



Conformity assessment of the revised Spanish Forest Certification Scheme



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ACRONYMS

AENOR	Asociación Española de Normalización y Certificación
CECU	Confederación de Consumidores y Usuarios
CEN	Comité Europeo de Normalización
GENELEC	Comité Europeo de Normalización Electrotécnica
CoC	Chain of Custody
CREIF	Coordinadora de Representantes de Estudiantes de Ingeniería Forestal
CTN	Comité Técnico de Normalización
ESCRA	Entidad Solicitante de la Certificación Forestal Regional del Principado de Asturias
ETSI	Escuela Técnica Superior Ingeniería de Montes
FM	Forest management
Form	Form international
FSC	Forest Stewardship Council
ha	Hectare
IAF	International Accreditation Forum
ILO	International Labour Organization
ISO	International Organization for Standardization
MCPFE	Ministerial Conference on the Protection of Forest in Europe
MRC	Minimum Requirements Checklist
NGO	Non-Governmental Organisation
PNE	Proyecto de Norma Española
PEFC	Programme for Endorsement of Forest Certification schemes
PEFCC	Programme for Endorsement of Forest Certification schemes Council
SC	Sub committee
SFCS	Spanish Forest Certification Scheme
SFM	Sustainable Forest Management
SSP	Standard setting procedures
STC	Standardization Technical Committee
TD	Technical Document
UNE	Una Norma Española
WG	Working Group



1. Introduction

With the Programme for Endorsement of Forest Certification schemes (PEFC), national standards for Sustainable Forest Management are brought under the umbrella organisation PEFC by endorsing the national standard after a positive evaluation. Every 5 years, the endorsed national schemes need to be revised after which an independent consultant will assess whether the revised scheme is conform the PEFC Council (PEFCC) requirements.

This report presents the results of the evaluation of the Spanish PEFC scheme against the PEFCC requirements for forest certification schemes. The Spanish Forest Certification Scheme was first endorsed by PEFCC in 2004 and subsequently the revised scheme was re-endorsed in 2009. Now the second revision has taken place, the PEFCC appointed Form international (Form) as the independent consultant to carry out the assessment. This assessment report will be the basis for the PEFCC's decision on the formal endorsement of the revised PEFC Spain Certification Scheme for Sustainable Forest Management (SFM), hereafter Spanish Forest Certification Scheme (SFCS).

1.1. Form international

The assessment benefited from Form's specific experience and expertise in certification and SFM. Form has implemented many studies in which national or international certification standards were analysed versus another standard or scheme, for example for FSC and Keurhout. Moreover, Form has carried out several conformity assessments for PEFC, such as the standards of Austria, Spain, Gabon, Czech Republic, Finland, Sweden, Canada, Switzerland, Ireland, Denmark and the United Kingdom. Form also completed the last assessment of the revised Spanish Forest Certification System in 2009, so is familiar with the scheme.

The conformity assessment team consists of Petra Westerlaan, Remi de Wilde (Forestry Experts) and Rik Sools (Senior Forestry Expert).

1.2. Scope of the assessment

The scope of this assessment is to compare the SFCS with the minimum requirements of PEFCC, by verifying the scheme against PEFC Standard requirements checklist 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 Spain are shown in table 1.1. Table 1.2 lists the documents used from PEFCC. Besides these documents, the following websites were consulted during the assessment:

- www.pefc.es
- www.aenor.es



Table 1.1. The PEFC Spain documents used for the conformity assessment.

Document	Title
1	Development REPORT EN
1.1	SFCS WorkProgramme
1.2	Members_SchemWG
1.3	Standards Revison WorkProgramme
1.4	List members STC162&SC2
2.1	Spanish SCHEME - DT_2013_02_20
2.2	UNE 162001_2013 EN
2.3	UNE 162002_2013 EN
2.4	UNE 162003 EN
3.1	Spain Checklist Part I
3.2	Spain Checklist Part II
3.3	Spain Checklist Part III
3.4	Spain Checklist Part IV
3.5	Records, including Regulations STC and Work Procedure manual STC
4.1	PG 1-2010 Granting Licenses_EN
4.2	PG 4 2008 Dispute Settlement_EN
-	Relevant normative legislation
-	Spain_PartI_Additional Inform_2014_03_31
-	Spain_PartII_Additional Inform_2014_03_31
-	Spain_PartIII_additional Inform_2014_03_31
-	Spain_SFCS EN 2014_03_21_Track changes
-	Spain_PartII_PG 6 2014 EN SamplingSFM
-	Spain_PartI_STC162_OPERATING AGREEMENT
-	Spain_PartI_STC162_CONFLICT RESOLUTION PROCEDURE
-	Spain_PartIV_PG 3 2013 Notification_Spain EN
-	Spain_PartV_PG 4 2013 Dispute Settlement EN

Table 1.2. The PEFC Technical documents used.

#	PEFC Council document	Date
1.	PEFC Council Technical Document (TD)	5 October 2007
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 2002:2010 Chain of Custody of Forest Based Products - Requirements	26 November 2010
10.	The PEFC Council Minimum Requirements Checklist for Certification Scheme Applications and references (GL 2/2011)	26 May 2011
11.	PEFC GD1004:2009 Administration of PEFC scheme	5 October 2009
12.	PEFC IGD 1007-03:2012 and PEFC Secretariat's clarification concerning the content of the assessment report (clarification 30/10/12).	

1.4. Methodology adopted

The work consisted of a desk study in which an evaluation of the conformity was conducted. This assessment enabled the consultants to get insight into the similarities and differences between the Spanish Forest Certification Scheme documentation and the PEFC Standard requirements. At the same time, any missing information was noted. Next to a general analysis of the structure of the scheme the assessment consisted of:

a. Assessment of the standard setting procedure

This aspect is evaluated on the basis of PEFC ST 1001:2010 Standard Setting. The checklist has been used to assess the compliance of the SFCS with the demands of PEFC concerning the standard setting procedures and the actual process.

The criteria for the standard setting procedure have been assessed in two stages:

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

The documented procedures are required to govern the standard setting process and as such shall be in place before the standard setting process starts. A stakeholder survey was held through questionnaires that were sent out to the members of the working groups. The results thereof in combination with study of the Development report and international public consultation will be used to evaluate compliance of the processes.

b. Assessment of the group certification procedures

This part of the assessment was based on the procedures defined in PEFC ST 1002:2010 Group Forest Management Certification. Part II of the PEFC Standard requirements checklist has been used to assess the compliance of the SFCS against the PEFC Standard requirements.

c. Assessment of the Forest Management Standard

The SFCS compliance with PEFC ST 1003:2010 Sustainable Forest Management was assessed based on part III of the PEFC Standard requirements checklist.



d. Assessment of the Chain of Custody standard

The PEFC Council procedures for Chain of Custody certification, ST 2002:2010 – Chain of Custody of Forest Based Products – Requirements are adopted by PEFC Spain.

e. Assessment of the procedures for notification of certification bodies

These procedures were checked against PEFC GD1004:2009, Administration of PEFC scheme, chapter 5.

f. Assessment of the procedures for logo licensing

These procedures have been assessed against PEFC GD1004:2009, Administration of PEFC scheme, chapter 6.

g. Assessment of the complaints and dispute resolution procedures.

These procedures have been assessed against PEFC GD1004:2009, chapter 8

h. Assessment of the certification and accreditation procedures

These procedures were assessed on the basis of Annex 6 of the PEFC Council Technical Document.

i. Other aspects regarding functions and efficiency of the scheme

The functions have been evaluated on the basis of the description and analysis of these functions, as indicated in the information obtained and possible correspondence with PEFC Spain.

The report was written in line with the new guidelines of the PEFC Council for the content of an assessment report, Clarification - Content assessment report 20121031.

1.5. Assessment process

The assessment process consists of the following steps:

1. Public consultation

The international public consultation was held from 3rd June 2013 to 2nd August 2013. Comments of the public were considered in the process and can be found in Annex 2.

The national stakeholder consultation was held from 29th of July until 23rd of August 2013. Form international sent out questionnaires to all stakeholders that were members in of the Standard setting Technical Committee 162 (STC162) and/ or the Sub-Committee of the STC162 (SC2) or that were invited to become a new member and participate in one or both committees. 17 questionnaires were filled in.

2. Technical desk study

The assessment was carried out against the Spanish Forest Certification Scheme that was adopted by the General Assembly of PEFC Spain on 20th of February 2013. The technical desk study comprised of a review of the documentation and the PEFC Spain documentation was assessed against the PEFC Standard requirements checklist.

3. Elaboration of draft report

The draft report is sent to PEFC Spain and PEFC on 30-08-2013.



4. Elaboration of final draft report

Comments and additional information from PEFC Spain were received between 11th and 20th of September 2013. This has resulted in the closure of a number of non-conformities. No additional information was received on Part I, Standard Setting Procedures. Therefore the analysis and outcome of the assessment concerning Part I remains unchanged compared with the draft report. This final draft report is sent to PEFC Spain and PEFC Council on 30-09-2013.

5. Review of the final draft report

Three members of the Panel of Experts contributed to this report by providing their comments. These were: Ken Gustafsson, Hugh Miller and Hannu Valtanen.

6. Final analysis and reporting

The final report was sent to PEFC Spain and PEFC Council on 23rd of October 2013. After the technical unit of the PEFC Council decided not to endorse the Spanish Scheme, an alternative procedure was followed in which PEFC Spain got the opportunity to make the necessary adaptations to their procedures and provide additional evidence to close the non-conformities identified. This process took place from November 2013 until March 2014.

In May, the additional information was assessed and a verification was performed on those text sections that were proposed and that have now been formally adopted by PEFC Spain. On the 28th May 2014 this final report was sent to PEFC Spain and the PEFC Council.

1.6. Report structure

Chapter 2 gives an explicit statement regarding whether or not the Board of Directors of PEFC should recommend adoption of the revised Spanish Forest Certification Scheme. In chapter 3, a summary of the findings is presented with special attention to the identified non-conformities and the corresponding corrective action requests. Chapter 4 gives an overview of the key structures of the scheme. In chapter 5 the results of the assessment of the standard setting procedures are presented. Chapter 6 covers the assessment of the forest management standard, followed by the group certification procedures in chapter 7. In chapter 8 and 9 the Chain of Custody standard and the PEFC logo license use are quickly touched. Chapter 10 covers the assessment of the certification and accreditation procedures. Finally, chapter 11 concerns the assessment of the complaint and dispute resolution procedures. The PEFC Standard requirements checklist is enclosed in Annex 1. In Annex 2 and 3 the results of respectively the stakeholder survey and the international consultation are presented. Finally, in Annex 4 the comments by the Panel of Expert are presented in a table.



2. Recommendation

Based on the results of this conformity assessment, Form international recommends the PEFC Board of Directors to re-endorse the PEFC Spain scheme (Spanish Forest Certification Scheme – SFCS), on the condition that the identified non-conformities for which a corrective action request has been formulated (4) shall be corrected within 6 months after re-endorsement.



3. Summary of the Findings

3.1. Overall

The Spanish Forest Certification Scheme is in general quite complete and comprehensive. However, 8 non-conformities were found in the standard setting procedures and process and 1 in the Forest Management Standard. The following paragraphs will present the non-conformities found in each of the sections. All have been classified as minor non-conformities and, when applicable, corrective action requests have been formulated to address them.

3.2. Standard Setting Procedures

8 non-conformities were found for requirements in the Standard Setting Procedures. These non-conformities were mostly identified in the process (5) and a couple in the procedures as well (3). For the procedural non-conformities, the process has gone well.

For the non-conformities identified in the process, the procedures are (after revision) covering the requirement. Most process-related non-conformities are not addressing part of the requirement, but do provide evidence for the other part of the requirement. For some non-conformities in the process, no evidence was found on the website www.pefc.es. This may be because the evidence was not there or because no specific pages were provided and the website was in Spanish without translations to English. Overall, the 5 identified non-conformities in the process do not lead to a serious defect in the entire revision process. This means the process is accepted as it has been done.

Req. 4.2: Is the standardising body required to make its standard-setting procedures publicly available and shall it regularly review its standard-setting procedures including consideration of comments from stakeholders?

Process

Standard setting procedures could be found on the website www.pefc.es. The Regulations for Standardisation Technical Committees document states the current version is the 4th review carried out in 2010. However, no reference was found on the scope of the revision and involvement of stakeholders.

Does not conform – minor

Req. 4.5: Is the standardising body required to establish procedures for dealing with any substantive and procedural complaints relating to the standardising activities which are accessible to stakeholders?

Procedure

No reference was found that procedures for dealing with any substantive and procedural complaints relating to the standardising activities should be accessible to stakeholders.

