised by the above organizations.”</i> Criterion 5.1: <i>“Accreditation process by the Instituto Nacional de Normalización (INN)</i> <i>In Chile, the Instituto Nacional de Normalización (INN), member of the International”</i>

No	Question	Reference to PEFC Council PROCEDURES	YES / NO*	Reference to scheme documentation
	implement procedures described in ISO 17011 and other documents recognised by the above mentioned organisations?			CONFORMITY
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>DN-02-11 Certification and Accreditation Procedures</p> <p>Criterion 5: <i>“Accreditation: The certification body shall undertake forest management or/and chain of custody certification as “accredited certifications”. The certification body carrying out forest management certification or chain of custody certification against a scheme specific chain of custody standard (in Chile CERTFOR System) shall be accredited based on ISO/IEC 17021:2011 (NCh-ISO 17021:2011) or ISO/IEC 17065:2012 (NCh-ISO 17065:2013), and the relevant forest management or chain of custody standard(s) / scheme shall be covered by the accreditation scope.”</i></p> <p>CONFORMITY</p>
22	Does the scheme documentation include a mechanism for PEFC notification of certification bodies?	Annex 6, 6	YES	<p>DN-02-11 Certification and Accreditation Procedures</p> <p>Criterion: 6 <i>“CERTFOR/PEFC Notification of Certification Bodies: Certification bodies operating forest management and/or chain of custody certification against the PEFC endorsed national schemes/standards (in Chile, the CERTFOR System) or the PEFC international chain of custody standard (PEFC ST 2002:2013 Chain of Custody of Forest Based Products – Requirements) shall be notified by the PEFC National Governing Body of the relevant country (in Chile, the CertforChile Corporation). Certification bodies operating chain of custody certification against the PEFC international chain of custody standard (PEFC ST 2002:2013 Chain of Custody of Forest Based Products – Requirements) in countries without a PEFC National Governing Body shall be notified by the PEFC Council. The PEFC Council can also decide to notify certification body operating chain of custody certification against the PEFC international chain of custody standard (PEFC ST 2002:2013 Chain of Custody of Forest Based Products – Requirements) in countries with a PEFC National Governing Body if the</i></p>

No	Question	Reference to PEFC Council PROCEDURES	YES / NO*	Reference to scheme documentation
				<p><i>notification cannot be issued by the relevant PEFC National Governing Body. In order to ensure the independence of certification bodies the CERTFOR/PEFC notification conditions decided by the CertforChile Corporation or by the PEFC Council shall only cover:</i></p> <p><i>(a) administrative conditions (e.g. communication of the certification body with the CertforChile Corporation or the PEFC Council, transfer of information, etc.),</i></p> <p><i>(b) financial conditions (fees imposed on certified entities),</i></p> <p><i>(c) compliance with requirements for certification bodies verified through accreditation as described in chapter 5.</i></p> <p>PS-02-21 Notification of Certification Bodies for Forest Management and Chain of Custody Certification in Chile against the requirements of the CERTFOR System</p> <p>Introduction: <i>“Notification by the CertforChile Corporation establishes a necessary link between accredited certification bodies and the scheme owner and allows certification bodies to issue certificates recognised by the CertforChile Corporation.”</i></p> <p>Section 1: <i>“Scope</i> <i>This CERTFOR System document describes procedures for the issuance of notification by the CertforChile Corporation to certification bodies operating:</i></p> <p><i>a) Forest Management certification against the requirements of the CERTFOR System and/or</i></p> <p><i>b) Chain of Custody certification in Chile.</i></p> <p><i>This CERTFOR System procedure was approved by the National Secretariat of CertforChile Corporation , and shall be applied for all certification bodies.”</i></p> <p>CONFORMITY</p>
23	Are the procedures for PEFC notification of certification bodies non-discriminatory?	Annex 6, 6	YES	<p>DN-02-11 Certification and Accreditation Procedures</p> <p>Criterion: 6 <i>“CERTFOR/PEFC Notification of Certification Bodies:</i></p> <p><i>The CERTFOR/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

1 Scope

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

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 2002:2013	YES / NO*	Reference to application documents
Terms and Definitions				
1.	Are the terms and definitions of the scheme specific CoC standard in compliance with chapter 3?	3	YES	DN-02-07 CERTFOR Standard for Chain of Custody of Forest Products The assessor believes that Chapter 3 of DN-02-07 CERTFOR Standard for Chain of Custody of Forest Products is in full conformance with Chapter 3 of PEFC 2002:2013. CONFORMITY
Identification of material/products				
2.	Does the scheme specific CoC standard require identification of the material/products in compliance with chapter 4?	4	YES	DN-02-07 CERTFOR Standard for Chain of Custody of Forest Products The assessor believes that Chapter 4 of DN-02-07 CERTFOR Standard for Chain of Custody of Forest Products is in full conformance with Chapter 4 of PEFC 2002:2013. CONFORMITY
PEFC Due Diligence System (DDS) for avoidance of raw material from controversial sources				
3.	Are the general requirements of the DDS of the scheme specific CoC standard in compliance with 5.1?	5.1	YES	DN-02-07 CERTFOR Standard for Chain of Custody of Forest Products Section: 5 <i>“Minimum Due Diligence System (DDS) requirements”</i> Criterion: 5.1 <i>“General requirements”</i> Indicators: 5.1.1: <i>“The organisation shall operate a Due Diligence System (DDS), in accordance with the following elements of this standard, which is based on risk management techniques to minimise the risk that the procured material originates in controversial sources.”</i> 5.1.2: <i>“The PEFC (CERTFOR) DDS shall be implemented for all</i>

No.	Question	Reference to PEFC 2002:2013	YES / NO*	Reference to application documents
				<p><i>input forest based material covered by the organisation's PEFC or CERTFOR chain of custody with the exception of:</i></p> <p><i>(a) recycled material; and</i></p> <p><i>(b) material originating from species listed in Appendices I to III of CITES provided it complies with applicable international, European and national legislation relating to CITES."</i></p> <p><i>5.1.3: "The organisation's PEFC (CERTFOR) shall be supported by the organisation's management system meeting requirements of clause 8 of this standard.</i></p> <p><i>5.1.4: "The organisation shall implement the PEFC (CERTFOR) DDS in three steps relating to:</i></p> <p><i>(a) gathering information,</i></p> <p><i>(b) risk assessment and</i></p> <p><i>(c) management of significant risk supplies."</i></p> <p><i>5.1.5: "The organisation procuring raw material originating from species listed in Appendix I to III of CITES shall comply with applicable international, European and national legislation relating to CITES. 5.1.6 The organisation shall not include any restricted forest based material originating from countries which are covered by applicable UN, EU or national government sanctions restricting the export/import of such forest based products. Note: The term "applicable" means that sanctions are applicable to the organisation."</i></p> <p><i>5.1.7: "Conflict timber shall not be used by the organization."</i></p> <p><i>5.1.8: "The organisation shall not include any material from genetically modified forest based organisms in products covered by the organisation's PEFC (CERTFOR) DDS."</i></p> <p><i>5.1.9: "The organisation shall not include in products covered by the organisation's PEFC (CERTFOR) DDS any wood based material originating in conversion of forests to other vegetation type, including conversion of primary forests to forest plantations."</i></p> <p>CONFORMITY</p>
4.	Does the DDS of the scheme specific CoC standard require gathering of information in compliance with 5.2?	5.2	YES	<p>DN-02-07 CERTFOR Standard for Chain of Custody of Forest Products</p> <p>Section: 5 <i>"Minimum Due Diligence System (DDS) requirements"</i></p> <p>Criterion: 5.2 <i>"Gathering of information"</i></p> <p>Indicator:</p> <p><i>5.2.1: "The PEFC (CERTFOR) DDS is based on information provided by the supplier. The organisation shall have access to the following information:</i></p> <p><i>(a) identification of the material/product, including its trade name and type;</i></p> <p><i>(b) identification of tree species included in material/product by</i></p>

