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PEFC Conformity Assessment

PEFC Uruguay System



Client

Name	PEFC Council
Contact person	Mr. C. Kämmer and Mr. M. Berger
Address	Case Postale 636 CH-1215 Genève 15 Switzerland
Telephone	+41 22 799 45 40
Fax	+41 22 799 45 50
Email	michael.berger@pefc.org
Website	www.pefc.org

Form international B.V.

Contact person	Mr. Rutger de Wolf
Address	Bevrijdingsweg 3 8051 EN Hattem Netherlands
Telephone	+31(0) 384448990
Fax	+31(0) 384448991
Email	info@forminternational.nl
Website	www.forminternational.nl
Authors	Mr. Rutger de Wolf, Ms. Christine Naaijen, Mr. Andries Polinder
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Acronyms

CAC	Committee on Quality Assurance (Claim procedure)
CAR	Corrective Action Request
CB	Certifying Body
CoC	Chain of Custody
DG	Documentos Generales del Sistema
GN	Standardization Manager of UNIT
IAF	International Accreditation Forum
N.A.	Not applicable
NGC / CGN	Norms/Standards General Committee of UNIT
NGO	Non-Governmental Organisation
OUA	Uruguayan Organism of Accreditation
PEFC GD	Guidance Document of PEFC International
PEFC IGD	PEFC Informative Guide
PEFC ST	Standard Document of PEFC International
PEFC	Programme for the Endorsement of Forest Certification
PEFCC TD	PEFC Council Technical Document
PoE	Panel of Experts
Req.	Requirement
SC	Specialized Committee
SFM	Sustainable Forest Management
SPF	Sociedad De Productores Forestales
SSRC	Standard and Scheme Requirement Checklist
TD	Technical Documentation
TS	Technical Secretary
UNIT	Instituto Uruguayo de Normas Tecnicas



1. Introduction

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

This report presents the results of the evaluation of the PEFC Uruguay System against PEFC Council's standard and system requirements for forest certification schemes. The PEFC Uruguay System was first endorsed by PEFC Council in 2011. The revision took place from March 2014 to December 2016. The application for PEFC re-endorsement was submitted in December 2016. PEFC Council appointed Form International as the independent Assessor to carry out the assessment. This assessment report will be the basis for the decision of PEFC Council, and provides a recommendation to the PEFC Board on the formal endorsement of the PEFC Uruguay System for Sustainable Forest Management (SFM).

1.1. Form International

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

The conformity assessment team consisted of Mr. Rutger de Wolf, Ms. Christine Naaijen and Mr. Andries Polinder (Forestry Experts and Registered PEFC Assessors) and is referred to as the Assessor in this report.

1.2. Scope of the assessment

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

1.3. Documents and resources used

Various documents and resources were used in this conformity assessment. The documents received from PEFC Uruguay are shown in Table 1.1. Table 1.2 lists the documents used from PEFC Council. Besides these documents, websites of PEFC



Uruguay (www.pefc.com.uy and extranet.unit.org.uy) were consulted during the assessment.

Table 1.1 Documents used for the conformity assessment

#	Number	Title
1	DG 01.07	Current Documents Listing
2	DG 02.02	Procedure of elaboration and control of documents
3	DG 03.05	Organisms of Forest Certification
4	DG 04.03	Criteria for Auditor qualifications
5	DG 05.02	Use of PEFC Logo in Uruguay
6	DG 06.01	Settlement of Disagreements
7	DG 07.04	Requirements for Group Certification
8	DG 09.01	Procedure for the justification of the exceptional use of WHO pesticides 1A and 1B
9	DG 10.02	Guide for the functioning of the Specialized Committee of Sustainable Forestry Management
10	UNIT 1152:2014	Sustainable Forest Management – Criteria and Indicators
11	N/RGFS 001 Rev. 2.0	Rules for the Specialized Committee of Sustainable Forestry Management
12		Other documentation and evidence (records), including relevant laws and regulations
13		PEFC Standard and System Requirements Checklist elaborated by PEFC Uruguay
14		Additional clarifications provided by PEFC Uruguay during the Assessment process

Table 1.2 The PEFC Council Technical documents used.

#	PEFC Council document	Date
1	PEFC GD 1007:2012: Endorsement and Mutual Recognition of National Systems and their Revision	16 November 2012
2	PEFCC TD Annex 1: Terms and Definitions	27 October 2006
3	PEFCC TD Annex 6: Certification and Accreditation Procedures	5 October 2007
4	PEFCC TD Annex 7: Endorsement and Mutual Recognition of National Schemes and their Revisions	5 October 2007
5	PEFC ST 1001:2010 Standard Setting – Requirements	26 November 2010
6	PEFC ST 1002:2010 Group Forest Management Certification – Requirements	26 November 2010
7	PEFC ST 1003:2010 Sustainable Forest Management – Requirements	26 November 2010
8	PEFC ST 2001:2008 v2 PEFC Logo usage rules - Requirements	26 November 2010
9	PEFC ST 2002:2013 Chain of Custody of Forest Based Products - Requirements	24 May 2013



10	PEFC ST 2003:2012 Requirements for Certification Bodies operating Certification against the PEFC International Chain of Custody Standard	16 July 2012
11	PEFC GD 1005:2012 Issuance of PEFC Logo Use Licenses by the PEFC Council	27 November 2012
12	PEFC IGD 1007-01:2012 PEFC Standard and System Requirement Checklist	6 May 2014
13	PEFC IGD 1007-03:2012 The Assessment Report	16 November 2012
14	PEFC Secretariat's clarification concerning the content of the assessment report (clarification 30/10/12).	30 October 2012

1.4. Methodology adopted

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

a. Assessment of the standard setting procedures

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

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

To assess the standard setting process, explanation from PEFC Uruguay, evidential records and results of stakeholder consultations are used to evaluate compliance of the standard setting process.

The PEFC Council conducted an international public consultation on the scheme, and a stakeholder survey was organized by Form International through questionnaires that were sent out to members of the Specialized Committee (SC) and other relevant stakeholders identified by PEFC Uruguay during the revision process.

b. Assessment of the sustainable forest management standard

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



c. Assessment of the group certification procedures

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

d. Assessment of the chain of custody standard

The compliance of the PEFC Uruguay System with PEFC ST 2002:2013 – Chain of Custody of Forest Based Products – Requirements was assessed based on part V of PEFC IGD 1007-01:2012.

e. Assessment of the certification and accreditation procedures

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

f. Other aspects regarding functions and efficiency of the scheme

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

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

1.5. Assessment process

The assessment process consisted of the following steps:

1. Public consultation

The international public consultation was held from 12 May 2017 to 3 July 2017. No comments were received.

The national stakeholder survey was organized from 2 August 2017 to 20 August 2017. Form International sent out questionnaires to all stakeholders that were members of the Specialized Committee and additional stakeholders that were invited and/or participated in public consultation meetings during the revision process. In total 33 questionnaires were sent out, 15 responses were received.

2. Technical desk study

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

3. Elaboration of draft report

The draft report was sent to PEFC Uruguay and PEFC Council on 24 October 2017.



4. Elaboration of final draft report

Based on the responses and additional references and clarifications to the draft report, a final draft report was developed and sent to PEFC Council on 22 November 2018.

5. Review of the final draft report

Members of PEFC's Panel of Experts contributed to the final report by providing Form International with their feedback and comments.

6. Final analysis and reporting

The final report is elaborated taking into account the comments from Panel of Experts members and was sent to the PEFC Council on 22 January 2018.

1.6. Report structure

Chapter 2 gives an explicit statement in the form of a recommendation on whether the Board of Directors of PEFC should endorse the PEFC Uruguay System. In chapter 3, a summary of the findings is presented. Chapter 4 gives an overview of the key structures of the scheme, followed by the results of the assessment of the standard setting procedures and process in chapter 5. The assessment of the forest management standard and group certification procedures are presented in chapters 6 and 7. The Chain of Custody standard is quickly touched in Chapter 8. The assessment of certification and accreditation procedures is presented in Chapter 9, and other aspects are discussed in Chapter 10. The standards and system requirements checklist is enclosed in Annex 1. Results of the stakeholder survey and international consultation are presented in respectively Annex 2 and Annex 3, and the Panel of Experts Comments are enclosed in Annex 4.



2. Recommendation

Based on the results of this conformity assessment, Form international recommends the PEFC Council Board of Directors **to endorse the PEFC Uruguay System**, on the condition that the ten (10) identified non-conformities in the Sustainable Forest Management Standard, the two (2) identified non-conformities in the Group Certification Procedures and the three (3) identified non-conformities in the Standard Setting Procedures shall be corrected within six (6) months after endorsement.

In relation to the standard-setting process, nine (9) non-conformities were identified. Based on the assessment, it is concluded that the non-conformities found in the process did not undermine or damage the standard-setting process.

All non-conformities identified in the procedures and process are classified as minor.



3. Summary of the Findings

3.1. Overall

The PEFC Uruguay System is in general quite complete and clear. However, there were ten (10) non-conformities found in the Forest Management Standard, two (2) in the Group Certification Procedures, three (3) in the Standard Setting Procedures, and nine (9) in the standard setting process. This is in total twenty-three (23) non-conformities, which have all been classified as minor.

3.2. Structure of the System

Instituto Uruguayo de Normas Tecnicas (UNIT), a private, National Institute for the Development of Standards in Uruguay, is the national responsible body for the development of standards. PEFC Uruguay, as the PEFC national governing body, therefore relies on UNIT for the development of the SFM standard. PEFC Uruguay developed technical and procedural documentations for the governance of the PEFC Uruguay System, and formally adopted PEFC ST 2002:2013, PEFC ST 2003:2012, and PEFC ST 2001:2008.

3.3. Standard Setting Procedures and Process

The Standard Setting Procedures are regulated in two documents:

- N/RGFS 001 Rev 2.0 (August 2014) – Rules for the Specialized Committee of SFM and additional requirements;
- DG 10.02 Guide for the functioning of the Specialized Committee of Sustainable Forestry Management – a procedure in the PEFC Uruguay Scheme, elaborated to complement the standard setting procedures.

These are clearly structured documents. However, three (3) non-conformities were found:

- It is not ensured that materially affected stakeholders shall represent a meaningful segment of the participants (req. 4.4c);
- It is insufficiently ensured that the complaint handling process is communicated to the complainant (req. 4.5c);
- It is insufficiently ensured that the proposed standard-setting process shall be reviewed based on comments received (req. 5.4).

No Development Report was submitted. Records and minutes were provided, and a questionnaire sent out to stakeholders who participated in the standard setting process, provided additional evidence. In general, the standard setting process was conducted according to the standard setting procedures. However, nine (9) non-conformities were found:

- The SC did not have a balanced representation of stakeholders, as NGOs representing environmental and social issues were not officially part of the SC.



- It is insufficiently clear what efforts have been made to officially involve other NGO's that could represent the environmental and social interests (req. 4.4b);
- It is unclear whether the participation of disadvantaged and key stakeholders was proactively sought. It is for instance unclear what additional efforts have been made to include the NGO's (req. 5.2);
 - The announcement letter at the start of the standard revision process did not contain information on the standard setting process and its timetable (req. 5.3a);
 - The announcement letter did not contain an invitation to comment on the scope and the standard-setting process (req. 5.3d);
 - In the announcement letter no reference is made to publicly available standard-setting procedures (req. 5.3e);
 - For interested non-SC members, a list of all comments was not directly available, it was only available upon request (req. 5.6f);
 - Insufficient evidence was found that the decision to recommend the final draft was taken on the basis of consensus (req. 5.8);
 - It is unclear how consensus was determined, and if any process was used to establish whether there was opposition (req. 5.8a);
 - Since February 1st 2017, the endorsed FM standard is no longer valid, but replaced by an FM standard, which is no yet endorsed by PEFC Council; however, it is concluded that the current version of the FM standard is an improved version and has no major issues which would be unacceptable or would currently damage the international PEFC system (req. 6.3).

3.4. Forest Management Standard

The Forest Management requirements are stipulated in UNIT 1152:2014. The Forest Management standard is applicable to both public and private forest plantations. Therefore, the Appendix 1: guidelines for the interpretation of requirements in the case of plantation forestry, of the PEFC ST 1003:2010 have been applied during the conformity assessment.

Although the Forest Management standard is in general quite well elaborated, ten (10) non-conformities were found in the Forest Management Standard:

- No references were found which ensure that responsibilities for sustainable forest management shall be clearly defined and assigned (req. 5.1.8);
- No reference was found in the PEFC Uruguay System ensuring that forests converted after 31 December 2010 in other than 'justified circumstances' are not eligible for certification. Furthermore, the wording of 6.1.1.1 insufficiently ensures that all requirements are to be met (req. 5.1.11);
- No references were found to ensure that non-organic waste and litter shall be avoided (req. 5.2.7);
- It is insufficiently assured that operations shall be carried out in time (req. 5.3.5);



- No references were found ensuring avoidance or minimization of negative impacts of used species, provenances or varieties for all certified forest plantations (req. 5.4.5);
- No reference was found which ensures promotion of afforestation and reforestation activities that contribute to the improvement and restoration of ecological connectivity (req. 5.4.6);
- No reference was found aiming to maintain and enhance protective functions of forests for society (req. 5.5.1);
- No documented reference was found ensuring clear definition, documentation and establishment of property rights and land tenure arrangements (req. 5.6.3);
- The status of indigenous peoples in Uruguay remains unclear. No references were found ensuring that forest management activities shall be conducted in recognition of customary and traditional rights, and no reference is made with regard to free, prior and informed consent (req. 5.6.4);
- No references were found with regard to the contribution to research activities and use of scientific research results in forest management (req. 5.6.14);

3.5. Group Certification Procedures

The procedures for Group Certification are regulated in DG 07.04, which is clearly structured and auditable. However, two (2) non-conformities were found.

- No references were found for ensuring the provision of an explicit commitment on behalf of the whole group organization (req. 4.2.1b);
- It is insufficiently ensured that the rights of the group entity shall be documented in a written agreement (req. 4.2.1e).

3.6. Chain of Custody Standard

The PEFC Uruguay System uses the PEFC ST 2002:2013 standard. The standard complies with the PEFC Council requirements and no non-conformities were found.

3.7. Certification and Accreditation Procedures

The requirements for accreditation and certification are regulated in DG 03.05, and partly in DG 04.03, and include references to UNIT 1152:2014, ISO 17065, ISO 17021, ISO 19011, PEFC ST 2002:2013 and PEFC ST 2003:2012. The procedures comply with the PEFC Council requirements and no non-conformities were found.

3.8. Other aspects

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

- Notification of Certification Procedures (DG 03.05);
- Logo Usage Rules (DG 05.02 and PEFC ST 2001:2008);
- Complaints and Dispute Resolution Procedures (DG 06.01).



These are not further assessed in detail, in accordance with the tender document for this assignment. Further assessment of these procedures is conducted by the Technical Unit of PEFC Council.



4. Structure of the PEFC Uruguay System

4.1. Introduction to the forest sector in Uruguay

Uruguay has approximately 1.7 million hectares of forest of which about 1 million hectares is plantation forest with a high percentage of Eucalypt and Pine species. Natural forests are largely considered of less commercial value from a timber market perspective. The forest sector therefore largely relies on forest plantations. In 1987, Act No. 15,939 was adopted, which declares a national interest in the defense, improvement, extension and creation of forestry resources, the development of forestry industries and forest economy in general. As a consequence, the area of plantations, mainly on privately owned lands, saw explosive growth between 1990 and 2010. Uruguay's forestry development therefore relies extensively on renewable forestry plantations. The country has made forestry a national priority, utilizing land previously used for grazing and areas with marginal farming potential for plantation forests.

4.2. Organisation of PEFC Uruguay System

Instituto Uruguayo de Normas Tecnicas (UNIT), a private, National Institute for the Development of Standards in Uruguay, is the national responsible body for the development of standards. PEFC Uruguay therefore relies on UNIT for the development of the SFM standard. PEFC Uruguay, as the PEFC national governing body, developed technical and procedural documentations for the governance of the PEFC Uruguay System.

The PEFC Uruguay System was first developed between 2007 and 2009, consistent with the standard setting processes of UNIT. The first Scheme documentation was approved in 2009 and endorsed by the PEFC Council in 2010.



4.3. The PEFC Uruguay System

The PEFC Uruguay System is based on a number of documents, which is schematically shown below. Please note that DG 08 does no longer exist. It is substituted by DG 03.04.

Standards for operators	Standards for certifying bodies	Scheme governance
<p>UNIT 1152:2014 Sustainable Forest Management – Criteria and Indicators</p> <p>DG 09.01 Procedure for the justification of the exceptional use of WHO pesticides 1A and 1B</p> <p>DG 07.04 Requirements for Group Certification</p> <p>PEFC ST 2002:2013 Chain of Custody for forest based products – requirements</p> <p>PEFC ST 2001:2008 v2 Logo usage rules</p> <p>DG 05.02 Use of PEFC Logo in Uruguay</p>	<p>DG 03.05 Organisms of Forest Certification</p> <p>DG 04.03 Criteria for Auditor qualifications</p> <p>PEFC ST 2003:2012 Certification Body Requirements - Chain of Custody</p>	<p>DG 01.07 Current Documents Listing</p> <p>DG 02.02 Procedure of elaboration and control of documents</p> <p>DG 06.01 Settlement of Disagreements</p> <p>DG 10.02 Guide for the functioning of the Specialized Committee of Sustainable Forestry Management</p> <p>N/RGFS 001 Rev. 2.0 Rules for the Specialized Committee of Sustainable Forestry Management</p>



5. Standard Setting Procedures and Process

This chapter presents the non-conformities and observations found in the Standard Setting Procedures and Process. There are twelve (12) non-conformities found, three (3) related to the procedures, and nine (9) related to the process. All non-conformities are classified as minor. The non-conformities can be addressed by providing additional evidence and/or adjusting the procedures. The Standard and Scheme Requirement Checklist related to the Standard Setting Procedures and Process can be found in Annex 1 part I, which presents all the conformities, non-conformities and related references.

5.1. Analysis

The Standard Setting Procedures are regulated in two documents:

- N/RGFS 001 Rev 2.0 (August 2014) – Rules for the Specialized Committee of SFM and additional requirements;
- DG 10.02 Guide for the functioning of the Specialized Committee of Sustainable Forestry Management is a procedure in the PEFC Uruguay Scheme, elaborated to complement the standard setting procedures.

These are clearly structured documents, however, three (3) non-conformities were found in these procedures. Additionally, six (6) observations¹ were made related to standard setting procedures:

- Requirement 4.1d: The documents UNIT - N/RGFS 001 Rev 2.0 August 2014 and DG 10.02 describe the rules to be followed during the standard setting process of the SFM standard. They do not refer to standard setting of other documents that are part of the certification scheme.
- Requirement 4.1d: The status of the DG 10.02 is not clear. No reference was found whether this is guidance or a normative document. According to PEFC Uruguay, it is a procedure of the PEFC Uruguay Scheme (implying it is normative);
- Requirement 4.4b: The geographical scope of the standard was not considered in the stakeholder identification, however, considering the size of Uruguay, this seems justified;
- Requirement 5.3e: In DG 10.02 4.2.1d, one sentence (Comments received will be processed according to the guidelines in Item 7 of Standard UNIT-N/RGFS 001 Rev 2.0 August 2014) is included twice.
- Requirement 5.8: UNIT – N/RGFS 001 Rev 2.0 August 2014 indicates in two criteria (0.1 and 4.4.3) the approval of the draft standard by consensus criteria. However, these are contradictory due to the different wording used: “preferably”, versus “must”;

¹ Observations are weaknesses found in the Scheme, which are not considered to be a non-conformity.



- Requirement 6.2: There is no clear reference in the SFM standard itself about the application and transition dates.

The structure of the standardizing body is described in N/RGFS 001 Rev 2.0 August 2014 – Rules for the Specialized Committee of Sustainable Forest Management. This document was set-up by Instituto Uruguayo de Normas Tecnicas (UNIT), a private, National Institute for the Development of Standards in Uruguay. It shall be noted that UNIT is not part of the PEFC Uruguay System. The UNIT - N/RGFS 001 Rev 2.0 August 2014 describes the roles and responsibilities of (amongst others) the following bodies:

- Specialized Committee (SC, which is in fact the Standardisation Committee), managed by a Technical Secretary (TS) appointed by UNIT;
- Council Board;
- General Assembly;
- Board of directors.

It is sometimes not clear whether this refers to bodies within UNIT, or PEFC Uruguay, as there is no document from PEFC Uruguay describing its internal organizational structure and cooperative mechanisms with UNIT.

There was no development report submitted. Based on provided evidence and communication with PEFC Uruguay, it became clear that the development process in Uruguay started in March 2014, based on the outcomes of the Extraordinary Assessment in 2013. It started with the revision of the standards by a UNIT Specialized Committee (SC). For this committee a range of various parties was invited. In the case of Uruguay, it was difficult to include NGO's / civil society in the revision process, as while they were invited, they did not respond to become a member of the SC. The updated Forest Management Standard was made available for public consultation from June to August 2014. The received comments were incorporated in the development process, after which the whole project was approved by the SC. The Forest Management Standard was approved by the Directive Board in September 2014.

The standard setting process went relatively well, however, nine (9) non-conformities were found in the process. Based on the assessment it is concluded that the non-conformities found in the process did not undermine or damage the standard setting process. It would therefore not be necessary to repeat the standard setting process to correct the non-conformities found in the standard setting process.



5.2. Results: Non-Conformities

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

Requirement	4.4 The working group/committee shall: c) include stakeholders with expertise relevant to the subject matter of the standard, those that are materially affected by the standard, and those that can influence the implementation of the standard. The materially affected stakeholders shall represent a meaningful segment of the participants.
Evidence	<p>Procedures; UNIT – N/RGFS 001 Rev 2.0 August 2014:</p> <p>“3.1.1 The specialized committees will be integrated, as much as possible, in such a way that assures balance in the representation and decision making between different stakeholders relevant to the subject matter, and must also be integrated with members of equidistant position.</p> <p>3.1.2 The following stakeholders will be invited to join the Specialized Committee:</p> <ul style="list-style-type: none"> • Authorities • Producers (and harvesters) • Academy • Research Centers • Professional Associations • Parties related / affected • Workers • NGOs • UNIT members with related activities • Other companies, organizations or individuals related / affected <p>3.1.3 The initial composition of the SC is agreed with the Board of Directors at the moment it is created. The SC, in turn, may propose additional representatives, not yet considered, to integrate the Committee.</p> <p>3.1.4 The initial composition of the SC will be reviewed before a new working project, including periodic revision of an already existing standard. The review will include consideration of the balanced representation and invitation of potential members as outlined in 3.1.2 and 3.1.3. Systematic identification of the stakeholders is performed each time the standard is revised.”</p>
Assessors' comments	Although materially affected stakeholders are listed to be invited to join the SC, and there is the possibility to change the initial composition of the SC (3.1.3), it is not ensured that materially affected stakeholders shall represent a meaningful segment of the participants.
Result	Does not conform - minor
CAR	Provide evidence to show conformity, or update the standard



Requirement	4.5 Upon receipt of the complaint, the standard-setting body shall: c) formally communicate the decision on the complaint and of the complaint handling process to the complainant.
Evidence	<p>Procedures; UNIT – N/RGFS 001 Rev 2.0 August 2014:</p> <p>“Annex B, Claim procedure</p> <p>4.2 The CAC is responsible for making a decision. If deemed necessary, it can submit the decision for its ratification by the Council Board. The decision shall be communicated in writing to the person concerned.”</p> <p>Clarification by PEFC Uruguay:</p> <p>“The UNIT standard setting process is a general procedure for all standards generated in UNIT. RGFS is based in that standard plus some considerations specific to forest management standards.</p> <p>Annex B, Claim procedures establishes TWO instances of written communication with the complainant:</p> <p>1) Written acknowledgement of the reception of the complainant, which also explain that the complaint will be processed through item 4.2 of the RGFS.</p> <p>2) Written communication to the complainant of the resolution of the process.”</p>
Assessors’ comments	The procedures insufficiently ensure that the complaint handling process (follow-up) is communicated to the complainant.
Result	Does not conform - minor
CAR	Provide evidence to show conformity, or update the standard

Requirement	5.4 The standardising body shall review the standard-setting process based on comments received from the public announcement and establish a working group/committee or adjust the composition of an already existing working group/committee based on received nominations. The acceptance and refusal of nominations shall be justifiable in relation to the requirements for balanced representation of the working group/committee and resources available for the standard-setting.
Evidence	<p>DG 10.02 PEFC URUGUAY - Guide for the functioning of the Specialized Committee of Sustainable Forestry Management</p> <p>“4.2.1. (...) The announcement will include:</p> <p>c) An invitation to participate through comments on the scope and process during the revision process. In order to receive and process the comments received, links to the UNIT and PEFC Uruguay webs will be indicated. Comments received will be processed according to the guidelines in Item 7 of Standard UNIT- N/RGFS 001 Rev 2.0. August 2014.”</p> <p>UNIT – N/RGFS 001 Rev 2.0 August 2014:</p> <p>“7.- AVAILABILITY AND REVISIONS OF THIS PROCEDURE</p> <p>(...) This procedure is an independent process on which comments may be submitted, in writing, at any time and by anyone. These comments will be analyzed during the revision periods of this procedure, which will be</p>



	<p>sought to match with the revision periods of the technical standards for sustainable forest management.”</p> <p>UNIT – N/RGFS 001 Rev 2.0 August 2014:</p> <p>“1.- SCOPE</p> <p>This procedure establishes the general guidelines governing the establishment, organization, operation and dissolution of the Specialized Committee (SC) of Sustainable Forestry Management.</p> <p>3.1.2 The following stakeholders will be invited to join the Specialized Committee: (...) Potential members of the SC will receive invitations through their institutions (mail or email).</p> <p>3.1.4 The initial composition of the SC will be reviewed before a new working project, including periodic revision of an already existing standard. The review will include consideration of the balanced representation and invitation of potential members as outlined in 3.1.2 and 3.1.3.</p> <p>3.1.5 UNIT members may join the SC, previous request in writing, if they consider that are affected by the activities of the corresponding SC.</p> <p>3.1.6 The SC may invite specialists that may be useful for their tasks, to participate as consultant members.</p> <p>3.1.7 The incorporation of not UNIT members to the already established SC requires the agreement of the Committee (invitation is approved by a simple majority). Institutions that may be interested in participating must refer a written request to UNIT establishing the reasons of their request.”</p>
Assessors' comments	Although stakeholders are invited to comment on the standard setting process, it is insufficiently ensured that the proposed standard-setting process (e.g. timetable or proposed methodology) shall be reviewed based on comments received.
Result	Does not conform - minor
CAR	Provide evidence to show conformity, or update the standard

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

Requirement	4.4 The working group/committee shall: b) have balanced representation and decision-making by stakeholder categories relevant to the subject matter and geographical scope of the standard where single concerned interests shall not dominate nor be dominated in the process
Evidence	Process; Additional explanation provided by PEFC Uruguay “The association of NGOs of Uruguay concentrates a large number of associates (...). They did not respond to the invitation by any means. They usually do not participate in this kind of committees. Vida Silvestre, an environmental NGO, was contacted directly because of its trajectory in Uruguay and their work in coordination with forestry companies. Vida Silvestre also belongs to the association of NGOs, but still were not delegated to participate in the SC but still two members of Vida Silvestre participated in two of the meetings.”



<p>Assessors' comments</p>	<p>The SC was hosted by UNIT, and had 14 'titulares' (including one representative of PEFC Uruguay), 9 'alternos' (including one representative of PEFC Uruguay) and was facilitated by a secretary of UNIT. The Titular is the main delegate and the representative of the organization. The Alternate can take his/her place in case of absence. The Alternate can also participate in meetings, together with the Titular, but in those cases the Alternate has no voting right.</p> <p>Division of representatives over stakeholder categories (in the SC):</p> <ul style="list-style-type: none"> 1 UNIT-member with related activities 2 Authorities 4 Academy and Research 2 Producers 2 Parties related / affected 1 Professional Association 1 Bank (BSE is a social insurance bank from the government, providing insurance coverage to all workers working under legal conditions) 1 unknown category (IICA) <p>Most stakeholder categories were represented in the SC, except for Workers and NGOs.</p> <p>Workers: The Ministry of Employment and Social Security was invited, but did not send a delegate to the SC. Workers' rights were represented indirectly in the SC, because SC-member BSE is a social insurance bank from the government, providing insurance coverage to all workers working under legal conditions,</p> <p>Based on the stakeholder survey (annex 2), the following can be concluded: According to 11 respondents, the Committee had a balanced representation. 4 respondents did not know whether there was a balanced representation. Several comments were made:</p> <ul style="list-style-type: none"> • Small-holders were not represented; • The accreditation body was not invited to participate; • Trade Unions and Workers Unions were not represented, but they were consulted during the process; • The call for participation was broad in terms of sectors and appropriate in terms of time and form, but that many stakeholders failed to participate, which would have been typical for the actors of the country. <p>PEFC Uruguay commented that OUA (Organismo Uruguayo de Acreditación) is part of the Uruguayan System of Normalization, Accreditation, Metrology and Evaluation of Conformity, and was involved in the process through UNIT.</p> <p>PEFC Uruguay further comments that Emails have been sent at the start of the revision process, to promote participation in the SC (copies provided to the assessor), and that phone calls were made (no records available).</p> <p>NGO's were invited through ANONG (an umbrella organization of NGOs in Uruguay), but did not respond to the invitation to take seat in the Specialized Committee. One NGO (Vida Silvestre) took part in the 4th and 5th meeting of the SC, but they were not involved officially in decision-making. Therefore, the SC did not have a balanced</p>
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	representation of stakeholders, as NGOs representing environmental and social issues were not part of the SC. It remains unclear if other efforts have been made to officially involve NGO's that could represent the environmental and social interests.
Result	Does not conform - minor
CAR	Provide evidence to show conformity

Requirement 5.2 The standardising body shall identify disadvantaged and key stakeholders. The standardising body shall address the constraints of their participation and proactively seek their participation and contribution in the standard-setting activities.

Evidence	<p>Process; Clarification of PEFC Uruguay</p> <p>“The procedure establishes that invitations are sent to stakeholders representing ALL sectors associated to forest management. For Uruguay, these sectors are mostly nucleated in associations (Rural Association, forest owners' associations, professionals association, NGOs associations), government public administration, government environmental administration, social security institutions, academia, research, international organizations, etc).</p> <p>Uruguay has no native communities or communities with land claims or similar that should be considered in the process. Other possible disadvantaged stakeholders, were considered to be covered in some of the associations invited or by public government representation as established in N/RGFS 001 Rev 2.0.</p> <p>(...) The association of NGOs of Uruguay concentrates a large number of associates (...). They did not respond to the invitation by any means. They usually do not participate in this kind of committees. Vida Silvestre, an environmental NGO, was contacted directly because of its trajectory in Uruguay and their work in coordination with forestry companies. Vida Silvestre also belongs to the association of NGOs, but still were not delegated to participate in the SC but still two members of Vida Silvestre participated in two of the meetings (...). The association of NGOs was contacted again at the time of the beginning of the Public Consultation indicating that the revised version of the standard was public for comments.”</p>
Assessors' comments	Annex A of UNIT 1152:2014 presents a list of stakeholders that were invited. From the clarification it is understood that disadvantaged stakeholders are covered by inviting their associations and NGO's. However, it remains unclear whether their participation is proactively sought. It is for instance unclear what additional efforts have been made to include the NGO's.
Result	Does not conform - minor
CAR	Provide evidence to show conformity

**Requirement 5.3 The announcement and invitation shall include:
a) information about the objectives, scope and the steps of the standard-setting process and its timetable,**



Evidence	<p>Process; Announcement letter dd 14-02-2014:</p> <p>“The UNIT Standards for SFM (...). The aim of these standards were to define the principles, requirements and indicators to present evidence of the sustainable management of the forestry exploitations (...).</p> <p>In 2009, the SPF requested the endorsement to the PEFC system, which was finalized in 2010, assuming the responsibilities required by the system. After the endorsement, PEFC changed some of its standards and as a consequence PEFC Uruguay must incorporate some modifications to adjust to the changes. In particular, it is necessary to adequate the UNIT standard 1151 and UNIT 2252, as well as some of the procedures associated to their elaboration and approval. In order to make the adjustments, we are inviting all the interested parties to nominate persons that will participate in the Specialized Committee that will work on these documents.”</p>
Assessors’ comments	The announcement letter does not contain information on the standard setting process and its timetable.
Result	Does not conform - minor
CAR	Provide evidence to show conformity

Requirement	5.3 The announcement and invitation shall include: d) an invitation to comment on the scope and the standard-setting process, and
Evidence	Process; (none)
Assessors’ comments	The announcement letter did not contain an invitation to comment on the scope and the standard-setting process.
Result	Does not conform - minor
CAR	Provide evidence to show conformity

Requirement	5.3 The announcement and invitation shall include: e) reference to publicly available standard-setting procedures.
Evidence	<p>Process; Announcement letter dd 14-02-2014:</p> <p>“In particular, it is necessary to adequate the UNIT standard 1151 and UNIT 2252, as well as some of the procedures associated to their elaboration and approval. In order to make the adjustments, we are inviting all the interested parties to nominate persons that will participate in the Specialized Committee that will work on these documents.”</p>
Assessors’ comments	In the announcement letter no reference is made to publicly available standard-setting procedures.
Result	Does not conform - minor
CAR	Provide evidence to show conformity

Requirement	5.6 The standardising body shall organise a public consultation on the enquiry draft and shall ensure that: f) a synopsis of received comments compiled from material issues, including the results of their consideration, is publicly available, for example on a website.
Evidence	Process; (none)



Assessors' comments	A list of all comments was made available to SC members through the UNIT Extranet, which was used during SC discussions. For interested non-SC members, this list was only available upon request (according to PEFC Uruguay). It shall be noted that a synopsis of received comments, including the results of their considerations shall be publicly available without the need for request. Acts (of the 7th meeting) include considerations and solutions. However, it is not clear whether these Acts were publicly available.
Result	Does not conform - minor
CAR	Provide evidence to show conformity

Requirement	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.
Evidence	<p>Process; Minutes 7th SC meeting dd 29 of August 2014:</p> <p>“After all comments have been reviewed, the discussion is closed and the Specialized Committee approves the revision of UNIT 1152:2014 y UNIT 1151:2014.”</p> <p>Additional comments provided by PEFC Uruguay:</p> <p>“In the agenda for the meeting it was announced that the project would be submitted for approval. The approval took place with the members present in the meeting and the text of the minutes implies that there was agreement among those present.</p> <p>All members (present and absent on the meeting of August 29th) were consulted previously, during the Public Consultation period. The process ended with the approval meeting of August 29th. There were no opposing arguments sent before the meeting.</p> <p>Opposing votes must be registered in the minutes. In the absence of registration of opposing votes (Minutes 7th SC meeting, dd 29 August 2014) it is considered that there is consensus.”</p>
Assessors' comments	There is no sign of opposition and the stakeholder survey did not reveal any sign of opposition either. However, no statement or conclusion was found in the minutes providing the evidence that consensus was reached.
Result	Does not conform - minor
CAR	Provide evidence to show conformity

Requirement	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.
Evidence	<p>Process; Minutes SC meeting dd 29 of August 2014:</p> <p>“After all comments have been reviewed, the discussion is closed and the Specialized Committee approves the revision of UNIT 1152:2014 y UNIT 1151:2014.”</p>