Does not conform – minor



Corrective action request: update procedures.

Req. 5.3d: Shall the announcement and invitation include an invitation to comment on the scope and the standard-setting process?

Process

Invitation did not invite stakeholder to comment on scope and standard-setting process.

Does not conform – minor

Req. 5.3e: Shall the announcement and invitation include reference to publicly available standard-setting procedures?

Process

Invitation did not reference to publicly available standard-setting procedures, although these were publicly available.

Does not conform – minor

Req. 5.4: Is the standard-setting body required to 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?

Process

No reference was found to support that the standard-setting process has been reviewed based on comments received from public announcement.

Does not conform – minor

Req. 5.6a: Is the standard-setting body required to organise a public consultation on the enquiry draft and ensure that the start and the end of the public consultation is announced in a timely manner in suitable media?

Procedures

Although for the consultation period itself a time indication is given, no reference was found that start and end date of public consultation shall be announced in a timely manner.

Does not conform – minor

Corrective action request: update procedures.

Req. 5.6f: Is the standard-setting body required to organise a public consultation on the



enquiry draft and ensure that a synopsis of received comments compiled from material issues, including the results of their consideration, is publicly available, for example on a website?

Process

A synopsis was made of all received comments and the results of their consideration. PEFC Spain stated that this resume was shared on the e-comité and at the time also on the website (www.pefc.es). For the latter, no specific proof was presented to confirm this.

Does not conform – minor

Req. 5.10: Shall documentation on the implementation of the standard-setting process be made publicly available?

Process

Development report, minutes etc. could not be found on the website (www.pefc.es).

Does not conform – minor

Req. 5.11: Shall the standardising body formally approve the standards/normative documents based on evidence of consensus reached by the working group/committee?

Procedures

No reference could be found that standards/normative documents shall be approved based on evidence of consensus reached by working group/committee.

Does not conform – minor

Corrective action request: update procedures.

3.3.Group Certification procedures

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

3.4.Forest Management Standard

A single non-conformity was found for a requirement in the Forest Management Standard.

5.1.7 Monitoring of forest resources and evaluation of their management shall be periodically performed, and results fed back into the planning process.

Although several indicators include monitoring of a number of forest resource parameters, there is no reference found that monitoring and evaluation of these parameters shall be done periodically and that results shall be fed back into the planning progress.



PEFC Spain provided explanation that this may partially be resulting from a translation issue. According to PEFC Spain: “The System in its Spanish version refers to term “seguimiento” that is defined as “to observe a situation for any changes which may occur over time”. It implies that the monitoring and evaluation of parameters have to be done periodically. The System sets out in the criteria that parameters have to be maintained and enhanced. Therefore, if during the monitoring and evaluation the parameters would get worse, the forest manager will have to feed into his/her management plan to maintain or enhance the conditions of such parameters.”

The consultant does not agree with this explanation. Still no reference is made to a specific period for monitoring certain parameters at what intervals, or prescriptions guiding periodicity. Also, the feedback into management planning is not referred to.

Does not conform – minor

Corrective action request: update standard.

3.5. Certification and Accreditation Procedures

No non-conformities have been identified in the certification and accreditation procedures.

3.6. Complaints and Dispute Resolution Procedures

No non-conformities have been found in the complaints and Dispute Resolution Procedures.



4. Structure of the system of the proposed applicant Scheme

4.1. Introduction forest sector Spain

“At present, Spain's forestlands cover a surface area of 27.68 million hectares, that represent 54.9% of Spanish total area. 66% of these forestlands are considered timberlands (18,319 million ha) [...], with currently 37% being conifer stands, 55% hardwoods and 8% of mixed stands.

[...] The concentration of privately owned lands (70.9%) is remarkable, followed by the 22.9% owned by local administrations, compared to the very scarce ownership by the central and regional governments, who together account for 6.2%. [...]

The size of forestlands depending on their ownership does not reflect great differences between those that belong to the State and those that belong to other public entities, with an average of 500 and 600 ha respectively, but there is a significant difference with privately owned forestlands, whose mean surface area scarcely covers 3 ha, clear indication of the extent of smallholdings still existing in the private forest sector (Spanish Forest Strategy).”

Besides timber, “the extraction of non-wood products is very significant”. “Cork production in Spain in the year 2010 was estimated at 60,736 metric tonnes, a figure which represents approximately 26% of total world production.”

4.2. Governance: importance of regional structures

Historically, Spain knows a strong culture of autonomous regions with their own regional legislation and government. This is reflected in the numerous regional bodies of PEFC. Besides PEFC Spain (the national body) there is PEFC Cataluña (Catalonia), PEFC Euskadi (Basque country), PEFC Galicia and PEFC Asturias. The Forest Management Standards (UNE Standards) are applicable in all regions, but additional guidelines or interpretations of the scheme can be made when applicable or when regional legislation or directives are different than national. These Regional Associations for the promotion of PEFC Certification are responsible for drawing up the Regional Guidelines.

4.3. Organisation PEFC Spain

PEFC Spain is made up of the following organs:

- General Assembly, the corporate members of which structured into the following groups:

1. Publicly-owned forestlands - Public Forest Managers
2. Managers and owners of private forestlands
3. Wood and timber industry, forestry companies
4. Consumers, NGOs, and other social agents
5. Regional Associations to promote PEFC Forest Certification

- Board of Directors “directs the administration of the Spanish Forest Certification Scheme and, as such, takes responsibility for interpreting, supervising and monitoring



the Scheme and for setting up work commissions, for deciding about consultations and appeals that may be laid before it with regard to the certification process or the Scheme itself, and decides the members and responsibilities of the Arbitration Commission.”

- Executive Committee

- Secretariat - Registry “is the administrative department of the Spanish Forest Certification Scheme. [...] The Secretariat manages the register of forest management and chain of custody certifications from accredited and authorised certification bodies, recognised training entities and from pupils that have passed the theoretical training required of forest auditors, as well as serving as repository of official internal and external regulations, texts and communications; it is responsible for drafting the minutes of sessions held in the General Assembly, Board of Directors and Arbitration Commission.”

- Arbitration Commission, “deals with complaints relating to the implementation of the Scheme or the certification procedure that cannot be dealt with by means of the dispute settlement procedures of the relevant accredited certification body or the relevant accreditation entity.”

4.4. The Spanish Forest Certification Scheme

The Spanish Forest Certification Scheme is drafted and revised by the Standardisation Technical Committee 162 (STC 162) . With the second revision, a Sub-Committee (SC2) was created that focused on the revision of the UNE Forest Management Standards. The STC 162 follows the standard setting procedures of AENOR, the Spanish standardisation organisation. PEFC Spain is member of AENOR and adopts the standard setting procedures and regulations of AENOR.

The SFCS comprises the Spanish Scheme dated 20 February 2013 and, after the revision process, 21 March 2014 plus the three UNE Standards:
UNE 162001 Sustainable Forest Management – Vocabulary, Terms and Definitions;
UNE162002 Sustainable Forest Management – Criteria and Indicators; and
UNE 162003 Sustainable Forest Management – Criteria for Qualification of Forest Auditors.

In addition, the Spanish law and legislation on forest management is applicable.

Role of legislation

In Spain there are National, regional and local legislation related to forest issues. In this assessment we consider the general National law of Forestry to be the relevant legislation. Additional translations of parts of laws and legislations were provided by PEFC Spain.



5. Standard Setting Procedures

5.1. Analysis

The standard setting procedures are described in Regulations for Standardisation Technical Committees by AENOR, with additional information in the Work procedure manual for Standardisation Technical Committees by AENOR, the AENOR Internal Regulations and the Standards Revision Work Programme. Processes were documented in the minutes of STC162 and SC2 meetings, announcements in journals, on websites and via other social media, e-mails and other supporting documents. This information was partly available in English, but some records were only available in Spanish, e.g. the website.

No records were found on the revision of the standard setting procedures. The invitation did not invite stakeholder to comment on scope and standard-setting process and did not reference to publicly available standard-setting procedures (although these were publicly available). No procedures were found for certain requirements concerning making information/ documentation publicly available, but in the process these issues were covered. In total, non-conformities were found for 8 requirements in the Standard Setting Procedures. These non-conformities were mostly identified in the process (5) and a few in the procedures as well (3).

Most process-related non-conformities are not addressing part of the requirement, but do provide evidence for the other part of the requirement. For some non-conformities in the process, no evidence was found on the website www.pefc.es. This may be because the evidence was not there or because no specific pages were provided and the website was in Spanish without translations to English. Overall, the 5 identified non-conformities in the process do not lead to a serious defect in the entire revision process. This means the process is accepted as it has been done.

5.2. Results

This section presents the results of the conformity assessment for each of the requirements, both the procedures and the process.

Req. 4.1a: Do the procedures describe 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

AENOR Internal Regulations, heading IV:

“Article 37

AENOR's standardisation activities are carried out by means of standardisation technical committees (AEN/STC).” (p.9)

Regulations for Standardisation Technical Committees:

“3 Organisation of an STC [...]



An STC shall comprise:

- A President.
- A Vice-President (when considered necessary by the STC).
- A Secretary.
- Member representatives of manufacturers, consumers or users, government bodies and, when the nature of its business so warrants: Laboratories, Research Institutes, Innovation & Technology Centres, etc.
- A representative member of any other STC with a stake in its business. [...]

3.1.2 The initial composition of the STC is agreed by the Management Board [...]

3.1.5 The AENOR technical services shall provide the STC with at least one non-voting representative to act as liaison between themselves and the STC and who shall ensure the proper operation of the STC in accordance with the terms of these Regulations and the specific regulations of the STC.” (p.9-10)

“4.1 Functions of the STC

STCs shall implement the following functions in the field of activity assigned to them, upholding the principles of independence, objectivity, proportionality and transparency:

- a) Propose an annual schedule of work.
 - b) Propose the wording of new regulatory documents as well as the confirmation, review and cancellation of existing regulations.
 - c) Draw up and propose, where applicable, future UNE standards to be presented for public information.
 - d) Draw up proposals for UNE standards to be adopted as national standards.
 - e) Adopt European standards as national standards when required as a result of the commitments involved in participating in CEN, CENELEC and ETSI.
 - f) Propose the appointment and dismissal of the President and Vice President of the STC, as well as of its members.
 - g) Create Subcommittees or Working groups as part of the STC in accordance with the provisions of sections 4.6 and 4.7 herein.
 - h) Propose representatives to attend international meetings as the part of a national delegation or as experts in the working groups and who must be members of the STC or of one of its working groups.
 - i) Analyse international documents that may be relevant to the field and propose suitable plans of action.
 - j) Establish suitable relations with those STCs that may be of interest.
 - k) Encourage the application of regulations and promote the development and circulation of standards throughout its field of business.
 - l) Respond to consultations that may be laid before it about technical matters regarding standardisation in its sector.
 - m) Propose the adoption of any measures that may be considered necessary for the proper development of its activities, and the initiation of proceedings to impose the sanctions set forth in the Sanctioning Regulations in standardisation matters.
 - n) Each year, review membership of the STC and, where applicable, propose suitable modifications.
 - o) Implement whatever duties may be delegated upon it by the Management Board.”
- (p.13-14)



“4.8 Processing the results

4.8.1 Once the work of the SC or WG have concluded , the Secretary shall send them as soon as possible to the STC or SC to whom they directly respond.

Likewise, STCs shall also send in the outcome of their standardisation work for processing.

4.8.2 The analysis by the STC of a document presented by an SC or WG may lead to one of the following actions:

- a) The document is approved.
- b) Amendments to the substance or format of the draft are inserted once the position of the SC or WG has been heard.
- c) The document is returned to the SC or WG to be re-drafted following the suggestions of the STC.

The Secretary shall inform the SC or WG of the STC's decisions.

4.8.3 Draft standards, following the statutory period of public information and comments thereto received during public consultation, shall then be considered by the STC. On the basis of said consideration, the following outcomes are possible:

- a) Development of a proposed standard according to the draft.
- b) Insertion of amendments to its form.
- c) Return to the SC or WG for close study of the remarks about the content and their possible incorporation into the draft project.

When any added amendments represent a substantial variation of the technical content of the draft project, the project shall be submitted once again to a period of public information.

If a project has not received any remarks during the public consultation stage, it can be considered approved as a proposed standard, providing that the STC has accepted an agreement in this regard. [...]

4.8.7 In those cases in which confronting opinions arise between different STCs about the contents of a standard that prevent it being approved, the Management Board shall form a panel of experts to draft a report prior to Management Board taking a decision about the standard in question.” (p.20-21).

Conforms

Req. 4.1b: Do the procedures describe the record-keeping procedures?