No.	Question	Reference to PEFC 2002:2013	YES / NO*	Reference to application documents
				<p><i>their common name and/or their scientific name where applicable;</i> <i>(c) country of harvest of the material and where applicable sub-national region and/or concession of harvest."</i></p> <p>CONFORMITY</p>
5.	Does the DDS of the scheme specific CoC standard include requirements for a risk assessment in compliance with 5.3?	5.3	YES	<p>DN-02-07 CERTFOR Standard for Chain of Custody of Forest Products Section: 5 <i>"Minimum Due Diligence System (DDS) requirements"</i></p> <p>Criterion: 5.3 <i>"Risk Assessment"</i></p> <p>Indicators:</p> <p>5.3.1: <i>"The organisation shall carry out the risk assessment of procuring raw material from controversial sources for all input forest based material covered by the organisation's PEFC (CERTFOR)DDS, with the exception of:</i> <i>(a) certified material/products delivered with a claim by a supplier with PEFC recognised certificate,</i> <i>(b) other material/products delivered with a claim by a supplier with PEFC recognised chain of custody certificate."</i></p> <p>5.3.2: <i>"The organisation's risk assessment shall result in the classification of supplies into the "negligible" or "significant" risk category.</i></p> <p>5.3.3 <i>"The organisation's risk assessment shall be carried out based on an evaluation of:</i> <i>(a) the likelihood that activities defined under the term controversial sources occur in the country / region of the supply or for the tree species of the supply (hereinafter referred to as the likelihood at the origin level) and;</i> <i>(b) the likelihood that the supply chain has not been able to identify a potential controversial source of supply (hereinafter referred to as the likelihood at the supply chain level)."</i></p> <p>5.3.4: <i>"The organisation shall determine the risk, based on the likelihood at the origin level and the likelihood at the supply chain level and their combination, in order to classify all supplies as "significant" risk where one or both levels are assessed as having high likelihood."</i></p> <p>5.3.6: <i>"The risk assessment shall be carried out for the first delivery of every individual supplier. It shall be reviewed and if necessary revised at least annually."</i></p> <p>5.3.7: <i>"The risk assessment shall be carried out for every delivery by an individual supplier in which changes regarding the characteristics listed in clause 5.2.1 occurred."</i></p> <p>5.3.8: <i>"An organisation can conduct a risk assessment and identify negligible risk for deliveries from a specific geographical area, subsequent to the following conditions:</i> <i>(a) The organisation shall keep updated</i></p>

No.	Question	Reference to PEFC 2002:2013	YES / NO*	Reference to application documents
				<p><i>i. a clear definition of the particular area.</i> <i>ii. a list with tree species delivered from the area.</i> <i>iii. appropriate evidence to verify that its sources of supply are limited to the identified geographic area and tree species.</i> <i>(b) No indicator listed in Table 2 and Table 3 shall be applicable.</i> <i>(c) The area specific risk assessment shall be carried out before the first delivery from the area. It shall be revised at least once a year.</i> <i>(d) The area specific risk assessment shall be reviewed and if necessary revised if (a) is changed."</i></p> <p>CONFORMITY</p>
6	Does the DDS of the scheme specific CoC standard require the consideration of substantiated concerns in compliance with 5.4?	5.4	YES	<p>DN-02-07 CERTFOR Standard for Chain of Custody of Forest Products Section: 5 <i>"Minimum Due Diligence System (DDS) requirements"</i></p> <p>Criterion: 5.4 <i>"Substantiated Comments or Complaints"</i></p> <p>Indicators: 5.4.1: <i>"The organisation shall ensure that substantiated concerns provided by third parties concerning supplier compliance with legal requirements and other aspects of controversial sources are promptly investigated and, if validated, result in (re-)assessment of the risks associated with the relevant supplies."</i> 5.4.2: <i>"In case of substantiated concerns material originally excluded from the risk assessment (see clause 5.3.1) shall undergo a risk assessment according to the requirements in 5.3."</i></p> <p>CONFORMITY</p>
7.	Does the DDS of the scheme specific CoC standard include requirements for management of high-risk supplies in compliance with 5.5?	5.5	YES	<p>DN-02-07 CERTFOR Standard for Chain of Custody of Forest Products Section: 5 <i>"Minimum Due Diligence System (DDS) requirements"</i></p> <p>Criterion: 5.5 <i>"Management of Significant Risk Supplies"</i></p> <p>Indicators: 5.5.1 <i>"General"</i> 5.5.1.1: <i>"For supplies identified as "significant" risk, the organisation shall request the supplier to provide additional information and evidence, if possible, which allows the organisation to classify the supply as negligible risk. The supplier shall ensure that,</i> <i>(a) it will provide the organisation with necessary information to identify the forest management unit(s) of the raw material and the whole supply chain relating to the "significant" risk supply.</i> <i>(b) it will enable the organisation to carry out a second party or a third party inspection of the supplier's operation as well as</i></p>

No.	Question	Reference to PEFC 2002:2013	YES / NO*	Reference to application documents
				<p><i>operations of the previous suppliers in the chain. The organisation shall establish a second or third party verification programme for supplies classified as “significant” risk. The verification programme shall cover:</i></p> <p><i>(a) identification of the whole supply chain and forest management unit(s) of the supply’s origin;</i></p> <p><i>(b) on-site inspection whenever relevant and</i></p> <p><i>(c) risk mitigation, corrective and preventive measures as required.”</i></p> <p>Indicators:</p> <p>5.5.2: <i>“Identification of the supply chain”</i></p> <p>5.5.2.1: <i>“The organisation shall require, from all suppliers of “significant” risk supplies, detailed information on the whole supply chain and forest management unit(s) of the supply’s origin. 5.5.2.2 In cases where the supplies can be verified as negligible risk according to the indicators in Table 1 at one step in the supply chain the organization is not required to track the whole supply chain to the forest management unit. 5.5.2.3 The information submitted shall allow the organisation to plan and execute on-site inspections.”</i></p> <p>Indicators:</p> <p>5.5.3: <i>“On-site inspections”</i></p> <p>5.5.3.1: <i>“The organisation’s verification programme shall include on-site inspections of suppliers delivering “significant risk” supplies. The on-site inspections can be carried out by the organisation itself (second party inspection) or by a third party on behalf of the organisation. The organisation may substitute the on-site inspection with documentation review where the documentation provides sufficient confidence in the material origin in non-controversial sources.”</i></p> <p>5.5.3.2: <i>“The organisation shall demonstrate that it has sufficient knowledge and competence in the legislation applicable to the origin of “significant” risk supplies and relevant to the definition of the controversial source.”</i></p> <p>5.5.3.3: <i>“Where the on-site inspection is carried out by a third party on behalf of the organisation, the organisation shall demonstrate that the third party has sufficient knowledge and competence in the legislation as required by clause”</i></p> <p>5.5.3.2: <i>“The competency requirements in clause 6.1.1.2.6 of DN-02-14 shall be met by third parties.”</i></p> <p>5.5.3.4: <i>“The organisation shall determine a sample of significant risk supplies from one supplier to be verified by the verification programme. The size of the annual sample shall be at least the square root of the number of “significant” risk supplies per one year: (y=√x), rounded to the nearest whole number. Where the previous on-site inspections proved to be effective in fulfilling the</i></p>

No.	Question	Reference to PEFC 2002:2013	YES / NO*	Reference to application documents
				<p><i>objective of this document, the size of the sample may be reduced by a factor of 0.8, i.e.: (y=0.8 √x), rounded up to the next whole number. 5.5.3.5 The on-site inspections shall cover:</i></p> <p><i>(a) the direct supplier and all previous suppliers in the supply chain in order to assess compliance with the supplier claims on the origin of the raw material and;</i></p> <p><i>(b) the forest owner / manager of the forest management unit of the supply origin or any other party responsible for management activities on that forest management unit in order to assess their compliance with legal requirements.”</i></p> <p>Indicators:</p> <p>5.5.4: <i>“Corrective measures”</i></p> <p>5.5.4.1: <i>“The organisation shall define written procedures for implementing corrective measures for non-compliance for suppliers identified by the organisation’s verification programme. 5.5.4.2 The range of corrective measures shall be based on the scale and seriousness of the risk that timber or timber product(s) maybe from controversial sources and shall include at least one or more of the following:</i></p> <p><i>(a) clear communication of the risk identified with a request for addressing the risk identified within a specific timeline so as to ensure that timber or timber product(s) from controversial sources is not supplied to the organisation;</i></p> <p><i>(b) requiring suppliers to define risk mitigation measures relating to forest management units compliance with legal requirements or efficiency of the information flow in the supply chain;</i></p> <p><i>(c) cancellation of any contract or order for timber or timber product(s) until the supplier can demonstrate that appropriate risk mitigation measures have been implemented.”</i></p> <p>. CONFORMITY</p>
8	Does the DDS of the scheme specific CoC standard include requirements concerning the placement of material on the market which are in compliance with 5.6?	5.6	YES	<p>DN-02-07 CERTFOR Standard for Chain of Custody of Forest Products</p> <p>Section: 5 <i>“Minimum Due Diligence System (DDS) requirements”</i></p> <p>Criterion: 5.6 <i>“No placement on the market”</i></p> <p>Indicators:</p> <p>5.6.1: <i>“Timber or timber product(s) from unknown sources or from controversial sources shall not be included in product groups covered by the organisation’s PEFC or CERTFOR chain of custody.”</i></p> <p>5.6.2: <i>“Timber known or reasonably suspected as coming from illegal sources (controversial sources 3.9(a) or (b)) shall not be processed and, shall not be traded and/or shall not be placed on the market unless appropriate documented evidence has been</i></p>