	<p>Additional comments provided by PEFC Uruguay:</p> <p>“In the agenda for the meeting it was announced that the project would be submitted for approval. The approval took place with the members present in the meeting and the text of the minutes implies that there was agreement among those present.</p> <p>All members (present and absent on the meeting of August 29th) were consulted previously, during the Public Consultation period. The process ended with the approval meeting of August 29th. There were no opposing arguments sent before the meeting.</p> <p>Opposing votes must be registered in the minutes. In the absence of registration of opposing votes (Minutes 7th SC meeting, dd 29 August 2014) it is considered that there is consensus.”</p>
Assessors' comments	No evidence is found indicating which process is followed (verbal vote / show of hands / statement on consensus without dissenting voices or hands / formal balloting process), and it remains unclear if there was an explicit process used to establish whether there was consensus.
Result	Does not conform - minor
CAR	Provide evidence to show conformity

Requirement	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.
Evidence	<p>Process; DG 02.02:</p> <p>“3.7 Standing time</p> <p>Each version of the document will be valid from the date of approval by the Directory Commission of PEFC Uruguay. (...)</p> <p>3.8 Revisions</p> <p>(...) Policy documents, ie: General Documents (GD), Documents PEFC (PD) and the Standard for Sustainable Forest Management (SFM) will have a transition period for final implementation of one year from the effective date of the revised version, unless otherwise noted. When that period expires the last document will be the only in force.”</p> <p>Clarification provided by PEFC Uruguay:</p> <p>“Even though the process of revision of the standard was finished and approved by PEFC board on September 30th 2014, the date of the closure of the Extraordinary Assessment for the FMS was on January 28th, 2016. (...) PEFC Uruguay communicates to all interested parties (companies, accreditation bodies, certification organisms) the beginning of the transition period of one year, which finalized on February 2nd, 2017. (...) All certifications up to that point were under the standard 1152-2009.”</p>
Assessors' comments	It is concluded the SFM standard UNIT 1152:2014 is the only valid standard since 1st of February 2017. From that date, UNIT 1152:2009 (which is the endorsed version) is no longer valid in Uruguay, which means that, all companies currently are to be assessed against a Forest Management Standard which is not endorsed by PEFC Council. Although this is an unacceptable situation as it could impose serious risks to the



	PEFC system, it is concluded that the current version of the SFM Standard is an improved version compared to the old version, and has no major issues which would be unacceptable and currently lead to damage to the international PEFC system.
Result	Does not conform - minor
CAR	Provide evidence to show conformity

5.3. Results: Selection of Conformities

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

Requirement	4.4 The working group/committee shall: a) be accessible to materially and directly affected stakeholders
Evidence	Procedures; UNIT – N/RGFS 001 Rev 2.0 August 2014: <p>“3.1.2 The following stakeholders will be invited to join the Specialized Committee:</p> <ul style="list-style-type: none"> • Authorities • Producers • Academy • Research Centers • Professional Associations • Parties related / affected (Rural Association of Uruguay, Inter-American Institute for Cooperation on Agriculture IICA, PEFC Uruguay and certified companies) • Workers • NGOs • UNIT members with related activities • Other companies, organizations or individuals related / affected”
Assessors’ comments	(none)
Result	Does conform

Requirement	5.1 The standardising body shall identify stakeholders relevant to the objectives and scope of the standard-setting work.
Evidence	Procedures; UNIT – N/RGFS 001 Rev 2.0 August 2014: <p>“3.1.2 The following stakeholders will be invited to join the Specialized Committee: Authorities, Producers, Academy, Research Centers, Professional Associations, Parties related / affected, Workers, NGOs, UNIT members with related activities, other companies, organizations or individuals related / affected.</p> <p>3.1.3 The initial composition of the SC is agreed with the Board of Directors at the moment it is created. The SC, in turn, may propose additional representatives, not yet considered, to integrate the Committee</p>



	<p>The identification of the disadvantaged stakeholders will take place on two levels.</p> <ul style="list-style-type: none"> a) In consultation with representatives of governmental authorities with jurisdiction in the matter (...). Similarly the identification of key sectors is done in consultation with national authorities responsible for implementing the national policies. b) in consultation with the members already appointed in the Specialized Committee <p>3.1.4 The initial composition of the SC will be reviewed before a new working project, including periodic revision of an already existing standard. The review will include consideration of the balanced representation and invitation of potential members as outlined in 3.1.2 and 3.1.3. Systematic identification of the stakeholders is performed each time the standard is revised.”</p>
Assessors' comments	(none)
Result	Does conform

Requirement	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.
Evidence	<p>Procedures; UNIT – N/RGFS 001 Rev 2.0 August 2014:</p> <p>“4.- FUNCTIONING OF THE SPECIALIZED COMMITTEES</p> <p>The start of the Committee's activities for the development or the revision of the technical standards will be communicated publicly. The announcement will be made in the UNIT website or through other appropriate means. The announcement will include the starting date of the activities (...).”</p> <p>DG 10.02 PEFC URUGUAY - Guide for the functioning of the Specialized Committee of Sustainable Forestry Management</p> <p>“4.2.1 (...) The beginning of the Committee activities for the elaboration or revision of the standards will be publicly announced at least 7 days before the beginning of the activities.</p> <p>The announcement will be done:</p> <ul style="list-style-type: none"> a) In the UNIT webpage (www.unit.org.uy) b) In the PEFC Uruguay webpage (www.pefc.com.uy) c) Through any other media considered appropriate <p>The announcement will include:</p> <ul style="list-style-type: none"> a) Date of the beginning of the activities (...) c) An invitation to participate through comments on the scope and process during the revision process. In order to receive and process the



	<p>comments received, links to the UNIT and PEFC Uruguay webs will be indicated. (...)</p> <p>4.2.2. In addition to the general announcement, formal notifications will be sent to potential members for the Specialized Committee through their institutions, via mail or e-mail.</p> <p>Invitations will include:</p> <p>a) date of the start of the activities”</p>
Assessors' comments	(none)
Result	Does conform

Requirement	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.
Evidence	<p>Process; Announcement letter dd 14-02-2014:</p> <p>“In order to make the adjustments, we are inviting all the interested parties to nominate persons that will participate in the Specialized Committee that will work on these documents. For the integration of the SC, we are requesting delegates to the following Institutions:</p> <p>(follows lists of institutions – see Annex A of the SFM standard 1152:2014).</p> <p>In case of being interested, we appreciate the designation of a delegate and an alternate delegate to be part of the SC, completing the form with the required information. The first meeting of the SC will be on March 27th at 2 pm in UNIT (address).”</p> <p>Website UNIT: http://www.unit.org.uy/novedades/ver/989/</p> <p>“Those organizations or persons interested to participate in the revision process of the UNIT 1151:2009 and UNIT 1152:2009, can contact UNIT at unit-iso@unit.org.uy (Tel 29012048) for more information.”</p>
Assessors' comments	The announcement letter was sent to identified stakeholders and a brief news issue was published on the UNIT website. From the announcement letter quoted above, it becomes clear that the invitation to participate was made on the 14 th of February 2014, while the first meeting of the committee was almost 6 weeks later, which is considered 'in a timely manner'.
Result	Does conform

Requirement	5.5 The work of the working group/committee shall be organised in an open and transparent manner where: 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
Evidence	Procedures; UNIT – N/RGFS 001 Rev 2.0 August 2014:



	<p>“3.3.2. The TS coordinates the SC and prepares the working draft documents to be analyzed by the delegates.</p> <p>4.1 Functions of the SC</p> <p>The SC will develop, within the field of its activity, the following functions:</p> <p>b) propose new normative documents and the confirmation, revision or cancellation (see Annex A) of the existing ones;</p> <p>c) propose and develop UNIT draft standards for public inquiry;</p> <p>d) develop UNIT standards for approval as national standard projects:</p> <p>4.4 Development of meetings</p> <p>4.4.2 Issues not included in the agenda, or when they have not been subjected to members in advance to allow its study, may be discussed but shall not be subject of decision-making. However, these issues may be subject to a decision by correspondence.</p> <p>4.5.2 To this end, the Secretariat shall forward the necessary documentation to the SC members inviting them to send their comments or their votes within a period specified by the Secretariat that will not exceed one month or less than 15 days. The secretariat will prepare a report containing all the comments received and prepare, if necessary, a new document.”</p>
Assessors’ comments	(none)
Result	Does conform

Requirement	<p>5.5 The work of the working group/committee shall be organised in an open and transparent manner where:</p> <p>c) comments and views submitted by any member of the working group/committee shall be considered in an open and transparent way and their resolution and proposed changes shall be recorded.</p>
Evidence	Process; (see Assessors’ comments)
Assessors’ comments	Acts of the SC meetings contain a section on Considerations and solutions, per requirements under revision. The respondents of the survey confirmed that comments and views submitted were considered in an open and transparent way.
Result	Does conform

Requirement	<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>
Evidence	<p>Procedures; UNIT – N/RGFS 001 Rev 2.0 August 2014:</p> <p>“0.1 General procedure</p> <p>These Committees shall proceed to prepare a draft standard which must be approved by consensus criteria (absence of reasoned opposition). (...). Once the results of the survey have been analyzed and agreed the final draft, it shall be approved by the members of the Select Committee on the criterion of consensus.</p> <p>4.4.3 Agreements of the SC shall preferably be taken by consensus.</p>



	"consensus: general agreement, characterized by the absence of strong opposition to key issues by any important part of the concerned interests and by a process that considers views of all interested parties and the reconciliation of any divergent position."
Assessors' comments	Observation: Although reference to 0.1 indicates approval of the draft standard by consensus criteria, it is observed that this can contradict with 4.4.3, because of the wording ("preferably", versus "must").
Result	Does conform



6. Forest Management Standard

This chapter presents the findings of the assessment of the Sustainable Forest Management Standard. In total ten (10) non-conformities were found, all classified as minor. Corrective action requests are formulated for each of the non-conformities raised. The Standard and Scheme Requirement Checklist related to the Sustainable Forest Management Standard can be found in Annex 1 part III, which presents all the conformities, non-conformities and related references.

6.1. Analysis

The Sustainable Forest Management requirements are stipulated in UNIT 1152:2014 Sustainable Forest Management - Criteria and Indicators. The scope of the SFM standard is defined as follows: “This Norm is applicable to forest plantations in a unit of forest management, both public and private.” Therefore, the Appendix 1: guidelines for the interpretation of requirements in the case of plantation forestry, of the PEFC ST 1003:2010 have been applied during the conformity assessment.

The Forest Management Standard (only applicable for forest plantations) is divided in the following criteria:

- Criterion 1 – Conservation of biological diversity
- Criterion 2 – Maintenance of the productive capability of the forest ecosystems
- Criterion 3 – Maintenance of the health and vitality of the forest ecosystems
- Criterion 4 – Conservation and maintenance of the soil and water resources
- Criterion 5 – Maintenance of the contribution of the forest to the global carbon cycle
- Criterion 6 – Maintenance and improvement of the multiple socio-economic benefits in the long term to cover the needs of the societies
- Criterion 7 – Legal, institutional and economic frame for the conservation and sustainable management of the forests

Each criterion is divided into a number of indicators, which are further specified into the elements of: (1) Justification, (2) Objective, (3) Parameters, (4) Procedures, (5) Documents, and (6) Registers.

Although the Forest Management Standard is in general quite well elaborated, ten (10) non-conformities were found.



6.2. Results: Non-Conformities

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

Requirement	5.1.8 Responsibilities for sustainable forest management shall be clearly defined and assigned.
Evidence	<p>UNIT 1152:2014</p> <p>“4.2 General Plan of Management</p> <p>“The unit of forest management must have a General Plan of Management. This plan must include the directives of the management in the activities of the unit over which the person responsible has the control of.</p> <p>(...) The General Plan of Management must include the procedures through which the persons responsible of the unit of forest management seek to achieve the objectives defined for each indicator.</p> <p>6.6.1 Indicator: socio-laboral conditions of the workers in the management unit</p> <p>6.6.1.1 Justification: (...) A person responsible of enforcing a health policy and safety of the workers must be appointed.</p> <p>6.6.3 Indicator: estate of relation with the local communities</p> <p>6.6.3.1 Justification: (...) The persons responsible of the unit of forest management must identify a person in charge of the relation with the local community.”</p>
Assessors' comments	No references were found which ensure that responsibilities for sustainable forest management other than health and safety, and relations with the local community shall be clearly defined and assigned. Although the standard implies that persons have specific responsibilities for sustainable forest management, it is not ensured that responsibilities for sustainable forest management shall be clearly defined and assigned.
Result	Does not conform – minor
CAR	Provide evidence to show conformity or update the standard

Requirement	<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 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>
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d) makes a contribution to long-term conservation, economic, and social benefits.	
Evidence	<p>UNIT 1152:2014</p> <p>“6.1 CRITERION 1. - Conservation of biological diversity</p> <p>6.1.1 Indicator: area of natural ecosystems</p> <p>6.1.1.1 Justification: It seeks to prevent the conversion of all types of forest to other land uses, except when: a) it is fully justified by national or regional planning of land use; b) it affects a small proportion of a forest type; c) it does not generate negative impacts on threatened forest ecosystems, areas of cultural or social significance, habitats or endangered species and other protected areas d) it contributes to conservation benefits, economic and social problems in the long term.</p> <p>6.1.1.3 Parameters:</p> <ul style="list-style-type: none"> - location of the field in the biogeographical context - total area of each natural ecosystem identified (ha) - ratio of area of each natural ecosystem identified in relation to the total area of the management unit (%)” <p>Forest Law Nº. 15.939 (1987)</p> <p>“Article 24º. Prohibit cutting and any operation that threatens the survival of the indigenous forest, with the exception of the following cases:</p> <p>A) When the product of the exploitation is intended for domestic use and wiring of the rural establishment to which it belongs.</p> <p>B) When there is permission from the Forest Directorate based on a technical report where they are detailed.”</p>
Assessors’ comments	<p>Appendix 1 of PEFC 1003:2010, which provides the interpretation in the case of forest plantations”, states: “The requirement for the “conversion of forests to other types of land use, including conversion of primary forests to forest plantations” means that forest plantations established by a forest conversion after 31 December 2010 in other than “justified circumstances” do not meet the requirement and are not eligible for certification. No reference is found in the PEFC Uruguay System ensuring that forests converted after 31 December 2010 in other than ‘justified circumstances’ are not eligible for certification.</p> <p>Furthermore, the wording of 6.1.1.1 insufficiently ensures that <u>all</u> requirements are to be met.</p>
Result	Does not conform – minor
CAR	Provide evidence to show conformity or update the standard

Requirement 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.	
Evidence	<p>UNIT 1152:2014</p> <p>“6.3 CRITERION 3 - Maintenance and improvement of the health and vitality of the forest ecosystems.</p> <p>6.3.1 Indicator: estate of the system of protection against fires, climatic agents and mechanical damages.</p> <p>6.3.1.1 Justification: (...) The planification of the silvicultural tasks must reduce to a minimum the mechanical damage to the forest populations.</p> <p>6.4 CRITERION 4: Conservation and Maintenance of the soil and water resources.</p> <p>6.4.1 Indicator: relation between the aptitude and use/current management of the soil in the management unit.</p> <p>6.4.1.1 Justification: the management unit must have information to design practices that allow the use of the soil resource according to its aptitude and ensure the proper conservation and recuperation of the soil.</p> <p>6.4.2 Indicator: state of erosion and degradation of affected soils.</p> <p>6.4.2.4 Procedures:</p> <ul style="list-style-type: none"> - to apply techniques and tools appropriate to the soils of the management unit; - to plan to reduce traffic in the direction of the maximum slope during harvest operations; - to minimize impact of harvesting equipment, storage and/or cargo on soil of the management unit; - to respect timeouts of the operating machinery in relation to the traffic conditions of the soil and roads; - to minimize the times and areas of exposure of soil without vegetation cover; <p>6.4.3 Indicator: state of the soil resource</p> <p>6.4.3.1 Justification: (...) The follow up can include modification to (...) the application of preventive action to avoid the soil deterioration. The use of agro- chemicals, fuels and lubricants, as well as other activities of the management unit, must be oriented to prevent the soil contamination.</p> <p>Other parameters to be evaluated:</p> <ul style="list-style-type: none"> (...) - procedures for the disposal of liquid and solid waste; (...) - to establish procedures for operations related to the use of agrochemicals, fuels and lubricants and for the disposal of liquid and solid waste that might affect the quality of the soil resource; <p>6.4.3.5 Documents: (...) Plans and specific procedures for operations related to the use of agrochemicals, fuels and lubricants, for the disposal of liquid and solid waste and for the forest activities or the installation and maintenance of infrastructure that can affect the quality and use of the soil resource. Contingency plans in case of spillage of agrochemicals, fuels or lubricants.</p>



	6.4.4.3 Parameters: (...) - procedures for the disposal of liquid and solid waste.”
Assessors' comments	No references were found with regard to the avoidance of non-organic waste and litter.
Result	Does not conform – minor
CAR	Provide evidence to show conformity or update the standard

Requirement	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.
Evidence	<p>UNIT 1152:2014</p> <p>“4.1 Planification</p> <p>The planification of the unit of management must be formulated, documented and reviewed periodically, in the short and long term for:</p> <ul style="list-style-type: none"> - (...) the execution of each one of the activities; - (...) the prevention of (...) environmental risks; - (...) the achievement of a sustainable economical development <p>6.2. CRITERION 2: Maintenance and improvement of the productive capacity of the forest ecosystems.</p> <p>6.2.3.2 Objective: to obtain the maximum commercial benefit from the forest. To seek to minimize the tree residues, product of the management practices and harvest of wood products mainly and to prevent uncontrolled harvest losses.</p> <p>6.2.3.5 Documents: General Plan of Management. Operative plans of silviculture treatments (cuts, thinning or other interventions) and harvest.</p> <p>6.4.3.3 (...) Other parameters to be evaluated:</p> <ul style="list-style-type: none"> - silvicultural procedures for the prevention of mechanical damage to the soil during harvest, silvicultural treatments and transport;”
Assessors' comments	It is insufficiently assured that the mentioned operations shall be carried out <u>in time</u> .
Result	Does not conform – minor
CAR	Provide evidence to show conformity or update the standard

Requirement	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.
Evidence	<p>UNIT 1152:2014</p> <p>“6.1 CRITERION 1. - Conservation of biological diversity</p>



	<p>6.1.2.2 Objective: to describe, evaluate and plan the management of the natural ecosystems identified in the item 6.1.1 and the animal and plant species, native and exotic. To increase the genetic diversity inter and intraspecific and the structural diversity in order to improve the capability of the plantations in the stability, vitality and resistance to adverse environmental factors and to strengthen the natural mechanisms of regulation.</p> <p>6.1.2.3 Parameters: (...) The existence, when corresponds, of plans for (...) - forestation and/or re-population with a diversity of genotypes, species and/or clones in the management unit;</p> <p>6.2. CRITERION 2: Maintenance and improvement of the productive capacity of the forest ecosystems.</p> <p>6.2.1 Indicator: genotypes used in the forested area to obtain wood and non wood products and services, in relation to the total area of the management unit</p> <p>6.2.1.1 Justification: (...) For each site, the origins of the species or varieties introduced and appropriate genotypes must be determined as well as the impact on the ecosystems and genetic integrity of the native species and local origins; (...)</p> <p>6.2.1.3 Parameters: (...) - list of species, origins, varieties introduced or clones used; - forested areas with each species, origins, introduced variety or clone;”</p>
Assessors’ comments	As commented by PEFC Uruguay national legislation provides for environmental impact assessments (including remedial measures) for new forest plantations over 100ha, but no references were found ensuring avoidance or minimization of negative impacts of used species, provenances or varieties for all certified forest plantations.
Result	Does not conform – minor
CAR	Provide evidence to show conformity or update the standard

Requirement	5.4.6 Afforestation and reforestation activities that contribute to the improvement and restoration of ecological connectivity shall be promoted.
Evidence	<p>UNIT 1152:2014</p> <p>“6.1 CRITERION 1. - Conservation of biological diversity</p> <p>6.1.2 Indicator: state of the ecosystems, species and their genetic diversity</p> <p>6.1.2.1 Justification: the natural ecosystems present in the management unit must be identified and evaluated to determine the sites, species or communities of importance for the conservation of the biological diversity.</p> <p>6.1.3. Indicator: surface of biological corridors and buffer zones</p> <p>6.1.3.1 Justification: the maintenance of biological corridors allows the connectivity of the ecosystems at a regional level and the movement of species between adjacent basins. (...)</p>



	<p>6.1.3.2 Objective: to contribute to the conservation of the natural ecosystems and species of interest present in the management unit or adjacent areas.</p> <p>6.1.3.3 Parameters: (...) - surface of biological corridors (ha).</p> <p>6.1.3.4 Procedures: - territory planning of the management units including the biological corridors and buffer zones;</p> <p>6.1.3.5 Documents: General Plan of Management; specific plan for the coordinated management of areas of conservation of biological diversity, biological corridors and buffer zones.”</p>
Assessors' comments	No references were found which ensure <u>promotion</u> of afforestation and reforestation activities that contribute to the improvement and restoration of ecological connectivity.
Result	Does not conform – minor
CAR	Provide evidence to show conformity or update the standard

Requirement	5.5.1 Forest management planning shall aim to maintain and enhance protective functions of forests for society, such as protection of infrastructure, protection from soil erosion, protection of water resources and from adverse impacts of water such as floods or avalanches.
Evidence	<p>UNIT 1152:2014</p> <p>“6.2.4 Indicator: amount of non wood products and services of the forest</p> <p>6.2.4.1 Justification: the resources and services that might produce non wood products must be quantified for the producer and the community.</p> <p>6.2.4.2 Objective: to identify and quantify the non wood products in the management unit. To prevent use without control or supervision by the responsible forest management unit</p> <p>6.2.4.3 Parameters: (...) - tree covered surface that might qualify as protection forest (ha) and its ratio (%) with the total surface of the management unit.</p> <p>6.2.4.4 Procedures: - identification and evaluation of utilities and potential services relevant in the management unit; - regulation of the use of services (silvopasture, recreational activities, etc.) in the management unit;</p> <p>6.4 CRITERION 4: Conservation and Maintenance of the soil and water resources.</p> <p>6.4.2 Indicator: state of erosion and degradation of affected soils.</p> <p>6.4.2.1 Justification: the potential erosion and degradation risks must be considered in the planning and execution of the tasks. Documented corrective and preventive actions and must take place to diminish or attenuate the current erosion in the affected areas.</p> <p>6.4.4 Indicator: state of the quality of the water resource.</p>



	6.4.4.1 Justification: In the management of the natural resources of the unit of forest management it must be considered the water resource, with the objective of minimizing the potential damaging effects in its quality.”
Assessors’ comments	No reference was found aiming to <u>maintain and enhance</u> protective functions of forests for society.
Result	Does not conform – minor
CAR	Provide evidence to show conformity or update the standard

Requirement	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.
Evidence	<p>UNIT 1152:2014</p> <p>“6.6 CRITERION 6 - Maintenance and improvement of the multiple socioeconomic benefits on the long term to cover the needs of the societies</p> <p>6.6.4 Indicator: estate of the conservation of the landscape, historical, cultural and recreational values</p> <p>6.6.4.2 Objective: To consider, in the planning of the forest management, the landscape and the recreational values, in their quality of pre-existing global resources in relation to the intervention and production activities, and their patrimonial value, in consideration to any future scenario, conserving all the historical, cultural and spiritual values.</p> <p>6.6.4.3 Parameters:</p> <p>(...) - location of the sites with historical, cultural and/or recreational significant values for the region;”</p> <p>6.7 CRITERION 7 - Legal, institutional and economic frame for the conservation and sustainable management of forests</p> <p>6.7.1 Indicator: state of compliance with the current legal frame for the forest management</p> <p>6.7.1.3 Parameters:</p> <p>(...) - compliance with the current legal normative applicable to the management unit and the activities associated with it;</p> <p>- permits or legal authorizations corresponding to the execution of those activities that require them;”</p> <p>Additional explanation provided by PEFC Uruguay:</p> <p>“Land property as well as other properties must be clearly defined and registered in the corresponding offices of the Government. There are no land property conflicts in Uruguay. Criterion 7 and in particular item 6.7.1 make reference to the compliance to the legal framework for the management unit.”</p>
Assessors’ comments	However, no documented reference was found ensuring clear definition, documentation and establishment of property rights and land tenure arrangements.
Result	Does not conform – minor



CAR	Provide evidence to show conformity or update the standard
Requirement	<p>5.6.4 Forest management activities shall be conducted in recognition of the established framework of legal, customary and traditional rights such as outlined in ILO 169 and the UN Declaration on the Rights of Indigenous Peoples, which shall not be infringed upon without the free, prior and informed consent of the holders of the rights, including the provision of compensation where applicable. Where the extent of rights is not yet resolved or is in dispute there are processes for just and fair resolution. In such cases forest managers shall, in the interim, provide meaningful opportunities for parties to be engaged in forest management decisions whilst respecting the processes and roles and responsibilities laid out in the policies and laws where the certification takes place.</p>
Evidence	<p>UNIT 1152:2014</p> <p>“6.6 CRITERION 6 - Maintenance and improvement of the multiple socioeconomic benefits on the long term to cover the needs of the societies</p> <p>6.6.3 Indicator: estate of relation with the local communities</p> <p>6.6.3.1 Justification: the social and cultural aspects of the community must be incorporated for a Sustainable Forest Management, to generate benefits, for the management unit as well as the employees and communities and to favour the good understanding among them. (...)</p> <p>6.6.3.2 Objective: to promote the communication and good understanding of the communities implied in the productive process of the unit forest management. To consider in the planning of the forest management the work opportunities and opportunities to promote the activities in areas of influence such as the contribution to the rural development.</p> <p>6.6.3.4 Procedures: to establish opportunities to relate and interact with the communities including the reception and attention to suggestions, requests and complaints.</p> <p>6.7 CRITERION 7 - Legal, institutional and economic frame for the conservation and sustainable management of forests</p> <p>6.7.1 Indicator: state of compliance with the current legal frame for the forest management</p> <p>6.7.1.3 Parameters:</p> <p>(...) - compliance with the current legal normative applicable to the management unit and the activities associated with it;”</p> <p>Additional explanation provided by PEFC Uruguay:</p> <p>“The situation of original populations in Uruguay is different to those of other countries in Latin America. Uruguay is a country with a population conformed mainly of descendants of European immigrants and in a smaller proportion, descendants of Afro-American and indigenous populations. The current population is the result of a mixture of races.</p>



	<p>The indigenous population that occupied the territory before and during the colonial period belonged mainly to the macro-etnia charrúa, that included guenoas, bohanes, yaros and the charrúas themselves.</p> <p>The anthropologist Daniel Vidart (2001) states that: “ the nomadic Indian was combated and practically exterminated in South America”. From the point of view of the indigenous communities, and differently than in other countries of Latin America, in Uruguay there are no indigenous communities since mid XIX century”...</p> <p>During the first half of the XIX century, the scarce Indians that had survived the arrival of the conqueror and posterior internal wars were eradicated in the massacre at the shores of the Arroyo Salsipuedes in the year 1831, (Vidart 2011). Currently there are no indigenous populations living in any part of the national territory</p> <p>National Government has recognized the indigenous input in the identity of our country. In 2009, Law 18.589 was approved that declares April 11th the day of the Charrúa Nation and the indigenous identity (Annex 3). In article 2, it is requested that the Executive and the National Administration of Education (ANEP) promote the information and sensibilization of citizens on the participation of the indigenous population in the national identity and the historical events related to the Charrúa Nation in Salsipuedes in 1831 (REFERENCES: Ministerio de Relaciones Exteriores. 2014. 200 resultados de la política exterior (2010 – 2014), Vidart, Daniel. 2012. Anuario de Antropología Social y Cultural en Uruguay, Vol. 10.)</p> <p>In consideration to the fact that there are no indigenous communities in the country the standard does not address the issue.”</p>
Assessors' comments	<p>The status of indigenous peoples in Uruguay remained unclear for the Assessor, since some sources contradict the above explanation and state that there are still small groups of indigenous peoples in Uruguay. E.g. http://minorityrights.org/country/uruguay/, https://elpais.com/elpais/2017/11/06/inenglish/1509969553_044435.html</p> <p>No references were found ensuring that forest management activities shall be conducted in recognition of customary and traditional rights, and no reference is made with regard to free, prior and informed consent.</p>
Result	Does not conform – minor
CAR	Provide evidence to show conformity or update the standard

Requirement	<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>
Evidence	<p>UNIT 1152:2014</p> <p>“4.1 Planification</p> <p>In the planification of the different uses and functions of the management unit the role of the forest production in the rural development must be taken into consideration. The instruments of the established policies to</p>



	<p>support the production of goods and commercial and non commercial forest services must be used.</p> <p>In the planification of the forest management, the socio-cultural context must be considered, having as reference the experience and traditional knowledge associated to the forest of the local communities and other interested parties.”</p>
Assessors' comments	No references were found with regard to the contribution to research activities and use of scientific research results in forest management.
Result	Does not conform – minor
CAR	Provide evidence to show conformity or update the standard

6.3. Results: Selection of Conformities

In the tables below, a selection of conformities is presented that in the opinion of the Assessor are sensitive issues in the Uruguayan context and/or illustrative examples of the Forest Management Standard.

Requirement	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.
Evidence	<p>UNIT 1152:2014</p> <p>“1 - OBJECTIVE AND SCOPE</p> <p>This Norm is applicable to forest plantations in a unit of forest management, both public and private.</p> <p>4.1 Planification</p> <p>For the implementation and compliance of the criteria and indicators established, in the unit of forest management, a cohesive planification must take place with the concept of Sustainable Forest Management, seeking a balance between the conservation of the natural resources, historic-cultural and socio-economic aspects, productivity (technical, economic and financial) and the general society's well being.</p> <p>(...) In the planification of the different uses and functions of the management unit the role of the forest production in the rural development must be taken into consideration. The instruments of the established policies to support the production of goods and commercial and non commercial forest services must be used.</p> <p>6.1 CRITERION 1. - Conservation of biological diversity</p> <p>6.1.2.1 Justification: the natural ecosystems present in the management unit must be identified and evaluated to determine the sites, species or communities of importance for the conservation of the biological diversity.</p> <p>6.1.3. Indicator: surface of biological corridors and buffer zones</p> <p>6.1.3.1 Justification: the maintenance of biological corridors allows the connectivity of the ecosystems at a regional level and the movement of</p>



	<p>species between adjacent basins. It is necessary to establish buffer areas between habitats and/or ecosystems of interest and forest plantations, to avoid compromising the conservation.</p> <p>6.5 CRITERION 5 - Maintenance of the contribution of the forest to the global Carbon cycle</p> <p>6.5.1 Indicator: estate of the carbon capture.</p> <p>6.5.1.1 Justification: the forest resources are characterized by their capacity to act as net fixers of carbon. The maintenance or increase of the forest resource in extension or standing existences will mean a positive value for this indicator. The quantification of the existences and the growth rate of the resource allow the person responsible for the unit forest management to evaluate the contribution of the unit to the carbon capture.</p> <p>6.5.1.2 Objective: to maintain or increase the contribution to the net capture of carbon.”</p>
Assessors' comments	None
Result	Does conform

Requirement	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.
Evidence	<p>UNIT 1152:2014</p> <p>“4.2 General Plan of Management</p> <p>The unit of forest management must have a General Plan of Management. (...) The General Plan of Management must be a document itself, subject to periodical reviews, appropriate for the size and uses of the forest area, or a series of documents (...)</p> <p>6.7 CRITERION 7 - Legal, institutional and economic frame for the conservation and sustainable management of forests</p> <p>6.7.1 Indicator: state of compliance with the current legal frame for the forest management</p> <p>6.7.1.2 Objective: to identify and implement in the management unit the legal normative applicable.</p> <p>6.7.1.5 Documents: General Plan of Management. Applicable Current Legislation Compendium.”</p>
Assessors' comments	Forest management plans must be based on the full legal framework for forest management, it is therefore assumed this includes existing land-use plans.
Result	Does conform

Requirement	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
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techniques that minimise direct or indirect damage to forest, soil or water resources.	
Evidence	<p>UNIT 1152:2014</p> <p>“6.2. CRITERION 2: Maintenance and improvement of the productive capacity of the forest ecosystems.</p> <p>6.2.2 Indicator: periodic balance of the forest plantation in terms of effective forested area, growing existences, increase, mortality and harvest yields for the management unit</p> <p>6.2.2.1 Justification: the conservation of the productivity of the forest plantations in the management unit in the relationship between the increase in the growing existences and harvested volume, in periods of reference of the General Plan of Management.</p> <p>6.3 CRITERION 3 - Maintenance and improvement of the health and vitality of the forest ecosystems.</p> <p>6.3.1 Indicator: estate of the system of protection against fires, climatic agents and mechanical damages.</p> <p>6.3.1.1 Justification: (..) The planification of the silvicultural tasks must reduce to a minimum the mechanical damage to the forest populations.</p> <p>6.3.1.2 Objective: (...) To prevent mechanical damages caused by the silvicultural activities.</p> <p>6.4.3 Indicator: state of the soil resource</p> <p>6.4.3.3 Parameters: (...) Other parameters to be evaluated:</p> <ul style="list-style-type: none"> - silvicultural procedures for the prevention of mechanical damage to the soil during harvest, silvicultural treatments and transport; <p>6.4.4 Indicator: state of the quality of the water resource.</p> <p>6.4.4.4 Procedures:</p> <p>(...) - to establish procedures for forest activities that might affect the use of water (site preparation, plantation, silvicultural treatments, construction and maintenance of infrastructure, among others);”</p>
Assessors' comments	None
Result	Does conform

Requirement 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.	
Evidence	<p>UNIT 1152:2014</p> <p>“4.1 Planification</p> <p>For the implementation and compliance of the criteria and indicators established, in the unit of forest management, a cohesive planification must take place with the concept of Sustainable Forest Management, seeking a balance between the conservation of the natural resources,</p>



	<p>historic-cultural and socio-economic aspects, productivity (technical, economic and financial) and the general society's well being.</p> <p>(...)The instruments of the established policies to support the production of goods and commercial and non commercial forest services must be used.</p> <p>4.2 General Plan of Management</p> <p>The unit of forest management must have a General Plan of Management. (...) The General Plan of Management must be a document itself, subject to periodical reviews, appropriate for the size and uses of the forest area, or a series of documents that include, among others: (...) plans for fire protection of forests, (...) plans for monitoring and integrated control of pests and diseases, forestry plans of recuperation of forest areas affected by fire or climatic agents”</p>
Assessors' comments	None
Result	Does conform

Requirement	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.
Evidence	<p>UNIT 1152:2014</p> <p>“4.1 Planification</p> <p>(...) The planification of the unit of management must be formulated, documented and reviewed periodically, in the short and long term for: (...)</p> <p>- the production of a diversity of goods (wood and non wood products) and services in a sustainable way;”</p> <p>6.2. CRITERION 2: Maintenance and improvement of the productive capacity of the forest ecosystems.</p> <p>6.2.1 Indicator: genotypes used in the forested area to obtain wood and non wood products and services, in relation to the total area of the management unit</p> <p>6.2.1.2 Objective: to determine the ratio of the total area available to the management unit with forest production aptitude and the effective area forested and destined to other productions or uses.”</p>
Assessors' comments	None
Result	Does conform

Requirement	5.3.8 Adequate infrastructure such as roads, skid tracks or bridges shall be planned, established and maintained to ensure efficient delivery of goods and services while minimising negative impacts on the environment.
Evidence	<p>UNIT 1152:2014</p> <p>“6.1 CRITERION 1. Conservation of biological diversity</p>