Procedures

Regulations for Standardisation Technical Committees:

“4.4.8 The minutes from all meetings, once signed by the Secretary and approved by the President, shall be safeguarded by the Secretary for a period of five years. The list



of agreements currently in force and relevant to the workings of the STC shall be safeguarded for as long as they remain in force.” (p.17)

Conforms

Req. 4.1c: Do the procedures describe the procedures for balanced representation of stakeholders?

Procedures

AENOR Internal Regulations, heading IV:

“39.1 The composition or membership of an AEN/STC shall be such as to ensure a balanced representation of all stakeholders involved in its specific field of interest, such as: users and consumers, manufacturing and service companies, and shall be open to representatives of government agencies, laboratories, research institutes, etc.”(p.9)

Conforms

Req. 4.1d: Do the procedures describe the standard-setting process?

Procedures

Regulations for Standardisation Technical Committees:

“4.8.1 Once the work of the SC or WG have concluded , the Secretary shall send them as soon as possible to the STC or SC to whom they directly respond.

Likewise, STCs shall also send in the outcome of their standardisation work for processing.

4.8.2 The analysis by the STC of a document presented by an SC or WG may lead to one of the following actions:

- a) The document is approved.
- b) Amendments to the substance or format of the draft are inserted once the position of the SC or WG has been heard.
- c) The document is returned to the SC or WG to be re-drafted following the suggestions of the STC.

The Secretary shall inform the SC or WG of the STC's decisions.

4.8.3 Draft standards, following the statutory period of public information and comments thereto received during public consultation, shall then be considered by the STC. On the basis of said consideration, the following outcomes are possible:

- a) Development of a proposed standard according to the draft.
- b) Insertion of amendments to its form.
- c) Return to the SC or WG for close study of the remarks about the content and their possible incorporation into the draft project.



When any added amendments represent a substantial variation of the technical content of the draft project, the project shall be submitted once again to a period of public information.

If a project has not received any remarks during the public consultation stage, it can be considered approved as a proposed standard, providing that the STC has accepted an agreement in this regard. [...]

4.8.7 In those cases in which confronting opinions arise between different STCs about the contents of a standard that prevent it being approved, the Management Board shall form a panel of experts to draft a report prior to Management Board taking a decision about the standard in question.” (p.20-21)

Conforms

Req. 4.1e: Do the procedures describe the mechanism for reaching consensus?

Note: Where a vote is used as a part of decision-making procedures, the standard-setting procedures include decision-making thresholds that are considered to achieve the consensus and that are consistent with the consensus definition.

Procedures

STC162 – 01/09:

“The Committee shall work by consensus. [...]

Consensus: General agreement, characterised by an absence of firm opposition to essential matters by any significant number of stakeholders and by a process that entails taking the opinions of all stakeholders into account and reconciling any differing position. N.B. Consensus does not necessarily imply unanimity.[...]

In order to ensure consensus between the parties involved in setting standards, agreement of essential matters shall be by vote, thus enabling any opposition to be recognised. [..]

In the event that sustained opposition is expressed by any stakeholder with regard to an essential matter, said matter shall be settled by way of the following mechanism:

- Debate and negotiation of the matter within the STC or sub-committee in question,
- Direct negotiation between the stakeholders with differing positions,
- Submission of the matter to the STC 162 Board of Conflict Settlement.” (p.1)

Regulations for Standardisation Technical Committees:

“4.4.3 STC agreements shall preferably be adopted by consensus. However, should a vote be necessary, agreement shall be carried by simple majority of the votes cast both in person and by proxy, without taking abstentions into account.” (p.16)

“4.4.5.a) When approving standards and confirming or cancelling current standards, as well as for formal votes on European standards, consensus is to be sought and under no circumstances may the number of votes against the motion be equal or greater than one third of the total number of votes cast, not counting abstentions.



4.4.5.b) When debating a national position or viewpoint regarding international documents, except for the formal voting of European regulations [see 4.4.5.a)], attempts shall be made to reach consensus and abstention should be agreed in the event that a position in favour or against the proposed motion is not backed by at least two thirds of the members present or represented by proxy.” (p.16)

Conforms

Req. 4.1f: Do the procedures describe the revision of standards/normative documents?

Procedures

Work procedure manual STC:

“6.3 Revision of UNE standards

All UNE standards should be revised at least once every five years after being published.

The revision process may confirm the standard as edited for a further period of five years maximum or it may call for partial amendments, abolition or replacement with a completely new text.”(p.9)

Conforms

Req. 4.2: Is the standardising body required to make its standard-setting procedures publicly available and shall it regularly review its standard-setting procedures including consideration of comments from stakeholders?

Procedures

Regulations for Standardisation Technical Committees:

“4.4.9 Any member of the STC may request at any time a motion of order, i.e. a question which refers to the suitability of the regulations with regard to the procedure being followed. Such a motion shall have priority over all other matters and shall be resolved immediately.”

Spain_Part I_STC162_OPERATING AGREEMENT:

“The operating Regulations for this Standardisation Technical Committee, together with its Conflict Resolution Procedure, shall be made public and reviewed regularly, and for that purpose, the considerations and feedback received from stakeholders will be taken into account.”(p.1)

Conforms

Process

Standard setting procedures could be found on website www.pefc.es. The Regulations for Standardisation Technical Committees document states the current version is the 4th review carried out in 2010. However, no reference was found on the scope of the revision and involvement of stakeholders.



Does not conform

Req.4. 3: Is the standardising body required to 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? Shall the records be kept for a minimum of five years and shall they be available to interested parties upon request?

Procedures

Regulations for Standardisation Technical Committees:

“4.4.6 All agreements taken during meetings that are directly related to work in progress or the approval of documents must be recorded in the minutes that the Secretary is required to write up for each meeting held.”

“4.4.8 The minutes from all meetings, once signed by the Secretary and approved by the President, shall be safeguarded by the Secretary for a period of five years. The list of agreements currently in force and relevant to the workings of the STC shall be safeguarded for as long as they remain in force.” (p.17)

Work procedure manual STC, 5.6 minutes of the meetings:

“The minutes from the various meetings held throughout the year must comply with the following requisites:[...]

- They must be sent out to each member belonging to the relevant work bodies, including the technical services of AENOR, within thirty days of the date the meeting was held.” (p.6)

Spain_Part I_STC162_OPERATING AGREEMENT:

“Records relating to the standardisation process shall be kept for a minimum of 5 years and made available, upon request, to interested parties.”

Conforms

Process

Minutes relating to standard-setting procedures are kept. The response from the questionnaires confirmed this and indicated that these were available on the e-comité for all members of the working groups STC162 and SC2.

Conforms

Req. 4.4: Is the standardising body required to establish a permanent or temporary working group/committee responsible for standard-setting activities?

Procedures

Regulations for Standardisation Technical Committees:

“4.6 Sub-Committees



In those fields in which the task to be carried out by the STC is highly complex, the committee may decide to create a technical Sub-Committee (SC) responsible for the permanent study of one or several specific parts of its programmed work.” (p.18)

“4.7 Working groups

STCs and Sub-committees may create Workgroups (WG) in order to prepare part of the work programme allocated to an STC or Subcommittee.” (p.19)

Conforms

Process

Minutes 1/11 STC162:

“5 COMMITTEE STRUCTURE SUB-COMMITTEES, WORKING GROUPS, ETC

The meeting was informed that the current structure of the STC is as follows:

SC1 – Vocabulary (UNE 162001:2007)

SC2 – Criteria and indicators (UNE 162002:2007 parts 1 & 2)

SC3 – Criteria for qualifying auditors and certifiers (UNE 162003:2001)

SC4 – Training

This structure provides the necessary framework with which to revise standards UNE 162001 and UNE 162002.”

Conforms

<i>Req. 4.4a: Shall the working group/committee be accessible to materially and directly affected stakeholders?</i>

Procedures

Regulations for Standardisation Technical Committees:

“3.1.1 The composition of an STC shall be such that it ensures fair representation of the agents involved in its relevant field of activity, such as users, consumers, manufacturing and service companies, and shall be open to representatives of Government Agencies, assay laboratories and research centres, among others.”

Conforms

Process

Minutes 1/11, section 6:

“the following stakeholders are deemed essential for the purposes of the STC:

- enterprises and industry / children and youngsters / forest owners
- local authorities / non-government organisations



- science and technology community / women / workers and trade unions.

In this sense, the meeting was informed that acceptance or refusal of applications to join STC 162 must take the requisite of maintaining a balance of interests into account.

Organisations that have applied as candidates are :

- Govt. of Navarra
- Govt. of Castilla y León
- ESCRA
- CREIF
- CECU

Once candidates had been assessed, the following agreement was reached:

AGREEMENT 03/11 APPROVE THE FOLLOWING ENTITIES AS NEW MEMBERS OF STC162: GOVERNMENT OF NAVARRA, GOVERNMENT OF CASTILLA Y LEÓN, ESCRA, CREIF, CECU”

Answers from the questionnaires show that stakeholders were of the opinion that all stakeholders that are relevant to the standard-setting have been proactively identified and invited, including disadvantaged and key stakeholders.

Conforms

Req. 4.4b: Shall the working group/committee 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?

Procedures

Regulations for Standardisation Technical Committees:

“3.1.1 The composition of an STC shall be such that it ensures fair representation of the agents involved in its relevant field of activity, such as users, consumers, manufacturing and service companies, and shall be open to representatives of Government Agencies, assay laboratories and research centres, among others.” (p.9)

Internal regulations Aenor:

“Article 38

38.1 An AEN/STC may be created by initiative of the Management Board or by proposal from:

a) A sufficient representative number of corporate members of the business sector corresponding to the STC’s area of interest. [...]

Article 39



39.1 The composition or membership of an AEN/STC shall be such as to ensure a balanced representation of all stakeholders involved in its specific field of interest, such as: users and consumers, manufacturing and service companies, and shall be open to representatives of government agencies, laboratories, research institutes, etc.

39.2 In fields in which the complexity of the task in hand advises such an action, sub-committees may be set up, the composition of which shall have the same characteristics as the STC.”(p.9)

Conforms

Process

List members STC162&SC2:

9 stakeholder groups were identified:

- 1 - enterprises and industry
- 2 - children and young people
- 3 - forest owners
- 4 - indigenous peoples
- 5 - local authorities
- 6 - non-governmental organisations
- 7 - science and technology community
- 8 - women
- 9 - workers and trade unions

The SC2 working group has 77 members, the STC162 has 72 members.

For the STC162, the following stakeholder groups were best represented: enterprises and industry (28%), local authorities (25%), science and technology community (19%) and forest owners (14%). The stakeholder groups of women (0%), indigenous peoples (0%) and children & youngsters (1%) were underrepresented.

For the SC2, the exact same percentages apply (not counting 5 members for which the stakeholder category has not been determined).

The stakeholder group of NGOs seems somewhat underrepresented (4% and 6%), especially given the fact that PEFC Spain is also allocated to this category. However, many (9-10) NGOs were invited to take part in one or both working groups.

To the question if a balanced representation of stakeholders was achieved, most stakeholders had an affirmative answer. One stakeholder indicated that this was more or less the case but that there is always room for improvement. According to this stakeholder, research institutes were poorly represented. Another stakeholder indicated to miss the active participation of environmental NGOs.

Conforms

<i>Req. 4.4c: Shall the working group/committee include stakeholders with expertise</i>



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? Shall the materially affected stakeholders represent a meaningful segment of the participants?

Procedures

Regulations for Standardisation Technical Committees:

“3.1.1 The composition of an STC shall be such that it ensures fair representation of the agents involved in its relevant field of activity, such as users, consumers, manufacturing and service companies, and shall be open to representatives of Government Agencies, assay laboratories and research centres, among others.

An STC shall comprise: [...]

— Member representatives of manufacturers, consumers or users, government bodies and, when the nature of its business so warrants: Laboratories, Research Institutes, Innovation & Technology Centres, etc.

— A representative member of any other STC with a stake in its business.” (p.9)

Conforms

Process

Standards Revision Work Programme 162:

“All stakeholders with interests in forest management were invited to take part in the forum or STC, which thus maintains a balanced and highly representative structure made up of over fifty-five voting members, representatives, among others, of both public and private forest owners and managers, trade unions, professional colleges, industrial associations, public and private research institutes, forest-based industries, consulting firms, public entities, universities and end consumers, and an invitation to leading environmental groups from the Spanish forestry sector.” (p.1)

Minutes 1/11, section 6:

“the following stakeholders are deemed essential for the purposes of the STC:

- enterprises and industry / children and youngsters / forest owners
- local authorities / non-government organisations
- science and technology community / women / workers and trade unions.

In this sense, the meeting was informed that acceptance or refusal of applications to join STC 162 must take the requisite of maintaining a balance of interests into account.