No.	Question	Reference to PEFC 2002:2013	YES / NO*	Reference to application documents
				<p><i>provided and verified which allows the timber supplied to be classified as presenting "negligible risk".</i></p> <p>CONFORMITY</p>
Chain of custody methods				
9.	Does the scheme specific CoC standard allow physical separation and percentage based method as chain of custody methods?	6.1	YES	<p>DN-02-07 CERTFOR Standard for Chain of Custody of Forest Products</p> <p>Section: 6 <i>"Chain of custody method"</i></p> <p>Criterion: 6.1 <i>"General"</i></p> <p>Indicator: 6.1.1: <i>"There are two methods to implement the chain of custody, namely the physical separation method and the percentage based method. Depending on the nature of material flows and processes the organisation shall choose the appropriate method."</i></p> <p>CONFORMITY</p>
10.	Are the general requirements for the physical separation method in compliance with 6.2.1?	6.2.1	YES	<p>DN-02-07 CERTFOR Standard for Chain of Custody of Forest Products</p> <p>Section: 6 <i>"Chain of custody method"</i></p> <p>Criterion: 6.2 <i>"Physical separation method"</i></p> <p>Indicators: 6.2.1 <i>"General requirements for physical separation method"</i> 6.2.1.1: <i>"The organisation whose certified material/products are not mixed with other material/products and/or where the certified material/products can be identified during the whole process, should use the physical separation method as the preferred option."</i> 6.2.1.2: <i>"The organisation applying the physical separation method shall ensure that the certified material is separated or clearly identifiable at all stages of the production or trading process. 6.2.1.3 The physical separation method may also apply to the certified products with various content of certified material."</i></p> <p>CONFORMITY</p>
11.	Are the requirements for the	6.2.2	YES	<p>DN-02-07 CERTFOR Standard for Chain of Custody of Forest Products</p>

No.	Question	Reference to PEFC 2002:2013	YES / NO*	Reference to application documents
	separation of certified material/products in compliance with 6.2.2?			<p>Section: 6 <i>“Chain of custody method”</i></p> <p>Criterion: 6.2 <i>“Physical separation method”</i></p> <p>Indicators: 6.2.1: <i>“Separation of certified material/products”</i> 6.2.2.1: <i>“Certified material and certified products with different content of certified material shall remain clearly identifiable throughout the whole production/trading process, including storage. This shall be achieved by: (a) physical separation in terms of production and storage space or (b) physical separation in terms of time or (c) clear identification of the certified material/products during the process.”</i></p> <p>CONFORMITY</p>
12.	Are the requirements for the application of the percentage based method in compliance with 6.3.1?	6.3.1	YES	<p>DN-02-07 CERTFOR Standard for Chain of Custody of Forest Products</p> <p>Section: 6 <i>“Chain of custody method”</i></p> <p>Criterion: 6.3 <i>“Percentage based method”</i></p> <p>Indicators: 6.3.1 <i>“Application of the percentage based method”</i> 6.3.1.1: <i>“The percentage based method of the chain of custody applies to organisations that are mixing certified material/products with other material categories.”</i></p> <p>CONFORMITY</p>
13.	Does the scheme specific CoC standard include requirements for the definition of the product group in compliance with 6.3.2?	6.3.2	YES	<p>DN-02-07 CERTFOR Standard for Chain of Custody of Forest Products</p> <p>Section: 6 <i>“Chain of custody method”</i></p> <p>Criterion: 6.3 <i>“Percentage based method”</i></p> <p>Indicators: 6.3.2 <i>“Definition of the product group”</i> 6.3.2.1: <i>“The organisation shall implement the requirements for the chain of custody process of this standard for the specific product group.”</i> 6.3.2.2: <i>“The product group shall be associated with (i) a single product type or (ii) a group of products, which consist of the same or similar input material according to, for example species, sort, etc. The material entering the group of products shall have the same measurement unit or units that are transferable to the</i></p>

No.	Question	Reference to PEFC 2002:2013	YES / NO*	Reference to application documents
				<p><i>same measurement unit.”</i> 6.3.2.3: <i>“The product group shall be associated with products which have been produced or manufactured by the organisation at one production site.”</i></p> <p>CONFORMITY</p>
14.	Does the scheme specific CoC standard include requirements for the calculation of the certification percentage in compliance with 6.3.3?	6.3.3	YES	<p>DN-02-07 CERTFOR Standard for Chain of Custody of Forest Products</p> <p>Section: 6 <i>“Chain of custody method”</i></p> <p>Criterion: 6.3 <i>“Percentage based method”</i></p> <p>Indicators: 6.3.3 <i>“Calculation of the certification percentage”</i> 6.3.3.1: <i>“The organisation shall calculate the certification percentage separately for each product group and for a specific claim period according to the following formula:</i></p> $Pc [\%] = Vc / (Vc + Vo) \times 100$ <p><i>Pc Certification percentage Vc Volume of certified material Vo Volume of other material”</i></p> <p>CONFORMITY</p>
15.	Does the scheme specific CoC standard include requirements for the transfer of the calculated percentage to the outputs, which are in compliance with 6.3.4?	6.3.4	YES	<p>DN-02-07, CR 6.3:</p> <p>Indicators: 6.3.4 <i>“Transfer of the calculated percentage to the outputs”</i> 6.3.4.1 <i>“Average percentage method”</i> 6.3.4.1.1: <i>“The organisation applying average percentage method shall use the calculated certification percentage for all the products covered by the product group for which the calculation has been made.”</i> 6.3.4.: <i>“Volume credit method”</i> 6.3.4.2.1: <i>“The organisation shall apply the volume credit method for a single claim. The organisation receiving a single delivery of material with more than one claim relating to the material category shall either use it as a single inseparable claim or shall only use one from the received claims for calculating the volume credits.”</i> 6.3.4.2.2: <i>“The organisation shall calculate the volume credits using either:</i> (a) <i>certification percentage and volume of output products or</i> (b) <i>input material and input/output ratio.”</i> 6.3.4.2.3: <i>“The organisation applying the certification percentage shall calculate the volume credits by multiplying the</i></p>

No.	Question	Reference to PEFC 2002:2013	YES / NO*	Reference to application documents
				<p><i>volume of output products of the claim period by the certified percentage for the relevant claim period.</i></p> <p>6.3.4.2.4: <i>“The organisation that can demonstrate a verifiable ratio between the input material and output products, may calculate the volume credits directly from input certified material by multiplying the volume of input certified material by the input/output ratio.”</i></p> <p>6.3.4.2.5: <i>“The organisation shall create and manage a credit account in a single measurement unit and shall enter the volume credits into the credit account. The credit account shall be established for individual product types of the product group or for the whole product group where the same measurement unit is applied to all product types.”</i></p> <p>6.3.4.2.6: <i>“The total quantity of credits cumulated at the credit account shall not exceed the sum of credits entered into the credit account during the last twelve months. The twelve months maximum period can be extended to the average products production period where the products production period is longer than twelve months.”</i></p> <p>6.3.4.2.7: <i>“The organisation shall distribute the volume credits from the credit account for the output products covered by the credit account. The volume credits shall be distributed to the output products in a way that the certified products will be considered as containing 100 % of certified material or as containing less than 100 % certified material and meeting the organisation’s own threshold. The result of the volume of certified products multiplied by the output percentage of certified material included in the certified products shall be equal to the distributed volume credits withdrawn from the credit account.”</i></p> <p>CONFORMITY</p>
Sale of and communication on claimed products				
16.	Does the scheme specific CoC standard include requirements for the documentation associated with sold/transferred products in compliance with 7.1?	7.1	YES	<p>DN-02-07 CERTFOR Standard for Chain of Custody of Forest Products</p> <p>Section: 7 <i>“Sale and communication on claimed products”</i></p> <p>Criterion: 7.1 <i>“Documentation associated with sold/transferred products”</i></p> <p>Indicators:</p> <p>7.1.1: <i>“At the point of sale or transfer of claimed products to the customer, the organisation shall provide the customer with a copy or access to a copy of its chain of custody certificate. The organisation shall inform the customers about any change in the scope of its chain of custody certification and shall not misuse its</i></p>