	<p>6.1.2 Indicator: state of the ecosystems, species and their genetic diversity</p> <p>6.1.2.3 Parameters: The existence, when corresponds, of plans for (...) construction and maintenance of infrastructure, considering the conservation of ecosystems, species and their habitats.</p> <p>6.2. CRITERION 2: Maintenance and improvement of the productive capacity of the forest ecosystems.</p> <p>6.2.1 Indicator: genotypes used in the forested area to obtain wood and non wood products and services, in relation to the total area of the management unit</p> <p>6.2.1.1 Justification: (...) The equipments and techniques to use in each activity must be defined, as well as establish and maintain the necessary infrastructure to accomplish a Sustainable Forest Management.</p> <p>6.2.1.3 Parameters: - plans of construction and maintenance of infrastructure.”</p>
Assessors' comments	None
Result	Does conform

Requirement	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.
Evidence	<p>UNIT 1152:2014</p> <p>“4.1 Planification</p> <p>The planification of the forest management, territory inventory and mapping of forest resources shall identify, protect and/or preserve environmentally important forest areas that contain significant concentrations of:</p> <ul style="list-style-type: none"> -protected ecosystems, rare, vulnerable or representative, such as riparian or wetland biotopes; -areas containing endemic species and habitats of endangered species, as defined in recognized reference lists; - threatened or protected in situ genetic resources; <p>and take into account significant areas of landscape to global, regional, and national levels with natural distribution and abundance of natural existence;</p> <p>6.1 CRITERION 1. - Conservation of biological diversity</p> <p>6.1.2 Indicator: state of the ecosystems, species and their genetic diversity</p> <p>6.1.2.1 Justification: the natural ecosystems present in the management unit must be identified and evaluated to determine the sites, species or communities of importance for the conservation of the biological diversity.”</p>
Assessors' comments	None



Result	Does conform
Requirement	<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 in situ resources;</p> <p>and taking into account</p> <p>d) globally, regionally and nationally significant large landscape areas with natural distribution and abundance of naturally occurring species.</p>
Evidence	<p>UNIT 1152:2014</p> <p>“4.1 Planification</p> <p>The planification of the forest management, territory inventory and mapping of forest resources shall identify, protect and/or preserve environmentally important forest areas that contain significant concentrations of:</p> <p>-protected ecosystems, rare, vulnerable or representative, such as riparian or wetland biotopes;</p> <p>-areas containing endemic species and habitats of endangered species, as defined in recognized reference lists;</p> <p>- threatened or protected in situ genetic resources;</p> <p>and take into account significant areas of landscape to global, regional, and national levels with natural distribution and abundance of natural existence;”</p>
Assessors' comments	None
Result	Does conform

Requirement	<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>
Evidence	<p>UNIT 1152:2014</p> <p>“6.6 CRITERION 6 - Maintenance and improvement of the multiple socioeconomic benefits on the long term to cover the needs of the societies</p> <p>6.6.3 Indicator: estate of relation with the local communities</p> <p>6.6.3.1 Justification: the social and cultural aspects of the community must be incorporated for a Sustainable Forest Management, to generate benefits, for the management unit as well as the employees and communities and to favour the good understanding among them. (...)</p>



	6.6.3.2 Objective: (...) To consider in the planning of the forest management the work opportunities and opportunities to promote the activities in areas of influence such as the contribution to the rural development.”
Assessors' comments	None
Result	Does conform

Requirement	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.
Evidence	<p>UNIT 1152:2014</p> <p>“6.6 CRITERION 6 - Maintenance and improvement of the multiple socioeconomic benefits on the long term to cover the needs of the societies</p> <p>6.6.4 Indicator: estate of the conservation of the landscape, historical, cultural and recreational values</p> <p>6.6.4.1 Justification: the valorisation of the landscape, historical, cultural and recreational sites sites is fundamental for the achievement of the socioeconomic functions and the multiple use of the forest resources.</p> <p>6.6.4.3 Parameters:</p> <ul style="list-style-type: none"> - surface of the visual basins relevant to the management unit (ha); - location of the sites with historical, cultural and/or recreational significant values for the region; - outstanding aspects that characterize the visual basin values or attributes that give significance to the region; - operative plans (among other, silvicultural treatments, harvest, installation and maintenance of infrastructure) that consider the conservation and proper improvement of the historical, cultural recreational and/or landscape values of the management unit.”
Assessors' comments	None
Result	Does conform

Requirement	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.
Evidence	<p>UNIT 1152:2014</p> <p>“6.6.3 Indicator: estate of relation with the local communities</p>



	<p>6.6.3.1 Justification: the social and cultural aspects of the community must be incorporated for a Sustainable Forest Management, to generate benefits, for the management unit as well as the employees and communities and to favour the good understanding among them. The persons responsible of the unit of forest management must identify a person in charge of the relation with the local community.</p> <p>6.6.3.2 Objective: to promote the communication and good understanding of the communities implied in the productive process of the unit forest management. To consider in the planning of the forest management the work opportunities and opportunities to promote the activities in areas of influence such as the contribution to the rural development.</p> <p>6.6.3.4 Procedures: to establish opportunities to relate and interact with the communities including the reception and attention to suggestions, requests and complaints.”</p>
Assessors' comments	None
Result	Does conform



7. Group Certification Procedures

This chapter presents the findings of the assessment of the Group Forest Management Certification Procedures. In total two (2) non-conformities were found, which are both classified as minor. Corrective action requests are formulated for each of the non-conformities raised. The Standard and Scheme Requirement Checklist related to the Group Forest Management Certification can be found in Annex 1 part II, which presents all the conformities, non-conformities and related references.

7.1. Analysis

The procedures for Group Certification are regulated in DG 07.04, which is clearly structured and auditable. However, two (2) non-conformities were found.

7.2. Results: Non-Conformities

The non-conformities found in the Group Certification Procedures are presented in the tables below.

Requirement	4.2.1 The forest certification scheme shall define the following requirements for the function and responsibility of the group entity: 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;
Evidence	DG 07.04 Requirements for Group Certification “The Group Administrator functions are: 1. To guarantee that all activities related with the certification take place according to the requirements of the Sustainable Forestry Management System. 2. To comply and make comply with the norms of the Sustainable Forest Management by all the members of the group individually.”
Assessors’ comments	Although requirements for a commitment are in place for group members (see requirement 4.3.1a), and the cited references indicate the functions of the Group Administrator, no references were found ensuring provision of an explicit commitment on behalf of the whole group organization.
Result	Does not conform – minor
CAR	Provide evidence to show conformity or update the standard

Requirement	4.2.1 The forest certification scheme shall define the following requirements for the function and responsibility of the group entity: 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
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certification in the event of non-conformity with the sustainable forest management standard	
Evidence	<p>DG 07.04 Requirements for Group Certification</p> <p>“3. Group Certification</p> <p>The Group Certification requires the grouping of the interested parties, that will be administered by a legally constituted entity (company, association or person), or through an agreement, legally documented, where the Group Administrator will be appointed.</p> <p>5. Members of the Group Certification</p> <p>(...) Each group member must express in writing to the Group Administrator its interest in participating in the process and commit to comply with the requirements of the Sustainable Forestry Management System in a written agreement.</p> <p>7. Duties of the Group Certification members</p> <p>The group members must:</p> <p>(...) 2. commit to comply with the obligations imposed by the Sustainable Forestry Management System;</p> <p>3. commit to correct the no conformities identified during the audits and take preventive and corrective measures;</p> <p>8. Loss of the condition of member of the Group Certification</p> <p>A member of the Group Certification can be expelled if there has been a grave fault in the compliance with the system and no corrective action was implemented. Expulsion follows a written notification. The member expelled can re-join the group after a specified period, if the corresponding corrective actions have been applied. The Group Administrator has the power to decide about the expulsion and the period of restriction.”</p>
Assessors' comments	Although agreements are part of the requirements, and commitments are mentioned in other clauses, it is insufficiently ensured that the rights of the group entity shall be documented in a written agreement.
Result	Does not conform – minor
CAR	Provide evidence to show conformity or update the standard

7.3. Results: Selection of Conformities

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

Requirement	4.1.3 The forest certification scheme shall define requirements for group forest certification which ensure that participants' conformity with the sustainable forest management standard is centrally administered and is subject to central review and that all participants shall be subject to the internal monitoring programme.
Evidence	DG 07.04 Requirements for Group Certification



	<p>“4. Functions of the Group Administrator</p> <p>(...) The Group Administrator functions are:</p> <ol style="list-style-type: none"> 1. To guarantee that all activities related with the certification take place according to the requirements of the Sustainable Forestry Management System. 2. To comply and make comply with the norms of the Sustainable Forest Management by all the members of the group individually. 3. To establish and implement a written procedure for monitoring annually that each member of the group complies with its obligations. <ol style="list-style-type: none"> a. The internal monitoring will be done annually b. Each member of the group will be monitored annually c. The Group Administrator will revise the conformities of the monitoring with the Scheme of Forestry Management. This revision will include the results of the annual monitoring program, the corrective and preventive measures if required; and evaluate the effectiveness of the corrective measures applied d. The Group Administrator will keep a written register of all the steps of the annual monitoring (report of monitoring, no conformities, and corrective actions). 6. To keep a register of all forested areas and group members included in the group certificate, identifying the owner, manager and surface as well as keeping written registers of conformity agreements of the members with the requirements of the group certification scheme and the realization and evolution of the internal audits of each one of the members.”
Assessors' comments	None
Result	Does conform

Requirement	<p>4.3.1 The forest certification scheme shall define the following requirements for the participants:</p> <p>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;</p>
Evidence	<p>DG 07.04 Requirements for Group Certification</p> <p>“5. Members of the Group Certification</p> <p>(...) Each group member must express in writing to the Group Administrator its interest in participating in the process and commit to comply with the requirements of the Sustainable Forestry Management System in a written agreement.</p> <p>7. Duties of the Group Certification members</p> <p>The group members must:</p> <ol style="list-style-type: none"> 1. present in writing, to the Group Administrator, all forested areas under management that they wish to include in the Group Certification (...);



	2. commit to comply with the obligations imposed by the Sustainable Forestry Management System; 3. commit to correct the no conformities identified during the audits and take preventive and corrective measures;”
Assessors’ comments	None
Result	Does conform



8. Chain of Custody Standard

According to PEFC Uruguay, the PEFC Uruguay System uses the PEFC International standard for Chain of Custody. In DG 01.06 Current Documents Listings a reference is found to “Chain of Custody of Forest Based Products – Requirements” without the notification of the document code. However, both DG 03.05 Organisms of Forest Certification and DG 04.03 Criteria for Auditor Qualifications refer to PEFC ST 2002:2013 as being the standard for Chain of Custody. The Chain of Custody Standard of the PEFC Uruguay System therefore complies with PEFC Council’s requirements, no further assessment was carried out.



9. Certification and Accreditation Procedures

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

9.1. Analysis

The requirements for accreditation and certification are regulated in DG 03.05, and partly in DG 04.03. These define the qualification criteria that are to be met by certification bodies and auditors, as well as procedures connected to certification. The certification bodies must be endorsed by the Uruguayan Organism of Accreditation (Organismo Uruguayo de Acreditación, OUA) or other organization recognized by the International Accreditation Forum (IAF). Certifying bodies must comply with the requirements of ISO/IEC 17021.

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

- UNIT 1152:2014 Sustainable Forest Management - Criteria and Indicators
- DG 04.03 Criteria for Auditor Qualifications
- ISO 17065: Conformity assessment - Requirements for bodies certifying products, processes and services
- ISO 17021: Compliance assessment – Requirements for bodies offering auditing and certification of management systems
- ISO 19011: Guidelines for auditing management systems
- PEFC ST 2002:2013: Chain of custody of forest based products
- PEFC ST 2003:2012: Requirements for Certification Bodies operating Certification against the PEFC International Chain of Custody Standard

No reference is made to the Group Forest Management Procedures (DG 07.04). The certification and accreditation procedures are clearly structured and auditable. However, one observation is made:

- Requirement 19: Although DG 03.05 clause 3a allows certifying bodies to be endorsed by other organizations recognized by the IAF, clause 7h seems to imply that OUA is the only option.

9.2. Results

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



10. Other aspects

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

- **Notification of Certification Procedures**
These procedures are elaborated in DG 03.05 Organisms of Forest Certification, specifically chapter 4;
- **Logo Usage Rules**
These procedures are elaborated in DG 05.02 Use of PEFC Logo in Uruguay, and PEFC ST 2001:2008 is fully adopted by the PEFC Uruguay System;
- **Complaints and Dispute Resolution Procedures**
These procedures are elaborated in DG 06.01 Settlement of Disagreements.

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



Annex 1 PEFC Standard and Scheme Requirement Checklist

The tables below present the PEFC Standard Requirement Checklist, in which the following formatting is applied in the “reference” column:

- **Bold text** – Source of the quotation
- “Text between quotation marks” – Quotation from either standard, procedures, legislation, response from PEFC Uruguay, minutes etc.
- *Italic text* – Comments made by the Assessor.

Part I: PEFC Standard Requirements Checklist for standard setting

1 Scope

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

2 Checklist

Question	Assess. basis	YES /NO	Reference to application documents
Standardising Body			
4.1 The standardising body shall have written procedures for standard-setting activities describing:			
a) its status and structure, including a body responsible for consensus building (see 4.4) and for formal adoption of the standard (see 5.11),	Procedures	YES	<p>UNIT – N/RGFS 001 Rev 2.0 August 2014:</p> <p>“0.1 General Procedure</p> <p>To prepare standards, UNIT must ensure balanced representation of consumers and producers considering also the opinion of sectors (...). To this effect UNIT constitutes Specialized Committees (SC) whose membership shall be approved by the Council Board. These Committees shall proceed to prepare a draft standard which must be approved by consensus criteria (absence of reasoned opposition). (...)</p> <p>One year after approval by the Council Board the UNIT standards are subject to final ratification in the next General Assembly Meeting.”</p> <p>DG 10.02 PEFC URUGUAY - Guide for the functioning of the Specialized Committee of Sustainable Forestry Management</p>



Question	Assess. basis	YES /NO	Reference to application documents
			<p>“2. The UNIT Rules for the Specialized Committee of Sustainable Forestry UNIT- N/RGFS 001 Rev 2.0. August 2014 establishes general guidelines for the creation, organization, functioning and dissolution of the UNIT Specialized Committee of Sustainable Forestry Management.”</p> <p><i>In the case of PEFC Uruguay, standard setting is done by a specialized institution, called UNIT (Instituto Uruguayo de Normas Tecnicas). UNIT is a private institution. UNIT has developed the Sustainable Forestry Management Standard, according to the N/RGFS 001 Rev 2.0 (August 2014) – Rules for the Specialized Committee of SFM and additional requirements (Standard Setting requirements). DG10.02 Guide for the functioning of the Specialized Committee of Sustainable Forestry Management is a procedure in the PEFC Uruguay Scheme, elaborated to complement the standard setting, and specifically address requirements of the PEFC standard setting process. Although the DG10.02 is called a <u>Guide</u> for the functioning of (...), the text has a normative character, and the procedure is therefore considered normative.</i></p>
b) the record-keeping procedures,	Procedures	YES	<p>UNIT – N/RGFS 001 Rev 2.0 August 2014:</p> <p>“3.3 Technical Secretary (TS)</p> <p>3.3.1 From the operational stand point, the Specialized Committee will be managed by a Technical Secretary (TS) appointed by UNIT.</p> <p>3.3.4 The TS will be responsible for maintaining all records approved by the SC during the standard development process and have them accessible for consultation by interested parties under request.”</p>
c) the procedures for balanced representation of stakeholders,	Procedures	YES	<p>UNIT – N/RGFS 001 Rev 2.0 August 2014:</p> <p>“3.1.1 The specialized committees will be integrated, as much as possible, in such a way that assures balance in the representation and decision making between different stakeholders relevant to the subject matter, and must also be integrated with members of equidistant position.</p> <p>3.1.2 The following stakeholders will be invited to join the Specialized Committee:</p> <p>Authorities, Producers, Academy, Research Centers, Professional Associations, Parties related / affected, Workers, NGOs, UNIT member with related activities, other companies, organizations or individuals related / affected.”</p>
d) the standard-setting process,	Procedures	YES	<p>UNIT – N/RGFS 001 Rev 2.0 August 2014: Rules for the Specialized Committee of Sustainable Forestry Management</p>



Question	Assess. basis	YES /NO	Reference to application documents
			<p>DG 10.02 PEFC URUGUAY - Guide for the functioning of the Specialized Committee of Sustainable Forestry Management</p> <p><i>Observations:</i></p> <ul style="list-style-type: none"> - <i>these two documents describe the rules to be followed during the standard setting process of the SFM standard. They do not refer to standard setting of other documents that are part of the certification scheme.</i> - <i>The status of the DG 10.02 is not clear. No reference is found whether this is guidance or a normative document. According to PEFC Uruguay, it is a procedure of the PEFC Uruguay Scheme (implying it is normative).</i>
<p>e) the mechanism for reaching consensus, and</p>	<p>Procedures</p>	<p>YES</p>	<p>UNIT – N/RGFS 001 Rev 2.0 August 2014:</p> <p>“0.1 General procedure</p> <p>These Committees shall proceed to prepare a draft standard which must be approved by consensus criteria (absence of reasoned opposition). (...). Once the results of the survey have been analyzed and agreed the final draft, it shall be approved by the members of the Select Committee on the criterion of consensus.</p> <p>4.4.3 Agreements of the SC shall preferably be taken by consensus.</p> <p>Consensus: general agreement, characterized by the absence of strong opposition to key issues by any important part of the concerned interests and by a process that considers views of all interested parties and the reconciliation of any divergent position.</p> <p>NOTE - consensus does not necessarily imply unanimity</p> <p>Within ISO, in case of doubt regarding consensus, the approval by a majority of two thirds of votes of the P1 members of the Committee or Subcommittee members can be sufficient to ensure that the Committee's draft will be accepted for registration in the stage of consultation; however, it should be necessary to try to solve all negative votes.</p> <p>4.4.6 In the case of a negative vote which represents a sustained opposition to any important part of the concerned interest surrounding a substantive issue, the issue will be resolved using the following mechanisms:</p> <p>a. discussion and negotiation on the disputed issue within the working group in order to find a compromise;</p>



Question	Assess. basis	YES /NO	Reference to application documents
			<p>b. direct negotiation between the stakeholders submitting the objection (s) and stakeholders with different views on the disputed issue in order to find a compromise;</p> <p>c. dispute resolution process.</p> <p>In case of doubt regarding the consensus, approval by a simple majority of full members of the Committee can be sufficient to ensure that the project be elevated to the Norms General Committee (NGC).”</p>
f) revision of standards/normative documents.	Procedures	YES	<p>UNIT – N/RGFS 001 Rev 2.0 August 2014: ANNEX A - MODIFICATION OR CANCELLATION OF UNIT STANDARDS <i>This Annex describes procedures for revision</i></p>
4.2 The standardising body shall make its standard-setting procedures publicly available and shall regularly review its standard-setting procedures including	Procedures	YES	<p>UNIT – N/RGFS 001 Rev 2.0 August 2014: “7, - Availability and revisions of this procedure This procedure for the elaboration of the UNIT standards for Sustainable Forestry Management is freely available at UNIT’s web page (www.unit.org.uy). This procedure is an independent process on which comments may be submitted, in writing, at any time and by anyone. These comments will be analyzed during the revision periods of this procedure, which will be sought to match with the revision periods of the technical standards for sustainable forest management. If comments, received at any time, are of great importance, then they will be treated as a claim and will apply the specific procedure (see Appendix B).”</p>
consideration of comments from stakeholders.	Process	YES	<p><i>DG 10.02 PEFC URUGUAY - Guide for the functioning of the Specialized Committee of Sustainable Forestry Management is available from http://www.pefc.com.uy/documentacion</i> <i>The document N/RGFS 001 Rev 2.0 August 2014; rules for the specialized committee of sustainable forestry management is available (in Spanish) through the UNIT extranet. All member of the Specialized Committee of FM can access the document through the extranet.</i> <i>Any other person can access a copy of the document requesting it in writing to UNIT through the contact information in the web or through the social networks facebook, twitter, linkedin, google+.</i> <i>The N/RGFS 001 has been revised in August 2014 (indicated with Rev 2.0), after the extraordinary assessments. Additional texts, compared to a previous version, are marked in blue. According to PEFC Uruguay, no comments with regard to the Standard setting process were received.</i></p>



Question	Assess. basis	YES /NO	Reference to application documents
<p>4.3 The standardising body shall keep records relating to the standard-setting process providing evidence of compliance with the requirements of this document and the standardising body's own procedures. The records shall be kept for a minimum of five years and shall be available to interested parties upon request.</p>	Procedures	YES	<p>UNIT – N/RGFS 001 Rev 2.0 August 2014:</p> <p>“4.4.9 The secretary keeps the records and minutes of the meeting generated during the process. This information is available to all Committee members and by previous application, is also available to any other person or institution. The records and the minutes of the meetings in electronic format are guarded by the Department of Standardization for a period of at least 5 years.”</p>
	Process	YES	<p>Additional explanation provided by PEFC Uruguay</p> <p>“Records are kept in the UNIT EXTRANET- https://extranet.unit.org.uy/ig/?/nm/home</p> <p>During the process of revision, the members of the Committee are assigned a username that remains active during the 5 years the records are kept.”</p> <p><i>The Assessor had been given access to the Extranet facilities, content was checked.</i></p>
<p>4.4 The standardising body shall establish a permanent or temporary working group/committee responsible for standard-setting activities.</p>	Procedures	YES	<p>UNIT – N/RGFS 001 Rev 2.0 August 2014:</p> <p>“0.1 General Procedure</p> <p>To prepare standards, UNIT must ensure balanced representation of consumers and producers considering also the opinion of sectors on equidistant position of each other in the number deemed necessary.</p> <p>To this effect UNIT constitutes Specialized Committees (SC) whose membership shall be approved by the Council Board. These Committees shall proceed to prepare a draft standard which must be approved by consensus criteria (absence of reasoned opposition).</p> <p>1. Scope</p> <p>This procedure establishes the general guidelines governing the establishment, organization, operation and dissolution of the Specialized Committee (SC) of Sustainable Forest Management.”</p>



Question	Assess. basis	YES /NO	Reference to application documents
	Process	YES	<p><i>A list of SC member was provided by PEFC Uruguay. There were 14 'titulares', 9 'alternos' and a Secretary from UNIT. The Titular is the main delegate and the representative of the organization. The Alternate can take his/her place in case of absence. The Alternate can also participate in meetings, together with the Titular, but in those cases the Alternate has no voting right. All the people on the list had access to the UNIT Extranet facilities.</i></p> <p><i>Also, from the stakeholder survey, it became clear that there has been a functioning 'Specialized Committee'. Functioning of the Specialized Committee during the standard setting process is reported on in Annex 2.</i></p>
4.4 The working group/committee shall:			
a) be accessible to materially and directly affected stakeholders,	Procedures	YES	<p>UNIT – N/RGFS 001 Rev 2.0 August 2014:</p> <p>“3.1.2 The following stakeholders will be invited to join the Specialized Committee:</p> <ul style="list-style-type: none"> • Authorities • Producers • Academy • Research Centers • Professional Associations • Parties related / affected (Rural Association of Uruguay, Inter-American Institute for Cooperation on Agriculture IICA, PEFC Uruguay and certified companies) • Workers • NGOs • UNIT members with related activities • Other companies, organizations or individuals related / affected”
	Process	YES	<p>Announcement letter dd 14-02-2014:</p> <p>“In order to make the adjustments, we are inviting all the interested parties to nominate persons that will participate in the Specialized Committee that will work on these documents. For the integration of the SC, we are requesting delegates to the following Institutions: (follows lists of institutions – see Annex A of the SFM standard 1152:2014).</p>

Question	Assess. basis	YES /NO	Reference to application documents
			<p>In case of being interested, we appreciate the designation of a delegate and an alternate delegate to be part of the SC, completing the form with the required information. The first meeting of the SC will be on March 27th at 2 pm in UNIT (address).”</p> <p><i>Materially and directly affected stakeholders, such as producers and private companies, were also actually represented in the SC, either directly or through their associations (e.g. Sociedad De Productores Forestales -SPF).</i></p>
<p>b) have balanced representation and decision-making by stakeholder categories relevant to the subject matter and geographical scope of the standard where single concerned interests shall not dominate nor be dominated in the process, and</p>	<p>Procedures</p>	<p>YES</p>	<p>UNIT – N/RGFS 001 Rev 2.0 August 2014:</p> <p>“3.1.1 The specialized committees will be integrated, as much as possible, in such a way that assures balance in the representation and decision making between different stakeholders relevant to the subject matter, and must also be integrated with members of equidistant position.</p> <p>3.1.2 The following stakeholders will be invited to join the Specialized Committee:</p> <ul style="list-style-type: none"> • Authorities • Producers • Academy • Research Centers • Professional Associations • Parties related / affected • Workers • NGOs • UNIT members with related activities • Other companies, organizations or individuals related / affected” <p><i>Observation: The <u>geographical scope</u> of the standard is not considered in the stakeholder identification, however, considering the size of Uruguay, this seems justified.</i></p>
	<p>Process</p>	<p>NO</p>	<p><i>The SC was hosted by UNIT, and had 14 ‘titulares’ (including one representative of PEFC Uruguay), 9 ‘alternos’ (including one representative of PEFC Uruguay) and was facilitated by a secretary of UNIT. The Titular is the main delegate and the representative of the organization. The Alternate can take his/her place in case of absence. The Alternate can also participate in meetings, together with the Titular, but in those cases the Alternate has no voting right.</i></p>



Question	Assess. basis	YES /NO	Reference to application documents
			<p><i>Division of representatives over stakeholder categories (in the SC):</i></p> <ul style="list-style-type: none"> <i>1 UNIT-member with related activities</i> <i>2 Authorities</i> <i>4 Academy and Research</i> <i>2 Producers</i> <i>2 Parties related / affected</i> <i>1 Professional Association</i> <i>1 Bank (BSE is a social insurance bank from the government, providing insurance coverage to all workers working under legal conditions)</i> <i>1 unknown category (IICA)</i> <p><i>Most stakeholder categories were represented in the SC, except for Workers and NGOs.</i></p> <p><i>Workers: The Ministry of Employment and Social Security was invited, but did not send a delegate to the SC. Workers' rights were represented indirectly in the SC, because SC-member BSE is a social insurance bank from the government, providing insurance coverage to all workers working under legal conditions,</i></p> <p><i>Based on the stakeholder survey (annex 2), the following can be concluded: According to 11 respondents, the Committee had a balanced representation. 4 respondents did not know whether there was a balanced representation. Several comments were made:</i></p> <ul style="list-style-type: none"> <i>• Small-holders were not represented;</i> <i>• The accreditation body was not invited to participate;</i> <i>• Trade Unions and Workers Unions were not represented, but they were consulted during the process;</i> <i>• The call for participation was broad in terms of sectors and appropriate in terms of time and form, but that many stakeholders failed to participate, which would have been typical for the actors of the country.</i> <p><i>PEFC Uruguay commented that OUA (Organismo Uruguayo de Acreditación) is part of the Uruguayan System of Normalization, Accreditation, Metrology and Evaluation of Conformity, and was involved in the process through UNIT.</i></p>



Question	Assess. basis	YES /NO	Reference to application documents
			<p><i>PEFC Uruguay further comments that Emails have been sent at the start of the revision process, to promote participation in the SC (copies provided to the assessor), and that phone calls were made (no records available).</i></p> <p>Additional explanation provided by PEFC Uruguay</p> <p>“The association of NGOs of Uruguay concentrates a large number of associates (...). They did not respond to the invitation by any means. They usually do not participate in this kind of committees. Vida Silvestre, an environmental NGO, was contacted directly because of its trajectory in Uruguay and their work in coordination with forestry companies. Vida Silvestre also belongs to the association of NGOs, but still were not delegated to participate in the SC but still two members of Vida Silvestre participated in two of the meetings.”</p> <p><i>Although one NGO (Vida Silvestre) took part in the 4th and 5th meeting of the SC, they were not involved officially in decision-making. Therefore, the SC did not have a balanced representation of stakeholders, as NGOs representing environmental and social issues were not part of the SC. It remains unclear if other efforts have been made to officially involve NGO's that could represent the environmental and social interests.</i></p>
<p>c) include stakeholders with expertise relevant to the subject matter of the standard, those that are materially affected by the standard, and those that can influence the implementation of the standard. The materially affected stakeholders shall represent a</p>	<p>Procedures</p>	<p>NO</p>	<p>UNIT – N/RGFS 001 Rev 2.0 August 2014:</p> <p>“3.1.1 The specialized committees will be integrated, as much as possible, in such a way that assures balance in the representation and decision making between different stakeholders relevant to the subject matter, and must also be integrated with members of equidistant position.</p> <p>3.1.2 The following stakeholders will be invited to join the Specialized Committee:</p> <ul style="list-style-type: none"> • Authorities • Producers (and harvesters) • Academy • Research Centers • Professional Associations • Parties related / affected • Workers • NGOs

Question	Assess. basis	YES /NO	Reference to application documents
meaningful segment of the participants.			<ul style="list-style-type: none"> • UNIT members with related activities • Other companies, organizations or individuals related / affected 3.1.3 The initial composition of the SC is agreed with the Board of Directors at the moment it is created. The SC, in turn, may propose additional representatives, not yet considered, to integrate the Committee. 3.1.4 The initial composition of the SC will be reviewed before a new working project, including periodic revision of an already existing standard. The review will include consideration of the balanced representation and invitation of potential members as outlined in 3.1.2 and 3.1.3. Systematic identification of the stakeholders is performed each time the standard is revised.” <i>Although materially affected stakeholders are listed to be invited to join the SC, and there is the possibility to change the initial composition of the SC (3.1.3), it is not ensured that materially affected stakeholders shall represent a meaningful segment of the participants.</i>
	Process	YES	<i>Respondents of the stakeholder survey (Annex 2) concluded that the members of the Committee had sufficient expertise to contribute. In total 4 of 14 SC members represented materially affected stakeholders (producers, private companies or their associations).</i>
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	UNIT – N/RGFS 001 Rev 2.0 August 2014: “7. If comments, received at any time, are of great importance, then they will be treated as a claim and will apply the specific procedure (see Appendix B). Annex B, Claim procedure This procedure aims to describe the systematic for the processing and resolution of complaints by the general public.”
	Process	YES	<i>According to PEFC Uruguay, no complaints have been received. This was confirmed by the stakeholder survey (annex 2): None of the respondents was aware of any substantive or procedural complaint related to the standard-setting process.</i>
4.5 Upon receipt of the complaint, the standard-setting body shall:			
	Procedures	YES	UNIT – N/RGFS 001 Rev 2.0 August 2014:

Question	Assess. basis	YES /NO	Reference to application documents
a) acknowledge receipt of the complaint to the complainant,			“Annex B, Claim procedure 4.1 Claims must be submitted in writing and addressed to the Director of UNIT, giving arguments about the reasons behind them. Upon receipt of the claim Acknowledgement is given to the complainant.”
	Process	N/A	See 4.5.
b) gather and verify all necessary information to validate the complaint, impartially and objectively evaluate the subject matter of the complaint, and make a decision upon the complaint, and	Procedures	YES	UNIT – N/RGFS 001 Rev 2.0 August 2014: “Annex B, Claim procedure 3.1 Claim: Formal action presented to UNIT regarding dissatisfaction with respect to any operational aspect of the standardization process. 3.2 CAC: Committee on Quality Assurance 3.3 GN: Standardization Manager 4.2 Resolution of the claim The Director is responsible for: - Assess whether the claim takes place or not. - Investigate the cause of the claim. - Inform the CAC. The CAC is responsible for making a decision. If deemed necessary, it can submit the decision for its ratification by the Council Board. The decision shall be communicated in writing to the person concerned. As a result of the investigation, the Director in conjunction with the GN can initiate corrective or preventive actions. 5. The Director is responsible for the investigation and report, regarding claims submitted to UNIT with respect to the standardization process.”
	Process	N/A	See 4.5.
c) formally communicate the	Procedures	NO	UNIT – N/RGFS 001 Rev 2.0 August 2014: “Annex B, Claim procedure

Question	Assess. basis	YES /NO	Reference to application documents
<p>decision on the complaint and of the complaint handling process to the complainant.</p>			<p>4.2 The CAC is responsible for making a decision. If deemed necessary, it can submit the decision for its ratification by the Council Board. The decision shall be communicated in writing to the person concerned.”</p> <p>Clarification by PEFC Uruguay:</p> <p>“The UNIT standard setting process is a general procedure for all standards generated in UNIT. RGFS is based in that standard plus some considerations specific to forest management standards.</p> <p>Annex B, Claim procedures establishes TWO instances of written communication with the complainant:</p> <p>1) Written acknowledgement of the reception of the complainant, which also explain that the complaint will be processed through item 4.2 of the RGFS.</p> <p>2) Written communication to the complainant of the resolution of the process.”</p> <p><i>The procedures insufficiently ensure that the complaint handling process (follow-up) is communicated to the complainant.</i></p>
	Process	N/A	See 4.5.
<p>4.6 The standardising body shall establish at least one contact point for enquiries and complaints relating to its standard-setting activities. The contact point shall be made easily available.</p>	Procedures	YES	<p>UNIT – N/RGFS 001 Rev 2.0 August 2014:</p> <p>“Annex B, Claim procedure</p> <p>4.1 Receipt of complaints</p> <p>Claims must be submitted in writing and addressed to the Director of UNIT”</p> <p>Additional explanation provided by PEFC Uruguay:</p> <p>“Contact information of the UNIT Director is available in the UNIT web. Contact information for all sectors of UNIT, including the Director are available at: http://www.unit.org.uy/acerca/contacto/”</p> <p>DG 10.02 PEFC URUGUAY - Guide for the functioning of the Specialized Committee of Sustainable Forestry Management:</p> <p>“4.2.1 The announcement will include:</p> <p>(...) g) Indicate that all claims and comments on the process can be presented to UNIT at any time and by anyone. Claims and comments must be addressed in writing to the DIRECTOR of UNIT, through the contact information of the UNIT webpage: http://www.unit.org.uy/acerca/contacto/ , via e-mail to unit-iso@unit.org.uy</p>

Question	Assess. basis	YES /NO	Reference to application documents
			or via letter to UNIT- Plaza Independencia 812 P2. Comments will be processed according to the steps established in Standard UNIT- N/RGFS 001 Rev 2.0. August 2014, Annex B.”
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>UNIT – N/RGFS 001 Rev 2.0 August 2014:</p> <p>“3.1.2 The following stakeholders will be invited to join the Specialized Committee: Authorities, Producers, Academy, Research Centers, Professional Associations, Parties related / affected, Workers, NGOs, UNIT members with related activities, other companies, organizations or individuals related / affected.</p> <p>3.1.3 The initial composition of the SC is agreed with the Board of Directors at the moment it is created. The SC, in turn, may propose additional representatives, not yet considered, to integrate the Committee</p> <p>The identification of the disadvantaged stakeholders will take place on two levels.</p> <ul style="list-style-type: none"> c) In consultation with representatives of governmental authorities with jurisdiction in the matter (...). Similarly the identification of key sectors is done in consultation with national authorities responsible for implementing the national policies. d) in consultation with the members already appointed in the Specialized Committee <p>3.1.4 The initial composition of the SC will be reviewed before a new working project, including periodic revision of an already existing standard. The review will include consideration of the balanced representation and invitation of potential members as outlined in 3.1.2 and 3.1.3. Systematic identification of the stakeholders is performed each time the standard is revised.”</p>
	Process	YES	<p>UNIT 1152:2014 Sustainable Forest Management - Criteria and Indicators:</p> <p>“Annex A - For the review of UNIT 1152:2014 the following Institutions were summoned: Ministerio de Ganadería Agricultura y Pesca (c.c. Dirección General forestal, Dirección General de Recursos Naturales Renovables); Ministerio de Trabajo y Seguridad Social (c.c. Inspección General del Trabajo y Seguridad Social); Ministerio de Vivienda Ordenamiento Territorial y Medio Ambiente (c.c. Dirección Nacional de Medio Ambiente); Universidad de la República, Facultad de Agronomía (c.c. Departamento de Producción Forestal y Tecnología de la Madera, Departamento de Suelos y Aguas, Unidad de Sistemas Ambientales), Instituto Nacional de Investigación Agropecuaria (INIA), Instituto Interamericano de Cooperación para la Agricultura (IICA); Asociación rural del Uruguay (ARU); Sociedad de Productores Forestales (SPF); Asociación de</p>