Organisations that have applied as candidates are :

- Govt. of Navarra
- Govt. of Castilla y León
- ESCRA



- CREIF

- CECU

Once candidates had been assessed, the following agreement was reached:

AGREEMENT 03/11 APPROVE THE FOLLOWING ENTITIES AS NEW MEMBERS OF STC162: GOVERNMENT OF NAVARRA, GOVERNMENT OF CASTILLA Y LEÓN, ESCRA, CREIF, CECU”

List members STC162&SC2:

For the STC162, the following stakeholder groups were best represented: enterprises and industry (28%), local authorities (25%), science and technology community (19%) and forest owners (14%). The stakeholder groups of women (0%), indigenous peoples (0%) and children & youngsters (1%) were underrepresented.

For the SC2, the exact same percentages apply (not counting 5 members for which the stakeholder category has not been determined).

The stakeholder group of NGOs seems somewhat underrepresented, especially given the fact that PEFC Spain is also allocated to this category. However, many (9-10) NGOs were invited to take part in one or both working groups.

Answers from the questionnaires show that stakeholders were of the opinion that all stakeholders in the working group have expertise relevant to the subject matter of the standard.

Conforms

Req. 4.5: Is the standardising body required to establish procedures for dealing with any substantive and procedural complaints relating to the standardising activities which are accessible to stakeholders?

Procedures

Regulations for Standardisation Technical Committees:

“4.4.9 Any member of the S

TC may request at any time a motion of order, i.e. a question which refers to the suitability of the regulations with regard to the procedure being followed. Such a motion shall have priority over all other matters and shall be resolved immediately.”(p.17)

AEN/STC162 1/2009:

“The Committee shall work by consensus [...] Consensus: General agreement, characterised by an absence of firm opposition to essential matters by any significant number of stakeholders and by a process that entails taking the opinions of all stakeholders into account and reconciling any differing position. N.B. Consensus does not necessarily imply unanimity.



In order to ensure consensus between the parties involved in setting standards, agreement of essential matters shall be by vote, thus enabling any opposition to be recognised. [...]

In the event that sustained opposition is expressed by any stakeholder with regard to an essential matter, said matter shall be settled by way of the following mechanism:

- Debate and negotiation of the matter within the STC or sub-committee in question,
- Direct negotiation between the stakeholders with differing positions,
- Submission of the matter to the STC 162 Board of Conflict Settlement

Board of Dispute Settlement within the STC 162:

When consensus has not been achieved, the Chairman of the STC shall be responsible for referring the matter in dispute to the Board of Dispute Settlement (BDS). The BDS is constituted as a Sub-committee and its Secretary shall be the same as for the STC. [...]

The BDS shall debate and discuss the case in question in order to reach a point of encounter between the positions of the parties in conflict. The meetings and other operational aspects of the BDS shall be ruled in accordance with the provisions of the Standardisation Technical Committee Regulations. The decision of the BDS shall be notified to and binding upon the STC and the disputing parties and shall therefore bring the resolution of the conflict to a conclusion.” (p.1)

Spain_Part I_STC162_CONFLICT RESOLUTION PROCEDURE:

“This procedure defines how the Conflict Resolution Body (CRB) is to be formed and to operate with regard to the Sustainable Forest Management Standardisation process at national level by Standardisation Technical Committee 162. This CRB is required to resolve those issues on which consensus has not been reached within the Committee, as well as claims and complaints received from stakeholders.” (p.1)

No reference was found that procedures for dealing with any substantive and procedural complaints relating to the standardising activities should be accesible to stakeholders.

Does not conform - minor

Process

The Regulations for Standardisation Technical Committees (including 4.4.9., see above procedure) and the Conflict Resolution policy could be found on the website www.pefc.es.

Conforms

<i>Req. 4.5a: Is the standard-setting body required to, upon receipt of the complaint, acknowledge receipt of the complaint to the complainant?</i>

Procedures

Spain_Part I_STC162_CONFLICT RESOLUTION PROCEDURE:



“When a substantiated claim or complaint is received, the CRB shall:

- Issue an acknowledgment of such receipt to the person or entity making the claim (Secretariat).” (p.2)

Conforms

Process

PEFC Spain stated that no complaints were received. This was confirmed by the responses of the questionnaires.

Not Applicable

Req. 4.5b: Is the standard-setting body required to, upon receipt of the complaint, gather and verify all necessary information to validate the complaint, impartially and objectively evaluate the subject matter of the complaint, and make a decision upon the complaint?

Procedures

Spain_Part I_STC162_CONFLICT RESOLUTION PROCEDURE::

“When a substantiated claim or complaint is received, the CRB shall: [...]

- Collect and verify all necessary data and information to enable the complaint to be validated.
- Assess the matter behind the complaint impartially and objectively and reach a decision on it.”(p.2)

Conforms

Process

PEFC Spain stated that no complaints were received. This was confirmed by the responses of the questionnaires.

Not Applicable

Req. 4.5c: Is the standard-setting body required to, upon receipt of the complaint, formally communicate the decision on the complaint and of the complaint handling process to the complainant?

Procedures

Spain_Part I_STC162_CONFLICT RESOLUTION PROCEDURE:

“When a substantiated claim or complaint is received, the CRB shall: [...]

- Notify the complainant formally as to its decision regarding the complaint and the procedure it undergoes” (p.2)

Conforms

Process



PEFC Spain stated that no complaints were received. This was confirmed by the responses of the questionnaires.

Not Applicable

Req. 4.6: Is the standard-setting body required to establish at least one contact point for enquiries and complaints relating to its standard-setting activities. The contact point shall be made easily available?

Procedures

Spain_Part I_STC162_CONFLICT RESOLUTION PROCEDURE:

“Substantiated claims or complaints should be submitted to the Secretariat of the Committee (normalizacion@aenor.es) and should include all informative data regarding the specific case.”

Conforms

Req. 5.1: Is the standard-setting body required to identify stakeholders relevant to the objectives and scope of the standard-setting work?

Note: A stakeholder mapping exercise that includes defining which interest sectors are relevant and why, and for each sector what are likely to be the key issues, who are the key stakeholders, and what means of communication will best reach them, is a recognised means of meeting the requirement.

Procedures

Regulations for Standardisation Technical Committees:

“3.1.1 The composition of an STC shall be such that it ensures fair representation of the agents involved in its relevant field of activity, such as users, consumers, manufacturing and service companies, and shall be open to representatives of Government Agencies, assay laboratories and research centres, among others.

An STC shall comprise: [...]

— Member representatives of manufacturers, consumers or users, government bodies and, when the nature of its business so warrants: Laboratories, Research Institutes, Innovation & Technology Centres, etc.

— A representative member of any other STC with a stake in its business.” (p.9)

Conforms

Process

Standards Revision Work Programme 162:

“All stakeholders with interests in forest management were invited to take part in the forum or STC, which thus maintains a balanced and highly representative structure made up of over fifty-five voting members, representatives, among others, of both public



and private forest owners and managers, trade unions, professional colleges, industrial associations, public and private research institutes, forest-based industries, consulting firms, public entities, universities and end consumers, and an invitation to leading environmental groups from the Spanish forestry sector.” (p.1)

Minutes 1/11, section 6:

“the following stakeholders are deemed essential for the purposes of the STC:

- enterprises and industry / children and youngsters / forest owners
- local authorities / non-government organisations
- science and technology community / women / workers and trade unions.

In this sense, the meeting was informed that acceptance or refusal of applications to join STC 162 must take the requisite of maintaining a balance of interests into account.

Organisations that have applied as candidates are :

- Govt. of Navarra
- Govt. of Castilla y León
- ESCRA
- CREIF
- CECU

Once candidates had been assessed, the following agreement was reached:

AGREEMENT 03/11 APPROVE THE FOLLOWING ENTITIES AS NEW MEMBERS OF STC162: GOVERNMENT OF NAVARRA, GOVERNMENT OF CASTILLA Y LEÓN, ESCRA, CREIF, CECU”

List members STC162&SC2:

For the STC162, the following stakeholder groups were best represented: enterprises and industry (28%), local authorities (25%), science and technology community (19%) and forest owners (14%). The stakeholder groups of women (0%), indigenous peoples (0%) and children & youngsters (1%) were underrepresented.

For the SC2, the exact same percentages apply (not counting 5 members for which the stakeholder category has not been determined).

The stakeholder group of NGOs seems somewhat underrepresented, especially given the fact that PEFC Spain is also allocated to this category. However, many (9-10) NGOs were invited to take part in one or both working groups.

Overall, stakeholders agreed that a balanced representation of stakeholders was achieved, although one stakeholder indicated that research institutes were poorly represented and another stakeholder indicated to miss the active participation environmental NGOs.

Conforms



Req. 5.2: Is the standard-setting body required to identify disadvantaged and key stakeholders, to address the constraints of their participation and proactively seek their participation and contribution in the standard-setting activities?

Procedures

Regulations for Standardisation Technical Committees:

“3.1.1 The composition of an STC shall be such that it ensures fair representation of the agents involved in its relevant field of activity, such as users, consumers, manufacturing and service companies, and shall be open to representatives of Government Agencies, assay laboratories and research centres, among others.

An STC shall comprise: [...]

— Member representatives of manufacturers, consumers or users, government bodies and, when the nature of its business so warrants: Laboratories, Research Institutes, Innovation & Technology Centres, etc.

— A representative member of any other STC with a stake in its business.” (p.9)

Spain_Part I_STC162_OPERATING AGREEMENT:

“The Committee is required to identify key and disadvantaged stakeholders and actively encourage their participation in and contribution to the Sustainable Forest Management standardisation process.”

Conforms

Process

A number of NGOs are not in favour of PEFC schemes in general. That most likely explains the rather limited share of stakeholder participation from NGO groups (3 members ~ 4% and 4 members ~ 6%), especially given the fact that PEFC Spain is also allocated to this category. However, many (9-10) NGOs were invited to take part in one or both working groups and get actively involved in the standard revision activities.

Conforms

Req. 5.3: Is the standard-setting body required to 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?

Procedures

Standards Revision Work Programme 162, Chapter 5, phase 1:

“Phase 1: Preliminary work

Activities

- Public announcement of STC 162 establishment
- Mapping of stakeholders and interest groups. STC reactivated and convened. Invitation sent to STC 162 members and other stakeholders.” (p.4)



Regulations Standardisation Technical Committee:

“STC meetings shall be convened by its President, at his own initiative or at the request of at least 25% of the voting members, by means of written notification sent electronically at least 15 days prior to the planned date of the meeting and enclosing the agenda, which shall include those matters approved at the previous meeting.

However, in cases of justified urgency, the President may call a meeting to be held within a minimum period of 7 days. In any case, the agenda of the meeting must be included.” (p.14-15)

Conforms

Process

In the PEFC newsletter of October 2011, an announcement was included on the revision of the Spanish Forest Certification System. This included an invitation to entities interested in participating to solicit at AENOR.

No announcement was placed on the PEFC Spain website directly, but the newsletter of October 2011 is placed on the website.

STC261 members and newly identified stakeholders were approached by e-mail 18th/20th of October/ 2nd November to participate in the revision of the standard-setting process. The first meeting was held 8th of November, so according to the procedures the invitation was sent in a timely manner.

Conforms

<p><i>Req. 5.3a: Shall the announcement and invitation include information about the objectives, scope and the steps of the standard-setting process and its timetable?</i></p>

Procedures

Spain_Part I_STC162_OPERATING AGREEMENT:

“The announcement and invitations to stakeholders interested in participating in the work of the Committee shall include:

a) information on the objectives, scope and phases of the standardisation process and its work schedule.” (p.1)

Conforms

Process

The invitation included the objectives, the agenda for the first meeting on 8th of November as well as a proposed work plan. PEFC stated that this work plan is the same as the STC work programme, which included the steps of the standard-setting process and a timetable.

Conforms

<p><i>Req. 5.3b: Shall the announcement and invitation include information about opportunities for stakeholders to participate in the process?</i></p>
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Procedures

Spain_Part I_STC162_OPERATING AGREEMENT:

“The announcement and invitations to stakeholders interested in participating in the work of the Committee shall include: [...] b) information about ways of participating.” (p.1)

Conforms

Process

Invitation members STC162:
(Google translation Spanish – English)

“Given the nature of your organization and influence the sustainable management of forests Spanish have on the environment, rural development and the present and future economy, we believe it would be important to have this meeting with the presence of your organization as of guest so that they can be informed of future developments of the normative documents currently in force.

Therefore, if from the topics discussed at the meeting should arise the interest of the organization you represent to be part of CTN 162, we inform you that in point 6 of the agenda of the meeting will be discussed including new members and would proceed to submit your request in that paragraph.