No.	Question	Reference to PEFC 2002:2013	YES / NO*	Reference to application documents
				<p><i>chain of custody certification. Note: In the case of multi-site certification where individual sites receive a separate document (referring to the main certificate) confirming their certified status, the organisation (the site) provides its customers copies of this document together with the main certificate.”</i></p> <p><i>7.1.2: “For the purposes of communication of the chain of custody claim, the organisation shall identify the type of document(s) associated with the delivery of all sold/transferred products. The document(s), including the formal claim, shall be issued to a single customer. The organisation shall keep copies of the documents and ensure that information contained within those copies cannot be altered after the originals are delivered to the customers.”</i></p> <p><i>7.1.3: “The document(s) associated with each delivery of all claimed products shall include at least the following information:</i></p> <ul style="list-style-type: none"> <i>(a) customer identification,</i> <i>(b) supplier identification,</i> <i>(c) product(s) identification,</i> <i>(d) quantity of delivery for each product covered by the documentation,</i> <i>(e) date of delivery / delivery period / accounting period,</i> <i>(f) the formal claim on the material category (including percentage of certified material) specifically for each claimed product covered by the document, as applicable,</i> <i>(g) the identifier of the supplier’s chain of custody certificate or other document confirming the supplier’s certified status.”</i> <p>CONFORMITY</p>
17.	Does the scheme specific CoC standard include requirements for the use of logos and labels in compliance with 7.2?	7.2	YES	<p>DN-02-07 CERTFOR Standard for Chain of Custody of Forest Products</p> <p>Section: 7 “Sale and communication on claimed products”</p> <p>Criterion: 7.2 “Usage of logos and labels”</p> <p>Indicators:</p> <p><i>7.2.1: “The organisation which uses a logo or label, for on-product and/or off-product purposes, relating to the chain of custody certification, shall have an authorisation from the logo/label’s trademark owner or from the owner’s authorised representative and the usage shall be carried out according to the terms and conditions of the authorisation.”</i></p> <p><i>7.2.2: “The organisation may only use the label on-product for those certified products that meet the eligibility criteria for product labelling as specified by the owner of the logo/label trademark.”</i></p> <p><i>7.2.3: “The organisation which makes on-product claims on the product itself or its packaging (without a logo or label) relating</i></p>

No.	Question	Reference to PEFC 2002:2013	YES / NO*	Reference to application documents
				<p><i>to chain of custody certification shall always use the formal claim and the organisation making the claim shall be identifiable."</i></p> <p>CONFORMITY</p>
Management system				
18.	Does the scheme specific CoC standard require management responsibilities for the organisation's management in compliance with 8.1?	8.1	YES	<p>DN-02-07 CERTFOR Standard for Chain of Custody of Forest Products</p> <p>Section: 8 <i>"Minimum management system requirements"</i></p> <p>Criterion: 8.2 <i>"General requirements"</i> <i>"The organisation shall operate a management system in accordance with the following elements of this standard, which ensure correct implementation, and maintenance of the chain of custody process(es). The management system shall be appropriate to the type, range and volume of work performed."</i></p> <p>Indicators: 8.2.1: <i>"General responsibilities"</i> 8.2.1.1: <i>"The organisation's management shall define and document its commitment to implement and maintain the chain of custody requirements in accordance with this standard. The organisation's commitment shall be made available to the organisation's personnel, suppliers, customers, and other interested parties. 8.2.1.2 The organisation's management shall appoint a member of the management who, irrespective of other responsibilities, shall have overall responsibility and authority for the organisation's chain of custody. 8.2.1.3 The organisation's management shall carry out a regular periodic review of the organisation's chain of custody and its compliance with the requirements of this standard."</i></p> <p>CONFORMITY</p>
19.	Does the scheme specific CoC standard include requirements for responsibilities and authorities for C-o-C in compliance with 8.2?	8.2	YES	<p>DN-02-07 CERTFOR Standard for Chain of Custody of Forest Products</p> <p>Section: 8 <i>"Minimum management system requirements"</i></p> <p>Criterion: 8.2 <i>"Responsibilities and authorities"</i> 8.2.1 <i>"General responsibilities"</i></p> <p>Indicators: 8.2.1.1: <i>"The organisation's management shall define and document its commitment to implement and maintain the chain of custody requirements in accordance with this standard. The</i></p>

No.	Question	Reference to PEFC 2002:2013	YES / NO*	Reference to application documents
				<p><i>organisation's commitment shall be made available to the organisation's personnel, suppliers, customers, and other interested parties."</i></p> <p>8.2.1.2: <i>"The organisation's management shall appoint a member of the management who, irrespective of other responsibilities, shall have overall responsibility and authority for the organisation's chain of custody."</i></p> <p>8.2.1.3: <i>"The organisation's management shall carry out a regular periodic review of the organisation's chain of custody and its compliance with the requirements of this standard."</i></p> <p>8.2.2: <i>"Responsibilities and authorities for chain of custody The organisation shall identify the personnel performing activities for the implementation and maintenance of chain of custody and shall establish personnel responsibilities and authorities relating to chain of custody for at least the following elements:</i></p> <p><i>(a) raw material procurement and identification of the origin,</i></p> <p><i>(b) product processing covering physical separation or percentage calculation and transfer into output products,</i></p> <p><i>(c) product sale and labeling,</i></p> <p><i>(d) record keeping,</i></p> <p><i>(e) internal audits and non-conformity control,</i></p> <p><i>(f) due diligence system."</i></p> <p>CONFORMITY</p>
20.	Does the scheme specific CoC standard include requirements for documented procedures in compliance with 8.3?	8.3	YES	<p>DN-02-07 CERTFOR Standard for Chain of Custody of Forest Products</p> <p>Section: 8 <i>"Minimum management system requirements"</i></p> <p>Criterion: 8.3 <i>"Documented procedures"</i></p> <p>Indicator:</p> <p>8.3.1: <i>"The organisation shall establish written documented procedures for its chain of custody. The documented procedures shall include at least the following elements:</i></p> <p><i>(a) organisational structure, responsibilities and authorities relating to chain of custody,</i></p> <p><i>(b) description of the raw material flow within the production/trading process(es), including definition of product groups,</i></p> <p><i>(c) procedures for chain of custody process covering all requirements of this standard, including:</i></p> <ul style="list-style-type: none"> <i>- identification of the raw material category,</i> <i>- physical separation of certified material (for the organisations applying the physical separation),</i> <i>- definition of product groups, calculation of the certified percentage, calculation of volume credits, management of credit</i>

No.	Question	Reference to PEFC 2002:2013	YES / NO*	Reference to application documents
				<p><i>accounts (for the organisations applying percentage based methods),</i> <i>- sale/transfer of products, on-products claims and on-product labelling,</i> <i>(d) procedures for the due diligence system,</i> <i>(e) procedures for internal audits,</i> <i>(f) procedures for complaints resolution.”</i></p> <p>CONFORMITY</p>
21.	Does the scheme specific CoC standard include requirements for record keeping in compliance with 8.4?	8.4	YES	<p>DN-02-07 CERTFOR Standard for Chain of Custody of Forest Products</p> <p>Section: 8 “<i>Minimum management system requirements</i>”</p> <p>Criterion: 8.4 “<i>Record keeping</i>”</p> <p>Indicators:</p> <p>8.4.1: “<i>The organisation shall establish and maintain records on its chain of custody to provide evidence of conformity with the requirements of this standard and its effectiveness and efficiency. The organisation shall keep at least the following records relating to the product groups covered by the chain of custody:</i></p> <p><i>(a) records of all suppliers of certified material, including copies of the suppliers’ forest management or chain of custody certificates or other documents confirming the supplier’s compliance with the criteria for suppliers of certified material,</i></p> <p><i>(b) records of all input material, including claims on the material category and documents associated to the delivery of the input material,</i></p> <p><i>(c) records of calculation of the certified percentage, transfer of the percentage to output products and management of the credit account, as applicable,</i></p> <p><i>(d) records of all products sold/transferred, including claims on the material category and documents associated to the delivery of the output products,</i></p> <p><i>(e) records of the due diligence system, including records of risk assessments and significant risk supplies management, as applicable,</i></p> <p><i>(f) records of internal audits, periodic chain of custody review, non-conformities which occurred and corrective actions taken,</i></p> <p><i>(g) records on complaints and their resolution.”</i></p> <p>8.4.2: “<i>The organisation shall maintain the records for a minimum period of five years.</i>”</p>