Question	Assess. basis	YES /NO	Reference to application documents
			<p>Empresas contratistas Forestales del Uruguay (ASECFUR); Plenario Interdisciplinario de Trabajadores- Conferencia Nacional de Trabajadores (PIT-CNT); Asociación Sindical Uruguaya (ASU); Asociación Nacional de ONGs (ANOG);ONG Vida Silvestre; Asociación de Ingenieros Agrónomos (AIA); Banco de Seguros del Estado (BSE); ANEP- Consejo de Educación Técnico Profesional; Administración Nacional de Usinas y Trasmisiones Eléctricas (UTE) and related companies.”</p> <p><i>Compared to the stakeholder categories and identification as described in UNIT – N/RGFS 001 Rev 2.0 August 2014, the above mentioned organizations are considered relevant to the objectives and scope of the standard-setting work.</i></p>
<p>5.2 The standardising body shall identify disadvantaged and key stakeholders. The standardising body shall address the constraints of their participation and proactively seek their participation and contribution in the standard-setting activities.</p>	<p>Procedures</p>	<p>YES</p>	<p>UNIT – N/RGFS 001 Rev 2.0 August 2014:</p> <p>“3.1.3 (...) The identification of the disadvantaged stakeholders will take place on two levels.</p> <p>b) In consultation with representatives of governmental authorities with jurisdiction in the matter The interests of the general population and in particular of the most vulnerable (or disadvantaged) sectors are of permanent concern and custody by the competent ministries. (...) Similarly the identification of key sectors is done in consultation with national authorities responsible for implementing the national policies.</p> <p>c) in consultation with the members already appointed in the Specialized Committee</p> <p>The Specialized Committee may propose the integration of other committee representatives that have not been invited in the first instance and in that sense the Specialized Committee will act proactively to identify and encourage the participation of disadvantaged groups of sectors. The Specialized Committee will promote that the representatives of the key sectors provide the necessary support to ensure that minority and disadvantaged sectors can participate in the process.”</p>
	<p>Process</p>	<p>NO</p>	<p>Clarification of PEFC Uruguay:</p> <p>“The procedure establishes that invitations are sent to stakeholders representing ALL sectors associated to forest management. For Uruguay, these sectors are mostly nucleated in associations (Rural Association, forest owners’ associations, professionals association, NGOs associations), government public administration, government environmental administration, social security institutions, academia, research, international organizations, etc).</p>

Question	Assess. basis	YES /NO	Reference to application documents
			<p>Uruguay has no native communities or communities with land claims or similar that should be considered in the process. Other possible disadvantaged stakeholders, were considered to be covered in some of the associations invited or by public government representation as established in N/RGFS 001 Rev 2.0.</p> <p>(...) The association of NGOs of Uruguay concentrates a large number of associates (...). They did not respond to the invitation by any means. They usually do not participate in this kind of committees. Vida Silvestre, an environmental NGO, was contacted directly because of its trajectory in Uruguay and their work in coordination with forestry companies. Vida Silvestre also belongs to the association of NGOs, but still were not delegated to participate in the SC but still two members of Vida Silvestre participated in two of the meetings (...). The association of NGOs was contacted again at the time of the beginning of the Public Consultation indicating that the revised version of the standard was public for comments.”</p> <p><i>Annex A of UNIT 1152:2014 presents a list of stakeholders that were invited. From the clarification it is understood that disadvantaged stakeholders are covered by inviting their associations and NGO's. However, it remains unclear whether their participation is proactively sought. It is for instance unclear what additional efforts have been made to include the NGO's.</i></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</p>	<p>Procedures</p>	<p>YES</p>	<p>UNIT – N/RGFS 001 Rev 2.0 August 2014:</p> <p>“4.- FUNCTIONING OF THE SPECIALIZED COMMITTEES</p> <p>The start of the Committee's activities for the development or the revision of the technical standards will be communicated publicly. The announcement will be made in the UNIT website or through other appropriate means. The announcement will include the starting date of the activities (...).”</p> <p>DG 10.02 PEFC URUGUAY - Guide for the functioning of the Specialized Committee of Sustainable Forestry Management</p> <p>“4.2.1 (...) The beginning of the Committee activities for the elaboration or revision of the standards will be publicly announced at least 7 days before the beginning of the activities.</p> <p>The announcement will be done:</p> <ul style="list-style-type: none"> a) In the UNIT webpage (www.unit.org.uy) b) In the PEFC Uruguay webpage (www.pefc.com.uy) c) Through any other media considered appropriate



Question	Assess. basis	YES /NO	Reference to application documents
meaningful contributions.			<p>The announcement will include:</p> <p>a) Date of the beginning of the activities</p> <p>(...) c) An invitation to participate through comments on the scope and process during the revision process. In order to receive and process the comments received, links to the UNIT and PEFC Uruguay webs will be indicated. (...)</p> <p>4.2.2. In addition to the general announcement, formal notifications will be sent to potential members for the Specialized Committee through their institutions, via mail or e-mail.</p> <p>Invitations will include:</p> <p>a) date of the start of the activities”</p>
	Process	YES	<p>Announcement letter dd 14-02-2014:</p> <p>“In order to make the adjustments, we are inviting all the interested parties to nominate persons that will participate in the Specialized Committee that will work on these documents. For the integration of the SC, we are requesting delegates to the following Institutions:</p> <p>(follows lists of institutions – see Annex A of the SFM standard 1152:2014).</p> <p>In case of being interested, we appreciate the designation of a delegate and an alternate delegate to be part of the SC, completing the form with the required information. The first meeting of the SC will be on March 27th at 2 pm in UNIT (address).”</p> <p>Website UNIT: http://www.unit.org.uy/novedades/ver/989/</p> <p>“Those organizations or persons interested to participate in the revision process of the UNIT 1151:2009 and UNIT 1152:2009, can contact UNIT at unit-iso@unit.org.uy (Tel 29012048) for more information.”</p> <p><i>The announcement letter was sent to identified stakeholders and a brief news issue was published on the UNIT website. From the announcement letter quoted above, it becomes clear that the invitation to participate was made on the 14th of February 2014, while the first meeting of the committee was almost 6 weeks later, which is considered ‘in a timely manner’.</i></p>
5.3 The announcement and invitation shall include:			
	Procedures	YES	UNIT – N/RGFS 001 Rev 2.0 August 2014:

Question	Assess. basis	YES /NO	Reference to application documents
<p>a) information about the objectives, scope and the steps of the standard-setting process and its timetable,</p>			<p>“3.1.2 Potential members of the SC will receive invitations through their institutions (mail or email) with a brief explanation about the scope and objectives, working schedule, etc. At the same time UNIT will publish in its website a more detailed program with an invitation for other institutions to participate.</p> <p>4.- FUNCTIONING OF THE SPECIALIZED COMMITTEES</p> <p>The start of the Committee's activities (...) will be communicated publicly. The announcement will be made in the UNIT website or through other appropriate means. The announcement will include the starting date of the activities and a brief description of the objective and scope of the standards.”</p> <p>DG 10.02 PEFC URUGUAY - Guide for the functioning of the Specialized Committee of Sustainable Forestry Management</p> <p>“4.2.1 (...) The beginning of the Committee activities for the elaboration or revision of the standards will be publicly announced at least 7 days before the beginning of the activities.</p> <p>The announcement will include:</p> <ul style="list-style-type: none"> a) Date of the beginning of the activities b) Brief description of the objectives of the process and scope of the standards to be reviewed c) An invitation to participate through comments on the scope and process during the revision process. <p>4.2.2. In addition to the general announcement, formal notifications will be sent to potential members for the Specialized Committee through their institutions, via mail or e-mail.</p> <p>Invitations will include:</p> <ul style="list-style-type: none"> a) date of the start of the activities b) Brief description of the objectives of the process and scope of the standards under revision.”
	Process	NO	<p>Announcement letter dd 14-02-2014:</p> <p>“The UNIT Standards for SFM (...). The aim of these standards were to define the principles, requirements and indicators to present evidence of the sustainable management of the forestry exploitations (...).</p> <p>In 2009, the SPF requested the endorsement to the PEFC system, which was finalized in 2010, assuming the responsibilities required by the system. After the endorsement, PEFC changed some of its standards and as a consequence PEFC Uruguay must incorporate some modifications to adjust to the changes. In particular, it is necessary to adequate the UNIT standard 1151 and UNIT 2252, as well as some of the</p>



Question	Assess. basis	YES /NO	Reference to application documents
			<p>procedures associated to their elaboration and approval. In order to make the adjustments, we are inviting all the interested parties to nominate persons that will participate in the Specialized Committee that will work on these documents.”</p> <p><i>The announcement letter does not contain information on the standard setting process and its timetable.</i></p>
<p>b) information about opportunities for stakeholders to participate in the process,</p>	<p>Procedures</p>	<p>YES</p>	<p>UNIT – N/RGFS 001 Rev 2.0 August 2014:</p> <p>“3.1.2 Potential members of the SC will receive invitations through their institutions (mail or email) (...). At the same time UNIT will publish in its website a more detailed program with an invitation for other institutions to participate. The invitations will include the full list of institutions and organizations that are being called to join the SC.”</p> <p>DG 10.02 PEFC URUGUAY - Guide for the functioning of the Specialized Committee of Sustainable Forestry Management</p> <p>“4.2.1 (...) The beginning of the Committee activities for the elaboration or revision of the standards will be publicly announced at least 7 days before the beginning of the activities.</p> <p>The announcement will be done:</p> <ul style="list-style-type: none"> a) In the UNIT webpage (www.unit.org.uy) b) In the PEFC Uruguay webpage (www.pefc.com.uy) c) Through any other media considered appropriate <p>The announcement will include: (...)</p> <ul style="list-style-type: none"> c) An invitation to participate through comments on the scope and process during the revision process. In order to receive and process the comments received, links to the UNIT and PEFC Uruguay webs will be indicated. (...) <p>4.2.2. In addition to the general announcement, formal notifications will be sent to potential members for the Specialized Committee through their institutions, via mail or e-mail.</p> <p>Invitations will include:</p> <ul style="list-style-type: none"> a) date of the start of the activities b) Brief description of the objectives of the process and scope of the standards under revision.”



Question	Assess. basis	YES /NO	Reference to application documents
	Process	YES	<p>Announcement letter dd 14-02-2014:</p> <p>“After the endorsement, PEFC changed some of its standards and as a consequence PEFC Uruguay must incorporate some modifications to adjust to the changes. (...) In order to make the adjustments, we are inviting all the interested parties to nominate persons that will participate in the Specialized Committee that will work on these documents.”</p>
<p>(c) an invitation to stakeholders to nominate their representative(s) to the working group/committee. The invitation to disadvantaged and key stakeholders shall be made in a manner that ensures that the information reaches intended recipients and in a format that is understandable,</p>	Procedures	YES	<p>UNIT – N/RGFS 001 Rev 2.0 August 2014:</p> <p>“3.1.2 Potential members of the SC will receive invitations through their institutions (mail or email) (...). At the same time UNIT will publish in its website a more detailed program with an invitation for other institutions to participate. The invitations will include the full list of institutions and organizations that are being called to join the SC.</p> <p>(...) The Specialized Committee may propose the integration of other committee representatives that have not been invited in the first instance and in that sense the Specialized Committee will act proactively to identify and encourage the participation of disadvantaged groups of sectors. The Specialized Committee will promote that the representatives of the key sectors provide the necessary support to ensure that minority and disadvantaged sectors can participate in the process.”</p>
	Process	YES	<p>Announcement letter dd 14-02-2014:</p> <p>“In order to make the adjustments, we are inviting all the interested parties to nominate persons that will participate in the Specialized Committee that will work on these documents.</p> <p>For the integration of the SC, we are requesting delegates to the following Institutions: (follows lists of institutions – see Annex A of the SFM standard 1152:2014).”</p> <p><i>The letter does contain an invitation to stakeholders to nominate representatives and is sent as a hardcopy, which is considered an understandable format, and a manner that would normally ensure that the information reaches intended recipients.</i></p>
<p>d) an invitation to comment on the scope and the</p>	Procedures	YES	<p>DG 10.02 PEFC URUGUAY - Guide for the functioning of the Specialized Committee of Sustainable Forestry Management</p> <p>“4.2.1 (...) The beginning of the Committee activities for the elaboration or revision of the standards will be publicly announced at least 7 days before the beginning of the activities.</p>



Question	Assess. basis	YES /NO	Reference to application documents
standard-setting process, and			<p>The announcement will include:</p> <p>c) An invitation to participate through comments on the scope and process during the revision process. In order to receive and process the comments received, links to the UNIT and PEFC Uruguay webs will be indicated. Comments received will be processed according to the guidelines in Item 7 of Standard UNIT- N/RGFS 001 Rev 2.0. August 2014.”</p>
	Process	NO	<p><i>The announcement letter did not contain an invitation to comment on the scope and the standard-setting process.</i></p>
e) reference to publicly available standard-setting procedures.	Procedures	YES	<p>DG 10.02 PEFC URUGUAY - Guide for the functioning of the Specialized Committee of Sustainable Forestry Management</p> <p>“4.2.1 The Specialized Committee of Sustainable Forestry Management will function according to the rules established in item 4 of the Standard UNIT- N/RGFS 001 Rev 2.0. August 2014.</p> <p>The beginning of the Committee activities for the elaboration or revision of the standards will be publicly announced at least 7 days before the beginning of the activities.</p> <p>The announcement will include:</p> <p>c) An invitation to participate through comments on the scope and process during the revision process. In order to receive and process the comments received, links to the UNIT and PEFC Uruguay webs will be indicated. Comments received will be processed according to the guidelines in Item 7 of Standard UNIT- N/RGFS 001 Rev 2.0. August 2014. This invitation is an extension to the UNIT and PEFC Uruguay webpages. Comments received will be processed according to item 7 of the Standard UNIT- N/RGFS 001 Rev 2.0. August 2014.</p> <p>d) N/RGFS 001 Rev 2.0 August 2014; rules for the specialized committee of Sustainable Forestry Management is available in the extranet for members of the Specialized Committee. All members of the Specialized Committee of FM can access the document through the extranet.</p> <p>e) Any other person can access a copy of the document requesting it in writing to UNIT through the contact information in the web or through the social networks facebook, twitter, linkedin, google+</p> <p>f) PEFC document DG 10 – Guide for the functioning of the Specialized Committee of Sustainable Forestry Management is publicly available in PEFC Uruguay webpage (www.pefc.com.uy)”</p>

Question	Assess. basis	YES /NO	Reference to application documents
			<p><i>Observation: one sentence (Comments received will be processed according to the guidelines in Item 7 of Standard UNIT-N/RGFS 001 Rev 2.0 August 2014) is included twice.</i></p>
<p>5.4 The standardising body shall review the standard-setting process based on comments received from the public announcement and establish a working group/committee or adjust the composition of an already existing working group/committee based on received nominations. The acceptance and refusal of nominations shall</p>	<p>Procedures</p>	<p>NO</p>	<p>Announcement letter dd 14-02-2014:</p> <p>“In particular, it is necessary to adequate the UNIT standard 1151 and UNIT 2252, as well as some of the procedures associated to their elaboration and approval. In order to make the adjustments, we are inviting all the interested parties to nominate persons that will participate in the Specialized Committee that will work on these documents.”</p> <p><i>In the Announcement letter no reference is made to publicly available standard-setting procedures.</i></p> <p>DG 10.02 PEFC URUGUAY - Guide for the functioning of the Specialized Committee of Sustainable Forestry Management</p> <p>“4.2.1. (...) The announcement will include:</p> <p>c) An invitation to participate through comments on the scope and process during the revision process. In order to receive and process the comments received, links to the UNIT and PEFC Uruguay webs will be indicated. Comments received will be processed according to the guidelines in Item 7 of Standard UNIT-N/RGFS 001 Rev 2.0. August 2014.”</p> <p>UNIT – N/RGFS 001 Rev 2.0 August 2014:</p> <p>“7.- AVAILABILITY AND REVISIONS OF THIS PROCEDURE</p> <p>(...) This procedure is an independent process on which comments may be submitted, in writing, at any time and by anyone. These comments will be analyzed during the revision periods of this procedure, which will be sought to match with the revision periods of the technical standards for sustainable forest management.”</p> <p>UNIT – N/RGFS 001 Rev 2.0 August 2014:</p> <p>“1.- SCOPE</p> <p>This procedure establishes the general guidelines governing the establishment, organization, operation and dissolution of the Specialized Committee (SC) of Sustainable Forestry Management.</p> <p>3.1.2 The following stakeholders will be invited to join the Specialized Committee: (...) Potential members of the SC will receive invitations through their institutions (mail or email).</p>



Question	Assess. basis	YES /NO	Reference to application documents
<p>be justifiable in relation to the requirements for balanced representation of the working group/committee and resources available for the standard-setting.</p>			<p>3.1.4 The initial composition of the SC will be reviewed before a new working project, including periodic revision of an already existing standard. The review will include consideration of the balanced representation and invitation of potential members as outlined in 3.1.2 and 3.1.3.</p> <p>3.1.5 UNIT members may join the SC, previous request in writing, if they consider that are affected by the activities of the corresponding SC.</p> <p>3.1.6 The SC may invite specialists that may be useful for their tasks, to participate as consultant members.</p> <p>3.1.7 The incorporation of not UNIT members to the already established SC requires the agreement of the Committee (invitation is approved by a simple majority). Institutions that may be interested in participating must refer a written request to UNIT establishing the reasons of their request.”</p> <p><i>Although stakeholders are invited to comment on the standard setting process, it is insufficiently ensured that the proposed standard-setting <u>process</u> (e.g. timetable or proposed methodology) shall be reviewed based on comments received.</i></p>
	Process	YES	<p><i>PEFC Uruguay indicates that no comments were received from the public announcement on the proposed standard setting process.</i></p> <p><i>A working group (called Specialized Committee) was established. The SC was hosted by UNIT, and had 14 ‘titulares’ (including one representative of PEFC Uruguay), 9 ‘alternos’ (including one representative of PEFC Uruguay) and was facilitated by a secretary of UNIT.</i></p> <p><i>The list of parties that showed interest in participating in the SC for Standard Revision, is included in the SFM standard. According to PEFC Uruguay, UNIT did not reject any of the proposed organizations / candidates.</i></p>
<p>5.5 The work of the working group/committee shall be organised in an open and transparent manner where:</p>			
<p>a) working drafts shall be available to all members of the working group/committee,</p>	Procedures	YES	<p>UNIT – N/RGFS 001 Rev 2.0 August 2014:</p> <p>“3.3 Technical Secretary (TS)</p> <p>3.3.2. The TS coordinates the SC and prepares the working draft documents to be analyzed by the delegates. He is responsible for having available all the material related to the subject matter for the interested parties.”</p>

Question	Assess. basis	YES /NO	Reference to application documents
	Process	YES	<p>Additional comment provided by PEFC Uruguay:</p> <p>“Records are kept in the UNIT Extranet: https://extranet.unit.org.uy/ig/?/nm/home</p> <p>During the process of revision, the members of the Committee are assigned an account that remains active during the 5 years the records are kept.”</p> <p><i>Working drafts were still available to the SC members, a list of members with access to the Extranet was also visible. Availability of working drafts was confirmed by the SC members that responded to the survey (annex 2).</i></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>UNIT – N/RGFS 001 Rev 2.0 August 2014:</p> <p>“3.3.2. The TS coordinates the SC and prepares the working draft documents to be analyzed by the delegates.</p> <p>4.1 Functions of the SC</p> <p>The SC will develop, within the field of its activity, the following functions:</p> <p>b) propose new normative documents and the confirmation, revision or cancellation (see Annex A) of the existing ones;</p> <p>c) propose and develop UNIT draft standards for public inquiry;</p> <p>d) develop UNIT standards for approval as national standard projects:</p> <p>4.4 Development of meetings</p> <p>4.4.2 Issues not included in the agenda, or when they have not been subjected to members in advance to allow its study, may be discussed but shall not be subject of decision-making. However, these issues may be subject to a decision by correspondence.</p> <p>4.5.2 To this end, the Secretariat shall forward the necessary documentation to the SC members inviting them to send their comments or their votes within a period specified by the Secretariat that will not exceed one month or less than 15 days. The secretariat will prepare a report containing all the comments received and prepare, if necessary, a new document.”</p>
	Process	YES	<p><i>The respondents of the survey confirmed that had been provided with meaningful opportunities to contribute to the revision of the standard and submit comments. (annex 2).</i></p>

Question	Assess. basis	YES /NO	Reference to application documents
<p>c) comments and views submitted by any member of the working group/committee shall be considered in an open and transparent way and their resolution and proposed changes shall be recorded.</p>	Procedures	YES	<p>UNIT – N/RGFS 001 Rev 2.0 August 2014:</p> <p>“4.5.2 To this end, the Secretariat shall forward the necessary documentation to the SC members inviting them to send their comments or their votes within a period specified by the Secretariat that will not exceed one month or less than 15 days. The secretariat will prepare a report containing all the comments received and prepare, if necessary, a new document.</p> <p>4.5.3 The secretariat will decide, according to the comments received, whether further consideration of the successive documents can be done by mail or it is required a meeting.</p> <p>4.4.1 After open the meeting, the minutes of the previous meeting and the agenda have to be approved (see also 4.4.8), and then the debate contained in the agenda will start.</p> <p>4.4.2 Issues not included in the agenda, or when they have not been subjected to members in advance to allow its study, may be discussed but shall not be subject of decision-making. However, these issues may be subject to a decision by correspondence.”</p> <p><i>There is no requirement found that describes systematic consideration of comments and views submitted by any member of the Specialized Committee and recording of resolutions and proposed changes. However, 4.5.2 includes commenting opportunities and recording. Furthermore 4.4.1 and 4.4.2 include provisions for debate and discussion. This implies consideration of comments in a transparent way.</i></p>
	Process	YES	<p><i>Acts of the SC meetings contain a section on Considerations and solutions, per requirements under revision. The respondents of the survey confirmed that comments and views submitted were considered in an open and transparent way.</i></p>
<p>5.6 The standardising body shall organise a public consultation on the enquiry draft and shall ensure that:</p>			
<p>a) the start and the end of the public consultation is announced in a timely manner in suitable media,</p>	Procedures	YES	<p>UNIT – N/RGFS 001 Rev 2.0 August 2014:</p> <p>“5.- PUBLIC CONSULTATION</p> <p>Once the working draft (Enquiry draft) is approved in the SC, a Public Consultation has to be organized. Public consultation requires:</p> <p>a.- Be announced in newspapers and radio programs related to agricultural topics.</p> <p>b.- The draft will be available for consultation at UNIT and PEFC Uruguay websites.</p>

Question	Assess. basis	YES /NO	Reference to application documents
			c.- Minimum time available: 60 days. The start and end of the consultation period is indicated on the face of the project.”
	Process	YES	<p>Note sent to organization for Public Consultation:</p> <p>“Having finalized the study by the Specialized Committee, these projects are being presented for a Public Consultation from June 9th of 2014 until August 9th of 2014.”</p> <p><i>The announcement was posted on the UNIT webpage and the press (daily newspaper El Observador) on June 6th, 2014, which is considered in a timely manner and in suitable media.</i></p>
b) the invitation of disadvantaged and key stakeholders shall be made by means that ensure that the information reaches its recipient and is understandable,	Procedures	YES	<p>UNIT – N/RGFS 001 Rev 2.0 August 2014:</p> <p>“5.- PUBLIC CONSULTATION</p> <p>Once the working draft (Enquiry draft) is approved in the SC, a Public Consultation has to be organized. Public consultation requires:</p> <p>a.- Be announced in newspapers and radio programs related to agricultural topics.</p> <p>b.- The draft will be available for consultation at UNIT and PEFC Uruguay websites.</p> <p>c.- Minimum time available: 60 days. The start and end of the consultation period is indicated on the face of the project.</p> <p>d.- The access system for receiving comments and observations from public in general has to be understandable and easy to complete.”</p>
	Process	YES	<p><i>The announcement for the public consultation was posted on the UNIT webpage and the press (daily newspaper El Observador) on June 6th, 2014. This is considered understandable, and a means that ensure that the information reaches the recipients, including key and disadvantaged stakeholders.</i></p>
c) the enquiry draft is publicly available and accessible,	Procedures	YES	<p>UNIT – N/RGFS 001 Rev 2.0 August 2014:</p> <p>“5.- PUBLIC CONSULTATION</p> <p>b.- The draft will be available for consultation at UNIT and PEFC Uruguay websites.”</p>
	Process	YES	<p>Note sent to organization for Public Consultation:</p> <p>“rojects under Public Consultation can be downloaded from our web page: www.unit.org.uy/consulta_publica/.”</p>



Question	Assess. basis	YES /NO	Reference to application documents
			<i>Draft documents were available and accessible to SC members through the UNIT Extranet, which is password protected. The announcement for the public consultation was posted on the UNIT webpage and included direct links to the documents under revision, meaning that the enquiry draft was publicly available and accessible.</i>
d) the public consultation is for at least 60 days,	Procedures	YES	UNIT – N/RGFS 001 Rev 2.0 August 2014: “5.- PUBLIC CONSULTATION Public consultation requires: c.- Minimum time available: 60 days. The start and end of the consultation period is indicated on the face of the project.”
	Process	YES	UNIT – N/RGFS 001 Rev 2.0 August 2014; second Annex The UNIT 1152:2014 Review (p.22): “The Specialized Technical Committee agreed -on May 26, 2014- to send this project to Public Consultation. The project was in Public Survey from June 9, 2014 to August 9, 2014.”
e) all comments received are considered by the working group/committee in an objective manner,	Procedures	YES	UNIT – N/RGFS 001 Rev 2.0 August 2014: “5.- PUBLIC CONSULTATION Public consultation requires: e.- All comments received will be considered in an objective manner, complete records of them will be maintained and observations will be analyzed in order to define its inclusion on the enquiry draft.”
	Process	YES	<i>A summary of comments was made available to the SC members on the UNIT Extranet. The comments were considered during the meeting of 29 August 2014, when the project was finally approved by the Committee; Acts (of the 7th meeting) include considerations and solutions, with reference to the requirements and proposed solutions. The survey confirmed that the comments received during the public consultation were considered in an objective manner by the SC.</i>
f) a synopsis of received comments compiled from	Procedures	YES	UNIT – N/RGFS 001 Rev 2.0 August 2014: “5.- PUBLIC CONSULTATION Public consultation requires:

Question	Assess. basis	YES /NO	Reference to application documents
material issues, including the results of their consideration, is publicly available, for example on a website.			f.- A summary of the observations and corresponding decisions will be published in UNIT and PEFC Uruguay websites.”
	Process	NO	<i>A list of all comments was made available to SC members through the UNIT Extranet, which was used during SC discussions. For interested non-SC members, this list was only available upon request (according to PEFC Uruguay). It shall be noted that a synopsis of received comments, including the results of their considerations shall be publicly available without the need for request. Acts (of the 7th meeting) include considerations and solutions. However, it is not clear whether these Acts were publicly available.</i>
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.	Procedures	YES	UNIT – N/RGFS 001 Rev 2.0 August 2014: “5b.-PILOT TESTING If it applies, a pilot testing of the new standards shall take place and the results of these tests shall be considered by the Specialized Committee. Pilot tests are not required in the case of revision of a standard when experience can replace pilot testing.”
	Process	N/A	<i>As this was a revision of an existing standard, no pilot testing was required.</i>
5.8 The decision of the working group to recommend the final draft for formal approval shall be taken on the basis of a consensus.	Procedures	YES	UNIT – N/RGFS 001 Rev 2.0 August 2014: “0.1 General procedure These Committees shall proceed to prepare a draft standard which must be approved by consensus criteria (absence of reasoned opposition). (...) Once the results of the survey have been analyzed and agreed the final draft, it shall be approved by the members of the Select Committee on the criterion of consensus. 4.4.3 Agreements of the SC shall preferably be taken by consensus. "consensus: general agreement, characterized by the absence of strong opposition to key issues by any important part of the concerned interests and by a process that considers views of all interested parties and the reconciliation of any divergent position." <i>Observation: Although reference to 0.1 indicates approval of the draft standard by consensus criteria, it is observed that this can contradict with 4.4.3, because of the wording (“preferably”, versus “must”).</i>



Question	Assess. basis	YES /NO	Reference to application documents
	Process	NO	<p>Minutes 7th SC meeting dd 29 of August 2014: “After all comments have been reviewed, the discussion is closed and the Specialized Committee approves the revision of UNIT 1152:2014 y UNIT 1151:2014.”</p> <p>Additional comments provided by PEFC Uruguay: “In the agenda for the meeting it was announced that the project would be submitted for approval. The approval took place with the members present in the meeting and the text of the minutes implies that there was agreement among those present.</p> <p>All members (present and absent on the meeting of August 29th) were consulted previously, during the Public Consultation period. The process ended with the approval meeting of August 29th. There were no opposing arguments sent before the meeting.</p> <p>Opposing votes must be registered in the minutes. In the absence of registration of opposing votes (Minutes 7th SC meeting, dd 29 August 2014) it is considered that there is consensus.”</p> <p><i>There is no sign of opposition and the stakeholder survey did not reveal any sign of opposition either. However, no statement or conclusion was found in the minutes providing the evidence that consensus was reached.</i></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	Procedures	YES	<p>UNIT – N/RGFS 001 Rev 2.0 August 2014: “4.4.6 (...) In case of doubt regarding the consensus, approval by a simple majority of full members of the Committee can be sufficient to ensure that the project be elevated to the NGC.”</p>
	Process	NO	<p>Minutes SC meeting dd 29 of August 2014: “After all comments have been reviewed, the discussion is closed and the Specialized Committee approves the revision of UNIT 1152:2014 y UNIT 1151:2014.”</p> <p>Additional comments provided by PEFC Uruguay: “In the agenda for the meeting it was announced that the project would be submitted for approval. The approval took place with the members present in the meeting and the text of the minutes implies that there was agreement among those present.</p>

Question	Assess. basis	YES /NO	Reference to application documents
balloting process, etc.,			<p>All members (present and absent on the meeting of August 29th) were consulted previously, during the Public Consultation period. The process ended with the approval meeting of August 29th. There were no opposing arguments sent before the meeting.</p> <p>Opposing votes must be registered in the minutes. In the absence of registration of opposing votes (Minutes 7th SC meeting, dd 29 August 2014) it is considered that there is consensus.”</p> <p><i>No evidence is found indicating which process is followed (verbal vote / show of hands / statement on consensus without dissenting voices or hands / formal balloting process), and it remains unclear if there was an explicit process used to establish whether there was consensus.</i></p>
b) a telephone conference meeting where there is a verbal yes/no vote,	Procedures	N/A	
	Process	N/A	
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	<p>UNIT – N/RGFS 001 Rev 2.0 August 2014:</p> <p>“4.5 Electronic media</p> <p>4.5.5 Obtaining broad agreement on a paper entitles Secretariat to draft a proposal. The proposal will be put to the vote by correspondence, as described in section 4.5.6, or in the course of the next meeting.</p> <p>4.5.6 Agreements by correspondence, shall be adopted by simple majority of votes received, not counting abstentions.”</p>
	Process	N/A	
d) combinations thereof.	Procedures	YES	<p>UNIT – N/RGFS 001 Rev 2.0 August 2014:</p> <p>“4.5 Electronic media</p> <p>4.5.5 Obtaining broad agreement on a paper entitles Secretariat to draft a proposal. The proposal will be put to the vote by correspondence, as described in section 4.5.6, or in the course of the next meeting.</p> <p>4.5.6 Agreements by correspondence, shall be adopted by simple majority of votes received, not counting abstentions.”</p>

Question	Assess. basis	YES /NO	Reference to application documents
	Process	N/A	
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	UNIT – N/RGFS 001 Rev 2.0 August 2014: “4.4.6 In the case of a negative vote which represents a sustained opposition to any important part of the concerned interest surrounding a substantive issue, the issue will be resolved using the following mechanisms: a. discussion and negotiation on the disputed issue within the working group in order to find a compromise;”
	Process	N/A	<i>According to PEFC Uruguay, there was no sustained opposition. Also, the survey did not reveal any signs of opposition.</i>
b) direct negotiation between the stakeholder(s) submitting the objection and stakeholders with different views on the disputed issue in order to find a compromise,	Procedures	YES	UNIT – N/RGFS 001 Rev 2.0 August 2014: “4.4.6 In the case of a negative vote which represents a sustained opposition to any important part of the concerned interest surrounding a substantive issue, the issue will be resolved using the following mechanisms: b. direct negotiation between the stakeholders submitting the objection (s) and stakeholders with different views on the disputed issue in order to find a compromise.”
	Process	N/A	<i>According to PEFC Uruguay, there was no sustained opposition. Also, the survey did not reveal any signs of opposition.</i>
c) dispute resolution process.	Procedures	YES	UNIT – N/RGFS 001 Rev 2.0 August 2014: “4.4.6 In the case of a negative vote which represents a sustained opposition to any important part of the concerned interest surrounding a substantive issue, the issue will be resolved using the following mechanisms: c. dispute resolution process.”



Question	Assess. basis	YES /NO	Reference to application documents
	Process	N/A	<i>According to PEFC Uruguay, there was no sustained opposition. Also, the survey did not reveal any signs of opposition.</i>
5.10 Documentation on the implementation of the standard-setting process shall be made publicly available.	Procedures	YES	UNIT – N/RGFS 001 Rev 2.0 August 2014: “3.3.4. The TS will be responsible for maintaining all records approved by the SC during the standard development process and have them accessible for consultation by interested parties under request.”
	Process	YES	<i>The records were available to SC members through the UNIT Extranet, and for others available upon request.</i>
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	UNIT – N/RGFS 001 Rev 2.0 August 2014: “0.1 General procedure These Committees shall proceed to prepare a draft standard which must be approved by consensus criteria (absence of reasoned opposition). The projects agreed by the Specialized Committee shall be subject to a Public Inquiry process among all affected interests to it. The results of this survey will be considered by the Specialized Committee prior to approval and editing of the final draft. Once the results of the survey have been analyzed and agreed the final draft, it shall be approved by the members of the Select Committee on the criterion of consensus. The project approved by the Specialized Committee will be submitted for consideration by the General Standards Committee which will review the proper compliance of the procedure and in particular the adequacy to the Guide of Drafting UNIT standards [According with articles 23 and 24 of the UNIT’s statutes] Once the project is approved by the General Standards Committee it shall be approved by the Director which enables its delivery to the approval by the Council Board. The Council Board will consider the projects for the sole purpose of their acceptance or rejection. For acceptance, it will require an absolute majority. (...). One year after approval by the Council Board the UNIT standards are subject to final ratification in the next General Assembly Meeting.”
	Process	YES	Annex of the SFM Standard UNIT 1152:2014 (page 22): “This standard was approved by the Directive Board on September 30, 2014”.