I hope this initiative will be well received by your organization and can count on your participation in the plenary meeting of CTN-162 Sustainable Forest Management.” (p.1)

Conforms

Req. 5.3c: Shall the announcement and invitation include an invitation to stakeholders to nominate their representative(s) to the working group/committee. Shall the invitation to disadvantaged and key stakeholders be made in a manner that ensures that the information reaches intended recipients and in a format that is understandable?

Procedures

Spain_Part I_STC162_OPERATING AGREEMENT:

“The announcement and invitations to stakeholders interested in participating in the work of the Committee shall include: [...] c) invitation to appoint representatives. Invitations to key or disadvantaged stakeholders shall be made in such a way as to ensure they reach the target recipients in an understandable format. d) invitation to comment on the standardisation process and its scope.” (p.1)

Conforms

Process

Invitation members STC162:
(Google translation Spanish – English)



“... if from the topics discussed at the meeting should arise the interest of the organization you represent to be part of CTN 162, we inform you that in point 6 of the agenda of the meeting will be discussed including new members and would proceed to submit your request in that paragraph.

I hope this initiative will be well received by your organization and can count on your participation in the plenary meeting of CTN-162 Sustainable Forest Management.” (p.1)

Conforms

Req. 5.3d: Shall the announcement and invitation include an invitation to comment on the scope and the standard-setting process?

Procedures

Spain_Part I_STC162_OPERATING AGREEMENT:

“The announcement and invitations to stakeholders interested in participating in the work of the Committee shall include: [...]

d) invitation to comment on the standardisation process and its scope.” (p.1)

Conforms

Process

Invitation did not invite stakeholder to comment on scope and standard-setting process.

Does not conform - minor

Req. 5.3e: Shall the announcement and invitation include reference to publicly available standard-setting procedures?

Procedures

Spain_Part I_STC162_OPERATING AGREEMENT:

“The announcement and invitations to stakeholders interested in participating in the work of the Committee shall include: [...]

e) reference to the fact the Standardisation Procedure is available to the public.” (p.1)

Conforms

Process

Invitation did not reference to publicly available standard-setting procedures, although these were publicly available.

Does not conform - minor

Req. 5.4: Is the standard-setting body required to 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?

Procedures

Spain_Part I_STC162_OPERATING AGREEMENT:

“The standardisation process should be reviewed on the basis of the comments received following public announcement of the process, which may result in a modification of this STC 162 Operating Agreement.” (p.1)

Standards Revision Work Programme:

“According to AENOR Standardisation Regulations, membership of an STC shall be such that it ensures fair representation of the agents involved in its relevant field of activity, such as: users and consumers, manufacturing and service enterprises, and it shall be open to representatives of Government Agencies, assay laboratories and research centres, among others. [...]

Acceptance or refusal of applications to join the STC must take the requisite of maintaining a balance of interests into account.[...]

The general assembly shall establish Technical Sub-Committees or Working groups responsible for studying specific parts of the STC's work programme.” (p.3)

Conforms

Process

Minutes 1/11:

“5 COMMITTEE STRUCTURE SUB-COMMITTEES, WORKING GROUPS, ETC

The meeting was informed that the current structure of the STC is as follows:

SC1 – Vocabulary (UNE 162001:2007)

SC2 – Criteria and indicators (UNE 162002:2007 parts 1 & 2)

SC3 – Criteria for qualifying auditors and certifiers (UNE 162003:2001)

SC 4 – Training

This structure provides the necessary framework with which to revise standards UNE 162001 and UNE 162002.

It was decided that revision of UNE 162002 should be undertaken by SC 2.

Once the revision of UNE standard 162002 has been completed, UNE STANDARD 162001 will be updated with the new definitions agreed upon in standard UNE 162002. [...]

“the meeting was informed that acceptance or refusal of applications to join STC 162 must take the requisite of maintaining a balance of interests into account.

Organisations that have applied as candidates are :

- Govt. of Navarra
- Govt. of Castilla y León



- ESCRA
- CREIF
- CECU

Once candidates had been assessed, the following agreement was reached:

AGREEMENT 03/11 APPROVE THE FOLLOWING ENTITIES AS NEW MEMBERS OF STC162: GOVERNMENT OF NAVARRA, GOVERNMENT OF CASTILLA Y LEÓN, ESCRA, CREIF, CECU” (p.4-5)

No reference was found to support that the standard-setting process has been reviewed based on comments received from public announcement.

Does not conform - minor

*Req. 5.5: Shall the work of the working group/committee be organised in an open and transparent manner where:
a) working drafts shall be available to all members of the working group/committee?*

Procedures

Spain_Part I_STC162_OPERATING AGREEMENT:

“ Working drafts of the Standard will be available to all members of the Committee or subcommittee.” (p.1)

Conforms

Process

Minutes 1/11:

“The Secretary presented the proposed STC 162 work schedule for the remainder of 2011 and the year 2012. The house was informed that the proposed schedule is available to all members on the e-comite web.”

PEFC Spain indicated that working drafts were also listed at the e-comité and members of the committees received an e-mail as soon as a new document was uploaded on the e-comité. The answers from the questionnaires confirmed this.

Conforms

Req. 5.5b: Shall the work of the working group/committee be organised in an open and transparent manner where 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?

Procedures

Regulations Standardisation Technical Committee;

3 Organisation of an STC



3.2.2 It is the President's role to call and preside over meetings of the STC, as well as to direct debates and ensure fulfilment of all agreements. The President shall demonstrate strict neutrality in the exercise of his/her functions.

"3.4.1 It is the voting members' responsibility to participate actively in all programmed work.
[...]

STCs shall implement the following functions in the field of activity assigned to them, upholding the principles of independence, objectivity, proportionality and transparency:"
(p.12)

4 STC operations; 4.1 Functions of the STC:

STCs shall implement the following functions in the field of activity assigned to them, upholding the principles of independence, objectivity, proportionality and transparency:

- a) Propose an annual schedule of work.
- b) Propose the wording of new regulatory documents as well as the confirmation, review and cancellation of existing regulations.
- c) Draw up and propose, where applicable, future UNE standards to be presented for public information.
- d) Draw up proposals for UNE standards to be adopted as national standards.

[...]

Conforms

Process

E-mail 10th of May 2012:

(Google Translate Spanish → English)

"Dear members:

Attached you can find the text of the PNE 162002 AEN / CTN 162/SC 2 proposes to the plenary for approval sent to Public Information.

As known in the plenary meeting of CTN 162 in November 2011, it was decided that the SC 2 began the work of revising the 162002-1:2007 and 162002-2:2007 UNE since the mandatory review period the UNE (five-year) was very next.

In this sense, I do beg to get their vote and comments, if any, in the format of a file before the next 2012-05-24.

Thanking you in advance for your support, I look forward to hearing from you."

All stakeholders that filled in the questionnaire responded positively to the question if they have been provided with meaningful opportunities to contribute to the development or revision of the standard and submit comments to the working drafts.

Conforms

Req. 5.5c: Shall the work of the working group/committee be organised in an open and transparent manner where comments and views submitted by any member of the working group/committee shall be considered in an open and transparent way and their resolution and proposed changes shall be recorded?

Procedures



Regulations Standardisation Technical Committee:

“3.4.1 It is the voting members' responsibility to participate actively in all programmed work.(p.12) [...]

STCs shall implement the following functions in the field of activity assigned to them, upholding the principles of independence, objectivity, proportionality and transparency: [...]

l) Respond to consultations that may be laid before it about technical matters regarding standardisation in its sector. (p.13-14)

4.4.6 All agreements taken during meetings that are directly related to work in progress or the approval of documents must be recorded in the minutes that the Secretary is required to write up for each meeting held. [...]

4.4.7 The minutes may be approved in any of the following three ways:

- At the end of the meeting in question.
- At the beginning of the next meeting convened.
- By postal vote, which includes the use of electronic means.” (p.17)

Standards Revision Work Programme:

Aim	Activities
To open draft standards to consultation by a broad spectrum of stakeholders	<ul style="list-style-type: none"> • [...] • Comments received recorded by the STC 162 Secretary and proposed actions in view of those comments

Conforms

Process

E-mail 10th of May 2012:
(Google Translate Spanish → English)
“Dear members:

Attached you can find the text of the PNE 162002 AEN / CTN 162/SC 2 proposes to the plenary for approval sent to Public Information.

As known in the plenary meeting of CTN 162 in November 2011, it was decided that the SC 2 began the work of revising the 162002-1:2007 and 162002-2:2007 UNE since the mandatory review period the UNE (five-year) was very next.

In this sense, I do beg to get their vote and comments, if any, in the format of a file before the next 2012-05-24.

Thanking you in advance for your support, I look forward to hearing from you.”

All stakeholders that filled in the questionnaire responded positively to the question if comments and views submitted by any member of the working group/committee have been considered in an open and transparent way.

Conforms

Req. 5.6a: Is the standard-setting body required to organise a public consultation on the enquiry draft and ensure that the start and the end of the public consultation is announced in a timely manner in suitable media?

Procedures

Spain_Part I_STC162_OPERATING AGREEMENT:

3. Period of Public Consultation

The STC 162's draft standards, unless otherwise indicated, shall be subjected to a period of public consultation lasting 60 days, counting from the day they are approved by the STC for transfer to the public information stage. The draft standards shall be accessible to the public either by publication in the Official Gazette, or through suitable websites, publications, press releases, etc. Announcement of the start and end dates of the period of public consultation of the Draft Standards shall be made in due time and manner.”(p.3)

Conforms

Process

In April 2012, an announcement was made on the start of the public consultation in the PEFC newsletter. No end date was mentioned though. In the newsletter of August 2012, the end date of 16 August was mentioned.

7th of June, an announcement was made on the website www.pefc.es stating that the public consultation period would last at least 60 days. However no specific start and end date was mentioned.

11th of June, an announcement was made on Facebook that the public consultation period has commenced and that interested stakeholders were invited to comment on it.

On 20 July 2012, an announcement was made on Twitter that the public consultation period would end on 16 August 2012.

Room for improvement: it would be preferable to mention the start and end date in every announcement on the public consultation period to provide more clarity.

Conforms

Req. 5.6b: Is the standard-setting body required to organise a public consultation on the enquiry draft and ensure that the invitation of disadvantaged and key stakeholders be made by means that ensure that the information reaches its recipient and is understandable?

Procedures

Standards Revision Work Programme:

Aim	Activities
-----	------------



<p>To open draft standards to consultation by a broad spectrum of stakeholders</p>	<ul style="list-style-type: none"> • [...] • Publication of the commencement of the public consultation period through Press Releases, PEFC Newsletters, UNE Informa or PEFC España website. • Official announcement of public consultation in State Gazette • [...]
--	--

Regulations for Standardisation Technical Committee:

“4.8.4 When the observations made about a draft during the public consultation stage come from an entity that does not form part of the STC, the President, by means of the Secretary, shall invite that entity to participate as an observer at the next meeting of the STC when those remarks are due to be studied, or alternatively shall advise it reasonably of the decision taken with regard to such comments.” (p.21)

Conforms

Process

The announcement of the public consultation period was made via various media: newsletter, website (www.pefc.es), Twitter, Facebook. In this way, efforts are made that the information reaches its recipient. Although the exact opening and closing date of the public consultation period was not clear, stakeholders were invited to submit their comments on the draft standards.

Conforms

Req. 5.6c: Is the standard-setting body required to organise a public consultation on the enquiry draft and ensure that the enquiry draft is publicly available and accessible?

Procedures

3.5.5 Spanish STC162 01/09:

“Period of Public Consultation

All projected standards proposed by the STC 162, unless otherwise indicated, shall be subject to a period of at least 60 days’ public consultation counting from the day the STC approves them for public presentation. Said projected standards shall be made available to the public through publication in the State Gazette or on websites, in printed media, press releases, etc.” (p.2)

Conforms

Process

The draft standards could be downloaded from the website www.pefc.es.

Conforms



Req. 5.6d: Is the standard-setting body required to organise a public consultation on the enquiry draft and ensure that the public consultation is for at least 60 days?

Procedures

Spanish STC162 – 01/09:

“All projected standards proposed by the STC 162, unless otherwise indicated, shall be subject to a period of at least 60 days’ public consultation counting from the day the STC approves them for public presentation.” (p.2)

Conforms

Process

To the question if the public consultation period lasted 60 days, most stakeholders answered ‘yes’ in the questionnaire. One stakeholder indicated “I think so, but I have not been aware of the formal aspects of the processing”, another stakeholder indicated 30 days. This indicates that it was not 100% clear to everyone.

16 August was the end date of the public consultation period. Various announcements were made stating that the public consultation period has commenced: in April 2012, 7th June 2012, 11th June 2012. For each of these dates applies that the public consultation period has lasted for at least 60 days.