No.	Question	Reference to PEFC 2002:2013	YES / NO*	Reference to application documents
				CONFORMITY
22.	Does the scheme specific CoC standard include requirements for resource management in compliance with 8.5?	8.5	YES	<p>DN-02-07 CERTFOR Standard for Chain of Custody of Forest Products</p> <p>Section: 8 <i>“Minimum management system requirements”</i></p> <p>Criterion: 8.5 <i>“Resource Management”</i></p> <p>Indicators:</p> <p>8.5.1: <i>“Human resources/personnel: The organisation shall ensure and demonstrate that all personnel performing activities affecting the implementation and maintenance of the chain of custody are competent on the basis of appropriate training, education, skills and experience.”</i></p> <p>8.5.2: <i>“Technical facilities: The organisation shall identify, provide and maintain the infrastructure and technical facilities needed for effective implementation and maintenance of the organisation’s chain of custody with the requirements of this standard.”</i></p> <p>CONFORMITY</p>
23.	Does the scheme specific CoC standard include requirements for inspection and control in compliance with 8.6?	8.6	YES	<p>DN-02-07 CERTFOR Standard for Chain of Custody of Forest Products</p> <p>Section: 8 <i>“Minimum management system requirements”</i></p> <p>Criterion: 8.6 <i>“Inspection control”</i></p> <p>Indicator:</p> <p>8.6.1: <i>“The organisation shall conduct internal audits at least annually covering all requirements of this standard and establish corrective and preventive measures if required. 8.6.2 A report on the internal audit shall be reviewed at least annually.”</i></p> <p>CONFORMITY</p>
24.	Does the scheme specific CoC standard include requirements for complaint resolution procedures in compliance with 8.7?	8.7	YES	<p>DN-02-07 CERTFOR Standard for Chain of Custody of Forest Products</p> <p>Section: 8 <i>“Minimum management system requirements”</i></p> <p>Criterion: 8.7 <i>“Inspection control”</i></p> <p>Indicators:</p> <p>8.7.1: <i>“The organisation shall establish procedures for dealing with complaints from suppliers, customers and other parties relating to the organisation’s chain of custody.”</i></p>

No.	Question	Reference to PEFC 2002:2013	YES / NO*	Reference to application documents
				<p>8.7.2: <i>“Upon receipt of the complaint, the organisation shall:</i> <i>(a) acknowledge the complaint to the complainant,</i> <i>(b) gather and verify all necessary information to evaluate and validate the complaint and make decision on the complaint,</i> <i>(c) formally communicate the decision on the complaint and of the complaint handling process to the complainant,</i> <i>(d) ensure that any appropriate corrective and preventive actions are taken.”</i></p> <p>CONFORMITY</p>
25.	Does the scheme specific CoC standard include requirements for subcontracting in compliance with 8.8?	8.8	YES	<p>DN-02-07 CERTFOR Standard for Chain of Custody of Forest Products</p> <p>Section: 8 <i>“Minimum management system requirements”</i></p> <p>Criterion: 8.8 <i>“Inspection control”</i></p> <p>Indicators:</p> <p>8.8.1: <i>“The organisation’s chain of custody shall also cover activities of sub-contractors involved in the manufacturing of products covered by the organisation’s chain of custody process(es), within or outside the organisation’s site.”</i></p> <p>8.8.2: <i>“The organisation may only consider those activities as subcontracting where the subcontractor receives the material from the organisation which is physically separated from other material and returns the material back to the organisation after the subcontracted work is completed or where the organisation remains responsible for the sale or transfer of the product to the customer.”</i></p> <p>8.8.3: <i>“The organisation shall take full responsibility for the all the subcontracted activities in relation with the organisation’s chain of custody.”</i></p> <p>8.8.4: <i>“The organisation shall have a written agreement with all subcontractors ensuring that the organisation’s material/products are physically separated from other material or products. 8.8.5 The organisation’s internal audit programme shall cover the subcontractor’s activities.”</i></p> <p>CONFORMITY</p>
Social, health and safety requirements				
26.	Does the scheme specific CoC standard include social, health	9	YES	<p>DN-02-07 CERTFOR Standard for Chain of Custody of Forest Products</p> <p>Section: 9 <i>“Social, health and safety requirements in cchain of custody”</i></p>

No.	Question	Reference to PEFC 2002:2013	YES / NO*	Reference to application documents
	and safety requirements in compliance with chapter 9?			<p>Criterion: 9.1 "Scope" <i>"This clause includes requirements relating to health, safety and labour issues that are based on ILO Declaration on Fundamental Principles and Rights at Work, 1998."</i></p> <p>Criterion: 9.2 "Requirements"</p> <p>Indicator: 9.2.1: <i>"The organisation shall demonstrate its commitment to comply with the social, health and safety requirements defined in this standard."</i> 9.2.2 "The organisation shall demonstrate that: (a) workers are not prevented from associating freely, choosing their representatives, and bargaining collectively with their employer, (b) forced labour is not used, (c) workers, who are under the minimum legal age, the age of 15, or the compulsory school attendance age, whichever is higher, are not used, (d) workers are not denied equal employment opportunities and treatment, (e) working conditions do not endanger safety or health."</p> <p>CONFORMITY</p>
Specification of PEFC claims				
27.	Does the scheme specific CoC standard include a definition of certified raw material, neutral and other raw material (for the purposes of PEFC claims / labelling) in compliance with Appendix 1?	Appendix 1	YES	<p>DN-02-07 CERTFOR Standard for Chain of Custody of Forest Products</p> <p>Appendix: 1 "Specification of the PEFC y CERTFOR claims"</p> <p>Criterion: 1.3 <i>"Requirements for the categories of input material Certified material:</i> <i>(a) forest based material delivered with the supplier's claim "x % PEFC certified" and/or "x % CERTFOR certified" by the supplier with either:</i> <i>- PEFC recognised certificate or</i> <i>- a document confirming that the supplier is covered by the PEFC recognised certificate.</i> <i>(b) recycled material (other than products delivered with the "PEFC certified" or "CERTFOR certified" claim).</i> <i>Neutral material: Other than forest based material</i> <i>Other material: Forest based material other than certified material, including forest based material delivered with the supplier's claim "PEFC Controlled Sources" and/or "CERTFOR Controlled Sources" by the supplier with either:</i> <i>- PEFC recognised chain of custody certificate or</i></p>

No.	Question	Reference to PEFC 2002:2013	YES / NO*	Reference to application documents
				<p>- a document confirming that the supplier is covered by the PEFC recognised chain of custody certificate"</p> <p>CONFORMITY</p>
28.	Does the national standard specify formal PEFC claims in compliance with 1.2 and 2.2?	Appendix 1, 1.2, 2.2	YES	<p>DN-02-07 CERTFOR Standard for Chain of Custody of Forest Products</p> <p>Appendix: 1 "Specification of the PEFC y CERTFOR claims"</p> <p>Criterion: 1.2 "Formal claim The organisation shall use the claim "x % PEFC certified" and/or "x % CERTFOR certified" when communicating the content of PEFC certified material and CERTFOR certified material in output products."</p> <p>Criterion: 2.2 "Formal claim" "The organisation shall use the claim "PEFC Controlled Sources" or "CERTFOR Controlled Sources" when communicating on output products for which the PEFC (CERTFOR) DDS has been implemented."</p> <p>CONFORMITY</p>
Implementation of chain of custody by multisite organisations (only for standards which include rules for multisite or group certification)				
29.	Does the scheme specific CoC standard define "multisite organisation" in compliance with Appendix 2, 2?	Appendix 3, 2	YES	<p>DN-02-07 CERTFOR Standard for Chain of Custody of Forest Products</p> <p>Appendix: 2 "Implementation of the chain of custody standard by multisite organisations"</p> <p>Criterion: 2 "Definitions"</p> <p>Indicators:</p> <p>2.1: "The multisite organisation is defined as an organisation having an identified central function (normally, and hereafter referred to as a "central office") at which certain activities are planned, controlled and managed and a network of local offices or branches (sites) at which such activities are fully or partially carried out."</p> <p>2.2: "The multisite organisation does not need to be a unique entity, but all sites shall have a legal or contractual link with the central office and be subject to a common chain of custody which is subject to continuous surveillance by the central office. This means that the central office has the right to implement corrective actions when needed at any site. Where applicable, this should be laid down in the contract between the central office and the sites."</p>