Question	Assess. basis	YES /NO	Reference to application documents
			<i>In the case of Uruguay, UNIT is the standardizing body.</i>
5.12 The formally approved standards/normative documents shall be published in a timely manner and made publicly available.	Procedures	YES	<p>UNIT – N/RGFS 001 Rev 2.0 August 2014:</p> <p>“UNIT approved standard by the Council Board will proceed to publication and distribution</p> <p>0.2 Publication of the standard</p> <p>Once the UNIT standard is approved and with the acknowledgment of UNIT’s Director it will be sent to the Department of Administration for printing and registration in the Documentation Centre. The Documentation Centre will manage its catalog entry UNIT and the Department of Administration shall provide the Standard for public sale.</p> <p>All standards will be published in a period no greater than a week from the Direction acknowledgement.”</p>
	Process	YES	<i>Publication date mentioned on the standard UNIT – N/RGFS 001 Rev 2.0 August 2014, is 30 of September 2014 (the same day as the approval by the Directive Board of the standardizing body). The standard can be ordered from the UNIT website.</i>
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	<i>The former version of the FM standard was from 2009. The current document UNIT 1152:2014 was reviewed, approved and published in 2014, which is within the five-year period.</i>

Question	Assess. basis	YES /NO	Reference to application documents
<p>6.2 The revision shall define the application date and transition date of the revised standards/normative documents.</p>	<p>Process</p>	<p>YES</p>	<p>DG 02.02:</p> <p>“3.7 Standing time</p> <p>Each version of the document will be valid from the date of approval by the Directory Commission of PEFC Uruguay. Each new document must be notify to the stakeholders and published on the website of PEFC Uruguay. It will remain in force until the next distribution/communication of a new version, considering the established transitional periods</p> <p>3.8 Revisions</p> <p>Modifications of any part of a Document already approved requires, to be valid, an edition and approval of the whole Document. (...) Policy documents, ie: General Documents (GD), Documents PEFC (PD) and the Standard for Sustainable Forest Management (SFM) will have a transition period for final implementation of one year from the effective date of the revised version, unless otherwise noted. When that period expires the last document will be the only in force.”</p> <p><i>The approval date of the SFM standard UNIT 1152-2014 has been approved on September 30th, 2014. This implies that the transition period ended on September 30th, 2015. PEFC Uruguay had communicated by Email dd 10 February 2016, that the transition period would end by the 1st of February 2017 (one year after the closure of the Extraordinary Assessment, on 28th of January 2016).</i></p> <p><i>Observation: there is no clear reference in the SFM standard itself about the application and transition dates.</i></p>
<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</p>	<p>Process</p>	<p>NO</p>	<p>DG 02.02:</p> <p>“3.7 Standing time</p> <p>Each version of the document will be valid from the date of approval by the Directory Commission of PEFC Uruguay. (...)</p> <p>3.8 Revisions</p> <p>(...) Policy documents, ie: General Documents (GD), Documents PEFC (PD) and the Standard for Sustainable Forest Management (SFM) will have a transition period for final implementation of one year from the effective date of the revised version, unless otherwise noted. When that period expires the last document will be the only in force.”</p> <p>Clarification provided by PEFC Uruguay:</p>



Question	Assess. basis	YES /NO	Reference to application documents
changes, information dissemination and training.			<p>“Even though the process of revision of the standard was finished and approved by PEFC board on September 30th 2014, the date of the closure of the Extraordinary Assessment for the FMS was on January 28th, 2016. (...) PEFC Uruguay communicates to all interested parties (companies, accreditation bodies, certification organisms) the beginning of the transition period of one year, which finalized on February 2nd, 2017. (...) All certifications up to that point were under the standard 1152-2009.”</p> <p><i>It is concluded the SFM standard UNIT 1152:2014 is the only valid standard since 1st of February 2017. From that date, UNIT 1152:2009 (which is the endorsed version) is no longer valid in Uruguay, which means that, all companies currently are to be assessed against a Forest Management Standard which is not endorsed by PEFC Council. Although this is an unacceptable situation as it could impose serious risks to the PEFC system, it is concluded that the current version of the SFM Standard is an improved version compared to the old version, and has no major issues which would be unacceptable and would currently damage the international PEFC system.</i></p>
6.4 The transition date shall not exceed a period of one year except in justified exceptional circumstances where the implementation of the revised standards/normative documents requires a longer period.	Process	YES	<p>DG 02.02:</p> <p>“3.8 Revisions</p> <p>(...) Policy documents, ie: General Documents (GD), Documents PEFC (PD) and the Standard for Sustainable Forest Management (SFM) will have a transition period for final implementation of one year from the effective date of the revised version, unless otherwise noted. When that period expires the last document will be the only in force.”</p> <p><i>The approval date of the SFM standard UNIT 1152:2014 was on September 30th, 2014. The transition date would then have been September 30th, 2015. However, PEFC Uruguay had communicated by Email dd February 10th, 2016, that the transition period would end on February 1st 2017 (one year after the closure of the Extraordinary Assessment, on 28th of January 2016). This implies that the transition period lasted almost 2,5 years. However, these circumstances are considered justified exceptional, as it was an in-between revision of the standard (not a general once in 5 years revision).</i></p>

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

1 Scope

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

2 Checklist

Question	YES / NO	Reference to scheme documentation
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	DG 07.04 Requirements for Group Certification “3. Group Certification (...) The following terms are defined for the application of the present document: e) Group organization: a group of participants represented by the group entity for the purposes of implementation of the sustainable forest management standard and its certification.”
b) the group entity,	YES	DG 07.04 Requirements for Group Certification “3. Group Certification (...) The following terms are defined for the application of the present document: b) Group entity: an entity that represents the participants, with overall responsibility for ensuring the conformity of forest management in the certified area to the sustainable forest management standard and other applicable requirements of the forest certification scheme.”
c) the participant,	YES	DG 07.04 Requirements for Group Certification “3. Group Certification (...) The following terms are defined for the application of the present document:



Question	YES / NO	Reference to scheme documentation
		f) Participant: a forest owner/manager or other entity covered by the group forest certificate, who has the legal right to manage the forest in a clearly defined forest area, and the ability to implement the requirements of the sustainable forest management standard in that area.”
d) the certified area,	YES	DG 07.04 Requirements for Group Certification “3. Group Certification (...) The following terms are defined for the application of the present document: a) Certified area: the forest area covered by a group forest certificate representing the sum of the forest areas of the participants.”
e) the group forest certificate, and	YES	DG 07.04 Requirements for Group Certification “3. Group Certification (...) The following terms are defined for the application of the present document: c) Group forest certificate: a document confirming that the group organization complies with the requirements of the sustainable forest management standard and other applicable requirements of the forest certification scheme.”
f) the document confirming participation in group forest certification.	YES	DG 07.04 Requirements for Group Certification “3. Group Certification (...) The following terms are defined for the application of the present document: g) Document confirming participation in group forest certification: a document issued to an individual participant that refers to the group forest certificate and that confirms the participant as being covered by the scope of the group forest certification.”
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	YES	DG 07.04 Requirements for Group Certification “7. Duties of the Group Certification members The group members must: (...) 8. Provide the Group Administrator the audit reports done under other certification systems that the member is associated to.” <i>Although forest owners are allowed to be covered by additional group or individual PEFC Uruguay Forest Management certificates, forest owners shall comply with all requirements and no</i>

Question	YES / NO	Reference to scheme documentation
other forest management certification that covers the forest owner.		<i>references were found providing the opportunity to address non-conformities in any other forest management certification.</i>
4.1.3 The forest certification scheme shall define requirements for group forest certification which ensure that participants' conformity with the sustainable forest management standard is centrally administered and is subject to central review and that all participants shall be subject to the internal monitoring programme.	YES	<p>DG 07.04 Requirements for Group Certification</p> <p>“4. Functions of the Group Administrator (...) The Group Administrator functions are:</p> <ol style="list-style-type: none"> 1. To guarantee that all activities related with the certification take place according to the requirements of the Sustainable Forestry Management System. 2. To comply and make comply with the norms of the Sustainable Forest Management by all the members of the group individually. 3. To establish and implement a written procedure for monitoring annually that each member of the group complies with its obligations. <ol style="list-style-type: none"> a. The internal monitoring will be done annually b. Each member of the group will be monitored annually c. The Group Administrator will revise the conformities of the monitoring with the Scheme of Forestry Management. This revision will include the results of the annual monitoring program, the corrective and preventive measures if required; and evaluate the effectiveness of the corrective measures applied d. The Group Administrator will keep a written register of all the steps of the annual monitoring (report of monitoring, no conformities, and corrective actions). 6. To keep a register of all forested areas and group members included in the group certificate, identifying the owner, manager and surface as well as keeping written registers of conformity agreements of the members with the requirements of the group certification scheme and the realization and evolution of the internal audits of each one of the members.”
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	YES	<p>DG 07.04 Requirements for Group Certification</p> <p>“4. Functions of the Group Administrator (...) The Group Administrator functions are:</p>



Question	YES / NO	Reference to scheme documentation
group organisation with the sustainable forest management standard.		3. To establish and implement a written procedure for monitoring annually that each member of the group complies with its obligations. a. The internal monitoring will be done annually b. Each member of the group will be monitored annually c. The Group Administrator will revise the conformities of the monitoring with the Scheme of Forestry Management. This revision will include the results of the annual monitoring program, the corrective and preventive measures if required; and evaluate the effectiveness of the corrective measures applied d. The Group Administrator will keep a written register of all the steps of the annual monitoring (report of monitoring, no conformities, and corrective actions).”
Functions and responsibilities of the group entity		
4.2.1 The forest certification scheme shall define the following requirements for the function and responsibility of the group entity:		
a) To represent the group organisation in the certification process, including in communications and relationships with the certification body, submission of an application for certification, and contractual relationship with the certification body;	YES	DG 07.04 Requirements for Group Certification “3. Group Certification (...) b) Group entity: an entity that represents the participants (...). 4. Functions of the Group Administrator The Group Administrator, (...) will be responsible for applying to the certification organism and the custody of the Group Certificate. The Group Administrator functions are: (...) 9. To place a request with PEFC – Uruguay, after obtaining the certification, of an official license to use the PEFC logo. 10. To process an accreditation document of the forested areas under certification to all group members that request it. 11. Communicate to the certification organism of the incorporation and dismissals of group members.”
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;	NO	DG 07.04 Requirements for Group Certification “The Group Administrator functions are: 1. To guarantee that all activities related with the certification take place according to the requirements of the Sustainable Forestry Management System. 2. To comply and make comply with the norms of the Sustainable Forest Management by all the members of the group individually.”



Question	YES / NO	Reference to scheme documentation
		<i>Although requirements for a commitment are in place for group members (see requirement 4.3.1a), and the cited references indicate the functions of the Group Administrator, no references were found ensuring provision of an explicit commitment on behalf of the whole group organization.</i>
c) To establish written procedures for the management of the group organisation;	YES	<p>DG 07.04 Requirements for Group Certification</p> <p>“4. Functions of the Group Administrator</p> <p>The Group Administrator functions are: (...) 8. To have written procedures of incorporation, suspension and expulsion of group members and implement them according to the guidelines established in the DG 07:</p> <p>a. Item 5. Members of the Group Certification</p> <p>b. Item 6. Rights of the members of the Group Certification</p> <p>c. Item 7. Duties of the members of the Group Certification.</p> <p>d. Item 8. Loss of the conditions of member of the Group Certification”</p>
<p>d) To keep records of:</p> <ul style="list-style-type: none"> - 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; 	YES	<p>DG 07.04 Requirements for Group Certification</p> <p>“4. Functions of the Group Administrator</p> <p>The Group Administrator functions are: (...) 3. To establish and implement a written procedure for monitoring annually that each member of the group complies with its obligations. (...) d. The Group Administrator will keep a written register of all the steps of the annual monitoring (report of monitoring, no conformities, and corrective actions). 6. To keep a register of all forested areas and group members included in the group certificate, identifying the owner, manager and surface as well as keeping written registers of conformity agreements of the members with the requirements of the group certification scheme and the realization and evolution of the internal audits of each one of the members.”</p>

Question	YES / NO	Reference to scheme documentation
<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>NO</p>	<p>DG 07.04 Requirements for Group Certification</p> <p>“3. Group Certification</p> <p>The Group Certification requires the grouping of the interested parties, that will be administered by a legally constituted entity (company, association or person), or through an agreement, legally documented, where the Group Administrator will be appointed.</p> <p>5. Members of the Group Certification</p> <p>(...) Each group member must express in writing to the Group Administrator its interest in participating in the process and commit to comply with the requirements of the Sustainable Forestry Management System in a written agreement.</p> <p>7. Duties of the Group Certification members</p> <p>The group members must:</p> <p>(...) 2. commit to comply with the obligations imposed by the Sustainable Forestry Management System; 3. commit to correct the no conformities identified during the audits and take preventive and corrective measures;</p> <p>8.Loss of the condition of member of the Group Certification</p> <p>A member of the Group Certification can be expelled if there has been a grave fault in the compliance with the system and no corrective action was implemented. Expulsion follows a written notification. The member expelled can re-join the group after a specified period, if the corresponding corrective actions have been applied. The Group Administrator has the power to decide about the expulsion and the period of restriction.”</p> <p><i>Although agreements are part of the requirements, and commitments are mentioned in other clauses, it is insufficiently ensured that the rights of the group entity shall be documented in a written agreement.</i></p>
<p>f) To provide participants with a document confirming participation in the group forest certification;</p>	<p>YES</p>	<p>DG 07.04 Requirements for Group Certification</p> <p>“4. Functions of the Group Administrator</p> <p>12. To provide the members of the group with a written document confirming the participation in the group forest certification.”</p>

Question	YES / NO	Reference to scheme documentation
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>DG 07.04 Requirements for Group Certification</p> <p>“4. Functions of the Group Administrator</p> <p>(...) The Group Administrator functions are: 4. To inform the members and interested parties about the group certification, their rights and obligations and provide the information and assistance necessary for the effective implementation for the Sustainable Forestry Management:”</p>
h) To operate an annual internal monitoring programme that provides for the evaluation of the participants’ conformity with the certification requirements, and;	YES	<p>DG 07.04 Requirements for Group Certification</p> <p>“4. Functions of the Group Administrator</p> <p>(...) The Group Administrator functions are: 3. To establish and implement a written procedure for monitoring annually that each member of the group complies with its obligations.</p> <p>a. The internal monitoring will be done annually</p> <p>b. Each member of the group will be monitored annually</p> <p>7. Duties of the Group Certification members</p> <p>The group members must: 2. commit to comply with the obligations imposed by the Sustainable Forestry Management System; 3. commit to correct the no conformities identified during the audits and take preventive and corrective measures;”</p>
i) To operate a review of conformity with the sustainable forest management standard, that includes reviewing the results of the internal monitoring programme and the certification body’s evaluations and surveillance; corrective and preventive measures if required; and the evaluation of the effectiveness of corrective actions taken.	YES	<p>DG 07.04 Requirements for Group Certification</p> <p>“4. Functions of the Group Administrator</p> <p>(...) The Group Administrator functions are: 3. To establish and implement a written procedure for monitoring annually that each member of the group complies with its obligations.</p> <p>c. The Group Administrator will revise the conformities of the monitoring with the Scheme of Forestry Management. This revision will include the results of the annual monitoring program, the corrective and preventive measures if required; and evaluate the effectiveness of the corrective measures applied”</p>
Function and responsibilities of participants		
4.3.1 The forest certification scheme shall define the following requirements for the participants:		

Question	YES / NO	Reference to scheme documentation
<p>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;</p>	<p>YES</p>	<p>DG 07.04 Requirements for Group Certification</p> <p>“5. Members of the Group Certification</p> <p>(...) Each group member must express in writing to the Group Administrator its interest in participating in the process and commit to comply with the requirements of the Sustainable Forestry Management System in a written agreement.</p> <p>7. Duties of the Group Certification members</p> <p>The group members must:</p> <ol style="list-style-type: none"> 1. present in writing, to the Group Administrator, all forested areas under management that they wish to include in the Group Certification (...); 2. commit to comply with the obligations imposed by the Sustainable Forestry Management System; 3. commit to correct the no conformities identified during the audits and take preventive and corrective measures;”
<p>b) To comply with the sustainable forest management standard and other applicable requirements of the forest certification scheme;</p>	<p>YES</p>	<p>DG 07.04 Requirements for Group Certification</p> <p>“7. Duties of the Group Certification members</p> <p>The group members must: 2. commit to comply with the obligations imposed by the Sustainable Forestry Management System;”</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>DG 07.04 Requirements for Group Certification</p> <p>“7. Duties of the Group Certification members</p> <p>The group members must: 6. cooperate with the Group Administrator and certification organisms by providing assistance to respond to all requests in connection to the certification audits or other requests not directly connected with the audit.”</p>
<p>d) To implement relevant corrective and preventive actions established by the group entity.</p>	<p>YES</p>	<p>DG 07.04 Requirements for Group Certification</p> <p>“7. Duties of the Group Certification members</p>

Question	YES / NO	Reference to scheme documentation
		The group members must: 3. commit to correct the no conformities identified during the audits and take preventive and corrective measures;”

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

1 Scope

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

2 Checklist

Question	YES / NO	Reference to scheme documentation
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	<i>The requirements of the standard are applicable at the forest management level and is clearly structured with auditable parameters and documents.</i>
b) be clear, objective-based and auditable.	YES	<i>The standard is clearly structured with auditable parameters and documents.</i>
c) apply to activities of all operators in the defined forest area who have a measurable impact on achieving compliance with the requirements.	YES	<i>The standard is applicable to activities of all operators in the defined forest area.</i>
d) require record-keeping that provides evidence of compliance with the requirements of the forest management standards.	YES	<i>The standard identifies the records that are required to demonstrate compliance.</i>
Specific requirements for SFM standards		
Criterion 1: Maintenance and appropriate enhancement of forest resources and their contribution to the global carbon cycle		

Question	YES / NO	Reference to scheme documentation
<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>	<p>YES</p>	<p>UNIT 1152:2014</p> <p>“1 - OBJECTIVE AND SCOPE</p> <p>This Norm is applicable to forest plantations in a unit of forest management, both public and private.</p> <p>4.1 Planification</p> <p>For the implementation and compliance of the criteria and indicators established, in the unit of forest management, a cohesive planification must take place with the concept of Sustainable Forest Management, seeking a balance between the conservation of the natural resources, historic-cultural and socio-economic aspects, productivity (technical, economic and financial) and the general society's well being.</p> <p>(...) In the planification of the different uses and functions of the management unit the role of the forest production in the rural development must be taken into consideration. The instruments of the established policies to support the production of goods and commercial and non commercial forest services must be used.</p> <p>6.1 CRITERION 1. - Conservation of biological diversity</p> <p>6.1.2.1 Justification: the natural ecosystems present in the management unit must be identified and evaluated to determine the sites, species or communities of importance for the conservation of the biological diversity.</p> <p>6.1.3. Indicator: surface of biological corridors and buffer zones</p> <p>6.1.3.1 Justification: the maintenance of biological corridors allows the connectivity of the ecosystems at a regional level and the movement of species between adjacent basins. It is necessary to establish buffer areas between habitats and/or ecosystems of interest and forest plantations, to avoid compromising the conservation.</p> <p>6.5 CRITERION 5 - Maintenance of the contribution of the forest to the global Carbon cycle</p> <p>6.5.1 Indicator: estate of the carbon capture.</p> <p>6.5.1.1 Justification: the forest resources are characterized by their capacity to act as net fixers of carbon. The maintenance or increase of the forest resource in extension or standing existences will mean a positive value for this indicator. The quantification of the existences and</p>



Question	YES / NO	Reference to scheme documentation
		<p>the growth rate of the resource allow the person responsible for the unit forest management to evaluate the contribution of the unit to the carbon capture.</p> <p>6.5.1.2 Objective: to maintain or increase the contribution to the net capture of carbon.”</p>
<p>5.1.2 Forest management shall comprise the cycle of inventory and planning, implementation, monitoring and evaluation, and shall include an appropriate assessment of the social, environmental and economic impacts of forest management operations. This shall form a basis for a cycle of continuous improvement to minimise or avoid negative impacts.</p>	<p>YES</p>	<p>UNIT 1152:2014</p> <p>“4.1 Planification</p> <p>The planification of the forest management, territory, inventory and mapping of forest resources should identify, protect and/or preserve environmentally important forest areas (...)</p> <p>The planification of the unit of management must be formulated, documented and reviewed periodically, in the short and long term for (...)</p> <p>- the use of the land, with previous characterization of the natural, historic and socio-economic resources, to determine the areas of management</p> <p>In the planification of the different uses and functions of the management unit the role of the forest production in the rural development must be taken into consideration. (...) In the planification of the forest management, the socio-cultural context must be considered, having as reference the experience and traditional knowledge associated to the forest of the local communities and other interested parties.</p> <p>6.1.2 Indicator: state of the ecosystems, species and their genetic diversity</p> <p>6.1.2.2 Objective: to describe, evaluate and plan the management of the natural ecosystems identified in the item 6.1.1 and the animal and plant species, native and exotic.</p> <p>6.2.2 Indicator: periodic balance of the forest plantation in terms of effective forested area, growing existences, increase, mortality and harvest yields for the management unit</p> <p>6.2.2.1 Justification: the conservation of the productivity of the forest plantations in the management unit in the relationship between the increase in the growing existences and harvested volume, in periods of reference of the General Plan of Management.</p> <p>6.3.1 Indicator: estate of the system of protection against fires, climatic agents and mechanical damages.</p>



Question	YES / NO	Reference to scheme documentation
		<p>6.3.1.2 Objective: to prevent the forest fires and in case of sinister, to apply the proper measures to reduce to a minimum the damages and losses. To recover the forest populations affected by climatic agents. To prevent mechanical damages caused by the silvicultural activities.</p> <p>6.6.1 Indicator: socio-laboral conditions of the workers in the management unit</p> <p>6.6.1.1 Justification: the conditions socio laboral of the forest worker in the management unit must be valued</p> <p>6.6.3 Indicator: estate of relation with the local communities</p> <p>6.6.3.1 Justification: the social and cultural aspects of the community must be incorporated for a Sustainable Forest Management”</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>UNIT 1152:2014</p> <p>“4.1 Planification</p> <p>The planification of the forest management, territory, inventory and mapping of forest resources should identify, protect and/or preserve environmentally important forest areas (...)”</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>UNIT 1152:2014</p> <p>“4.2 General Plan of Management</p> <p>The unit of forest management must have a General Plan of Management. (...) The General Plan of Management must be a document itself, subject to periodical reviews, appropriate for the size and uses of the forest area, or a series of documents (...)</p> <p>6.7 CRITERION 7 - Legal, institutional and economic frame for the conservation and sustainable management of forests</p> <p>6.7.1 Indicator: state of compliance with the current legal frame for the forest management</p> <p>6.7.1.2 Objective: to identify and implement in the management unit the legal normative applicable.</p> <p>6.7.1.5 Documents: General Plan of Management. Applicable Current Legislation Compendium.”</p> <p><i>Forest management plans must be based on the full legal framework for forest management, it is therefore assumed this includes existing land-use plans.</i></p>



Question	YES / NO	Reference to scheme documentation
<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>UNIT 1152:2014</p> <p>“4.1 Planification The planification of the unit of management must be formulated, documented and reviewed periodically, in the short and long term for: - the use of the land, with previous characterization of the natural, historic and socio-economic resources, to determine the areas of management</p> <p>4.2 General Plan of Management The unit of forest management must have a General Plan of Management. This plan must include the directives of the management in the activities of the unit (...). The General Plan of Management must be a document itself, subject to periodical reviews, appropriate for the size and uses of the forest area, or a series of documents that include, among others: (...) plans of production control (of wood and non wood products and services), (...). The General Plan of Management must include the procedures through which the persons responsible of the unit of forest management seek to achieve the objectives defined for each indicator.</p> <p>6.2.2 Indicator: periodic balance of the forest plantation in terms of effective forested area, growing existences, increase, mortality and harvest yields for the management unit</p> <p>6.2.2.5 Documents: General Plan of Management. Plans of control of wood productions. Forest inventory.</p> <p>6.2.4 Indicator: amount of non wood products and services of the forest</p> <p>6.2.4.2 Objective: to identify and quantify the non wood products in the management unit. (...)</p> <p>6.2.4.5 Documents: General Plan of Management. Plans of production of wood and non wood products and services.”</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</p>	<p>YES</p>	<p>“6.6 CRITERION 6 - Maintenance and improvement of the multiple socioeconomic benefits on the long term to cover the needs of the societies</p> <p>6.6.3 Indicator: estate of relation with the local communities</p>

Question	YES / NO	Reference to scheme documentation
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.		6.6.3.5 Documents: General Plan of Management. (...) Public summary of the General Plan of Management. Plans of relationships with the local communities.”
5.1.7 Monitoring of forest resources and evaluation of their management shall be periodically performed, and results fed back into the planning process.	YES	<p>UNIT 1152:2014</p> <p>“4.1 Planification The planification of the unit of management must be formulated, documented and reviewed periodically, in the short and long term (...)</p> <p>4.2 General Plan of Management (...) The General Plan of Management must be a document itself, subject to periodical reviews, appropriate for the size and uses of the forest area, or a series of documents</p> <p>6.2.2 Indicator: periodic balance of the forest plantation in terms of effective forested area, growing existences, increase, mortality and harvest yields for the management unit</p> <p>6.2.2.1 Justification: the conservation of the productivity of the forest plantations in the management unit in the relationship between the increase in the growing existences and harvested volume, in periods of reference of the General Plan of Management.</p> <p>6.2.2.2 Objective: to obtain predictable relations between the effective forested area, the growing existences and harvest yields of the forest plantations; to assess potential losses from various causes, including natural mortality and uncontrolled harvest.</p> <p>6.2.2.5 Documents: General Plan of Management. Plans of control of wood productions. Forest inventory. Current aerial photo.”</p>
5.1.8 Responsibilities for sustainable forest management shall be clearly defined and assigned.	NO	<p>UNIT 1152:2014</p> <p>“4.2 General Plan of Management</p>

Question	YES / NO	Reference to scheme documentation
		<p>“The unit of forest management must have a General Plan of Management. This plan must include the directives of the management in the activities of the unit over which the person responsible has the control of.</p> <p>(...) The General Plan of Management must include the procedures through which the persons responsible of the unit of forest management seek to achieve the objectives defined for each indicator.</p> <p>6.6.1 Indicator: socio-laboral conditions of the workers in the management unit</p> <p>6.6.1.1 Justification: (...) A person responsible of enforcing a health policy and safety of the workers must be appointed.</p> <p>6.6.3 Indicator: estate of relation with the local communities</p> <p>6.6.3.1 Justification: (...) The persons responsible of the unit of forest management must identify a person in charge of the relation with the local community.”</p> <p><i>No references were found which ensure that responsibilities for sustainable forest management other than health and safety, and relations with the local community shall be clearly defined and assigned. Although the standard implies that persons have specific responsibilities for sustainable forest management, it is not ensured that responsibilities for sustainable forest management shall be clearly defined and assigned.</i></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>UNIT 1152:2014</p> <p>“6.2. CRITERION 2: Maintenance and improvement of the productive capacity of the forest ecosystems.</p> <p>6.2.2 Indicator: periodic balance of the forest plantation in terms of effective forested area, growing existences, increase, mortality and harvest yields for the management unit</p> <p>6.2.2.1 Justification: the conservation of the productivity of the forest plantations in the management unit in the relationship between the increase in the growing existences and harvested volume, in periods of reference of the General Plan of Management.</p> <p>6.3 CRITERION 3 - Maintenance and improvement of the health and vitality of the forest ecosystems.</p>

Question	YES / NO	Reference to scheme documentation
		<p>6.3.1 Indicator: estate of the system of protection against fires, climatic agents and mechanical damages.</p> <p>6.3.1.1 Justification: (..) The planification of the silvicultural tasks must reduce to a minimum the mechanical damage to the forest populations.</p> <p>6.3.1.2 Objective: (...) To prevent mechanical damages caused by the silvicultural activities.</p> <p>6.4.3 Indicator: state of the soil resource</p> <p>6.4.3.3 Parameters: (...) Other parameters to be evaluated: - silvicultural procedures for the prevention of mechanical damage to the soil during harvest, silvicultural treatments and transport;</p> <p>6.4.4 Indicator: state of the quality of the water resource.</p> <p>6.4.4.4 Procedures: (...) - to establish procedures for forest activities that might affect the use of water (site preparation, plantation, silvicultural treatments, construction and maintenance of infrastructure, among others);”</p>
<p>5.1.10 Appropriate silvicultural measures shall be taken to maintain or reach a level of the growing stock that is economically, ecologically and socially desirable.</p>	<p>YES</p>	<p>UNIT 1152:2014</p> <p>“4.1 Planification</p> <p>For the implementation and compliance of the criteria and indicators established, in the unit of forest management, a cohesive planification must take place with the concept of Sustainable Forest Management, seeking a balance between the conservation of the natural resources, historic-cultural and socio-economic aspects, productivity (technical, economic and financial) and the general society's well being.</p> <p>(...) In the planification of the forest management, the socio-cultural context must be considered,</p> <p>6.2. CRITERION 2: Maintenance and improvement of the productive capacity of the forest ecosystems.</p> <p>6.2.2 Indicator: periodic balance of the forest plantation in terms of effective forested area, growing existences, increase, mortality and harvest yields for the management unit</p>



Question	YES / NO	Reference to scheme documentation
		<p>6.2.2.1 Justification: the conservation of the productivity of the forest plantations in the management unit in the relationship between the increase in the growing existences and harvested volume, in periods of reference of the General Plan of Management.</p> <p>6.2.3 Indicator: percentage of wood used versus wood produced.</p> <p>6.2.3.5 Documents: General Plan of Management. Operative plans of silviculture treatments (cuts, thinning or other interventions) and harvest. Reports of forest inventory. Commercial reports.”</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 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>NO</p>	<p>UNIT 1152:2014</p> <p>“6.1 CRITERION 1. - Conservation of biological diversity</p> <p>6.1.1 Indicator: area of natural ecosystems</p> <p>6.1.1.1 Justification: It seeks to prevent the conversion of all types of forest to other land uses, except when: a) it is fully justified by national or regional planning of land use; b) it affects a small proportion of a forest type; c) it does not generate negative impacts on threatened forest ecosystems, areas of cultural or social significance, habitats or endangered species and other protected areas d) it contributes to conservation benefits, economic and social problems in the long term.</p> <p>6.1.1.3 Parameters:</p> <ul style="list-style-type: none"> - location of the field in the biogeographical context - total area of each natural ecosystem identified (ha) - ratio of area of each natural ecosystem identified in relation to the total area of the management unit (%)” <p>Forest Law Nº. 15.939 (1987)</p> <p>“Article 24^º. Prohibit cutting and any operation that threatens the survival of the indigenous forest, with the exception of the following cases:</p> <p>A) When the product of the exploitation is intended for domestic use and wiring of the rural establishment to which it belongs.</p>

Question	YES / NO	Reference to scheme documentation
		<p>B) When there is permission from the Forest Directorate based on a technical report where they are detailed.”</p> <p><i>Appendix 1 of PEFC 1003:2010, which provides the interpretation in the case of forest plantations”, states: “The requirement for the “conversion of forests to other types of land use, including conversion of primary forests to forest plantations” means that forest plantations established by a forest conversion after 31 December 2010 in other than “justified circumstances” do not meet the requirement and are not eligible for certification. No reference is found in the PEFC Uruguay System ensuring that forests converted after 31 December 2010 in other than ‘justified circumstances’ are not eligible for certification.</i></p> <p><i>Furthermore, the wording of 6.1.1.1 insufficiently ensures that <u>all</u> requirements are to be met.</i></p>
<p>5.1.12 Conversion of abandoned agricultural and treeless land into forest land shall be taken into consideration, whenever it can add economic, ecological, social and/or cultural value.</p>	<p>YES</p>	<p>LEY Nº. 15.939 Ley forestal - 28 de diciembre de 1987 (Google Translate)</p> <p>“Article 5. Those lands are forest lands, whether or not wooded:</p> <p>A) due to their conditions of soil, suitability, climate, location and other characteristics, are unsuitable for any other exploitation or destination of a permanent and profitable nature.</p> <p>B) are classified as forest priority by resolution of the Ministry of Livestock, Agriculture and Fisheries, depending on the forest suitability of the soil, or reasons of public utility. In the latter case, it shall be communicated to the General Assembly.”</p> <p><i>Non-wooded lands are also considered forest land when they are unsuitable for any other exploitation or destination of a permanent and profitable nature.</i></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>UNIT 1152:2014</p> <p>“1 - OBJECTIVE AND SCOPE</p> <p>(...) This Norm is applicable to forest plantations in a unit of forest management, both public and private.</p> <p>6.1 CRITERION 1. - Conservation of biological diversity</p>



Question	YES / NO	Reference to scheme documentation
		<p>6.1.2.1 Justification: the natural ecosystems present in the management unit must be identified and evaluated to determine the sites, species or communities of importance for the conservation of the biological diversity.</p> <p>6.1.3. Indicator: surface of biological corridors and buffer zones</p> <p>6.1.3.1 Justification: the maintenance of biological corridors allows the connectivity of the ecosystems at a regional level and the movement of species between adjacent basins. It is necessary to establish buffer areas between habitats and/or ecosystems of interest and forest plantations, to avoid compromising the conservation.</p> <p>6.3 CRITERION 3 - Maintenance and improvement of the health and vitality of the forest ecosystems.</p> <p>6.3.1 Indicator: estate of the system of protection against fires, climatic agents and mechanical damages.</p> <p>6.3.1.2 Objective: to prevent the forest fires and in case of sinister, to apply the proper measures to reduce to a minimum the damages and losses. To recover the forest populations affected by climatic agents. To prevent mechanical damages caused by the silvicultural activities.</p> <p>6.3.1.5 Documents: General Plan of Management for forest fire protection. Plans and silvicultural procedures for recuperation of forest ecosystems affected by fire and climatic agents.</p> <p>6.3.2 Indicator: sanitary state of the forest ecosystems.</p> <p>6.3.2.5 Documents: General Plan of Management. Integrated plans of control of pests and diseases. Silvicultural plans and procedures for the recovery of forest ecosystems affected for pests and/or diseases. Procedures for the prevention of mechanical damages during silvicultural treatments, harvest or transport.”</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</p>	<p>YES</p>	<p>UNIT 1152:2014</p> <p>“6.1 CRITERION 1. - Conservation of biological diversity</p> <p>6.1.2 Indicator: state of the ecosystems, species and their genetic diversity</p> <p>6.1.2.4 Procedures: (...) - procedures to adequate the animal endowment to the load capacity, for exotic and native animals in the management unit;</p>