Room for improvement: it would be preferable to mention the start and end date in every announcement on the public consultation period to provide more clarity.

Conforms

Req. 5.6e: Is the standard-setting body required to organise a public consultation on the enquiry draft and ensure that all comments received are considered by the working group/committee in an objective manner?

Procedures

Regulations Standardisation Technical Committee:

“STCs shall implement the following functions in the field of activity assigned to them, upholding the principles of independence, objectivity, proportionality and transparency: [...]

l) Respond to consultations that may be laid before it about technical matters regarding standardisation in its sector.” (p.13-14)

Work Procedure Manual STC:

“During the period of public information, any individual person or legal entity may send AENOR or the secretary of the committee whatever remarks or observations he/she considers appropriate about the text of the project, for further consideration by the Committee.



The technical services of AENOR must be informed of all remarks thus received by the Secretary of the Committee so as to include them in the Standard archives. The Committee should also consider and analyse any remarks or observations from representatives of other standardisation boards, members of CEN/CENELEC or ETSI, as well as allow them to participate in meetings if they ask to do so .

The secretary should collect all comments and remarks received during the public information stage and send them to all the members of the committee together with proposed actions (to be discussed in a meeting, accept observation, etc.) depending on the nature of each remark. If it is a matter to be discussed in a meeting, the secretary, with the President's authority, may invite the persons making the proposal, who nevertheless must be informed of the decision taken so that they can make their counter-allegations within two months of the remark or observation being received.”(p.8)

Conforms

Process

All stakeholders that filled in the questionnaire responded positively to the question if all comments received during the public consultation have been considered in an objective manner by the working group/committee.

Conforms

Req. 5.6f: Is the standard-setting body required to organise a public consultation on the enquiry draft and ensure that a synopsis of received comments compiled from material issues, including the results of their consideration, is publicly available, for example on a website?

Procedures

Work Procedure Manual STC:

“The secretary should collect all comments and remarks received during the public information stage and send them to all the members of the committee together with proposed actions (to be discussed in a meeting, accept observation, etc.) depending on the nature of each remark.” (p.8)

Spain_Part I_STC162_OPERATING AGREEMENT:

“ Public access, (e.g. via the www), shall be arranged to documentation regarding the development and progress of the standardisation process, as well as development reports, minutes of meetings and a synopsis of the comments received, sorted by topic, including the outcome of their assessment.” (p.2)

Conforms

Process

A synopsis was made of all received comments and the results of their consideration. PEFC Spain stated that this resume was shared on the e-comité and at the time also on the website. For the latter, no specific proof was presented to confirm this.



Does not conform - minor

Req. 5.7: Is the standard-setting body required to organise pilot testing of the new standards and the results of the pilot testing shall be considered by the working group/committee?

Procedures

Not applicable as it does not concern a new standard.

N/A

Process

Not applicable as it does not concern a new standard.

N/A

Req. 5.8: Shall the decision of the working group to recommend the final draft for formal approval be taken on the basis of a consensus?

Procedures

Spain_Part I_STC162_OPERATING AGREEMENT:

“2. Standardisation through Consensus between stakeholders
The Committee will work through consensus.”(p.2)

Regulations for Standardisation Technical Committee:

“4.4.5.a) When approving standards and confirming or cancelling current standards, as well as for formal votes on European standards, consensus is to be sought and under no circumstances may the number of votes against the motion be equal or greater than one third of the total number of votes cast, not counting abstentions.”(p.16)

Standards Revision Work Programme:

“• Achieve consensus among members of STC 162 for the Proposed UNE Standards to be approved” (p.5)

Conforms

Process

Minutes STC162 SC2 2/10/2012:

“On 24/5/2012, the STC 162 General Assembly gave its unanimous approval (postal vote) for PNE 162.001 on Terminology and Vocabulary and PNE 162.002 of Criteria and Indicators to be presented for public consultation.” (p.2)”

Responses from the questionnaires confirmed that the decision was taken on the basis of consensus which was finally reached.

Conforms



*Req. 5.8: Were the following alternative processes utilized In order to reach a consensus the working group/committee to establish whether there is opposition?
a: a face-to face meeting where there is a verbal yes/no vote, show of hands for a yes/no vote; a statement on consensus from the Chair where there are no dissenting voices or hands (votes); a formal balloting process, etc.?
b: a telephone conference meeting where there is a verbal yes/no vote?
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)?
d: combinations thereof?*

Procedures

Regulations for Standardisation Technical Committee:

“4.4.3 STC agreements shall preferably be adopted by consensus. However, should a vote be necessary, agreement shall be carried by simple majority of the votes cast both in person and by proxy, without taking abstentions into account. Should any entity have several representatives at the meeting, that entity shall only have one effective vote The minutes shall duly record the names of those members that abstain or votes against the motion. In the event of a tie, the President, or whoever is performing such a function at the time, shall have the casting vote.” (p.16)

Regulations for Standardisation Technical Committee:

“4.5.6 Agreements by postal vote shall be adopted by simple majority of the number of votes received, provided that no more than a third of votes cast, not counting abstentions, stand against the motion. Proxy voting is not permitted for postal votes.” (p.18)

Spanish STC 01/09:

“In order to ensure consensus between the parties involved in setting standards, agreement of essential matters shall be by vote, thus enabling any opposition to be recognised.

All votes shall be registered in the relevant minutes and may be performed verbally, by raising of hands, secret ballot, proxy (e-mail/FAX/etc) or by any other means agreed by the Committee.” (p.1)

Conforms

Process

E-mail 10th of May 2012:
(Google Translate Spanish → English)

“Dear members:

Attached you can find the text of the PNE 162002 AEN / CTN 162/SC 2 proposes to the plenary for approval sent to Public Information.



As known in the plenary meeting of CTN 162 in November 2011, it was decided that the SC 2 began the work of revising the 162002-1:2007 and 162002-2:2007 UNE since the mandatory review period the UNE (five-year) was very next.

In this sense, I do beg to get their vote and comments, if any, in the format of a file before the next 2012-05-24.

Thanking you in advance for your support, I look forward to hearing from you.

Regards,

Minutes STC162 SC2 2/10/2012:

“On 24/5/2012, the STC 162 General Assembly gave its unanimous approval (postal vote) for PNE 162.001 on Terminology and Vocabulary and PNE 162.002 of Criteria and Indicators to be presented for public consultation.” (p.2)

Conforms

Req. 5.9a: In the case of a negative vote which represents sustained opposition to any important part of the concerned interests surrounding a substantive issue, shall the issue 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

Spanish STC 01/09:

“In the event that sustained opposition is expressed by any stakeholder with regard to an essential matter, said matter shall be settled by way of the following mechanism:

- Debate and negotiation of the matter within the STC or sub-committee in question,”
(p.1)

Conforms

Process

No reference was found in the process. It is possible that there was no sustained opposition.

N/A

Req. 5.9b: In the case of a negative vote which represents sustained opposition to any important part of the concerned interests surrounding a substantive issue, shall the issue be resolved using the following mechanism(s)?

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



Spanish STC 01/09:

“In the event that sustained opposition is expressed by any stakeholder with regard to an essential matter, said matter shall be settled by way of the following mechanism: [...]

- Direct negotiation between the stakeholders with differing positions,” (p.1)

Conforms

Process

No reference was found in the process. It is possible that there was no sustained opposition.

N/A

Req. 5.9c: In the case of a negative vote which represents sustained opposition to any important part of the concerned interests surrounding a substantive issue, shall the issue be resolved using the following mechanism(s)?

c) dispute resolution process

Procedures

Spanish STC 01/09:

“In the event that sustained opposition is expressed by any stakeholder with regard to an essential matter, said matter shall be settled by way of the following mechanism: [...]

- Submission of the matter to the STC 162 Board of Conflict Settlement” (p.1)

Conforms

Process

No reference was found in the process. It is possible that there was no sustained opposition.

N/A

Req. 5.10: Shall documentation on the implementation of the standard-setting process be made publicly available?

Procedures

Spain Part I STC162 OPERATING AGREEMENT:

1. Public participation (paragraph 7) .

“Public access, (e.g. via the www), shall be arranged to documentation regarding the development and progress of the standardization process, as well as development reports, minutes of meetings and a synopsis of the comments received, sorted by topic, including the outcome of their assessment. “

Conforms



Process

Development report, minutes etc. could not be found on the website (www.pefc.es).

Does not conform - minor

Req. 5.11: Shall the standardising body formally approve the standards/normative documents based on evidence of consensus reached by the working group/committee?

Procedures

Spain_Part I_STC162_OPERATING AGREEMENT:

“2. Standardisation through Consensus between stakeholders
The Committee will work through consensus.”(p.2)

Work Procedure Manual STC:

“Once the proposal has been approved by the Committee, the secretary checks that the final text includes such agreements and meets the indications given in the *Guide to Drafting UNE Normative Documents*, for the proposal to be sent thereafter to the technical services of AENOR in the prescribed format and with the corresponding notification as attachment, for it to be submitted for final approval from the managing bodies of AENOR.” (p.9)

No reference could be found that standards/normative documents shall be approved based on evidence of consensus reached by working group/committee.

Does not conform – minor

Process

E-mail 25th February 2013:
(Google Translate Spanish → English)

“Dear members:

We inform you that the vote for the final edition of the UNE 162001 and UNE 162002 was approved by unanimous vote cast.

In this respect I inform you that we have proceeded to edit them.

Accept, accept my best regards.”

Conforms

Req. 5.12: Shall the formally approved standards/normative documents be published in a timely manner and made publicly available?

Procedures

Spain_PartI_STC162_OPERATING AGREEMENT:

“The approved Standards shall be published within six months after their approval.”

Conforms



Process

In March 2013, an announcement was made on the revised standards for forest management in AENOR's magazine NORMAS AL DIA No 280. 25 March, the revised standards were published in the BOLETÍN OFICIAL DEL ESTADO. 15 April 2013, the revised UNE 16001 and UNE 16002 standards were published in ASPAPEL newsletter.

It is unclear what 'a timely manner' means exactly. Knowing that the final standard was approved end of February 2013, publication in March/April seems timely.

Conforms

Req. 6.1: Shall the standards/normative documents be reviewed and revised at intervals that do not exceed a five-year period? Shall the procedures for the revision of the standards/normative documents follow those set out in chapter 5?

Process

The revised Spanish Forest Management Standards were approved at General Assembly meeting held in June 2008. In February 2013, the revised standard was approved after the second revision has taken place. The period between the first revision and the second revision was 4 years and 8 months.

Conforms

Req. 6.2: Shall the revision define the application date and transition date of the revised standards/normative documents?

Process

Spanish scheme DT 2013/02/20:

"For the full application of this version of the Spanish Forest Certification Scheme, a transitory period of 12 months is established, during which time both schemes shall be valid. Once the transition period has concluded, all programmed audits must be based on the new Spanish Scheme." (p.30).

The Scheme was approved by the General assembly of PEFC Spain on 20 February 2013.

Conforms

Req. 6.3: Shall the application date not exceed a period of one year from the publication of the standard? This is needed for the endorsement of the revised standards/normative documents, introducing the changes, information dissemination and training.

Process

Spanish scheme DT 2013/02/20:



“For the full application of this version of the Spanish Forest Certification Scheme, a transitory period of 12 months is established, during which time both schemes shall be valid. Once the transition period has concluded, all programmed audits must be based on the new Spanish Scheme.” (p.30)

Conforms

Req. 6.4: Shall the transition date 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

Spanish scheme DT 2013/02/20:

“For the full application of this version of the Spanish Forest Certification Scheme, a transitory period of 12 months is established, during which time both schemes shall be valid. Once the transition period has concluded, all programmed audits must be based on the new Spanish Scheme.” (p.30)

Conforms



6. Forest Management Standard

6.1. Analysis

The Spanish Forest Certification Scheme is in general quite complete and comprehensive. The requirements are set out in 'Justification', 'Aim/Target', 'Parameter' and 'Sources of information'. Justification, aim-target and parameters are normative, while sources of information are not normative, but serve as examples of evidence.

Some of the indicators are of a general nature but are used as a reference for conformity of specific requirements (in combination with other indicators). An example is indicator 2.4 which is considered as a key indicator for the Spanish forest management scheme. This indicator refers to 'the application of suitable stewardship practices, generally, of all actions carried out in the forest'. In sources of information there is a reference to 'good forestry practices'. It is however not specified which 'good forestry practices' shall be followed. Rather, this is to be determined by the forest manager (group or individual), for example make use of regional guidance document of Bizkaia.

One single non-conformity has been found. The standard will have to be revised and be made more specific to meet the requirement.