No.	Question	Reference to PEFC 2002:2013	YES / NO*	Reference to application documents
				<p>2.3: <i>The multisite organisation may cover:</i> <i>(a) organisations operating with franchises or companies with multiple branches where the sites are linked through a common ownership, management or other organisational link and</i> <i>(b) groups of independent legal enterprises established and functioning for the purposes of the chain of custody certification (producer group)."</i></p> <p>CONFORMITY</p>
30.	Does the scheme specific CoC standard include requirements for multisite organisations in compliance with Appendix 3, 3.1?	Appendix 3, 3.1	YES	<p>DN-02-07 CERTFOR Standard for Chain of Custody of Forest Products</p> <p>Appendix: 2 <i>"Implementation of the chain of custody standard by multisite organisations"</i></p> <p>Criterion: 3 <i>"Eligibility criteria for the multisite organizations"</i></p> <p>3.1 <i>"General"</i></p> <p>Indicators:</p> <p>3.1.1: <i>"The organisation's chain of custody shall be centrally administered and be subject to central review. All the relevant sites (including the central administration function) shall be subject to the organisation's internal audit program and shall have been audited in accordance with that program prior to the certification body starting its assessment."</i></p> <p>3.1.2: <i>"It shall be demonstrated that the central office of the organisation has established a chain of custody in accordance with this standard and that the whole organisation (including all the sites) meets the requirements of this standard."</i></p> <p>3.1.3: <i>"The organisation shall be able to demonstrate its ability to collect and analyse data from all sites including the central office authority and its ability to initiate changes in the chain of custody operating in the sites if required."</i></p> <p>CONFORMITY</p>
31.	Does the scheme specific CoC standard include requirements for the function and responsibilities of the central office in compliance	Appendix 3, 3.2.1	YES	<p>DN-02-07 CERTFOR Standard for Chain of Custody of Forest Products</p> <p>Appendix: 2 <i>"Implementation of the chain of custody standard by multisite organisations"</i></p> <p>Criterion: 3 <i>"Eligibility criteria for the multisite organizations"</i></p> <p>3.2 <i>"Function and responsibilities of the central office"</i></p> <p>Indicator:</p> <p>3.2.1: <i>"The central office shall:</i></p>

No.	Question	Reference to PEFC 2002:2013	YES / NO*	Reference to application documents
	with chapter Appendix 3, 3.2.1?			<p>(a) represent the multisite organisation in the certification process, including communication and relationship with the certification body,</p> <p>(b) submit an application for the certification and its scope, including a list of participating sites,</p> <p>(c) ensure contractual relationship with the certification body,</p> <p>(d) submit to the certification body a request for extension or reduction of the certification scope, including coverage of participating sites,</p> <p>(e) provide a commitment on behalf of the whole organisation to establish and maintain a chain of custody in accordance with the requirements of this standard,</p> <p>(f) provide all the sites with information and guidance needed for effective implementation and maintenance of the chain of custody in accordance with this standard; The central office shall provide the sites with the following information or access to the following information:</p> <ul style="list-style-type: none"> - a copy of this standard and any guidance relating to the implementation of the requirements of this standard, - PEFC Logo usage rules and any guidance relating to the implementation of the PEFC Logo usage rules, - CERTFOR Logo usage rules and any guidance relating to the implementation of the CERTFOR Logo usage rules, - a central office's procedures for the management of the multisite organisation, - conditions of the contract with the certification body relating to the rights of the certification body or accreditation body to access the sites' documentation and installations for the purposes of evaluation and surveillance, and disclosure of information about the sites to a third party, - explanation of the principle of the mutual responsibility of sites in the multisite certification, - results of the internal audit programme and the certification body's evaluation and surveillance and relating corrective and preventive measures applicable to individual sites, - the multisite certificate and any of its parts relating to the scope of the certification and coverage of sites. <p>Note: The term "mutual responsibility" means that non-conformities found in one site or the central office may result in corrective actions to be performed at all sites; an increase in internal audits or withdrawal of the multisite certificate.</p> <p>(g) provide organisational or contractual connection with all the sites, which shall include commitments by the sites to implement and maintain the chain of custody in accordance with this standard. The central office shall have a written contract or other written agreement with all the sites which covers the right of the central office to implement and enforce any corrective or preventive measures and to initiate the exclusion of any site</p>

No.	Question	Reference to PEFC 2002:2013	YES / NO*	Reference to application documents
				<p><i>from the scope of certification in case of nonconformities with this standard,</i></p> <p><i>(h) establish written procedures for the management of the multisite organisation,</i></p> <p><i>(i) keep records relating to the central office and sites compliance with the requirements of this standard,</i></p> <p><i>(j) operate an internal audit programme. The internal audit programme shall provide for:</i></p> <ul style="list-style-type: none"> <i>- on-site audit of all the sites (including its own central administration function) prior to certification body starting its evaluation,</i> <i>- on-site annual audits of all the sites covered by the certification scope (including its own central administration function),</i> <i>- on-site audit of any new site prior the certification body starting the process of the certification scope extension,</i> <p><i>(k) operate a review of the central office and sites conformity, including review of results of the internal audits programme and certification body's evaluations and surveillance; shall establish corrective and preventive measures if required; and shall evaluate the effectiveness of corrective actions taken."</i></p> <p>CONFORMITY</p>

No.	Question	Reference to PEFC 2002:2013	YES / NO*	Reference to application documents
32.	Does the scheme specific CoC standard include requirements for function and responsibilities of sites connected to a multisite organisation in compliance with Appendix 3, 3.2.2?	Appendix 3, 3.2.2	YES	<p>DN-02-07 CERTFOR Standard for Chain of Custody of Forest Products</p> <p>Appendix: 2 <i>“Implementation of the chain of custody standard by multisite organisations”</i></p> <p>Criterion: 3 <i>“Eligibility criteria for the multisite organizations”</i></p> <p>3.2 <i>“Function and responsibilities of the central office”</i></p> <p>Indicator: 3.2.2: <i>“Function and responsibilities of sites Sites connected to the multisite organisation shall be responsible for:</i></p> <ul style="list-style-type: none"> <i>(a) implementation and maintenance of the chain of custody requirements in accordance with this standard,</i> <i>(b) entering into contractual relationship with the central office, including commitment on the compliance with the chain of custody requirements and other applicable certification requirements,</i> <i>(c) responding effectively to all requests from the central office or certification body for relevant data, documentation or other information whether in connection with formal audits or reviews or otherwise,</i> <i>(d) providing full co-operation and assistance in respect of the satisfactory completion of internal audits performed by the central office and audits performed by the certification body, including access to the sites installations,</i> <i>(e) implementation of relevant corrective and preventive actions established by the central office.”</i> <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 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	DN-01-01 CERTFOR System Manual DN-02-11 Certification and Accreditation Procedures PS-02-21 Notification of Certification Bodies for Forest Management and Chain of Custody Certification in Chile using CERTFOR Scheme Taken in their entirety, the assessor believes these documents demonstrate conformance with the requirements. 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	DN-01-01 CERTFOR System Manual Chapter 13 CERTFOR and PEFC Logo Licenses DN-02-04 PEFC Logo Use Rules Taken in their entirety, the assessor believes these documents demonstrate conformance with the requirements. CONFORMITY

No.	Question	Reference to PEFC GD 1004:2009	YES / NO*	Reference to application documents
Complaints and dispute procedures				
3.	<p>Are complaint and dispute procedures go usage licenses in place, which comply with chapter 6 of PEFC GD 1004:2009, <i>Administration of PEFC scheme?</i></p>		YES	<p>DN-01-01 CERTFOR System Manual</p> <p>Criterion: 14 “Claims Processing Procedure”</p> <p>PS 02 13 Procedures for Addressing Complaints (January 2014)</p> <p>Taken in their entirety, the assessor believes these documents demonstrate conformance with the requirements.</p> <p>CONFORMITY</p>



Annex 2 Stakeholder Survey



CERTFOR System: Revised Standard Assessment

Standard Working Group: Stakeholder Survey

Name _____ Organization _____

1. When were you invited to participate in the revision process of the CERTFOR System?

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

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 development and revision?

Yes _____ No _____

If no, please provide an explanation.

4. Was the development and 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 development and revision process?

Yes _____ No _____

If no, please provide an explanation.

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

Yes____ No____

If no, please provide an explanation.

7. In your view, did the participating stakeholders represent the range of interests in forest management in Chile? 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.

Sistema CERTFOR: Evaluación del Estándar Revisado

Grupo de Trabajo del Estándar: Encuesta a Partes Interesadas

Nombre: Sergio Gatica Ortíz

Organización: Confederación Nacional de Trabajadores Forestales de Chile, CTF

9. ¿Cuándo fue invitado a participar del proceso de revisión del Sistema CERTFOR?
Desde el inicio del proceso

10. Desde su punto de vista, ¿a todas las partes interesadas se les dio la posibilidad de participar y contribuir en el proceso de desarrollo y revisión?

Sí No

Si su respuesta es no, por favor explique.

11. En su opinión, ¿los organizadores le entregaron el material relevante para participar en el proceso de desarrollo y revisión?

Sí No

Si su respuesta es no, por favor explique.

12. ¿El proceso de desarrollo y revisión fue bien planeado y estructurado?

Sí No

Si su respuesta es no, por favor explique.