Question	YES / NO	Reference to scheme documentation
<p>damage caused by climatic factors, air pollutants or by forest management operations.</p>		<p>6.3 CRITERION 3 - Maintenance and improvement of the health and vitality of the forest ecosystems.</p> <p>6.3.1 Indicator: estate of the system of protection against fires, climatic agents and mechanical damages.</p> <p>6.3.1.3 Parameters:</p> <ul style="list-style-type: none"> - surface affected by the fire in the management unit (ha/year); - plans and silvicultural procedures to recover the forest ecosystems affected by the fire or climatic agents in the management unit; (...) - recovered area of the total area affected by climatic agents (%); - quality control of the silvicultural tasks that might affect the forest populations. <p>6.3.2 Indicator: sanitary state of the forest ecosystems.</p> <p>6.3.2.3 Parameters: Result of the existence and implementation of a system integrated control of pests and diseases that at least considers:</p> <ul style="list-style-type: none"> - quantification of the incidence of pests and/or diseases in the plantations (% affected in relation to the total forested area); - quantity and frequency of the application of phytosanitary as complementary measures of biological control, silvicultural or mechanical; - existence and application of documented measures of prospection, prevention and control"
<p>5.2.3 The monitoring and maintaining of health and vitality of forest ecosystems shall take into consideration the effects of naturally occurring fire, pests and other disturbances.</p>	<p>YES</p>	<p>UNIT 1152:2014</p> <p>"6.3 CRITERION 3 - Maintenance and improvement of the health and vitality of the forest ecosystems.</p> <p>6.3.1 Indicator: estate of the system of protection against fires, climatic agents and mechanical damages.</p> <p>6.3.1.3 Parameters:</p> <ul style="list-style-type: none"> - surface affected by the fire in the management unit (ha/year); - plans and silvicultural procedures to recover the forest ecosystems affected by the fire or climatic agents in the management unit;



Question	YES / NO	Reference to scheme documentation
		<p>(...) - recovered area of the total area affected by climatic agents (%);</p> <ul style="list-style-type: none"> - quality control of the silvicultural tasks that might affect the forest populations. <p>6.3.2 Indicator: sanitary state of the forest ecosystems.</p> <p>6.3.2.3 Parameters: Result of the existence and implementation of a system integrated control of pests and diseases that at least considers:</p> <ul style="list-style-type: none"> - quantification of the incidence of pests and/or diseases in the plantations (% affected in relation to the total forested area); - quantity and frequency of the application of phytosanitary as complementary measures of biological control, silvicultural or mechanical; - existence and application of documented measures of prospection, prevention and control”
<p>5.2.4 Forest management plans or their equivalents shall specify ways and means to minimise the risk of degradation of and damages to forest ecosystems. Forest management planning shall make use of those policy instruments set up to support these activities.</p>	<p>YES</p>	<p>UNIT 1152:2014</p> <p>“4.1 Planification</p> <p>For the implementation and compliance of the criteria and indicators established, in the unit of forest management, a cohesive planification must take place with the concept of Sustainable Forest Management, seeking a balance between the conservation of the natural resources, historic-cultural and socio-economic aspects, productivity (technical, economic and financial) and the general society's well being.</p> <p>(...)The instruments of the established policies to support the production of goods and commercial and non commercial forest services must be used.</p> <p>4.2 General Plan of Management</p> <p>The unit of forest management must have a General Plan of Management. (...) The General Plan of Management must be a document itself, subject to periodical reviews, appropriate for the size and uses of the forest area, or a series of documents that include, among others: (...) plans for fire protection of forests, (...) plans for monitoring and integrated control of pests and diseases, forestry plans of recuperation of forest areas affected by fire or climatic agents”</p>
<p>5.2.5 Forest management practices shall make best use of natural structures and processes and</p>	<p>YES</p>	<p>UNIT 1152:2014</p> <p>“1 - OBJECTIVE AND SCOPE</p>



Question	YES / NO	Reference to scheme documentation
<p>use preventive biological measures wherever and as far as economically feasible to maintain and enhance the health and vitality of forests. Adequate genetic, species and structural diversity shall be encouraged and/or maintained to enhance the stability, vitality and resistance capacity of the forests to adverse environmental factors and strengthen natural regulation mechanisms.</p>		<p>(...) This Norm is applicable to forest plantations in a unit of forest management, both public and private.</p> <p>6.1 CRITERION 1. - Conservation of biological diversity</p> <p>6.1.2 Indicator: state of the ecosystems, species and their genetic diversity</p> <p>6.1.2.1 Justification: the natural ecosystems present in the management unit must be identified and evaluated to determine the sites, species or communities of importance for the conservation of the biological diversity.</p> <p>6.1.2.2 Objective: (...) To increase the genetic diversity inter and intraspecific and the structural diversity in order to improve the capability of the plantations in the stability, vitality and resistance to adverse environmental factors and to strengthen the natural mechanisms of regulation.</p> <p>6.1.3. Indicator: surface of biological corridors and buffer zones</p> <p>6.1.3.1 Justification: the maintenance of biological corridors allows the connectivity of the ecosystems at a regional level and the movement of species between adjacent basins. It is necessary to establish buffer areas between habitats and/or ecosystems of interest and forest plantations, to avoid compromising the conservation.</p> <p>6.2. CRITERION 2: Maintenance and improvement of the productive capacity of the forest ecosystems.</p> <p>6.2.1 Indicator: genotypes used in the forested area to obtain wood and non wood products and services, in relation to the total area of the management unit</p> <p>6.2.1.1 Justification: (...) For each site, the origins of the species or varieties introduced and appropriate genotypes must be determined as well as the impact on the ecosystems and genetic integrity of the native species and local origins;</p> <p>6.3 CRITERION 3 - Maintenance and improvement of the health and vitality of the forest ecosystems.</p> <p>6.3.2 Indicator: sanitary state of the forest ecosystems.</p> <p>6.3.2.4 Procedures:</p> <p>(...) - selection of alternatives of pest and disease control, giving preference to measures of biological, silvicultural or mechanical control against the use of chemical products;”</p>



Question	YES / NO	Reference to scheme documentation
<p>5.2.6 Lighting of fires shall be avoided and is only permitted if it is necessary for the achievement of the management goals of the forest management unit.</p>	<p>YES</p>	<p>UNIT 1152:2014</p> <p>“6.3 CRITERION 3 - Maintenance and improvement of the health and vitality of the forest ecosystems.</p> <p>6.3.1 Indicator: estate of the system of protection against fires, climatic agents and mechanical damages.</p> <p>6.3.1.4 Procedures:</p> <p>(...) - to avoid the use of fire in the forest fields. Some controlled fires might take place after technical evaluation;”</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>NO</p>	<p>UNIT 1152:2014</p> <p>“6.3 CRITERION 3 - Maintenance and improvement of the health and vitality of the forest ecosystems.</p> <p>6.3.1 Indicator: estate of the system of protection against fires, climatic agents and mechanical damages.</p> <p>6.3.1.1 Justification: (...) The planification of the silvicultural tasks must reduce to a minimum the mechanical damage to the forest populations.</p> <p>6.4 CRITERION 4: Conservation and Maintenance of the soil and water resources.</p> <p>6.4.1 Indicator: relation between the aptitude and use/current management of the soil in the management unit.</p> <p>6.4.1.1 Justification: the management unit must have information to design practices that allow the use of the soil resource according to its aptitude and ensure the proper conservation and recuperation of the soil.</p> <p>6.4.2 Indicator: state of erosion and degradation of affected soils.</p> <p>6.4.2.4 Procedures:</p> <ul style="list-style-type: none"> - to apply techniques and tools appropriate to the soils of the management unit; - to plan to reduce traffic in the direction of the maximum slope during harvest operations; - to minimize impact of harvesting equipment, storage and/or cargo on soil of the management unit;



Question	YES / NO	Reference to scheme documentation
		<p>- to respect timeouts of the operating machinery in relation to the traffic conditions of the soil and roads;</p> <p>- to minimize the times and areas of exposure of soil without vegetation cover;</p> <p>6.4.3 Indicator: state of the soil resource</p> <p>6.4.3.1 Justification: (...) The follow up can include modification to (...) the application of preventive action to avoid the soil deterioration. The use of agro- chemicals, fuels and lubricants, as well as other activities of the management unit, must be oriented to prevent the soil contamination.</p> <p>Other parameters to be evaluated:</p> <p>(...) - procedures for the disposal of liquid and solid waste;</p> <p>(...) - to establish procedures for operations related to the use of agrochemicals, fuels and lubricants and for the disposal of liquid and solid waste that might affect the quality of the soil resource;</p> <p>6.4.3.5 Documents: (...) Plans and specific procedures for operations related to the use of agrochemicals, fuels and lubricants, for the disposal of liquid and solid waste and for the forest activities or the installation and maintenance of infrastructure that can affect the quality and use of the soil resource. Contingency plans in case of spillage of agrochemicals, fuels or lubricants.</p> <p>6.4.4.3 Parameters:</p> <p>(...) - procedures for the disposal of liquid and solid waste.”</p> <p><i>No references were found with regard to the avoidance of non-organic waste and litter.</i></p>
<p>5.2.8 The use of pesticides shall be minimised and appropriate silvicultural alternatives and other biological measures preferred.</p>	<p>YES</p>	<p>UNIT 1152:2014</p> <p>“6.3 CRITERION 3 - Maintenance and improvement of the health and vitality of the forest ecosystems.</p> <p>6.3.2 Indicator: sanitary state of the forest ecosystems.</p> <p>6.3.2.4 Procedures: (...) - selection of alternatives of pest and disease control, giving preference to measures of biological, silvicultural or mechanical control against the use of chemical products;”</p>

Question	YES / NO	Reference to scheme documentation
<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>UNIT 1152:2014</p> <p>“6.3 CRITERION 3 - Maintenance and improvement of the health and vitality of the forest ecosystems.</p> <p>6.3.2 Indicator: sanitary state of the forest ecosystems.</p> <p>6.3.2.2 Objective: (...) Pesticides Type 1A and 1B of the WHO and other highly toxic pesticides shall be prohibited, except where not provided any viable alternative. Any exceptions to the prohibition of use of pesticides Type 1A and 1B WHO will be defined by a specific standard of forest management.”</p> <p>PEFC URUGUAY DG 09.01 - Procedure for the justification to the exceptional use of WHO pesticides, Groups 1A and 1B</p> <p>“1. Objective</p> <p>To establish a procedure to determine the exceptional use of WHO pesticides type 1A y 1B when there is no other alternative available.”</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>UNIT 1152:2014</p> <p>“6.3 CRITERION 3 - Maintenance and improvement of the health and vitality of the forest ecosystems.</p> <p>6.3.2 Indicator: sanitary state of the forest ecosystems.</p> <p>6.3.2.2 Objective: (...) 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, are also banned.”</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>UNIT 1152:2014</p> <p>“6.6 CRITERION 6 - Maintenance and improvement of the multiple socioeconomic benefits on the long term to cover the needs of the societies</p> <p>6.6.2 Indicator: level of capacitation of the workers of the management unit</p> <p>6.6.2.1 Justification: the workers that work in the management unit must be qualified for the activities they do.</p>

Question	YES / NO	Reference to scheme documentation
		<p>6.6.2.2 Objective: to capacitate workers, in the management unit as well as hired companies, in all those activities related to their work, safety and hygiene.”</p> <p>DECRETO 294/04 (Google translate)</p> <p>“Art. 6 - Any natural or legal person applying phytosanitary products will be responsible for using them only for authorized uses and in accordance with the specifications contained in the labels, adopting the security measures indicated therein and respecting the deadlines that must elapse between the last application and the harvest.”</p> <p>DECRETO 372/99 (Google translate)</p> <p>“ARTICLE 81º The chemical products must be deposited in premises specially destined for that purpose, with adequate ventilation, located at distances that ensure a clear separation with premises of another use. Only trained personnel may enter these premises for such purposes.</p> <p>ARTICLE 84º For the workers that manipulate chemical substances it will be obligatory to provide on the part of the employer the adequate protection of the head above the shoulders as well as the protection of the face in which it has relation with respiratory tracts and eyes, providing a mask with filter adequate to the substance used.</p> <p>ARTICLE 86 As regards work clothing, it must be made of material whose fiber is resistant to the penetration of the chemical used.</p> <p>ARTICLE 87º In the hands you must use protective gloves according to the product you handle.”</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>UNIT 1152:2014</p> <p>“6.4 CRITERION 4: Conservation and Maintenance of the soil and water resources.</p> <p>6.4.3 Indicator: state of the soil resource</p> <p>6.4.3.1 Justification: (...) The use of agro- chemicals, (...), must be oriented to prevent the soil contamination.</p> <p>6.4.3.3 (...) Other parameters to be evaluated:</p> <ul style="list-style-type: none"> - procedures for storage, manipulation, application and management of agrochemicals; - to establish procedures for operations related to the use of agrochemicals, (...) that might affect the quality of the soil resource;



Question	YES / NO	Reference to scheme documentation
		<p>- report of environmental accidents.</p> <p>6.4.4 Indicator: state of the quality of the water resource.</p> <p>6.4.4.1 Justification: (...) Contamination of the water resources by the use of agrochemicals, (...) of the management unit must be prevented.</p> <p>6.4.4.4 Procedures:</p> <p>- to establish procedures for operations related to the use of agrochemicals, (...) that might affect the quality of the water resource;”</p>
Criterion 3: Maintenance and encouragement of productive functions of forests (wood and non-wood)		
<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>	YES	<p>UNIT 1152:2014</p> <p>“4.1 Planification</p> <p>For the implementation and compliance of the criteria and indicators established, in the unit of forest management, a cohesive planification must take place with the concept of Sustainable Forest Management, seeking a balance between the conservation of the natural resources, historic-cultural and socio-economic aspects, productivity (technical, economic and financial) and the general society's well being.”</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>	YES	<p>UNIT 1152:2014</p> <p>“4.1 Planification</p> <p>(...) The planification of the unit of management must be formulated, documented and reviewed periodically, in the short and long term for: (...)</p> <p>- the achievement of a sustainable economical development, in consideration of new markets and economical activities in relation to all the products and relevant services in the management unit.”</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</p>	YES	<p>UNIT 1152:2014</p> <p>“4.1 Planification</p> <p>(...) In the planification of the different uses and functions of the management unit the role of the forest production in the rural development must be taken into consideration. The instruments of</p>

Question	YES / NO	Reference to scheme documentation
production of commercial and non-commercial forest goods and services.		the established policies to support the production of goods and commercial and non commercial forest services must be used.”
5.3.4 Forest management practices shall maintain and improve the forest resources and encourage a diversified output of goods and services over the long term.	YES	<p>UNIT 1152:2014</p> <p>“4.1 Planification (...) The planification of the unit of management must be formulated, documented and reviewed periodically, in the short and long term for: (...) - the production of a diversity of goods (wood and non wood products) and services in a sustainable way;”</p> <p>6.2. CRITERION 2: Maintenance and improvement of the productive capacity of the forest ecosystems.</p> <p>6.2.1 Indicator: genotypes used in the forested area to obtain wood and non wood products and services, in relation to the total area of the management unit</p> <p>6.2.1.2 Objective: to determine the ratio of the total area available to the management unit with forest production aptitude and the effective area forested and destined to other productions or uses.”</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.	NO	<p>UNIT 1152:2014</p> <p>“4.1 Planification The planification of the unit of management must be formulated, documented and reviewed periodically, in the short and long term for: - (...) the execution of each one of the activities; - (...) the prevention of (...) environmental risks; - (...) the achievement of a sustainable economical development</p> <p>6.2. CRITERION 2: Maintenance and improvement of the productive capacity of the forest ecosystems.</p>



Question	YES / NO	Reference to scheme documentation
		<p>6.2.3.2 Objective: to obtain the maximum commercial benefit from the forest. To seek to minimize the tree residues, product of the management practices and harvest of wood products mainly and to prevent uncontrolled harvest losses.</p> <p>6.2.3.5 Documents: General Plan of Management. Operative plans of silviculture treatments (cuts, thinning or other interventions) and harvest.</p> <p>6.4.3.3 (...) Other parameters to be evaluated: - silvicultural procedures for the prevention of mechanical damage to the soil during harvest, silvicultural treatments and transport;" <i>It is insufficiently assured that the mentioned operations shall be carried out <u>in time</u>.</i></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>UNIT 1152:2014</p> <p>"6.2. CRITERION 2: Maintenance and improvement of the productive capacity of the forest ecosystems.</p> <p>6.2.3 Indicator: percentage of wood used versus wood produced.</p> <p>6.2.3.2 Objective: to obtain the maximum commercial benefit from the forest. To seek to minimize the tree residues, product of the management practices and harvest of wood products mainly and to prevent uncontrolled harvest losses.</p> <p>6.2.4 Indicator: amount of non wood products and services of the forest</p> <p>6.2.4.2 Objective: to identify and quantify the non wood products in the management unit. To prevent use without control or supervision by the responsible forest management unit</p> <p>6.4 CRITERION 4: Conservation and Maintenance of the soil and water resources.</p> <p>6.4.1 Indicator: relation between the aptitude and use/current management of the soil in the management unit.</p> <p>6.4.1.1 Justification: the management unit must have information to design practices that allow the use of the soil resource according to its aptitude and ensure the proper conservation and recuperation of the soil."</p>
<p>5.3.7 Where it is the responsibility of the forest owner/manager and included in forest</p>	<p>YES</p>	<p>UNIT 1152:2014</p>

Question	YES / NO	Reference to scheme documentation
<p>management, the exploitation of non-timber forest products, including hunting and fishing, shall be regulated, monitored and controlled.</p>		<p>“6.2. CRITERION 2: Maintenance and improvement of the productive capacity of the forest ecosystems. 6.2.4 Indicator: amount of non wood products and services of the forest 6.2.4.2 Objective: to identify and quantify the non wood products in the management unit. To prevent use without control or supervision by the responsible forest management unit 6.2.4.3 Parameters: - recreational hunting and fishing (Number of visitors per year); 6.2.4.4 Procedures: - identification and evaluation of utilities and potential services relevant in the management unit; - regulation of the use of non wood products in management unit;”</p>
<p>5.3.8 Adequate infrastructure such as roads, skid tracks or bridges shall be planned, established and maintained to ensure efficient delivery of goods and services while minimising negative impacts on the environment.</p>	<p>YES</p>	<p>UNIT 1152:2014 “6.1 CRITERION 1. Conservation of biological diversity 6.1.2 Indicator: state of the ecosystems, species and their genetic diversity 6.1.2.3 Parameters: The existence, when corresponds, of plans for (...) construction and maintenance of infrastructure, considering the conservation of ecosystems, species and their habitats. 6.2. CRITERION 2: Maintenance and improvement of the productive capacity of the forest ecosystems. 6.2.1 Indicator: genotypes used in the forested area to obtain wood and non wood products and services, in relation to the total area of the management unit 6.2.1.1 Justification: (...) The equipments and techniques to use in each activity must be defined, as well as establish and maintain the necessary infrastructure to accomplish a Sustainable Forest Management. 6.2.1.3 Parameters: - plans of construction and maintenance of infrastructure.”</p>
<p>Criterion 4: Maintenance, conservation and appropriate enhancement of biological diversity in forest ecosystems</p>		



Question	YES / NO	Reference to scheme documentation
<p>5.4.1 Forest management planning shall aim to maintain, conserve and enhance biodiversity on ecosystem, species and genetic levels and, where appropriate, diversity at landscape level.</p>	<p>YES</p>	<p>UNIT 1152:2014</p> <p>“4.1 Planification</p> <p>The planification of the forest management, territory inventory and mapping of forest resources shall identify, protect and/or preserve environmentally important forest areas that contain significant concentrations of:</p> <ul style="list-style-type: none"> -protected ecosystems, rare, vulnerable or representative, such as riparian or wetland biotopes; -areas containing endemic species and habitats of endangered species, as defined in recognized reference lists; - threatened or protected in situ genetic resources; <p>and take into account significant areas of landscape to global, regional, and national levels with natural distribution and abundance of natural existence;</p> <p>6.1 CRITERION 1. - Conservation of biological diversity</p> <p>6.1.2 Indicator: state of the ecosystems, species and their genetic diversity</p> <p>6.1.2.1 Justification: the natural ecosystems present in the management unit must be identified and evaluated to determine the sites, species or communities of importance for the conservation of the biological diversity.”</p>
<p>5.4.2 Forest management planning, inventory and mapping of forest resources shall identify, protect and/or conserve ecologically important forest areas containing significant concentrations of:</p> <ul style="list-style-type: none"> a) protected, rare, sensitive or representative forest ecosystems such as riparian areas and wetland biotopes; b) areas containing endemic species and habitats of threatened species, as defined in recognised reference lists; 	<p>YES</p>	<p>UNIT 1152:2014</p> <p>“4.1 Planification</p> <p>The planification of the forest management, territory inventory and mapping of forest resources shall identify, protect and/or preserve environmentally important forest areas that contain significant concentrations of:</p> <ul style="list-style-type: none"> -protected ecosystems, rare, vulnerable or representative, such as riparian or wetland biotopes; -areas containing endemic species and habitats of endangered species, as defined in recognized reference lists; - threatened or protected in situ genetic resources; <p>and take into account significant areas of landscape to global, regional, and national levels with natural distribution and abundance of natural existence;”</p>



Question	YES / NO	Reference to scheme documentation
<p>c) endangered or protected genetic in situ resources; 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>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>	YES	<p>UNIT 1152:2014</p> <p>“6.1 CRITERION 1. - Conservation of biological diversity</p> <p>6.1.2 Indicator: state of the ecosystems, species and their genetic diversity</p> <p>6.1.2.3 Parameters:</p> <ul style="list-style-type: none"> - list of native species endangered (critical risk, endangered or vulnerable) and of special importance for the conservation of the biological diversity.; - The existence, when corresponds, of plans for (...) - conservation of native plant and animal species; <p>6.1.2.4 Procedures:</p> <ul style="list-style-type: none"> - monitoring of the habitats to be conserved in the management unit, including at least the abundance/richness indexes for the endangered species and those of singular importance for the conservation, (...);”
<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>	YES	<p>UNIT 1152:2014</p> <p>“6.1 CRITERION 1. - Conservation of biological diversity</p> <p>6.1.2 Indicator: state of the ecosystems, species and their genetic diversity</p> <p>6.1.2.2 Objective: to describe, evaluate and plan the management of the natural ecosystems identified in the item 6.1.1 and the animal and plant species, native and exotic. To increase the genetic diversity inter and intraspecific and the structural diversity in order to improve the capability of the plantations in the stability, vitality and resistance to adverse environmental factors and to strengthen the natural mechanisms of regulation.</p>



Question	YES / NO	Reference to scheme documentation
		<p>6.1.2.3 Parameters: The existence, when corresponds, of plans for (...) - natural re-population for the maintenance of native forests and those populations of exotic species where the natural re-population is the only economical alternative possible;”</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>NO</p>	<p>UNIT 1152:2014 “6.1 CRITERION 1. - Conservation of biological diversity 6.1.2.2 Objective: to describe, evaluate and plan the management of the natural ecosystems identified in the item 6.1.1 and the animal and plant species, native and exotic. To increase the genetic diversity inter and intraspecific and the structural diversity in order to improve the capability of the plantations in the stability, vitality and resistance to adverse environmental factors and to strengthen the natural mechanisms of regulation. 6.1.2.3 Parameters: (...) The existence, when corresponds, of plans for (...) - forestation and/or re-population with a diversity of genotypes, species and/or clones in the management unit; 6.2. CRITERION 2: Maintenance and improvement of the productive capacity of the forest ecosystems. 6.2.1 Indicator: genotypes used in the forested area to obtain wood and non wood products and services, in relation to the total area of the management unit 6.2.1.1 Justification: (...) For each site, the origins of the species or varieties introduced and appropriate genotypes must be determined as well as the impact on the ecosystems and genetic integrity of the native species and local origins; (...) 6.2.1.3 Parameters: (...) - list of species, origins, varieties introduced or clones used; - forested areas with each species, origins, introduced variety or clone;” <i>As commented by PEFC Uruguay national legislation provides for environmental impact assessments (including remedial measures) for new forest plantations over 100ha, but no references were found ensuring avoidance or minimization of negative impacts of used species, provenances or varieties for all certified forest plantations.</i></p>

Question	YES / NO	Reference to scheme documentation
5.4.6 Afforestation and reforestation activities that contribute to the improvement and restoration of ecological connectivity shall be promoted.	NO	<p>UNIT 1152:2014</p> <p>“6.1 CRITERION 1. - Conservation of biological diversity</p> <p>6.1.2 Indicator: state of the ecosystems, species and their genetic diversity</p> <p>6.1.2.1 Justification: the natural ecosystems present in the management unit must be identified and evaluated to determine the sites, species or communities of importance for the conservation of the biological diversity.</p> <p>6.1.3. Indicator: surface of biological corridors and buffer zones</p> <p>6.1.3.1 Justification: the maintenance of biological corridors allows the connectivity of the ecosystems at a regional level and the movement of species between adjacent basins. (...)</p> <p>6.1.3.2 Objective: to contribute to the conservation of the natural ecosystems and species of interest present in the management unit or adjacent areas.</p> <p>6.1.3.3 Parameters:</p> <p>(...) - surface of biological corridors (ha).</p> <p>6.1.3.4 Procedures:</p> <p>- territory planning of the management units including the biological corridors and buffer zones;</p> <p>6.1.3.5 Documents: General Plan of Management; specific plan for the coordinated management of areas of conservation of biological diversity, biological corridors and buffer zones.”</p> <p><i>No references were found which ensure <u>promotion</u> of afforestation and reforestation activities that contribute to the improvement and restoration of ecological connectivity.</i></p>
5.4.7 Genetically-modified trees shall not be used.	YES	<p>UNIT 1152:2014</p> <p>“1 - OBJECTIVE AND SCOPE</p> <p>(...) Forest plantations with genetically modified trees are expressly excluded from the scope of this standard.</p> <p>6.2. CRITERION 2: Maintenance and improvement of the productive capacity of the forest ecosystems.</p>



Question	YES / NO	Reference to scheme documentation
		6.2.1 Indicator: genotypes used in the forested area to obtain wood and non wood products and services, in relation to the total area of the management unit 6.2.1.1 Justification: (...) the use of genetically modified organisms is prohibited.”
5.4.8 Forest management practices shall, where appropriate, promote a diversity of both horizontal and vertical structures such as uneven-aged stands and the diversity of species such as mixed stands. Where appropriate, the practices shall also aim to maintain and restore landscape diversity.	YES	UNIT 1152:2014 “6.1 CRITERION 1. - Conservation of biological diversity 6.1.2 Indicator: state of the ecosystems, species and their genetic diversity 6.1.2.2 Objective: (...) To increase the genetic diversity inter and intraspecific and the structural diversity in order to improve the capability of the plantations in the stability, vitality and resistance to adverse environmental factors and to strengthen the natural mechanisms of regulation.”
5.4.9 Traditional management systems that have created valuable ecosystems, such as coppice, on appropriate sites shall be supported, when economically feasible.	YES	UNIT 1152:2014 “4.1 Planification For the implementation and compliance of the criteria and indicators established, in the unit of forest management, a cohesive planification must take place with the concept of Sustainable Forest Management, seeking a balance between the conservation of the natural resources, historic-cultural and socio-economic aspects, productivity (technical, economic and financial) and the general society's well being.”
5.4.10 Tending and harvesting operations shall be conducted in a way that does not cause lasting damage to ecosystems. Wherever possible, practical measures shall be taken to improve or maintain biological diversity.	YES	UNIT 1152:2014 “6.1 CRITERION 1. - Conservation of biological diversity 6.1.2 Indicator: state of the ecosystems, species and their genetic diversity 6.1.2.1 Justification: the natural ecosystems present in the management unit must be identified and evaluated to determine the sites, species or communities of importance for the conservation of the biological diversity. 6.1.2.3 Parameters: - The existence, when corresponds, of plans for (...) - construction and maintenance of infrastructure, considering the conservation of ecosystems, species and their habitats. 6.3 CRITERION 3 - Maintenance and improvement of the health and vitality of the forest

Question	YES / NO	Reference to scheme documentation
		<p>ecosystems.</p> <p>6.3.1 Indicator: estate of the system of protection against (...) mechanical damages.</p> <p>6.3.1.1 Justification: (...) The planification of the silvicultural tasks must reduce to a minimum the mechanical damage to the forest populations.</p> <p>6.3.1.2 Objective: (...) To prevent mechanical damages caused by the silvicultural activities.</p> <p>6.3.1.3 Parameters:</p> <ul style="list-style-type: none"> - quality control of the silvicultural tasks that might affect the forest populations. <p>6.3.1.4 Procedures:</p> <ul style="list-style-type: none"> - prevention of the mechanical damages during silvicultural tasks, harvest or transport.”
<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>UNIT 1152:2014</p> <p>“6.1 CRITERION 1. - Conservation of biological diversity</p> <p>6.1.2 Indicator: state of the ecosystems, species and their genetic diversity</p> <p>6.1.2.1 Justification: the natural ecosystems present in the management unit must be identified and evaluated to determine the sites, species or communities of importance for the conservation of the biological diversity.</p> <p>6.1.2.3 Parameters:</p> <ul style="list-style-type: none"> - list of native species endangered (critical risk, endangered or vulnerable) and of special importance for the conservation of the biological diversity.; - The existence, when corresponds, of plans for (...) - construction and maintenance of infrastructure, considering the conservation of ecosystems, species and their habitats.”
<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>UNIT 1152:2014</p> <p>“6.1 CRITERION 1. - Conservation of biological diversity</p> <p>6.1.2.4 Procedures:</p> <ul style="list-style-type: none"> - procedures to adequate the animal endowment to the load capacity, for exotic and native animals in the management unit;”



Question	YES / NO	Reference to scheme documentation
<p>5.4.13 Standing and fallen dead wood, hollow trees, old groves and special rare tree species shall be left in quantities and distribution necessary to safeguard biological diversity, taking into account the potential effect on the health and stability of forests and on surrounding ecosystems.</p>	<p>YES</p>	<p>UNIT 1152:2014</p> <p>“6.1 CRITERION 1. - Conservation of biological diversity</p> <p>6.1.2.4 Procedures:</p> <ul style="list-style-type: none"> - formulation and implementation of forestry norms and procedures that include measures for the conservation of the biological diversity (maintenance of dead trees, fallen or standing for fauna habitats, and maintenance of aging tree areas of rare or singular species.) considering the potential effects of these measures on the safety of people and the protection and stability of forests and surrounding ecosystems simultaneously.”
<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 adverse impacts of water such as floods or avalanches.</p>	<p>NO</p>	<p>UNIT 1152:2014</p> <p>“6.2.4 Indicator: amount of non wood products and services of the forest</p> <p>6.2.4.1 Justification: the resources and services that might produce non wood products must be quantified for the producer and the community.</p> <p>6.2.4.2 Objective: to identify and quantify the non wood products in the management unit. To prevent use without control or supervision by the responsible forest management unit</p> <p>6.2.4.3 Parameters: (...) - tree covered surface that might qualify as protection forest (ha) and its ratio (%) with the total surface of the management unit.</p> <p>6.2.4.4 Procedures:</p> <ul style="list-style-type: none"> - identification and evaluation of utilities and potential services relevant in the management unit; - regulation of the use of services (silvopasture, recreational activities, etc.) in the management unit; <p>6.4 CRITERION 4: Conservation and Maintenance of the soil and water resources.</p> <p>6.4.2 Indicator: state of erosion and degradation of affected soils.</p> <p>6.4.2.1 Justification: the potential erosion and degradation risks must be considered in the planning and execution of the tasks. Documented corrective and preventive actions and must take place to diminish or attenuate the current erosion in the affected areas.</p>

Question	YES / NO	Reference to scheme documentation
		<p>6.4.4 Indicator: state of the quality of the water resource.</p> <p>6.4.4.1 Justification: In the management of the natural resources of the unit of forest management it must be considered the water resource, with the objective of minimizing the potential damaging effects in its quality.”</p> <p><i>No reference was found aiming to <u>maintain and enhance</u> protective functions of forests for society.</i></p>
<p>5.5.2 Areas that fulfil specific and recognised protective functions for society shall be registered and mapped, and forest management plans or their equivalents shall take these areas into account.</p>	<p>YES</p>	<p>UNIT 1152:2014</p> <p>“6.2.4 Indicator: amount of non wood products and services of the forest</p> <p>6.2.4.2 Objective: to identify and quantify the non wood products in the management unit. To prevent use without control or supervision by the responsible forest management unit</p> <p>6.2.4.3 Parameters: (...) - tree covered surface that might qualify as protection forest (ha) and its ratio (%) with the total surface of the management unit.</p> <p>6.2.4.4 Procedures:</p> <ul style="list-style-type: none"> - identification and evaluation of utilities and potential services relevant in the management unit; - regulation of the use of services (silvopasture, recreational activities, etc.) in the management unit; <p>6.4 CRITERION 4: Conservation and Maintenance of the soil and water resources.</p> <p>6.4.2 Indicator: state of erosion and degradation of affected soils.</p> <p>6.4.2.1 Justification: the potential erosion and degradation risks must be considered in the planning and execution of the tasks. Documented corrective and preventive actions and must take place to diminish or attenuate the current erosion in the affected areas.</p> <p>6.4.2.5 Documents: General Plan of Management. (...)</p> <p>6.4.2.6 Registers: (...) Soil cartography.</p> <p>6.4.4 Indicator: state of the quality of the water resource.</p> <p>6.4.4.1 Justification: In the management of the natural resources of the unit of forest management it must be considered the water resource, with the objective of minimizing the potential damaging effects in its quality.”</p>



Question	YES / NO	Reference to scheme documentation
		6.4.4.5 Documents: General Plan of Management. (...) 6.4.4.6 Registers: (...) Cartography that identify the basin associated to the unit of forest management, water courses, protection areas and points and sites of monitoring.”
5.5.3 Special care shall be given to silvicultural operations on sensitive soils and erosion-prone areas as well as in areas where operations might lead to excessive erosion of soil into watercourses. Inappropriate techniques such as deep soil tillage and use of unsuitable machinery shall be avoided in such areas. Special measures shall be taken to minimise the pressure of animal populations.	YES	<p>UNIT 1152:2014</p> <p>“6.4 CRITERION 4: Conservation and Maintenance of the soil and water resources.</p> <p>6.4.2 Indicator: state of erosion and degradation of affected soils.</p> <p>6.4.2.1 Justification: the potential erosion and degradation risks must be considered in the planning and execution of the tasks. Documented corrective and preventive actions and must take place to diminish or attenuate the current erosion in the affected areas.</p> <p>6.4.2.2 Objective: to quantify the affected areas and the potential risk. To adopt corrective and preventive measures to reduce, avoid and even revert the advance of the erosion process and degradation.</p> <p>6.4.2.3 Parameters: periodical quantification of the surface (ha) of the affected areas in different levels of:</p> <p>(...) - to formulate, implement and periodically review plans and procedures to reduce to a minimum the areas affected by degradation processes and apply corrective action in degraded areas ;</p> <ul style="list-style-type: none"> - procedures to control the animal load in areas under husbandry and/or joint use. <p>6.4.2.4 Procedures:</p> <ul style="list-style-type: none"> - to apply techniques and tools appropriate to the soils of the management unit; - to plan to reduce traffic in the direction of the maximum slope during harvest operations; - to minimize impact of harvesting equipment, storage and/or cargo on soil of the management unit; - to respect timeouts of the operating machinery in relation to the traffic conditions of the soil and roads; - to minimize the times and areas of exposure of soil without vegetation cover;