6.2. Results

General requirements for SFM standards

Req. 4.1a: Shall the requirements for sustainable forest management defined by regional, national or sub-national forest management standards:
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?

UNE 162002_2013

EN3.28management unit:

A forest area which is the object of sustainable forest management and which must fulfil the indicators set forth in UNE standard 162002, whether at the level of the management unit itself or at a higher level in which the management unit is included.

Spanish SCHEME - DT_2013_02_20 page 6:

"Forest management certification: is that in which the forest stewardship implemented in the forests of the applicant entity is the object of an audit by an independent third party to certify that such stewardship is performed in accordance with UNE standards 162.002 on Sustainable Forest Management and all relevant legislation.

Conforms

Req. 4.1b: Shall the requirements for sustainable forest management defined by regional, national or sub-national forest management standards:



b) be clear, objective-based and auditable?

Overall, the requirements stated in UNE 162002_2013 EN are clear and auditable. The requirements are set out in 'Justification', 'Aim/Target', 'Parameter' and 'Sources of information'. Justification, aim-target and parameters are normative and often clearly auditable. Sources of information are not normative, but serve as examples for evidence.

Req. 4.1c: Shall the requirements for sustainable forest management defined by regional, national or sub-national forest management standards:
c) apply to activities of all operators in the defined forest area who have a measurable impact on achieving compliance with the requirements ?

Spanish SCHEME - DT_2013_02_20 page 6:

“The Management Plan must include at least a description of the current status of the management unit, the long-term objectives, and the average annual permitted logging rate, with due justification thereof, as well as, where applicable, the annual permitted production rate of non-wood products under the control of the manager.”

“**Forest Manager:** An individual person or legal entity who, individually or through shared or coordinated management, is responsible for the management operations of the forest resources.”

Conforms

Req. 4.1d: Shall the requirements for sustainable forest management defined by regional, national or sub-national forest management standards:
d) require record-keeping that provides evidence of compliance with the requirements of the forest management standards?

Spanish SCHEME - DT_2013_02_20 7.3:

“2. Set up a Control Procedure to monitor members with regard to fulfilment of all their obligations, including preventive and corrective actions. As part of said Control Procedure, an internal audit shall be carried out each year of a representative sample of the forestland covered by the certificate that enables compliance with applicable Spanish Scheme requisites to be confirmed.”

7. Establish a procedure for inclusion and exclusion of members and/or forestlands in the Regional/Group Certificate that guarantees compliance with certification requisites and inform the certification body punctually of all new or excluded members.”

Conforms

Specific requirements for SFM standards

Detailed information regarding the PEFC Spain assessment against the SFM criteria and indicators of PEFC ST 1003:2010 can be found in Annex 1 of this document.



Specific requirements for SFM standards		
Criteria	Indicators	Compliance
Criterion 1: Maintenance and appropriate enhancement of forest resources and their contribution to global carbon cycle	1.1	Yes
	1.2	Yes
	1.3	Yes
	1.4	Yes
	1.5	Yes
	1.6	Yes
	1.7	No
	1.8	Yes
	1.9	Yes
	1.10	Yes
	1.11.a	Yes
	1.11.b	Yes
	1.11.c	Yes
	1.11.d	Yes
1.12	Yes	
Criterion 2: Maintenance of forest ecosystem health and vitality	2.1	Yes
	2.2	Yes
	2.3	Yes
	2.4	Yes
	2.5	Yes
	2.6	Yes
	2.7	Yes
	2.8	Yes
	2.9	Yes
	2.10	Yes
	2.11	Yes
	2.12	Yes
Criterion 3: Maintenance and encouragement of productive functions of forests (wood and non-wood)	3.1	Yes
	3.2	Yes
	3.3	Yes
	3.4	Yes
	3.5	Yes
	3.6	Yes
	3.7	Yes
	3.8	Yes
Criterion 4: Maintenance, conservation and appropriate enhancement of biological diversity in forest ecosystems	4.1	Yes
	4.2.a	Yes
	4.2.b	Yes
	4.2.c	Yes
	4.2.d	Yes
	4.3	Yes
	4.4	Yes
4.5	Yes	



	4.6	Yes
	4.7	Yes
	4.8	Yes
	4.9	Yes
	4.10	Yes
	4.11	Yes
	4.12	Yes
	4.13	Yes
Criterion 5: Maintenance and appropriate enhancement of protective functions in forest management (notably soil and water)	5.1	Yes
	5.2	Yes
	5.3	Yes
	5.4	Yes
	5.5	Yes
Criterion 6: Maintenance of other socio-economic functions and conditions	6.1	Yes
	6.2	Yes
	6.3	Yes
	6.4	Yes
	6.5	Yes
	6.6	Yes
	6.7	Yes
	6.8	Yes
	6.9	Yes
	6.10	Yes
	6.11	Yes
	6.12	Yes
	6.13	Yes
	6.14	Yes
Criterion 7: Compliance with legal requirements	7.1	Yes
	7.2	Yes



7. Group Certification procedures

7.1. Analysis

Smallholders grouped through regional certification are important for the Spanish system. The scheme documentation is complete, no non-conformities were found.

7.2. Results

Req. 4.1a: 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

Spanish SCHEME - DT_2013_02_20, 7.1:

“The regional applicant entity must proffer access to forest certification for all forestlands in the region belonging to owners or managers interested in the certification process, provided that said forestlands comply with the requisites laid down by the Spanish Scheme.”

Conforms

Req. 4.1b: 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?

b) the group entity

Spanish SCHEME - DT_2013_02_20, 7.1:

“Group Applicant Entity:

Group Forest Certification requires owners/managers interested group and a legally constituted Association, which will then be Entity or enter into a legally documented agreement to determine Group’s Applicant Entity. That Group Applicant Entity shall represent the members of the of applying for and safekeeping the Group Forest Certificate.”

Conforms

Req. 4.1c: 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?

c) the participant

Spanish SCHEME - DT_2013_02_20, 7.4:

“7.4 Regional/Group Forest Certification member duties

Members may include persons or legal entities, both public or private, voluntarily interested in having forestlands managed in a sustainable fashion certified.”

Spanish SCHEME - DT_2013_02_20, 7.1:



Conforms

Req. 4.1d: 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?

d) the certified area

Spanish SCHEME - DT_2013_02_20, 7.1:

“The Group’s certified forestland area is the sum total of all the forestlands covered by the certificate.”

Conforms

Req. 4.1e: 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?

e) the group forest certificate

Spanish SCHEME - DT_2013_02_20, 7.3:

“6. Guard and enforce the maintenance of the Regional/Group Forest Certificate issued by the Certifying Entity once the certification process has been successfully completed. Maintain a register of forestlands and members included in the regional/group forest certificate that clearly identifies the owner/manager, forestland and its location. “

Conforms

Req. 4.1f: 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?

f) the document confirming participation in group forest certification

Spanish SCHEME - DT_2013_02_20, 7.3:

“9. Provide each member with a copy of the Regional/Group Forest Certificate, including the annex that lists member forestlands, or a document of individual attestation, for forestlands included in the certification process. This document shall indicate the certificate number and its validity period, together with information about the Regional/Group Applicant Entity and the Certification Body that issued the certificate, but it shall not grant the holder the right to use the PEFC logo - such entitlement can only be granted by PEFC-España through a licence to use the PEFC logo and trademark”

Conforms

Req. 4.1.4: Shall the forest certification scheme define requirements for an annual internal monitoring programme that provides sufficient confidence in the conformity of the whole group organisation with the sustainable forest management standard?



Spanish SCHEME - DT_2013_02_20, 7.3:

“2. Set up a Control Procedure to monitor members with regard to fulfilment of all their obligations, including preventive and corrective actions. As part of said Control Procedure, an internal audit shall be carried out each year of a representative sample of the forestland covered by the certificate that enables compliance with applicable Spanish Scheme requisites to be confirmed.”

Spanish SCHEME - DT_2013_02_20, p25:

“For forest management certification audits, management units will be selected by sampling. The forestlands chosen in the sampling must be representative of all the forests opting for certification in terms of criteria for land usage, season quality, vegetation species, type of forest stand, forest activities or husbandry being performed, etc. In order to make the certification process more efficient, in the event that a large number of management plans need to be audited, the auditing team will concentrate its inspections by areas, districts or provinces.

Sampling for the various audits is defined by parameters relating to ‘n’, where ‘n’ is the number of management plans opting for certification.”

Spain_Part II_PG 6 2014 EN Sampling SFM:

“As a general rule, the sampling ratios applicable to the 2013 Scheme are:

	Initial	Follow-up	Renewal
Individual	\sqrt{n}	$0.5 * \sqrt{(n/4)}$	$[0.5 * \sqrt{(n/4)}] + 1$
Group or Regional	$0.6 * \sqrt{n}$	$0.3 * \sqrt{(n/4)}$	$[0.3 * \sqrt{(n/4)}] + 1$

[...]

In the event that a Management Plan comprising a series of independent member forestlands is selected for sampling, the previous method is to be applied again, in which case “n” is taken to be the number of “member plots”. (p.1)

Conforms

Req. 4.2.1a: Shall the forest certification scheme 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

Spanish SCHEME - DT_2013_02_20, 7.3:

“That Group Applicant Entity shall represent the members of the Group and shall be in charge of applying for and safekeeping the Group Forest Certificate.”

“5. Provide technical assistance to the Certification body during the auditing process.”

Conforms

Req. 4.2.1b: Shall the forest certification scheme 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

Spanish SCHEME - DT_2013_02_20, 7.3:

“The Regional/Group Applicant Entity shall:

1. Assume and enforce UNE standards 162.002 and the Regional Guidelines, where applicable, for Sustainable Forest Management in force to guarantee fulfilment by the forest management of the PEFC Spanish Certification Scheme.”

Conforms

Req. 4.2.1c: Shall the forest certification scheme define the following requirements for the function and responsibility of the group entity?

c) To establish written procedures for the management of the group organisation

Spanish SCHEME - DT_2013_02_20, 7.3:

”2. Set up a Control Procedure to monitor members with regard to fulfilment of all their obligations, including preventive and corrective actions. As part of said Control Procedure, an internal audit shall be carried out each year of a representative sample of the forest land covered by the certificate that enables compliance with applicable Spanish Scheme requisites to be confirmed.

7. Establish a procedure for inclusion and exclusion of members and/or forestlands in the Regional/Group Certificate that guarantees compliance with certification requisites and inform the certification body punctually of all new or excluded members.”

Conforms

Req. 4.2.1d: Shall the forest certification scheme define the following requirements for the function and responsibility of the group entity?

d) To keep records of:

- *the group entity and participants' conformity with the requirements of the sustainable forest management standard, and other applicable requirements of the forest certification scheme,*
- *all participants, including their contact details, identification of their forest property and its/their size(s),*
- *the certified area,*
- *the implementation of an internal monitoring programme, its review and any preventive and/or corrective actions taken*

Spanish SCHEME - DT_2013_02_20, 7.3:

“The Regional/Group Applicant Entity shall:

1. Assume and enforce UNE standards 162.002 and the Regional Guidelines, where applicable, for Sustainable Forest Management in force to guarantee fulfilment by the forest management of the PEFC Spanish Certification Scheme.

2. Set up a Control Procedure to monitor members with regard to fulfilment of all their obligations, including preventive and corrective actions. As part of said Control



Procedure, an internal audit shall be carried out each year of a representative sample of the forest land covered by the certificate that enables compliance with applicable Spanish Scheme requisites to be confirmed.

6. Guard and enforce the maintenance of the Regional/Group Forest Certificate issued by the Certifying Entity once the certification process has been successfully completed. Maintain a register of forestlands and members included in the regional/group forest certificate that clearly identifies the owner/manager, forestland and its location.”

*No reference found that the cited paragraphs above includes that **records** shall be kept of conformity with SFM standard by participants and that **records** shall be kept of the review of the monitoring programme and any preventive or corrective actions are taken.*

No reference found that cited paragraphs above includes contact details of the forest owner

In response to the non-conformity raised, PEFC Spain proposed to update the Scheme: Add at 2: “Records shall be kept of conformity with SFM standard by p[articipants and that records shall be kept of the review of the monitoring programme and any preventive or corrective actions are taken”

Add at 6: [Maintain a register of forestlands and members included in the regional/group forest certificate that clearly defines the owner/manager] “including their contacts details” [forestland and its location.].

With these proposed revisions, the non-conformity is closed.

Conforms

Req. 4.2.1e: Shall the forest certification scheme 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 certification in the event of non-conformity with the sustainable forest management standard

Spanish SCHEME - DT_2013_02_20, 7.3:

“2. Set up a Control Procedure to monitor members with regard to fulfilment of all their obligations, including preventive and corrective actions. As part of said Control Procedure, an internal audit shall be carried out each year of a representative sample of the forest land covered by the certificate that enables compliance with applicable Spanish Scheme requisites to be confirmed.