13. ¿Cree que sus visiones fueron apropiadamente consideradas durante el proceso de desarrollo y revisión?

Sí No

Si su respuesta es no, por favor explique.

14. ¿Cree que se logró consenso en el desarrollo de los criterios de certificación?

Sí No

Si su respuesta es no, por favor explique.

15. Desde su punto de vista, ¿la participación de las partes interesadas representó el rango de intereses en el manejo forestal de Chile? Si no, en su opinión, ¿qué otros grupos de interés debieron haber participado?

Sí No

Si su respuesta es no, por favor explique.

16. ¿Cree que algún aspecto del estándar merece más consideración?

Sí No

Si su respuesta es si, por favor explique.

Gracias por tomarse el tiempo de responder esta encuesta. Por favor, envíela a simpson@gwgcltd.com.

Sistema CERTFOR: Evaluación del Estándar Revisado

Grupo de Trabajo del Estándar: Encuesta a Partes Interesadas

Nombre: REBECA SANHUEZA HERRERA

Organización: INDEPENDIENTE

1. ¿Cuándo fue invitado a participar del proceso de revisión del Sistema CERTFOR?

Durante Abril-Mayo 2014, si recuerdo correctamente.

2. Desde su punto de vista, ¿a todas las partes interesadas se les dio la posibilidad de participar y contribuir en el proceso de desarrollo y revisión?

Sí No

Si su respuesta es no, por favor explique.

3. En su opinión, ¿los organizadores le entregaron el material relevante para participar en el proceso de desarrollo y revisión?

Sí No

Si su respuesta es no, por favor explique.

4. ¿El proceso de desarrollo y revisión fue bien planeado y estructurado?

Sí No

Si su respuesta es no, por favor explique.

5. ¿Cree que sus visiones fueron apropiadamente consideradas durante el proceso de desarrollo y revisión?

Sí No

Si su respuesta es no, por favor explique.

6. ¿Cree que se logró consenso en el desarrollo de los criterios de certificación?

Sí_X__ No_____

Si su respuesta es no, por favor explique.

7. Desde su punto de vista, ¿la participación de las partes interesadas representó el rango de intereses en el manejo forestal de Chile? Si no, en su opinión, ¿qué otros grupos de interés debieron haber participado?

Sí_X_ No_____

Si su respuesta es no, por favor explique.

8. ¿Cree que algún aspecto del estándar merece más consideración?

Sí_____ No_X__

Si su respuesta es si, por favor explique.

Gracias por tomarse el tiempo de responder esta encuesta. Por favor, envíela a simpson@gwgcltd.com

Sistema CERTFOR: Evaluación del Estándar Revisado

Grupo de Trabajo del Estándar: Encuesta a Partes Interesadas

Nombre: Pablo Honeyman L.

Organización: Universidad Mayor

1. ¿Cuándo fue invitado a participar del proceso de revisión del Sistema CERTFOR?

A fines del año 2013

2. Desde su punto de vista, ¿a todas las partes interesadas se les dio la posibilidad de participar y contribuir en el proceso de desarrollo y revisión?

Sí_X_ No____

Si su respuesta es no, por favor explique.

3. En su opinión, ¿los organizadores le entregaron el material relevante para participar en el proceso de desarrollo y revisión?

Sí_X_ No____

Si su respuesta es no, por favor explique.

4. ¿El proceso de desarrollo y revisión fue bien planeado y estructurado?

Sí_X_ No____

Si su respuesta es no, por favor explique.

5. ¿Cree que sus visiones fueron apropiadamente consideradas durante el proceso de desarrollo y revisión?

Sí_X_ No____

Si su respuesta es no, por favor explique.

6. ¿Cree que se logró consenso en el desarrollo de los criterios de certificación?

Sí No

Si su respuesta es no, por favor explique.

7. Desde su punto de vista, ¿la participación de las partes interesadas representó el rango de intereses en el manejo forestal de Chile? Si no, en su opinión, ¿qué otros grupos de interés debieron haber participado?

Sí No

Si su respuesta es no, por favor explique.

8. ¿Cree que algún aspecto del estándar merece más consideración?

Sí No

Si su respuesta es si, por favor explique.

Gracias por tomarse el tiempo de responder esta encuesta. Por favor, envíela a simpson@gwqcltd.com

Sistema CERTFOR: Evaluación del Estándar Revisado

Grupo de Trabajo del Estándar: Encuesta a Partes Interesadas

Nombre: Omar Jofré Fuentes

Organización: Corporación MUCECH

1. ¿Cuándo fue invitado a participar del proceso de revisión del Sistema CERTFOR?

Desde el inicio del proceso de revisión del Sistema CERTFOR.

2. Desde su punto de vista, ¿a todas las partes interesadas se les dio la posibilidad de participar y contribuir en el proceso de desarrollo y revisión?

Sí No

Si su respuesta es no, por favor explique.

3. En su opinión, ¿los organizadores le entregaron el material relevante para participar en el proceso de desarrollo y revisión?

Sí No

Si su respuesta es no, por favor explique.

4. ¿El proceso de desarrollo y revisión fue bien planeado y estructurado?

Sí No

Si su respuesta es no, por favor explique.

5. ¿Cree que sus visiones fueron apropiadamente consideradas durante el proceso de desarrollo y revisión?

Sí No

Si su respuesta es no, por favor explique.

6. ¿Cree que se logró consenso en el desarrollo de los criterios de certificación?

Sí_X___ No_____

Si su respuesta es no, por favor explique.

7. Desde su punto de vista, ¿la participación de las partes interesadas representó el rango de intereses en el manejo forestal de Chile? Si no, en su opinión, ¿qué otros grupos de interés debieron haber participado?

Sí___X___ No_____

Si su respuesta es no, por favor explique.

8. ¿Cree que algún aspecto del estándar merecerá más consideración?

Sí_____ No_X___

Si su respuesta es si, por favor explique.

Gracias por tomarse el tiempo de responder esta encuesta. Por favor, envíela a simpson@gwgcltd.com

Sistema CERTFOR: Evaluación del Estándar Revisado

Grupo de Trabajo del Estándar: Encuesta a Partes Interesadas

Nombre: HANS GROSSE

Organización: INSTITUTO FORESTAL (INFOR)

1. ¿Cuándo fue invitado a participar del proceso de revisión del Sistema CERTFOR?
Durante el primer semestre de 2014

2. Desde su punto de vista, ¿a todas las partes interesadas se les dio la posibilidad de participar y contribuir en el proceso de desarrollo y revisión?

Sí No

Si su respuesta es no, por favor explique.

3. En su opinión, ¿los organizadores le entregaron el material relevante para participar en el proceso de desarrollo y revisión?

Sí No

Si su respuesta es no, por favor explique.

4. ¿El proceso de desarrollo y revisión fue bien planeado y estructurado?

Sí No

Si su respuesta es no, por favor explique.

5. ¿Cree que sus visiones fueron apropiadamente consideradas durante el proceso de desarrollo y revisión?

Sí No

Si su respuesta es no, por favor explique.

6. ¿Cree que se logró consenso en el desarrollo de los criterios de certificación?

Sí__X__ No____

Si su respuesta es no, por favor explique.

7. Desde su punto de vista, ¿la participación de las partes interesadas representó el rango de intereses en el manejo forestal de Chile? Si no, en su opinión, ¿qué otros grupos de interés debieron haber participado?

Sí__X__ No____

Si su respuesta es no, por favor explique.

8. ¿Cree que algún aspecto del estándar merece más consideración?

Sí____ No_X____

Si su respuesta es si, por favor explique.

Gracias por tomarse el tiempo de responder esta encuesta. Por favor, envíela a simpson@gwgcltd.com

Sistema CERTFOR: Evaluación del Estándar Revisado

Grupo de Trabajo del Estándar: Encuesta a Partes Interesadas

Nombre: **Eduardo Melo**

Organización: **Forestal Arauco S.A.**

1. ¿Cuándo fue invitado a participar del proceso de revisión del Sistema CERTFOR?
Recibí invitación formal del Presidente de CertforChile, en el mes de abril de 2014.

2. Desde su punto de vista, ¿a todas las partes interesadas se les dio la posibilidad de participar y contribuir en el proceso de desarrollo y revisión?

Sí X No ___

Si su respuesta es no, por favor explique.

3. En su opinión, ¿los organizadores le entregaron el material relevante para participar en el proceso de desarrollo y revisión?

Sí X No ___

Sí, y muy completo.

Si su respuesta es no, por favor explique.

4. ¿El proceso de desarrollo y revisión fue bien planeado y estructurado?

Sí X No ___

Si su respuesta es no, por favor explique.