Question	YES / NO	Reference to scheme documentation
		<p>6.4.4 Indicator: state of the quality of the water resource.</p> <p>6.4.4.2 Objective: (...) In the cases where the activities in the unit of forest management affect the quality of the superficial waters in the limiting basins, to establish corrective action.</p> <p>6.4.4.4 Procedures: (...) - to establish procedures for forest activities that might affect the use of water (site preparation, plantation, silvicultural treatments, construction and maintenance of infrastructure, among others);”</p>
<p>5.5.4 Special care shall be given to forest management practices in forest areas with water protection functions to avoid adverse effects on the quality and quantity of water resources. Inappropriate use of chemicals or other harmful substances or inappropriate silvicultural practices influencing water quality in a harmful way shall be avoided.</p>	<p>YES</p>	<p>UNIT 1152:2014</p> <p>“6.4 CRITERION 4: Conservation and Maintenance of the soil and water resources.</p> <p>6.4.4 Indicator: state of the quality of the water resource.</p> <p>6.4.4.1 Justification: In the management of the natural resources of the unit of forest management it must be considered the water resource, with the objective of minimizing the potential damaging effects in its quality. The persons responsible for the unit of management must identify and limit the basins associate. Contamination of the water resources by the use of agrochemicals, fuels and lubricants or other activities of the management unit must be prevented.</p> <p>6.4.4.2 Objective: To know the current state of the resource and follow it up in time. In the cases where the activities in the unit of forest management affect the quality of the superficial waters in the limiting basins, to establish corrective action.</p> <p>6.4.4.5 Documents: General Plan of Management. Plans of follow up of the water quality. Plans and procedures specific for operations related with the use of agrochemicals, fuels and lubricants, for the disposal of liquid and solid waste and for the forest activities that might affect the use of the water resource.</p> <p>6.4.4.6 Registers: the registers must give evidence of the parameters. Cartography that identify the basin associated to the unit of forest management, water courses, protection areas and points and sites of monitoring. Results of the analyses of superficial waters.”</p>
<p>5.5.5 Construction of roads, bridges and other infrastructure shall be carried out in a manner that</p>	<p>YES</p>	<p>UNIT 1152:2014</p>

Question	YES / NO	Reference to scheme documentation
<p>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>“6.4 CRITERION 4: Conservation and Maintenance of the soil and water resources. 6.4.2 Indicator: state of erosion and degradation of affected soils. 6.4.2.4 Procedures: (...) - to minimize the times and areas of exposure of soil without vegetation cover; 6.4.3 Indicator: state of the soil resource 6.4.3.3 Parameters: Other parameters to be evaluated: - installation and maintenance of infrastructure to ensure a minimum negative impact of the operations over the soil resource; 6.4.4 Indicator: state of the quality of the water resource. 6.4.4.4 Procedures: (...) - to establish procedures for forest activities that might affect the use of water (site preparation, plantation, silvicultural treatments, construction and maintenance of infrastructure, among others);”</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>UNIT 1152:2014 “6.6 CRITERION 6 - Maintenance and improvement of the multiple socioeconomic benefits on the long term to cover the needs of the societies 6.6.3 Indicator: estate of relation with the local communities 6.6.3.1 Justification: the social and cultural aspects of the community must be incorporated for a Sustainable Forest Management, to generate benefits, for the management unit as well as the employees and communities and to favour the good understanding among them. (...) 6.6.3.2 Objective: (...) To consider in the planning of the forest management the work opportunities and opportunities to promote the activities in areas of influence such as the contribution to the rural development.”</p>

Question	YES / NO	Reference to scheme documentation
<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>UNIT 1152:2014</p> <p>“6.6 CRITERION 6 - Maintenance and improvement of the multiple socioeconomic benefits on the long term to cover the needs of the societies</p> <p>6.6.3 Indicator: estate of relation with the local communities</p> <p>6.6.3.1 Justification: the social and cultural aspects of the community must be incorporated for a Sustainable Forest Management, to generate benefits, for the management unit as well as the employees and communities and to favour the good understanding among them. (...)</p> <p>6.6.3.2 Objective: (...) To consider in the planning of the forest management the work opportunities and opportunities to promote the activities in areas of influence such as the contribution to the rural development.”</p>
<p>5.6.3 Property rights and land tenure arrangements shall be clearly defined, documented and established for the relevant forest area. Likewise, legal, customary and traditional rights related to the forest land shall be clarified, recognised and respected.</p>	<p>NO</p>	<p>UNIT 1152:2014</p> <p>“6.6 CRITERION 6 - Maintenance and improvement of the multiple socioeconomic benefits on the long term to cover the needs of the societies</p> <p>6.6.4 Indicator: estate of the conservation of the landscape, historical, cultural and recreational values</p> <p>6.6.4.2 Objective: To consider, in the planning of the forest management, the landscape and the recreational values, in their quality of pre-existing global resources in relation to the intervention and production activities, and their patrimonial value, in consideration to any future scenario, conserving all the historical, cultural and spiritual values.</p> <p>6.6.4.3 Parameters:</p> <p>(...) - location of the sites with historical, cultural and/or recreational significant values for the region;”</p> <p>6.7 CRITERION 7 - Legal, institutional and economic frame for the conservation and sustainable management of forests</p> <p>6.7.1 Indicator: state of compliance with the current legal frame for the forest management</p> <p>6.7.1.3 Parameters:</p>



Question	YES / NO	Reference to scheme documentation
		<p>(...) - compliance with the current legal normative applicable to the management unit and the activities associated with it;</p> <p>- permits or legal authorizations corresponding to the execution of those activities that require them;”</p> <p>Additional explanation provided by PEFC Uruguay:</p> <p>“Land property as well as other properties must be clearly defined and registered in the corresponding offices of the Government. There are no land property conflicts in Uruguay. Criterion 7 and in particular item 6.7.1 make reference to the compliance to the legal framework for the management unit.”</p> <p><i>However, no documented reference was found ensuring clear definition, documentation and establishment of property rights and land tenure arrangements.</i></p>
<p>5.6.4 Forest management activities shall be conducted in recognition of the established framework of legal, customary and traditional rights such as outlined in ILO 169 and the UN Declaration on the Rights of Indigenous Peoples, which shall not be infringed upon without the free, prior and informed consent of the holders of the rights, including the provision of compensation where applicable. Where the extent of rights is not yet resolved or is in dispute there are processes for just and fair resolution. In such cases forest managers shall, in the interim, provide meaningful opportunities for parties to be engaged in forest management decisions whilst respecting the processes and roles and responsibilities laid out in the policies and laws where the certification takes place.</p>	<p>NO</p>	<p>UNIT 1152:2014</p> <p>“6.6 CRITERION 6 - Maintenance and improvement of the multiple socioeconomic benefits on the long term to cover the needs of the societies</p> <p>6.6.3 Indicator: estate of relation with the local communities</p> <p>6.6.3.1 Justification: the social and cultural aspects of the community must be incorporated for a Sustainable Forest Management, to generate benefits, for the management unit as well as the employees and communities and to favour the good understanding among them. (...)</p> <p>6.6.3.2 Objective: to promote the communication and good understanding of the communities implied in the productive process of the unit forest management. To consider in the planning of the forest management the work opportunities and opportunities to promote the activities in areas of influence such as the contribution to the rural development.</p> <p>6.6.3.4 Procedures: to establish opportunities to relate and interact with the communities including the reception and attention to suggestions, requests and complaints.</p> <p>6.7 CRITERION 7 - Legal, institutional and economic frame for the conservation and sustainable management of forests</p> <p>6.7.1 Indicator: state of compliance with the current legal frame for the forest management</p>



Question	YES / NO	Reference to scheme documentation
		<p>6.7.1.3 Parameters: (...) - compliance with the current legal normative applicable to the management unit and the activities associated with it;”</p> <p>Additional explanation provided by PEFC Uruguay:</p> <p>“The situation of original populations in Uruguay is different to those of other countries in Latin America. Uruguay is a country with a population conformed mainly of descendants of European immigrants and in a smaller proportion, descendants of Afro-American and indigenous populations. The current population is the result of a mixture of races.</p> <p>The indigenous population that occupied the territory before and during the colonial period belonged mainly to the macro-etnia charrúa, that included guenoas, bohanes, yaros and the charrúas themselves.</p> <p>The anthropologist Daniel Vidart (2001) states that: “ the nomadic Indian was combated and practically exterminated in South America”. From the point of view of the indigenous communities, and differently than in other countries of Latin America, in Uruguay there are no indigenous communities since mid XIX century”...</p> <p>During the first half of the XIX century, the scarce Indians that had survived the arrival of the conqueror and posterior internal wars were eradicated in the massacre at the shores of the Arroyo Salsipuedes in the year 1831, (Vidart 2011). Currently there are no indigenous populations living in any part of the national territory</p> <p>National Government has recognized the indigenous input in the identity of our country. In 2009, Law 18.589 was approved that declares April 11th the day of the Charrúa Nation and the indigenous identity (Annex 3). In article 2, it is requested that the Executive and the National Administration of Education (ANEP) promote the information and sensibilization of citizens on the participation of the indigenous population in the national identity and the historical events related to the Charrúa Nation in Salsipuedes in 1831 (REFERENCES: Ministerio de Relaciones Exteriores. 2014. 200 resultados de la política exterior (2010 – 2014), Vidart, Daniel. 2012. Anuario de Antropología Social y Cultural en Uruguay, Vol. 10.)</p> <p>In consideration to the fact that there are no indigenous communities in the country the standard does not address the issue.”</p>



Question	YES / NO	Reference to scheme documentation
		<p><i>The status of indigenous peoples in Uruguay remained unclear for the Assessor, since some sources contradict the above explanation and state that there are still small groups of indigenous peoples in Uruguay. E.g. http://minorityrights.org/country/uruguay/, https://elpais.com/elpais/2017/11/06/inenglish/1509969553_044435.html</i></p> <p><i>No references were found ensuring that forest management activities shall be conducted in recognition of customary and traditional rights, and no reference is made with regard to free, prior and informed consent.</i></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>UNIT 1152:2014</p> <p>“6.6 CRITERION 6 - Maintenance and improvement of the multiple socioeconomic benefits on the long term to cover the needs of the societies</p> <p>6.6.3 Indicator: estate of relation with the local communities</p> <p>6.6.3.1 Justification: the social and cultural aspects of the community must be incorporated for a Sustainable Forest Management, to generate benefits, for the management unit as well as the employees and communities and to favour the good understanding among them. (...)</p> <p>6.6.3.3 Parameters:</p> <p>(...) - procedures for several functions and activities (recreational, cultural, of consultation) to relate to the local communities.</p> <p>6.6.4 Indicator: estate of the conservation of the landscape, (...) and recreational values</p> <p>6.6.4.2 Objective: To consider, in the planning of the forest management, the landscape and the recreational values, in their quality of pre-existing global resources in relation to the intervention and production activities, and their patrimonial value, in consideration to any future scenario, conserving all the historical, cultural and spiritual values.</p> <p>6.6.4.3 Parameters:</p> <p>(...) - location of the sites with historical, cultural and/or recreational significant values for the region; (...) - operative plans (among other, silvicultural treatments, harvest, installation and maintenance of infrastructure) that consider the conservation and proper improvement of the historical, cultural recreational and/or landscape values of the management unit.”</p>



Question	YES / NO	Reference to scheme documentation
<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>UNIT 1152:2014</p> <p>“6.6 CRITERION 6 - Maintenance and improvement of the multiple socioeconomic benefits on the long term to cover the needs of the societies</p> <p>6.6.4 Indicator: estate of the conservation of the landscape, historical, cultural and recreational values</p> <p>6.6.4.2 Objective: To consider, in the planning of the forest management, the landscape and the recreational values, in their quality of pre-existing global resources in relation to the intervention and production activities, and their patrimonial value, in consideration to any future scenario, conserving all the historical, cultural and spiritual values.</p> <p>6.6.4.3 Parameters:</p> <p>(...) - location of the sites with historical, cultural and/or recreational significant values for the region; (...) - operative plans (among other, silvicultural treatments, harvest, installation and maintenance of infrastructure) that consider the conservation and proper improvement of the historical, cultural recreational and/or landscape values of the management unit.”</p>
<p>5.6.7 Forest management operations shall take into account all socio-economic functions, especially the recreational function and aesthetic values of forests by maintaining for example varied forest structures, and by encouraging attractive trees, groves and other features such as colours, flowers and fruits. This shall be done, however, in a way and to an extent that does not lead to serious negative effects on forest resources, and forest land.</p>	<p>YES</p>	<p>UNIT 1152:2014</p> <p>“6.6 CRITERION 6 - Maintenance and improvement of the multiple socioeconomic benefits on the long term to cover the needs of the societies</p> <p>6.6.4 Indicator: estate of the conservation of the landscape, historical, cultural and recreational values</p> <p>6.6.4.1 Justification: the valorisation of the landscape, historical, cultural and recreational sites sites is fundamental for the achievement of the socioeconomic functions and the multiple use of the forest resources.</p> <p>6.6.4.3 Parameters:</p> <ul style="list-style-type: none"> - surface of the visual basins relevant to the management unit (ha); - location of the sites with historical, cultural and/or recreational significant values for the region; - outstanding aspects that characterize the visual basin values or attributes that give significance to the region;



Question	YES / NO	Reference to scheme documentation
		- operative plans (among other, silvicultural treatments, harvest, installation and maintenance of infrastructure) that consider the conservation and proper improvement of the historical, cultural recreational and/or landscape values of the management unit.”
5.6.8 Forest managers, contractors, employees and forest owners shall be provided with sufficient information and encouraged to keep up-to-date through continuous training in relation to sustainable forest management as a precondition for all management planning and practices described in this standard.	YES	<p>UNIT 1152:2014</p> <p>“6.6 CRITERION 6 - Maintenance and improvement of the multiple socioeconomic benefits on the long term to cover the needs of the societies</p> <p>6.6.2 Indicator: level of capacitation of the workers of the management unit</p> <p>6.6.2.1 Justification: the workers that work in the management unit must be qualified for the activities they do.</p> <p>6.6.2.2 Objective: to capacitate workers, in the management unit as well as hired companies, in all those activities related to their work, safety and hygiene.</p> <p>6.6.2.3 Parameters:</p> <ul style="list-style-type: none"> - number of hours of training given to the workers; - numbers of workers participating in training sessions in total thereof; - degree of compliance with the training plan (%); - evaluation of the results of the training. <p>6.6.2.4 Procedures: mechanisms to identify the need of capacitation according to the activities of the management unit.”</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.	YES	<p>UNIT 1152:2014</p> <p>“4.1 Planification</p> <p>In the planification of the forest management, the socio-cultural context must be considered, having as reference the experience and traditional knowledge associated to the forest of the local communities and other interested parties.”</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	YES	<p>UNIT 1152:2014</p> <p>“6.6.3 Indicator: estate of relation with the local communities</p>



Question	YES / NO	Reference to scheme documentation
<p>appropriate mechanisms for resolving complaints and disputes relating to forest management between forest operators and local people.</p>		<p>6.6.3.1 Justification: the social and cultural aspects of the community must be incorporated for a Sustainable Forest Management, to generate benefits, for the management unit as well as the employees and communities and to favour the good understanding among them. The persons responsible of the unit of forest management must identify a person in charge of the relation with the local community.</p> <p>6.6.3.2 Objective: to promote the communication and good understanding of the communities implied in the productive process of the unit forest management. To consider in the planning of the forest management the work opportunities and opportunities to promote the activities in areas of influence such as the contribution to the rural development.</p> <p>6.6.3.4 Procedures: to establish opportunities to relate and interact with the communities including the reception and attention to suggestions, requests and complaints.”</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>UNIT 1152:2014</p> <p>“4.1 Planification</p> <p>The planification of the unit of management must be formulated, documented and reviewed periodically, in the short and long term for:</p> <ul style="list-style-type: none"> - the prevention of laboral and environmental risks; <p>6.6 CRITERION 6 - Maintenance and improvement of the multiple socioeconomic benefits on the long term to cover the needs of the societies</p> <p>6.6.1 Indicator: socio-laboral conditions of the workers in the management unit</p> <p>6.6.1.1 Justification: the conditions socio laboral of the forest worker in the management unit must be valued, since they contribute to improve the quality of the forest management. A person responsible of enforcing a health policy and safety of the workers must be appointed</p> <p>6.6.1.2 Objective: to respect and value the conditions and labor rights of the forest workers. To ensure the labor conditions of safety and capacitation, for company workers as well as personnel under contract.</p> <p>6.6.1.6 Registers: the registers must reflect the parameters. Registers of authorizations, inscriptions and other certificates given by the proper control organisms. Registers of work inspections.</p>



Question	YES / NO	Reference to scheme documentation
		<p>6.6.2 Indicator: level of capacitation of the workers of the management unit</p> <p>6.6.2.2 Objective: to capacitate workers, in the management unit as well as hired companies, in all those activities related to their work, safety and hygiene.</p> <p>6.6.2.4 Procedures: mechanisms to identify the need of capacitation according to the activities of the management unit.”</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>UNIT 1152:2014</p> <p>“6.6 CRITERION 6 - Maintenance and improvement of the multiple socioeconomic benefits on the long term to cover the needs of the societies</p> <p>6.6.1 Indicator: socio-laboral conditions of the workers in the management unit</p> <p>6.6.1.2 Objective: (...) To ensure the labor conditions of safety and capacitation, for company workers as well as personnel under contract.</p> <p>6.6.2 Indicator: level of capacitation of the workers of the management unit</p> <p>6.6.2.1 Justification: the workers that work in the management unit must be qualified for the activities they do.</p> <p>6.6.2.2 Objective: to capacitate workers, in the management unit as well as hired companies, in all those activities related to their work, safety and hygiene.”</p>
<p>5.6.13 Forest management shall comply with fundamental ILO conventions.</p>	<p>YES</p>	<p>UNIT 1152:2014</p> <p>“6.6 CRITERION 6 - Maintenance and improvement of the multiple socioeconomic benefits on the long term to cover the needs of the societies</p> <p>6.6.1 Indicator: socio-laboral conditions of the workers in the management unit</p> <p>6.6.1.1 Justification: the conditions socio laboral of the forest worker in the management unit must be valued, since they contribute to improve the quality of the forest management. A person responsible of enforcing a health policy and safety of the workers must be appointed</p> <p>6.6.1.2 Objective: to respect and value the conditions and labor rights of the forest workers. To ensure the labor conditions of safety and capacitation, for company workers as well as personnel under contract.”</p> <p><i>Uruguay is signatory to all fundamental ILO conventions.</i></p>



Question	YES / NO	Reference to scheme documentation
<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>	NO	<p>UNIT 1152:2014</p> <p>“4.1 Planification</p> <p>In the planification of the different uses and functions of the management unit the role of the forest production in the rural development must be taken into consideration. The instruments of the established policies to support the production of goods and commercial and non commercial forest services must be used.</p> <p>In the planification of the forest management, the socio-cultural context must be considered, having as reference the experience and traditional knowledge associated to the forest of the local communities and other interested parties.”</p> <p><i>No references were found with regard to the contribution to research activities and use of scientific research results in forest management.</i></p>
<p>Criterion 7: Compliance with legal requirements</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 people; health, labour and safety issues; and the payment of royalties and taxes.</p>	YES	<p>UNIT 1152:2014</p> <p>“6.7 CRITERION 7 - Legal, institutional and economic frame for the conservation and sustainable management of forests</p> <p>6.7.1 Indicator: state of compliance with the current legal frame for the forest management</p> <p>6.7.1.1 Justification: the persons responsible for the management unit, be it public or private, must enforce the compliance with the current legal frame applicable to the unit and the activities associated with it.</p> <p>NOTE: the compliance with the legal frame refers not only to forest management, but ALL the requirements applicable to a unit of forest management.</p> <p>6.7.1.2 Objective: to identify and implement in the management unit the legal normative applicable.</p> <p>6.7.1.3 Parameters: (...) - compliance with the current legal normative applicable to the management unit and the activities associated with it;”</p>



Question	YES / NO	Reference to scheme documentation
<p>5.7.2 Forest management shall provide for adequate protection of the forest from unauthorised activities such as illegal logging, illegal land use, illegally initiated fires, and other illegal activities.</p>	<p>YES</p>	<p>UNIT 1152:2014</p> <p>“4.1 Planification (...) The planification of the unit of management must be formulated, documented and reviewed periodically, in the short and long term for: (...) - the prevention of unauthorized activities by third parties, including , among others, intrusions, permanent or temporary illegal occupation, unregulated recreational use, unauthorized starting of a fire and unsupervised harvest of forest products.</p> <p>4.2 General Plan of Management The unit of forest management must have a General Plan of Management. This plan must include the directives of the management in the activities of the unit over which the person responsible has the control of. The General Plan of Management must be a document itself, subject to periodical reviews, appropriate for the size and uses of the forest area, or a series of documents that include, among others: (...) plans to prevent illegal activities by third parties,”</p>

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

1 Scope

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

2 Checklist

No.	Question	Reference to PEFC PROCEDURES	YES / NO	Reference to scheme documentation
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	DG 03.05 Organisms of Forest Certification “6. Organization of the certification organisms (...) In particular the organisms must: c. Not to be involved in any process of normalization or be part of PEFC Uruguay, d. be impartial and independent and have a structure to ensure these principles in relation to the Forestry Management; r. ensure that the activities of the certification organism and its personnel have no technical, financial, commercial or any other kind of ties that might affect its independence and affect the certification process and result ; s. not certify Forest Management Scheme or Chain of Custody when they have participated in the implementation or previous advising on certification activities;”
2.	Does the scheme documentation require that certification body for forest management certification shall fulfil requirements defined in ISO 17021 or ISO Guide 65?	Annex 6, 3.1	YES	DG 03.05 Organisms of Forest Certification “6. Organization of the certification organisms The structure of the certification organism of Forest Management Scheme or Chain of Custody must provide confidence in its certifications. In particular the organisms must:



No.	Question	Reference to PEFCC PROCEDURES	YES / NO	Reference to scheme documentation
				o. have internal procedures established and documented, compatible with the requirements of the ISO 17021 or ISO/IEC 17065:2012”
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>DG 03.05 Organisms of Forest Certification</p> <p>“6. Organization of the certification organisms (...) In particular the organisms must:</p> <p>I. have enough personnel well prepared and with experience in forestry management, social, economic and environmental impacts according to the Forest Management Scheme and Chain of Custody to take care of the certifications under the responsibilities of an executive director or certification manager (see DG 04 – Criteria for Auditor Qualifications);”</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>DG 03.05 Organisms of Forest Certification</p> <p>“6. Organization of the certification organisms</p> <p>The structure of the certification organism of Forest Management Scheme or Chain of Custody must provide confidence in its certifications. In particular the organisms must:</p> <p>b. to be well-informed on the PEFC Uruguay Scheme for the certification of Forest Management Scheme and/or Chain of Custody”</p>
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>DG 03.05 Organisms of Forest Certification</p> <p>“6. Organization of the certification organisms (...) In particular the organisms must:</p> <p>I. have enough personnel well prepared and with experience in forestry management, social, economic and environmental impacts according to the Forest Management Scheme and Chain of Custody to take care of the certifications under the responsibilities of an executive director or certification manager (see DG 04 – Criteria for Auditor Qualifications);”</p> <p>DG 04.03 Criteria for Auditor Qualifications</p>



No.	Question	Reference to PEFCC PROCEDURES	YES / NO	Reference to scheme documentation
				<p>“4. Criteria for auditor qualifications of the Forestry Management under the UNIT 1152 Norm.</p> <p>The criteria for qualification of auditors in the Sustainable Forestry Management systems must be (...) complemented with knowledge and experiences from the uruguayan forestry sector.”</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>DG 04.03 Criteria for Auditor Qualifications</p> <p>“4. Criteria for auditor qualifications of the Forestry Management under the UNIT 1152 Norm.</p> <p>The criteria for qualification of auditors in the Sustainable Forestry Management systems must be based in the requirements for the qualifications of auditors in Environmental and Quality Management systems, established in the ISO/IEC 19011:2002 Norm - Directives for the audit of management systems of environmental and quality systems, complemented with knowledge and experiences from the uruguayan forestry sector.”</p>
7.	Does the scheme documentation include additional qualification requirements for auditors carrying out forest management audits? [*1]	Annex 6, 3.2	YES	<p>DG 04.03 Criteria for Auditor Qualifications</p> <p>“4. Criteria for auditor qualifications of the Forestry Management under the UNIT 1152 Norm.</p> <p>The criteria for qualification of auditors in the Sustainable Forestry Management systems must be (...) complemented with knowledge and experiences from the uruguayan forestry sector.”</p> <p>5. Requirements of competences for the auditor of Forestry:</p> <p>5.1 Education (...)</p> <p>5.2 Work Experience (...)</p> <p>5.3 Training (...)</p> <p>5.4 Competence (...)</p>



No.	Question	Reference to PEFCC PROCEDURES	YES / NO	Reference to scheme documentation
				<i>Detailed specifications of the required competences are made under the referred headings.</i>
Certification procedures				
8.	Does the scheme documentation require that certification bodies shall have established internal procedures for forest management certification?	Annex 6, 4	YES	DG 03.05 Organisms of Forest Certification “6. Organization of the certification organisms (...) In particular the organisms must: o. have internal procedures established and documented, (...) for: 1. initial audit of the Forest Management Scheme (..) of the applicant (...); 2. follow up audits (no more than a year) and renovation (no more than 5 years of the Forest Management Scheme (...) of the applicant (...).”
9.	Does the scheme documentation require that applied certification procedures for forest management certification shall fulfil or be compatible with the requirements defined in ISO 17021 or ISO Guide 65?	Annex 6, 4	YES	DG 03.05 Organisms of Forest Certification “6. Organization of the certification organisms (...) In particular the organisms must: o. have internal procedures established and documented, compatible with the requirements of the ISO 17021 or ISO/IEC 17065:2012, for: 1. initial audit of the Forest Management Scheme (..) of the applicant (...); 2. follow up audits (no more than a year) and renovation (no more than 5 years of the Forest Management Scheme (...) of the applicant (...).”
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	DG 03.05 Organisms of Forest Certification “6. Organization of the certification organisms (...) In particular the organisms must: o. have internal procedures established and documented, (...) for: 1. initial audit of the Forest Management Scheme (..) of the applicant according to ISO 19011 Norms and other applicable documents;



No.	Question	Reference to PEFC PROCEDURES	YES / NO	Reference to scheme documentation
				2. follow up audits (no more than a year) and renovation (no more than 5 years of the Forest Management Scheme (...) of the applicant according to ISO 19011 Norms p. have audit procedures according to the ISO 19011 requirements.”
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	DG 03.05 Organisms of Forest Certification “6. Organization of the certification organisms (...) In particular the organisms must: o. have internal procedures established and documented, (...) for: 5. communicate to PEFC Uruguay, in writing: - the results of the audit processes to the companies to be certified - emission of certificates - annual information about the certified companies (certified area, total area, contact information, certificate validity - periodical actualizations of the information”
12.	Does the scheme documentation require that certification body shall carry out controls of PEFC logo usage if the certified entity is a PEFC logo user?	Annex 6, 4	YES	DG 03.05 Organisms of Forest Certification “6. Organization of the certification organisms (...) In particular the organisms must: w. control the proper use of the PEFC logo by the certified entities;”
13.	Does a maximum period for surveillance audits defined by the scheme documentation not exceed more than one year?	Annex 6, 4	YES	DG 03.05 Organisms of Forest Certification “6. Organization of the certification organisms (...) In particular the organisms must: o. have internal procedures established and documented, (...) for: (...) 2. follow up audits (no more than a year) (...) of the applicant (...).



No.	Question	Reference to PEFCC PROCEDURES	YES / NO	Reference to scheme documentation
14.	Does a maximum period for assessment audit not exceed five years for forest management certifications?	Annex 6, 4	YES	DG 03.05 Organisms of Forest Certification “6. Organization of the certification organisms (...) In particular the organisms must: o. have internal procedures established and documented, (...) for: (...) 2. follow up audits (...) and renovation (no more than 5 years of the Forest Management Scheme (...) of the applicant (...).
15.	Does the scheme documentation include requirements for public availability of certification report summaries?	Annex 6, 4	YES	DG 03.05 Organisms of Forest Certification “11. Documentation (...) The certification organism must facilitate, at request, via publications, electronically or others: (...) g. Public availability of summaries of the certification.”
16.	Does the scheme documentation include requirements for usage of information from external parties as the audit evidence?	Annex 6, 4	YES	DG 03.05 Organisms of Forest Certification “4. 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.”
17.	Does the scheme documentation include additional requirements for certification procedures? [*1]	Annex 6, 4	YES	DG 03.05 Organisms of Forest Certification “6. Organization of the certification organisms (...) In particular the organisms must: o. have internal procedures established and documented, (...) for: 3. identify and verify the no conformities and the need of the entities to adopt corrective action, in the established times by their procedures for incorrect referents to the certification, or the incorrect use of the logo or certification information;”
Accreditation procedures				
18.	Does the scheme documentation require that certification bodies	Annex 6, 5	YES	DG 03.05 Organisms of Forest Certification



No.	Question	Reference to PEFCC PROCEDURES	YES / NO	Reference to scheme documentation
	carrying out forest management certification shall be accredited by a national accreditation body?			<p>“3. Accreditation of the organisms of certification.</p> <p>The organisms of certification must:</p> <p>a. be endorsed by the Uruguayan Organism of Accreditation (Organismo Uruguayo de Acreditación, OUA) or other organisms recognized by the IAF (International Accreditation Forum);</p> <p>b. include in their scope the Sustainable Forest Management Scheme (UNIT 1152)”</p>
19.	Does the scheme documentation require that an accredited certificate shall bear an accreditation symbol of the relevant accreditation body?	Annex 6, 5	YES	<p>DG 03.05 Organisms of Forest Certification</p> <p>“7. Information specified in the PEFC certificates</p> <p>PEFC certificates must include:</p> <p>g) Name and number of accreditation of the organism of certification</p> <p>h) Include the logo of OUA accreditation”</p> <p><i>Observation: Although DG 03.05 clause 3a allows certifying bodies to be endorsed by other organizations recognized by the IAF, clause 7h seems to imply that OUA is the only option.</i></p>
20.	Does the scheme documentation require that the accreditation shall be issued by an accreditation body which is a part of the International Accreditation Forum (IAF) umbrella or a member of IAF’s special recognition regional groups and which implement procedures described in ISO 17011 and other documents recognised by the above mentioned organisations?	Annex 6, 5	YES	<p>DG 03.05 Organisms of Forest Certification</p> <p>“3. Accreditation of the organisms of certification.</p> <p>The organisms of certification must:</p> <p>a. be endorsed by the Uruguayan Organism of Accreditation (Organismo Uruguayo de Acreditación, OUA) or other organisms recognized by the IAF (International Accreditation Forum);”</p>



No.	Question	Reference to PEFCC PROCEDURES	YES / NO	Reference to scheme documentation
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>DG 03.05 Organisms of Forest Certification</p> <p>“3. Accreditation of the organisms of certification.</p> <p>The organisms of certification must:</p> <p>a. be endorsed by the Uruguayan Organism of Accreditation (Organismo Uruguayo de Acreditación, OUA) or other organisms recognized by the IAF (International Accreditation Forum);</p> <p>b. include in their scope the Sustainable Forest Management Scheme (UNIT 1152) (...);</p> <p>c. In the case of Sustainable Forest Management Scheme (...), the organism must have a quality system in place, according to the requirements of the Norm ISO/IEC 17021, adjusted to the type, range and volume of the work;</p>
22.	Does the scheme documentation include a mechanism for PEFC notification of certification bodies?	Annex 6, 6	YES	<p>DG 03.05 Organisms of Forest Certification</p> <p>“3. Accreditation of the organisms of certification.</p> <p>The organisms of certification must:</p> <p>e. have received notification of PEFC Uruguay or PEFC International of being endorsed.”</p>
23.	Are the procedures for PEFC notification of certification bodies non-discriminatory?	Annex 6, 6	YES	<p><i>No evidence is found that procedures for the PEFC notification of certification bodies are discriminatory.</i></p>



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

1 Scope

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

2 Checklist

Not applicable. According to PEFC Uruguay, the PEFC Uruguay System uses the PEFC International standard for Chain of Custody. In DG 01.06 Current Documents Listings a reference is found to “Chain of Custody of Forest Based Products – Requirements” without the notification of the document code. However, both DG 03.05 Organisms of Forest Certification and DG 04.03 Criteria for Auditor Qualifications refer to PEFC ST 2002:2013 as being the standard for Chain of Custody. The Chain of Custody Standard of the PEFC Uruguay System does therefore comply with PEFC Council’s requirements, no further assessment was carried out.



Annex 2 Results of Stakeholder Survey

This Annex presents the summarized results of the stakeholder survey conducted by the Assessor.

General

The questionnaire was sent by Email to 30 stakeholders. In total 15 stakeholders responded to the request to fill-out the questionnaire, resulting in a high response rate of 50%. Some of the respondents represented more than 1 stakeholder category:

- 7 Private forest management operators
- 2 Timber industry & Trading
- 4 Education and Research Institutes
- 2 Other (Consultant and Accreditation body)

No responses were received from State Administration and NGO's / Civil Society.

Participation in the process

In total 8 respondents participated in the standard setting committee ("Specialized Committee"). Almost all respondents received information on the standard revision process by personal letter or E-mail. The remainder received the information through their managers or verbally from PEFC Uruguay. These respondents indicated that they received this invitation between February and June 2014. In total 5 respondents took part in Workshop meetings during 2014, and 5 respondents provided comments through public consultation. Only 1 respondent indicated that he/she did not participate in the committee because he/she was not invited to take part in this committee. All respondents stated that PEFC Uruguay provided them with relevant information to participate in the standard revision process.

Balanced representation of the Committee

According to 14 respondents, all stakeholders that are relevant to the standard revision process have been proactively identified and invited. One respondent disagreed, as the Accreditation bodies were not invited. According to 11 respondents, the Specialized Committee had a balanced representation. In total 4 respondents did not know whether there was a balanced representation. Several comments were made:

- Small-holders were not represented;
- The accreditation body was not invited to participate;
- Trade Unions and Workers Unions were not represented, but they were consulted during the standard revision process;
- The call for participation was broad in terms of sectors and appropriate in terms of time and form, but that many stakeholders failed to participate, which would have been typical for the actors of the country.



Complaints

None of the respondents was aware of any substantive or procedural complaint related to the standard-setting process.

Specialized Committee

The respondents that had been part of the Specialized Committee positively answered to the questions whether:

- Records (or minutes) have been kept from meetings of the Specialized Committee;
- They received invitations for meetings and documents in a timely manner;
- All working draft documents have been available to all stakeholders involved in the Specialized Committee activities;
- They have been provided with meaningful opportunities to contribute to the development of the standard and submit comments to the working drafts;
- Comments and views submitted have been considered in an open and transparent way;
- The public consultation of the scheme documentation lasted for at least 60 days;
- All comments received during the public consultation have been considered in an objective manner by the Specialized Committee;
- The members of the Specialized Committee had sufficient expertise to contribute.

Aspects for further consideration

None of the respondents brought up aspects for further consideration in the conformity assessment.

Consequences to the overall assessment decision

All the above findings are further considered in the assessment of the respective topics / requirements.

Stakeholders that were invited for the survey

Stakeholder	Sector
Banco De Seguros Del Estado (Public)	State Administration
DINAMA (Environmental Ministry - Government)	State Administration
IICA (Instituto Interamericano de Cooperación para la Agricultura)	State Administration
Ministerio De Ganaderia (Government)	State Administration
UNIT (Instituto Uruguayo de Normas Técnicas)	State Administration
CETP- Consejo de Educación Técnico Profesional	Research and Education
Departamento Forestal (University)	Research and Education
Facultad De Agronomía (University)	Research and Education
OUA (Organismo Uruguayo de Acreditación)	Accreditation body



Stakeholder	Sector
PEFC Uruguay Board	PEFC Uruguay Board
Sociedad De Productores Forestales (SPF)	Cooperations private forestry sector
Asociacion De Ingenieros del Uruguay (AIA)	Cooperations private forestry sector
Asociación Nacional de ONGs - ANONG	Non-governmental Organizations
Logística Forestal Srl (Private Forestry Services Company)	Private Forestry
UPM Forestal Oriental (Private company)	Private Forestry
Weyerhaeuser (Private company)	Private Forestry

Questionnaire used for the Survey

Question to stakeholder	Answer
1. What stakeholder category do you represent?	<input type="checkbox"/> State-owned forest management operators <input type="checkbox"/> Private forest management operators <input type="checkbox"/> Public administration <input type="checkbox"/> Education and research institutes <input type="checkbox"/> Timber industry & trading sector <input type="checkbox"/> Environmental protection, civil organizations and civil society organizations <input type="checkbox"/> Other; please specify:
2. Did you actively participate in the standard setting process? If no, why not?	<input type="checkbox"/> Yes, I took part in one of the meetings: <ul style="list-style-type: none"> <input type="checkbox"/> 27th of May 2014 at UNIT <input type="checkbox"/> 7th of April 2014 at UNIT <input type="checkbox"/> 21st of April 2014 at UNIT <input type="checkbox"/> 5th of May 2014 at UNIT <input type="checkbox"/> 19th of May 2014 at UNIT <input type="checkbox"/> 26th of May at UNIT <input type="checkbox"/> 29th of August at UNIT <input type="checkbox"/> Yes, I was a member of the Committee <input type="checkbox"/> Yes, by providing comments during the Public consultation on the draft scheme <input type="checkbox"/> No, I did not participate in the revision process, because:



Question to stakeholder	Answer
3. a) How did you find out about the standard setting process? b) When were you invited to participate in the standard setting process of the Uruguayan Forest Certification Scheme?	<input type="checkbox"/> Newspaper or magazine <input type="checkbox"/> Website of PEFC Uruguay <input type="checkbox"/> Personal letter or Email <input type="checkbox"/> Other: Please indicate day, month and year: / /
4. What was your main concern and your interest to participate in the standard setting process	Concern: Interest:
5. Did the organizers provide you with relevant material to participate in the standard setting?	<input type="checkbox"/> Yes, because: <input type="checkbox"/> No, because: <input type="checkbox"/> I don't know
6. In your opinion, have all stakeholders that are relevant to the standard setting process been proactively identified and invited , including disadvantaged stakeholders ?	<input type="checkbox"/> Yes <input type="checkbox"/> No, other interest groups that should have been involved: <input type="checkbox"/> I don't know
7. a) Did the Stakeholder representatives in the Committee represent the range of interests in forest management in your country? b) Did the Committee, to your opinion, have a balanced representation of various stakeholder categories?	<input type="checkbox"/> Yes <input type="checkbox"/> No, other interest groups that should have been involved: <input type="checkbox"/> I don't know <input type="checkbox"/> Yes <input type="checkbox"/> No, underrepresented stakeholder categories: <input type="checkbox"/> I don't know
8. a) Are you aware of any substantive and procedural complaints relating to the standardising activities brought forward by you or other stakeholders? b) In case of any complaints, have these complaints been validated and objectively evaluated ?	<input type="checkbox"/> Yes, there was a complaint about <input type="checkbox"/> No <input type="checkbox"/> I don't know <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> I don't know

Questions 9 – 16 are for Committee members only.

If you did participate in the Committee, please continue with question 9.

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

Question to stakeholder	Answer
9. Did all stakeholders in the Committee have expertise relevant to the subject matter of the standard?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> I don't know



Question to stakeholder	Answer
<p>10. a) Have records (or minutes) been kept of the revision process of the standard?</p> <p>b) How did you receive invitations for the Committee meetings and documents?</p> <p>c) Did you receive invitations and documents for meetings in a timely manner?</p>	<p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No</p> <p><input type="checkbox"/> I don't know</p> <p><input type="checkbox"/> By mail</p> <p><input type="checkbox"/> By E-mail</p> <p><input type="checkbox"/> By other means:</p> <p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No</p> <p><input type="checkbox"/> I don't know</p>
<p>11. Have all working draft documents (draft versions of the standard) been available to all members of the Committee?</p>	<p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No</p> <p><input type="checkbox"/> I don't know</p>
<p>12. Have you been provided with meaningful opportunities to contribute to the development of the standard and submit comments to the working drafts?</p>	<p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No</p> <p><input type="checkbox"/> I don't know</p>
<p>13. Have comments and views submitted by any member of the Committee been considered in an open and transparent way?</p>	<p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No</p> <p><input type="checkbox"/> I don't know</p>
<p>14. Has the Public Consultation of the scheme documentation lasted for at least 60 days?</p>	<p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No</p> <p><input type="checkbox"/> I don't know</p>
<p>15. Have all comments received during the public consultation been considered in an objective manner by the Committee?</p>	<p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No</p> <p><input type="checkbox"/> I don't know</p>
<p>16. Was the decision of the Committee to recommend the final draft for formal approval taken on the basis of consensus?</p> <p>► In case no consensus was reached on certain issues, how was the issue resolved?</p>	<p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No, the issue was resolved in the following way:</p> <p><input type="checkbox"/> I don't know</p>

To be answered by all stakeholders:

<p>17. Do you believe any aspects of the PEFC Uruguay System deserve further consideration as part of this conformity assessment?</p>	<p><input type="checkbox"/> Yes (please specify)</p> <p><input type="checkbox"/> No</p> <p><input type="checkbox"/> I don't know</p>
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Please return the answers latest by 20th of August 2017.

You can direct your response by e-mail to:

r.diemont@forminternational.nl



Annex 3 Results of International Consultation

No responses were received during the international consultation.



Annex 4 Panel of Experts Comments

Report chapter / Page	Assessor’s report statement	PoE member comment	Assessor’s response
General Statement on Report Quality			
General		A rather unusual but effective design of report. The coverage is comprehensive and the conclusions reached are well argued, although perhaps rather severe in awarding some of the non-conformities.	Well noted.
General		Well-structured report, clear recommendation. Worth noting in this assessment report is the high number of NCs. Although they are classified as “minor”, in numbers they are as many as 23. It is obvious that someone may ask, how many minor NCs are acceptable in order to form a major NC – I will ask the same question☺.	The large number of non-conformities might indeed question whether there should not be raised a major. However, the non-conformities are often only relating to parts or subparts of requirements, whereas the remaining part of the requirement is being met.
General		The only CAR the assessor has made for all identified minor NCs is: “Provide evidence to show conformity or update the standard”. During the assessment process the assessor has not received evidence of conformity for these NCs. Thus the only condition for the PEFCC Board of Directors to endorse the revised PEFC Uruguay system is that PEFC Uruguay “update the standard”.	It is anticipated that additional evidence (e.g. from legislation) could still solve some of the non-conformities.

General		Does this condition mean that PEFC Board of Directors have to wait for six months to check the updates and only after having accepted the updates of the standard the Board can endorse the revised scheme? I do hope that is the situation.	The condition does not mean that the PEFC Board of Directors must wait six months, but that within this period, all non-conformities (in the standards) shall be solved.
General		Among the 23 NCs there are nine which concern the process of the standard setting. For me this number is high and many of the NCs deal with key issues like transparency, openness and balanced participation. The report easily gives the reader the impression that these basic requirements of the process have not been met properly.	Focussing on the non-conformities could easily give the impression that the process has not been met properly. Although some of these non-conformities have been identified at key issues, other aspects of these key issues have been properly met, which contributed to the general conclusion that these non-conformities did not undermine or severely damage the standard setting process.
General		The assessor has completed a thorough assessment of the PEFC Uruguay System and has set out the basics of the scheme in the body text to support the conclusions on conformity. Annex 1 is especially well populated with evidence to support the conclusion on conformity. I found the report well structured, addressing the PEFC's requirements, utilising relevant documentation and ensuring many sources could demonstrate conformity for a requirement not just one source and have logical and sensible evidence for non-conformities –	Well noted.



		<p>although I may not share such concerns on all identified by the Assessor.</p> <p>I have no hesitation in conforming the Assessor’s recommendation, noting my comment above, but would be keen to ensure the PEFC ensures verification of any corrective action as part of its recommendation to ensure follow up on any endorsement decision – reporting at an appropriate time in the future on the non-conformities would demonstrate the openness, transparency and strength of the PEFC system.</p> <p>The inclusion of a selection of requirements which have demonstrated conformity but have significance to the national system is of merit as this shows the individuality of national schemes and how they can meet the requirements at an international level while maintain relevant to the national situation.</p>	
Specific Findings			
Acronyms Pg 6	Add in: DG and TD		Updated in the report.
1 Intro Para. 1 Pg 7	‘... Every five years, the endorsed national schemes need to be ...’	Or is it systems instead of schemes within the context of current PEFC terminology?	Not updated in the report. Various terms are currently being used, also by national schemes.
1.3 p. 8	Table 1.1, list of DG’s	DG not listed in “Acronyms” on page 6	Updated in the report.
Table 1.1 Pg 8	# 11 N/RGFS 001 Rev. 2.0	The title is in capital in DG 10 – so capitals here for consistency?	Updated in the report.

1.4 a. Methodology adopted Pg 9	'The PEFC Council conducted an international consultation, and a ...'	An 'international consultation' on what – clarify to avoid doubt	Consultation on the scheme. Updated in the report.
1.4 d. Pg 10	'... with PEFC ST 2002:2010 – Chain of Custody ...'	Have 2013 in Table 1.2 – presume the latter year is correct?	Updated in the report.
1.5 1. Assessment process Pg 10	'The national stakeholder consultation was held ...' 'In total, 33 questionnaires were sent out, 15 responses were received.'	In 1.4 a. it is just called a stakeholder survey – need to be consistent This is a very good response rate based on reviewing many other PEFC national schemes/systems	Updated in the report.
1.5 2.	'... and verification of the standards and system requirements checklist.'	Is it the one submitted by PEFC Uruguay?	Yes.
1.6 Report Structure Pg 11	[whole section]	Would re-write this so that it is in dot point format where each dot point refers to a chapter – it will be much easier to read!	Not updated in the report.
3.1 Overall Pg 13	'... nine (9) in the process.'	Presume it is the standard setting – clarify to avoid doubt	Updated in the report.
3.3 Standard Setting Procedures and Process Pg 13	3 rd para 'No Development Report was submitted. Records and minutes were provided, ...'	For what? What were they provided of?	A development report is a common document describing the standard setting process. Records and minutes were provided to serve as (potential) evidence.
3.6 Chain of Custody Standard	'The PEFC Uruguay System used the PEFC ST 2002:2013 procedures.'	I believe it's a 'PEFC standard' not a procedure – there is a distinction	Updated in the report.



Pg 15			
3.8 Other aspects Pg 15	1 st para. [Dot points] 2 nd para	Are these the same as the terms used in the table at 4.3?	The table describes the types of procedures, using the terminology of PEFC Council.
4.1 Introduction to the forest sector in Uruguay Pg 17	1 st para '... with a high percentage of Eucalyptus and Pine species.'	Or it could be ' <i>Eucalyptus and Pinus species</i> '	Partly updated in the report.
4.2 Organisation of PEFC Uruguay System Pg 17	2 nd para 'The first Scheme documentation was approved in 2009 ...'	Or is it 'System'? It may have been Scheme back at that time but now PEFC have seemed to change over to 'System'?	Not updated in the report. Various terms are currently being used, also by national schemes.
4.3 The PEFC Uruguay System Pg 18	[Table]	There is no DG 08? Maybe need to confirm such in the text as seems logical to have documents running from 1 to 10	Replaced by DG 03.04. Updated in the report.
5. Standard Setting Procedures and Process Pg 19	'... by providing additional evidence ...' '... and/or adjusting the procedures.' '... and related references.'	Presume this is for the process/ This would be for future revisions – does it need clarification? Presume this includes observations?	Additional evidence is very likely for the process, occasionally it could also be for procedures. Adjusting the procedures would be for the 6 months condition mentioned in the recommendation for approval. It does indeed include observations.

<p>5.1 p. 19</p>	<ul style="list-style-type: none"> Requirement 4.1d: The documents UNIT - N/RGFS 001 Rev 2.0 August 2014 and DG 10.02 describe the rules to be followed during the standard setting process of the SFM standard. 	<p>In table 1 (p. 8) the names of the documents are: “N/RGFS 001 Rev. 2.0” and “DG 10”. It is confusing to use different document names for a single document. On page 20 also the names “N/RGFS 001 rev. 2.0 August 2014” and “The N/RGFS” are used!</p>	<p>Updated in the report.</p>
<p>5.1 Analysis Pg 19</p> <p>Pg 20</p>	<p>1st para [1st dot point]</p> <p>2nd para ‘... however, two (2) non-conformities are found ...’</p> <p>[1st pot point] 2nd sentence</p> <p>[3rd dot point]</p> <p>[4th dot point]</p> <p>3rd para “The structure of the organization is described in ...’</p> <p>[2nd – 4th dot points]</p> <p>5th para ‘There is no development report submitted.’ ‘... after which the whole project was approved by the SC.’</p>	<p>Not shown in 4.3 – is it a UNIT document or part of the PEFC Uruguay System documentation?</p> <p>Three (3) are indicated in the 1st paragraph under 5. Also, presume needs to link to 5.2 for information on the non-conformities? Are there any other standards apart from the PEFC STs in 4.3? Agree, Uruguay is a compact country and dealing with plantation species common across all of the country Easily fixed!</p> <p>Which organization is it?</p> <p>Is this of UNIT or is it PEFC Uruguay?</p> <p>This is very unfortunate as it is a vital aid to an Assessor and provides transparent details on the process As in the revision of the SFM standard?</p>	<p>Updated in the report.</p> <p>Standardizing body.</p> <p>This remains unclear.</p> <p>Yes</p>

	'...approved by the Directive Board in September 2014.'	Is this the Board of Directors?	Yes
5.1 p. 20	The N/RGFS document describes the roles and responsibilities of (amongst others) the following bodies: <ul style="list-style-type: none"> • Specialized Committee (SC, which is in fact the Standardisation Committee), managed by a Technical Secretary (TS) appointed by UNIT; • Council Board; • General Assembly; • Board of directors. 	General comment: a clear picture describing the organizational structure of the revision process in Uruguay could clarify the situation. Now it is almost impossible to imagine the process.	The same is true for the Assessor. The information provided on the process and organizational structure of the revision is relatively poor.
5.1 p. 20	The standard was approved by the Directive Board in September 2014.	This "Directive Board" is not listed above. Is it the same as "Board of Directors" or "Council Board"?	Board of Directors, but again, such information is sometimes not completely clear.
5.2 p.22	RGFS is based in that standard plus some considerations specific to forest management standards.	not listed in "acronyms" on page 6	The acronym is unknown.
5.2 Results: Requirement 5.4 Pg 23	[Assessors' comments]	4.2.1 provides for option to comment on revision process. My reading of 7 would indicate latitude that comments are 'analysed' which would mean considered and incorporated as required	Clause 7 (also in the context of the document) relates to the procedures, and not to proposed process.
Requirement 4.4 Pg 23/24	[Assessors' comments]	4.4 a is in conformity with the range of stakeholders invited onto the SC. The participation of a stakeholder is at their discretion as all certification activities are voluntary – this shouldn't be forgotten!	It is indeed a voluntary process. It is also the responsibility of the standardising body to strive for a balanced representation. If the representation is not balanced, nobody can be forced, it remains however unclear if and what kind of efforts have been made to get (other) stakeholders involved.



		Provided the invitations were sent out and/or followed up with all stakeholders, the intent has been met if the action is incomplete due to non-participation for whatever reasons by stakeholders	
Requirement 5.2 Pg 25	[Assessors' comments]	This is a marginal assessment as there is no real definition of proactive – the process appears sound from the evidence	It is the responsibility of the standardising body to strive for a balanced representation. It remains however unclear if and what kind of efforts have been made to get (other) stakeholders involved.
5.2 p.25	In 2009, the SPF requested the endorsement to the PEFC system, which was finalized in 2010, assuming the responsibilities required by the system	SPF not listed in “acronyms” on page 6	Updated in the report.
5.2 p. 26	In particular, it is necessary to adequate the UNIT standard 1151 and UNIT 2252 , as well as some of the procedures associated to their elaboration and approval	not listed in Table 1.1 – the comment is unclear	This is a quote from the announcement letter. UNIT 2252 is unknown to the Assessor, but considered irrelevant for the assessment.
Requirement 5.6 Pg 26	[Assessors' comments] 'Acts (of the 7 th meeting) include ...'	What are 'Acts'? Are they in fact minutes of meetings?	Minutes of the meetings, called “Acts” by PEFC Uruguay.
Requirement 5.8 Pg 27	[Assessors' comments]	If the final meeting was the 'approval' meeting and no opposition to the approval (knowing this was intent of meeting), it implies consensus. But a statement in the minutes of the meeting would have confirmed but I believe it does show consensus	To demonstrate conformity evidence is needed of both the process used to reach consensus, as well as explicit affirmation of the reached consensus. Since this was not clearly evidenced, but implicitly can be assumed, a minor CAR was raised.



5.2 p. 27	Twice: After all comments have been reviewed, the discussion is closed and the Specialized Committee approves the revision of UNIT 1152:2014 y UNIT 1151:2014	not listed in Table 1.1	Not further mentioned by PEFC Uruguay. Also not submitted. It contains glossary of terms.
5.2 pp.20-28 and 3.3 pp.13-15	The content of the chapter 5.2 The bullet points of the chapter 3.3	three non-conformities identified in the procedure and nine identified in the process of the standard setting – all classified as minor. Standard setting is one of the key areas in forest certification. The process shall be transparent, participatory and open to all stakeholders. One of the key issues in forest certification has usually been the role of NGOs – both environmental and social NGOs – in the process. The PEFC Uruguay procedures are weak in ensuring that materially affected stakeholders shall present a meaningful segment of the participants and also weak in terms of transparency. – These weaknesses materialize in identified non-conformities in process – the number of which are nine! Although all individual NCs are classified as minor, the assessor should consider, how many minor NSc there could be until the end result is major NC. Especially the bullet points in chapter 3.3 do not convince the reader that the process has fulfilled the requirements of transparency, openness and participation.	Focussing on the non-conformities could easily give the impression that the process has not been met properly. Although some of these non-conformities have been identified at key issues, other aspects of these key issues have been properly met, which contributed to the general conclusion that these non-conformities did not undermine or severely damage the standard setting process.



5.3 Req. 5.5 Pg 32	[Assessors' comments] 'Acts of the SC meetings contain a selection on ...'	See the 5.6 f) comment	Minutest of the meetings, called "Acts" by PEFC Uruguay.
5.3 p. 32	Those organizations or persons interested to participate in the revision process of the UNIT 1151:2009 and UNIT 1152:2009 , can contact UNIT at unit-iso@unit.org.uy (Tel 29012048) for more information."	not listed in Table 1.1 – the comment is unclear	Not further mentioned by PEFC Uruguay. Also not submitted. It contains glossary of terms.
5.3 p. 32	<p>Requirement: 5.5 The work of the working group/committee shall be organised in an open and transparent manner where:</p> <p>c) comments and views submitted by any member of the working group/committee shall be considered in an open and transparent way and their resolution and proposed changes shall be recorded.</p> <p>Evidence: Process; (none)</p> <p>Assessors' comments: Acts of the SC meetings contain a section on Considerations and solutions, per requirements under revision. The respondents of the survey confirmed that comments and views submitted were considered in an open and transparent way.</p>	The decision of the assessor is "does conform, although no evidence has been found. The requirement deals with openness and transparency of the standard setting process. – I propose to move the content of assessor's comments as evidence material for the requirement - or the result should be "does not conform"	Evidence was found, but could not be copied in the table. Text partly adjusted.



	Result: Does conform		
6. p. 32	This chapter presents the findings of the assessment of the Sustainable Forest Management Standard. In total nine (9) non-conformities are found, all classified as minor. Corrective action requests are formulated for each of the non-conformities raised.	Nine NCs are rather many. One might ask, how many minor NCs there can be until the whole Standard will be “not credible”. All CARs are the same phrases – why? What does “or update the standard” mean? In 6 months? Or during the next revision process?	Focussing on the non-conformities could easily give the impression that the process has not been met properly. Although some of these non-conformities have been identified at key issues, other aspects of these key issues have been properly met, which contributed to the general conclusion that these non-conformities did not undermine or severely damage the standard setting process. The 6 months condition means that all non-conformities (in Standards and Procedures) are to be solved within this period.
6.1 p. 33	The Sustainable Forest Management requirements are stipulated in UNIT 1152:2014, Edition 2014-09-30 , Sustainable Forest Management - Criteria and Indicators	Is this the same document as in table 1.1 “UNIT 1152:2014”? Or are there several editions of this document?	One edition, text updated.
6.2 p. 33	The non-conformities found in the Forest Management Standard are presented in the tables below. CAR: Provide evidence to show conformity or update the standard	Nine non-conformities were found in SFM Standard. However the assessor does not emphasize the importance for corrective actions. The assessor only repeats the same phrase nine times! Some NCs might be easier to solve than others, or some NCs might be more important to solve than others but these facts cannot be seen here.	It shall be noted that the Assessor shall provide independent third party review of the conformity of the Applicant Scheme with the PEFC requirements. The Assessor is not allowed to provide recommendations for improvement. Therefore the CAR's are kept general. The Assessors' comments however specify the issue which is non-conform. Providing evidence or updating the standard to cover this issue, is considered sufficient.



			It is up to the applicant Scheme how they want to solve the issue.
6. Forest Management Standard Pg 33	'... and related references.'	See comment at 5.	It does indeed include observations.
6.1 Analysis Pg 33	1 st para '... are stipulated in UNIT 1152:2014 Edition 2014-09-30, ...' '... <i>PEFC ST 1003:2010</i> ...' 3 rd para 'Each criterion is divided ... and (6) Registers.'	Is 'Edition 2014-09-30' actually part of the title? The 2014 is quite sufficient for date stamping of the SFM standard. Only time that italics have been used! Which of these six (6) elements is the normative in terms of the SFM standard? To function properly, it must be as high as possible i.e. the indicator or objective	Text updated. No distinction is made between normative and non-normative elements, and therefore the assessor considered all elements to be normative.
6.2 Requirement 5.2.7 Pg 36	[Assessors' comments]	Use of 'liquid and solid waste' is a high level category which would capture the Assessor's concerns – intent of the requirement is captured by the evidence	The phrase "procedures for the disposal of liquid and solid waste" does not necessarily result in the "avoidance" of waste.
6.2 P. 37	Although National Decree 349/2005 governs the environmental impact assessment (including remedial measures) for new forest plantations over 100ha, no references were found ensuring avoidance or minimization of negative impacts of used species, provenances or	not listed in Table 1.1 – the comment is unclear	Text updated.



	varieties for all certified forest plantations.		
Requirement 5.4.6 Pg 38	[Assessors' comments]	This is a too literal interpretation by the Assessor as intent of the requirement is well and truly met by the evidence	Although ecological connectivity is well covered by the PEFC Uruguay standard, no references were found with a relation between afforestation/ reforestation activities and ecological connectivity as required in the PEFC international requirement.
Requirement 5.5.1 Pg 38	[Assessors' comments] 6.2.4, 6.2.4.1 & 6.2.4.2	I don't believe this is a 'protective function' if solely the auditable text – the 'protective' element is too deep at Parameters and Procedures	The assessor considered the provided evidence as explanatory to the evidence specifically referring to protective functions.
6.2 P. 41	The status of indigenous peoples in Uruguay remained unclear for the Assessor, since some sources contradict the above explanation and state that there are still small groups of indigenous peoples in Uruguay. E.g. Http://minorityrights.org/country/uruguay/ , https://elpais.com/elpais/2017/11/06/english/1509969553_044435.html No references were found ensuring that forest management activities shall be conducted in recognition of customary and traditional rights, and no reference is made with regard to free, prior and informed consent.	The issue of "indigenous peoples' rights" is one of the key issues in forest certification. When PEFC Uruguay is the opinion that there are no "indigenous peoples" in the country, but the assessor is not confident of this fact, the issue somehow needs more investigation. The present "CAR" of the assessor does not solve this problem.	The Corrective Action Request will result in either provision of evidence that there are no indigenous peoples in the country, or to incorporate the PEFC requirement in the PEFC Uruguay standard. Therefore the assessor considers this CAR to be sufficient to identify the problem and to ensure that the problem will be solved.
7.1 p. 50	The procedures for Group Certification are regulated in DG 07.04, which is	For the reader of the assessment, some more informative facts could be added here. It	Tasks and responsibilities are extensively elaborated in section 7.3 and Annex 1.



	clearly structured and auditable. There are however two (2) non-conformities found.	remains unclear, which or who are the units or members of the Group in group certification. It remains unclear what are the tasks and responsibilities of the group entities in SFM etc.. Some information could also be added on the magnitude of a group – are there several groups, i.e. hundreds, or only few to cover the certified forest area of the country? And how many members usually belong to one group? – Or this information could actually be in the beginning of the report, where the assessor describes the forest sector of Uruguay.	More general information could have been given in the beginning of the report, but was not available.
p51 DG 07.04	Assessors state “although agreements are part of the requirements, and commitments are mentioned in other clauses, it is insufficiently ensured that the commitments of the group entity shall be documented in a written agreement”. Leading to the conclusion that this is a non-conformity	Yet on p52 DG 07.04 it is stated that “each group member must express in writing to the Group Administrator its interest in participating in the process and commit to comply with the requirements of the Sustainable Management System in a written agreement.” Could this statement not cover the requirement?	Text partly updated
8. Chain of Custody Standard Pg 54	‘... uses the PEFC International procedures for Chain of Custody ...’	Isn't it a PEFC Standard not a procedure?	Updated in the report.
9.1 Analysis Pg 55	1 st para ‘...are regulated in DG 03.05, and partly in DG 04.03.’ ‘...as procedures connected to certification.’	I think it is good practice to also include the document title Presume both forest management and CoC	Partly updated in the report.



	<p>‘... endorsed by the Uruguayan Organism of Accreditation ...’</p> <p>3rd para ‘No reference is made to the Group Forest Procedures (DG 07.04).’</p>	<p>I have difficulty with the word ‘organism’ – is it in fact ‘organization’ is a body or authority not a living thing?</p> <p>Is a different title to Table 1.1 (Pg 8)</p>	<p>The general PEFC term is used.</p>
9.1 p. 55	<ul style="list-style-type: none"> • UNIT 1152 Sustainable Forest Management - Criteria and Indicators • DG 04.03 Criteria for Auditor Qualifications • ISO 17065: Conformity assessment - Requirements for bodies certifying products, processes and services • ISO 17021: Compliance assessment – Requirements for bodies offering auditing and certification of management systems • ISO 19011: Guidelines for auditing management systems 	<p>In Table 1.1 UNIT 1152:2014 and DG 04? Confusing ISO documents not listed as “documents used for the conformity assessment”</p>	<p>Updated in the report. The mentioned ISO documents are not used for the assessment, only reference is made to the ISO standards that are being used by PEFC Uruguay.</p>
9.1 p. 55	<p>No reference is made to the Group Forest Procedures (DG 07.04)</p>	<p>In table 1.1 DG 07? This comment is unclear – the chapter deals with certification and accreditation procedures.</p>	<p>Updated in the report. It would have been expected that procedures dealing with certification and accreditation would also require from certifying bodies to use DG 07.04 as reference for requirements related to Group Forest Management.</p>
10. p. 56	<p>in DG 03.05 in DG 05.02 in DG 06.01</p>	<p>In table 1.1 DG 03, DG 05, DG 06?</p>	<p>Updated in the report.</p>

Annex 1 PEFC Standard and Scheme Requireme nt Checklist Pg 57	[Table of contents]	Need to have an Introduction to indicate the difference in the text in the ‘Reference ...’ cells – presume italics is the Assessor and the normal text is written quotes from the PEFC Uruguay System documentation It would be worthwhile to indicate the intent of each element of an indicator (6.1, Pg 33) especially in relation to normative language	Partly updated in the report.
Annex 1, Part 1 p. 60	DG 10. 01 PEFC URUGUAY - Guide for the functioning of the Specialized Committee of Sustainable Forestry Management is available from http://www.pefc.com.uy/documentacion	I did not found this documentation on the website referred	Updated in the report.
Annex 1, Part 1 p. 61	Question: The standardising body shall make its standard-setting procedures publicly available Reference: Any other person can access a copy of the document requesting it in writing to UNIT through the contact information in the web or through the social networks facebook, twitter, linkedin, google+.	For me “publicly available” hardly actualizes here!	PEFC interpretation of the term “publicly available” also includes being available upon request.
Annex 1, Part 1 p. 61	Materially and directly affected stakeholders, such as producers and private companies, were also actually represented in the SC, either directly or through their associations (e.g. Sociedad De Productores Forestales	I need more information – in this report there are no information concerning the organisations or individuals taking part with the standard setting process!	These stakeholders are in fact the stakeholders listed in Annex 2, who were also invited for the survey.



	-SPF).		
p65	“the SC did not have a balanced representation of stakeholders, as NGOs representing environmental and social issues were not part of the SC.”	Both categories of stakeholder were invited but failed to respond or attend. It is difficult to see how PEFC Uruguay can answer this.	It is the responsibility of the standardising body to strive for a balanced representation. It remains however unclear if and what kind of efforts have been made to get (other) stakeholders involved.
Part I Requirement 4.4 b) Process Pg 65	[Additional explanation provided by PEFC Uruguay]	See comment for 5.2	See response to 5.2
Requirement 4.4 c) Procedures Pg 66	[Assessors’ comment]	Doesn’t this clash with your comment at 4.4 a) Process?	Requirement 4.4a) requires that the working group shall be accessible to this category of stakeholders, whereas 4.4c) requires that this category of stakeholders shall represent a meaningful segment.
Requirement 4.4 c) Process Pg 66	[Assessors’ comment]	Any participation can be taken as meaningful but not to dominate the SC – I believe the mix is quite adequate especially for plantation forestry	Comment is clear.
Requirement 5.2 Process Pg 71	[Assessors’ comment]	A development report may have headed off this concern of the Assessor – PEFC Uruguay may need to consider this for the next revision	Comment is clear.
Annex 1, Part 1 p. 71	Annex A of UNIT 1152:2014 presents a list of stakeholders that were invited. From the clarification it is understood that disadvantaged stakeholders are covered by inviting their associations and NGO’s. However, it remains unclear	The list of annex A has only Uruguayan names of organisations – it is impossible for non-Spanish reader to evaluate the representativeness of these organisations! – Please, add somewhere in the assessment report translations of the names of the	These are listed in Annex 2, mentioning the sector (in English).

	whether their participation is proactively sought. It is for instance unclear what additional efforts have been made to include the NGO's.	organisations invited and organisations which took part with the process!	
Requirement 5.3 e) Process Pg 71	'In particular, it is necessary to adequate the UNIT standard 1151 and UNIT 2252, as well as some of the procedures ...'	What are these? Not part of the PEFC Uruguay System, so why the reference?	UNIT 1151 includes a glossary of terms, and was not needed for the assessment.
Requirement 5.8 a) Process Pg 85	[Assessors' comment]	The 'etc.' in the requirement allows for other consensus mechanisms and maybe UNIT's method is one such mechanism!	There is however no transparency on this mechanism.
Requirement 6.2 Process Pg 89	[Assessors' comment] '... the closure of the Extraordinary Assessment, on ...'	What is this in the standard setting process? There has been no explanation	This was an additional and extraordinary assessment undertaken after the endorsement of the revised international PEFC Standards.
Requirement 6.4 Process Pg 91	[Assessors' comment] 'However, these circumstances are considered justified exceptional.'	But haven't explained why?	Adjusted in the report: as it was an in-between revision of the standard (not a general once in 5 years revision)
Part II Requirement 4.1.2 Pg 93	'8. Provide the Group Administrator the audit reports done under other certification systems ...' '... with all requirements and no ...'	Assume these will show any non-conformities and CARs – it would be up to other group to decide whether it is being addressed – not explicit evidence but implicit in the group certification working Of what?	Comment is unclear.

Requirement 4.2.1 d) Pg 96	[Assessor's evidence]	Has the 1 st dot point been established with these references? Would suggest that references in 4.2.1 b) would assist in fulfilling this requirement	The provided evidence is considered sufficient.
Part III Requirement 4.1 c) Pg 101	[Assessor's evidence]	This is implicit rather than explicit!	Text updated.
Requirement 5.1.2 Pg 103	[Assessor's evidence]	Not sure that second part of requirement is explicitly covered	The periodical formulation, documentation and review of forest management planning is considered to lead to a cycle of continuous improvement, which is further ensured by specific requirements on the avoidance of negative impacts.
Requirement 5.1.12 Pg 110	'LEY No. 15.939 Ley forestall ...' [Assessor's evidence]	Presume this is 'Law' in English? While it seems to address the requirement, it isn't as explicit as the wording in the requirement. More implicit!	This is indeed law. Comment is clear.
Requirement 5.2.1 Pg 110/111	[Assessor's evidence]	Rehabilitation isn't foremost in the indicators provided for references	Plans and silvicultural procedures for recuperation of forest ecosystems is considered to cover the rehabilitation element.
Requirement 5.2.2 & 5.2.3 Pg 111-113	[Assessor's evidence]	While the factors are covered, there seems to be a lack of monitoring coverage	It is considered to be sufficient that the evidence for specific parameters is required, which can only be obtained through various ways of monitoring.
Requirement 5.2.4 Pg 113	[Assessor's evidence]	While the overall intent of the FMP and policy instruments is met, it doesn't seem to hone in on the degradation/damages aspect	Plans for fire protection, integrated control of pests and diseases, and plans for recuperation of forest areas are considered to be examples that deal sufficiently with the degradation/damages aspects.

Requirement 5.2.11 Pg 118	[Assessor's evidence] 'DECRETO ...'	Is this 'Directive' or 'Decree'?	This is decree, and therefore considered normative.
Requirement 5.3.5 Pg 120	[Assessor's evidence]	There doesn't appear to be any reference to 'in time' in terms of re-establishment (as it is plantation)	This is indeed a non-conformity. Added to the report.
Requirement 5.3.8 Pg 122	[Assessor's evidence]	A parameter doesn't seem to be an 'action' in terms of meeting the requirement. How are negative impacts covered?	A parameter is considered to be the required element that will demonstrate compliance. Additional evidence provided in the report.
Requirement 5.4.9 Pg 126	[Assessor's evidence]	Not really applicable for plantation management!	Regardless the applicability of this PEFC requirement, it is considered to be sufficiently covered by the PEFC Uruguay standard.
Requirement 5.5.5 Pg 132/3	[Assessor's comments]	By implication, would be in the procedures as the wording allows for 'among others'.	Text updated.
Part IV Requirement 19. Pg 150	[Assessor's evidence]	Does this allow other accreditation bodies to be used is so specific – see 3. above which allows for other accreditation bodies other than Uruguay's	This is indeed an observation.
Part V 2 Checklist Pg 152	'...uses the PEFC International procedures for Chain of Custody.'	Isn't it a PEFC Standard?	Updated in the standard.
Annex 2 Results of Stakeholder Survey General Pg 153	1 st para 'The questionnaire was sent by Email to 30 stakeholders.' 2 nd para	Does this relate to the list on Pg 154/5? It has 16 organizations! So the 30, must be linked to the 3 rd sentence. If so, need to have the list show the categories for each organization Is this 'State' as in the list on Pg 154/5?	Per stakeholder (organization) various persons were contacted. Yes, updated in the report



	'No responses were received from public administration ...'		
Participation in the process	'... In total 8 respondents participated in the standard setting committee.'	Is this in fact the 'Specialized Committee'? If so, may as well use the correct title	The general PEFC word is standard setting committee. The Uruguayan name is Specialized Committee.
Annex 3 Results of International Consultation	'No responses are received during the international consultation.'	Should include the period to ensure a full response to reinforce 1.5 1. (Pg 10)	Not updated in the report. Annex 3 only presents the results.