5. ¿Cree que sus visiones fueron apropiadamente consideradas durante el proceso de desarrollo y revisión?

Sí X No ___

Si su respuesta es no, por favor explique.

6. ¿Cree que se logró consenso en el desarrollo de los criterios de certificación?

Sí X No ___

Si su respuesta es no, por favor explique.

7. Desde su punto de vista, ¿la participación de las partes interesadas representó el rango de intereses en el manejo forestal de Chile? Si no, en su opinión, ¿qué otros grupos de interés debieron haber participado?

Sí X No

Creo que la invitación fue amplia para todos los sectores y partes interesadas. Sin embargo, en nuestro país hay algunos grupos de interés importantes que lamentablemente siempre se han marginado voluntariamente de los procesos de participación de PEFC.

Si su respuesta es no, por favor explique.

8. ¿Cree que algún aspecto del estándar merece más consideración?

Sí No X

Si su respuesta es si, por favor explique.

Gracias por tomarse el tiempo de responder esta encuesta. Por favor, envíela a simpson@gwgcltd.com

Sistema CERTFOR: Evaluación del Estándar Revisado

Grupo de Trabajo del Estándar: Encuesta a Partes Interesadas

Nombre: PATRICIO HERRANZ HEWITT Organización: FORESTAL MININCO S.A.

1. ¿Cuándo fue invitado a participar del proceso de revisión del Sistema CERTFOR?

Postule el 14 de mayo del 2014 a ser parte del comité técnico de re-homologación del estándar, aprobada por el Consejo el 26 de mayo del 2014.

2. Desde su punto de vista, ¿a todas las partes interesadas se les dio la posibilidad de participar y contribuir en el proceso de desarrollo y revisión?

Sí No

Si su respuesta es no, por favor explique.

3. En su opinión, ¿los organizadores le entregaron el material relevante para participar en el proceso de desarrollo y revisión?

Sí No

Si su respuesta es no, por favor explique.

4. ¿El proceso de desarrollo y revisión fue bien planeado y estructurado?

Sí No

Si su respuesta es no, por favor explique.

5. ¿Cree que sus visiones fueron apropiadamente consideradas durante el proceso de desarrollo y revisión?

Sí No

Si su respuesta es no, por favor explique.

6. ¿Cree que se logró consenso en el desarrollo de los criterios de certificación?

Sí No

Si su respuesta es no, por favor explique.

7. Desde su punto de vista, ¿la participación de las partes interesadas representó el rango de intereses en el manejo forestal de Chile? Si no, en su opinión, ¿qué otros grupos de interés debieron haber participado?

Sí No

Si su respuesta es no, por favor explique.

8. ¿Cree que algún aspecto del estándar merece más consideración?

Sí No

Si su respuesta es si, por favor explique.

Gracias por tomarse el tiempo de responder esta encuesta. Por favor, envíela a simpson@gwgcltd.com.

Annex 3: International Consultation Comments

(There were no comments received by PEFC during the International Comment Period)



Annex 4: Panel of Experts Comments

General Statement on report quality

A well laid out and easily followed report.

Specific findings

Report chapter / page	PoE member	Consultant's report statement	PoE member finding	Consultant's response
p 103/4 5.2.5	HGM	5.2.5 requires that "adequate genetic, species and structural diversity shall be encouraged and/or maintained to enhance the stability, vitality and resistance capacity of the forests..."	Most of the points raised by the Consultant refer to areas of native vegetation within the FMU. I can find no mention of genetic and species variation within the plantation itself. Are there any requirements in this regard, particularly in relation to genetic variation? I note that under 5.4.5 on p117 Indicators 1.4.1 and 1.4.2 require that species should be adapted to the site and that there should be "a system to control the origin of seeds and plants used in forest plantations to ensure their adaptability to site and optimize their performance". Does this cover the point raised? If so reference should be made under 5.2.5 and there should be appropriate discussion.	<p>The Consultant points to the following.</p> <p>PEFC ST 1003:2010; Appendix 1: Guidelines for the interpretation of the requirements in the case of plantation forestry, Interpretation for forest plantations.</p> <p><i>"The requirements 5.1.1, 5.2.1, 5.2.5, 5.3.3, 5.4.1 and 5.6.7 cannot be applied to individual forest stands in the case of plantation forestry and shall be considered on a larger scale (bioregional) within the whole forest management unit..."</i></p> <p>The interpretation goes on to state, " <i>In order to enhance landscape and biodiversity values, water and soil protection, the size and distribution of the buffer zones and conservation set-aside areas shall be identified at the preparatory stage of the forest plantation establishment, based on social, environmental and ecological assessment..."</i></p> <p>With this interpretation,</p>

				the consultant believes that the Certfor standard is in conformance with the PEFC standard.
p117 5.4.8	HGM	5.4.8 requires that “forest management practices shall, where appropriate, promote a diversity of both horizontal and vertical structures...”.	The quotes given by the Consultant from CERTFOR refer entirely to natural forests, not plantations. An argument can probably be made that at this stage in the development of a plantation economy in Chile such diversity is not appropriate, but no such argument is given. More discussion needed.	<p>The Consultant points to the following.</p> <p>PEFC ST 1003:2010; Appendix 1: Guidelines for the interpretation of the requirements in the case of plantation forestry, Interpretation for forest plantations.</p> <p>“The requirements 5.4.5, 5.4.8, 5.4.9 and 5.4.13 do not usually apply to stands of fast growing trees and shall be understood to be primarily taking place in buffer zones and set-aside areas...which are dedicated to environmental, ecological cultural and social functions.</p> <p>With this interpretation, the consultant believes that the Certfor standard is in conformance with the PEFC standard.</p>
p124 5.4.13	HGM	5.4.13 requires that “standing and fallen dead wood ... shall be left in quantities and distribution necessary to safeguard biological diversity...”	None of the quotes given by the Consultant refer specifically to standing and fallen dead wood in plantations. Should CERTFOR contain no such requirement then it seems to me that this is a NONCONFORMITY that must be addressed within a defined period.	<p>The Consultant points to the following.</p> <p>PEFC ST 1003:2010; Appendix 1: Guidelines for the interpretation of the requirements in the case of plantation forestry, Interpretation for forest plantations.</p> <p>“The requirements 5.4.5, 5.4.8, 5.4.9 and 5.4.13 do</p>

				<p>no usually apply to stands of fast growing trees and shall be understood to be primarily taking place in buffer zones and set-aside areas...which are dedicated to environmental, ecological cultural and social functions.</p> <p>With this interpretation, the consultant believes that the Certfor standard is in conformance with the PEFC standard.</p>
p14 Recommendation	HGM	“no nonconformities within the CERTFOR standard”	Should the point above be unanswered then a nonconformity has to be raised in para 2 on this page and adjustments made to the text elsewhere.	No Nonconformities are noted by the Consultant.

Editorial comments

Report chapter / page	PoE member	Consultant's report statement	PoE member editorial comment	Consultant's response
p19	HGM	Third bottom paragraph “ <u>the</u> sets”	Should read “ <u>that</u> sets”	Corrected
p36	HGM	Third paragraph, line 6 “ <u>my</u> ”	Should read <u>may</u>	Corrected
p51	HGM	There is reference to Annex 5 “Stakeholder Identification”	Presumably this is an annex in the Chilean documentation because there is no Annex 5 to the Consultants report.	Corrected

Assessment Report - CERTFOR System, Chile
Panel of Experts member - Kent Gustafsson

General Statement on report quality

The report is easy to read and clear.

Specific findings

Report chapter / page	PoE member	Consultant's report statement	PoE member finding	Consultant's response
10/35	KG	... and must be accredited by a national or international accreditation body.	<i>The accreditation body must be a part of the International Accreditation Forum (IAF) umbrella or a member of IAF's special recognition regional groups and which implement procedures described in ISO 17011. See Annex 6, 5. All members of IAF or regional groups are national accreditation bodies.</i>	Corrected

Editorial comments

Report chapter / page	PoE member	Consultant's report statement	PoE member editorial comment	Consultant's response
Acronyms	KG		The following Acronyms or abbreviations are not defined: FCH, see page 19 CAR, see page 32 EMSN, see page 32 INN, see page 36 NCh-ISO, see page 147	Corrected Corrected Corrected Corrected Noted
3.1/15	KG	Selection of certification bodies is ...	Selection of .../two words	Corrected
3.8/18	KG	... be a member of the IFFor EA.	..the IAF or EA .	Corrected
4/19	KG	It is Certfor Chile Corporation the sets the administrative guidelines which Corporation that sets the...	Corrected
10/35	KG	... knowledge of the CERTFOR System and have general CERTFOR System and ...	Corrected