Spanish SCHEME - DT_2013_02_20, 7.4.2:

“Regional/Group Forest Certification member duties:

1. Declare in writing to the Regional/Group Applicant Entity the forestlands they manage and wish to include in the forest certificate.



2. Commit expressly to complying with the obligations imposed by the Spanish Forest Certification Scheme.”

Conforms

Req. 4.2.1f: Shall the forest certification scheme define the following requirements for the function and responsibility of the group entity?

f) To provide participants with a document confirming participation in the group forest certification

Spanish SCHEME - DT_2013_02_20, 7.3:

“9. Provide each member with a copy of the Regional/Group Forest Certificate, including the annex that lists member forestlands, or a document of individual attestation, for forestlands included in the certification process. This document shall indicate the certificate number and its validity period, together with information about the Regional/Group Applicant Entity and the Certification Body that issued the certificate, but it shall not grant the holder the right to use the PEFC logo - such entitlement can only be granted by PEFC-España through a licence to use the PEFC logo and trademark”

Conforms

Req. 4.2.1g: Shall the forest certification scheme define the following requirements for the function and responsibility of the group entity?

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

Spanish SCHEME - DT_2013_02_20, 7.3:

“3. Inform members and stakeholders regarding forest certification and of their entitlements and duties. “

“7.4.1 Regional/Group Forest Certification member entitlements

Members shall be entitled to:

1. Receive information from the Regional/Group Applicant Entity about the certification process.
2. Obtain a copy of the Regional/Group Forest Certificate, including the annex that lists member forestlands or an equivalent certificate for their individual lands from the Certification body stating that their forests are included in the certification process.”
(p.18)”

No reference is found that guidance is provided that is required for effective implementation of the sustainable forest management standard.

In response to the non-conformity raised, PEFC Spain proposed the following rewording of the scheme:



Add at ch7.3, point 3: [Inform] “and guide” [members and stakeholders regarding forest certification and of their entitlements and duties.]

Add at ch 7.4, point 1: [Receive information] “and guidance” [from the Regional/Group Applicant Entity about the certification process.]

With these proposed revisions, the non-conformity is closed.

Conforms

Req. 4.2.1h: Shall the forest certification scheme define the following requirements for the function and responsibility of the group entity?

h) To operate an annual internal monitoring programme that provides for the evaluation of the participants' conformity with the certification requirements

Spanish SCHEME - DT_2013_02_20, 7.3:

“2. Set up a Control Procedure to monitor members with regard to fulfilment of all their obligations, including preventive and corrective actions. As part of said Control Procedure, an internal audit shall be carried out each year of a representative sample of the forest land covered by the certificate that enables compliance with applicable Spanish Scheme requisites to be confirmed.

Conforms

Req. 4.2.1i: Shall the forest certification scheme define the following requirements for the function and responsibility of the group entity?

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

Spanish SCHEME - DT_2013_02_20, 7.3:

“2. Set up a Control Procedure to monitor members with regard to fulfilment of all their obligations, including preventive and corrective actions. As part of said Control Procedure, an internal audit shall be carried out each year of a representative sample of the forest land covered by the certificate that enables compliance with applicable Spanish Scheme requisites to be confirmed.

Conforms

Req. 4.3.1a: Shall The forest certification scheme define the following requirements for the participants?

a) To provide the group entity with a written agreement, including a commitment on conformity with the sustainable forest management standard and other applicable requirements of the forest certification scheme

Spanish SCHEME - DT_2013_02_20, 7.4.2:

“7.4.2 Regional/Group Forest Certification member duties



Regional/Group Forest Certification member duties:

1. Declare in writing to the Regional/Group Applicant Entity the forestlands they manage and wish to include in the forest certificate.
2. Commit expressly to complying with the obligations imposed by the Spanish Forest Certification Scheme.”

Conforms

Req. 4.3.1b: Shall The forest certification scheme define the following requirements for the participants?

b) To comply with the sustainable forest management standard and other applicable requirements of the forest certification scheme

Spanish SCHEME - DT_2013_02_20, 7.4.2:

“7.4.2 Regional/Group Forest Certification member duties

Regional/Group Forest Certification member duties:

1. Declare in writing to the Regional/Group Applicant Entity the forestlands they manage and wish to include in the forest certificate.
2. Commit expressly to complying with the obligations imposed by the Spanish Forest Certification Scheme.”

Conforms

Req. 4.3.1c: Shall The forest certification scheme define the following requirements for the participants?

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

Spanish SCHEME - DT_2013_02_20, 7.4.2:

“4. Make available to the Regional/Group Applicant Entity and the Certification body whatever documents or facilities may be required for internal control and execution of the Certification audits.”

Conforms

Req. 4.3.1d: Shall The forest certification scheme define the following requirements for the participants?

d) To implement relevant corrective and preventive actions established by the group entity

Spanish SCHEME - DT_2013_02_20, 7.4.2:

“7.4.2 Regional/Group Forest Certification member duties

2. Commit expressly to complying with the obligations imposed by the Spanish Forest Certification Scheme.”



Spanish SCHEME - DT_2013_02_20, 7.3:

“The Regional/Group Applicant Entity shall:

2. Set up a Control Procedure to monitor members with regard to fulfilment of all their obligations, including preventive and corrective actions. As part of said Control Procedure, an internal audit shall be carried out each year of a representative sample of the forest land covered by the certificate that enables compliance with applicable Spanish Scheme requisites to be confirmed.”

Conforms



8. Chain of Custody standard

According to the PEFC Spain Scheme, the generic Chain of Custody standard of PEFC has been adopted. Spanish SCHEME - DT_2013_02_20, chapter 9: “The Spanish Forest Certification Scheme, as far as Chain of Custody Certification is concerned, adopts and assumes all the provisions of the PEFC Council's technical document, especially the current version of reference document PEFC ST 2002:2010.”

No further assessment had to be carried out. This adoption conforms to PEFC requirements.



9. Implementation of PEFC Logo usage

According to the scheme documentation, the PEFC logo procedures have been adopted:

SCHEME - DT_2013_02_20, chapter 11: “12. Use of the **PEFC trademark label** is bound by the rules and PEFC trademark user guidelines set forth on reference document PEFC ST 2001:2008 v2, issued by PEFC and must be fulfilled by all certified entities.”

No further assessment had to be carried out. This adoption conforms to PEFC requirements.



10. Certification and Accreditation Procedures

10.1. Analysis

The certification and accreditation procedures are included in chapter 11 of the Spanish Forest Certification Scheme. These were clear and complete regarding forest management certification and accreditation. No non-conformities have been identified.

10.2. Results

Req. 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?

Spanish Forest Certification Scheme, chapter 11:

“2. Certification bodies shall be impartial third parties independent both of the forest management and of the certified entity and shall not be an organ of decision in the Standards drafting process.” (p.22)

Conforms

Req. 2: Does the scheme documentation require that certification body for forest management certification or chain of custody certification against a scheme specific chain of custody standard shall fulfil requirements defined in ISO 17021 or ISO Guide 65?

Spanish Forest Certification Scheme, chapter 11:

“The certification body and documented procedure for performing certification shall fulfil the provisions laid down in ISO/IEC 17021:2011 for forest management and ISO Guide 65 for chain of custody.” (p.23)

Conforms

Req. 3: Does the scheme documentation require that certification body chain of custody certification against Annex 4 shall fulfil requirements defined in ISO Guide 65?

Spanish Forest Certification Scheme, chapter 11:

“The certification body and documented procedure for performing certification shall fulfil the provisions laid down in [...] ISO Guide 65 for chain of custody.

In Chain of Custody certification, certification entities shall abide by all the requisites laid down in PEFC ST 2003:2012.” (p.23)

Conforms



Req. 4: 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?

Spanish Forest Certification Scheme, chapter 11:

“Certification bodies are responsible for employing competent auditors that have adequate technical know-how on the certification process and all issues related to forest management.” (p.24)

UNE 162.003 standard on criteria for qualification of forest auditors, section 4:

“Auditors must have at least two years’ professional experience in the forestry sector in any or all of the following fields:

a) The Sustainable Forest Management Systems and Standards which may be audited. [...]

Forest management auditors must be competent in the following fields:[...]

e) the principles of forest management based on techniques involving inventories, forest cropping, planning, protection and the management of Natural Systems – to enable the auditor to examine the forest management system and decide whether it is being adequately applied;

f) Natural Environment Science, Environmental technology and the economic principles applicable to forest management – to give the auditor a grasp of the fundamental relations between human activities and sustainable forest management;

g) technical aspects of forestry operations associated with exploitations, technology and derived uses – to allow the auditor to grasp the activities of the entity audited and their effects on the management itself and the territory. (p.4-5)

Conforms

Req. 5: Does the scheme documentation require that certification bodies carrying out C-o-C certifications shall have technical competence in forest based products procurement and processing and material flows in different stages of processing and trading?

Spanish Forest Certification Scheme, chapter 11:

“Certification bodies are responsible for employing competent auditors that have adequate technical know-how on the certification process and all issues related to [...] chain of custody certification.” (p.24)

Spanish Forest Certification Scheme, chapter 9:

“The Spanish Forest Certification Scheme, as far as Chain of Custody Certification is concerned, adopts and assumes all the provisions of the PEFC Council's technical document, especially the current version of reference document PEFC ST 2002:2010.”(p.21)

PEFC ST 2003:2012, 5.2.6.1.c

“The certification body shall ensure that auditors demonstrate ability to apply knowledge and skills in the following areas:... applicable international legislation and country



specific forest governance and law enforcement system relevant to forest based raw material procurement”

PEFC ST 2003:2012, 5.2.6.2.b

“The certification body shall ensure that auditors demonstrate ability to apply terminology, knowledge, understanding and skills in the following areas of the chain of custody of forest based product.. products, processes and practices in the specific sector, applied raw material flow, measurements and control measures,…”

PEFC ST 2003:2012, 5.2.6.2.f

“The certification body shall ensure that auditors demonstrate ability to apply terminology, knowledge, understanding and skills in the following areas of the chain of custody of forest based product.. application of the measures to avoid procurement of raw material from controversial sources, including the relevant risk assessment methodology and indicators..”

Conforms

Req. 6: 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 or C-o-C certifications?

Spanish Forest Certification Scheme, chapter 11:

“Certification bodies are responsible for monitoring compliance by the Sustainable Forest Management or Chain of Custody certified entity of the requisites in force with regard to implementation of the scheme and use of the PEFC logo.” (p.23)

“auditors and the auditing process used for chain of custody must comply with the specific guidelines of UNE – EN ISO 19.011 specified in PEFC ST 2003:2012. Certification bodies are responsible for employing competent auditors that have adequate technical know-how on the certification process and all issues related to forest management or chain of custody certification.” (p.24)

UNE 162.003 standard on criteria for qualification of forest auditors, section 4:

“Auditors must have at least two years’ professional experience in the forestry sector in any or all of the following fields:

a) The Sustainable Forest Management Systems and Standards which may be audited.”
[...]

Forestry auditor candidates must have received theoretical and practical training in sustainable forest management audits which will guarantee their aptitude in the fields of knowledge required to run and manage forestry audits.

This theoretical training can be provided by the entity to which the auditor belongs or by an outside organisation, and must be recognised by the Spanish body administering the Paneuropean forestry certification system. The organisation providing the training will accredit the candidate’s suitability as a forestry auditor in terms of the training received.
[...]



Forest management auditors must be competent in the following fields:[...]
b) management systems and reference documents – to allow the auditor to grasp the scope of the audit and apply its criteria;” (p.4-5)

Conforms

Req. 7: Does the scheme documentation require that certification bodies have the responsibility to use competent auditors who have adequate technical know-how on the certification process and issues related to forest management or chain of custody certification?

Spanish Forest Certification Scheme, chapter 11:
“Certification bodies are responsible for employing competent auditors that have adequate technical know-how on the certification process and all issues related to forest management.” (p.24)

Conforms

Req. 8: 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?

Spanish Forest Certification Scheme, chapter 11:
“Forest management auditors and the auditing process must comply with the guidelines of ISO standard 17021:2011 “Conformity assessment – requirements for bodies providing audit and certification of management systems” which includes criteria ISO 19.011. Likewise, auditors and the auditing process used for chain of custody must comply with the specific guidelines of UNE – EN ISO 19.011 specified in PEFC ST 2003:2012.”(p.24)

Conforms

*Req. 9: Does the scheme documentation include additional qualification requirements for auditors carrying out forest management or chain of custody audits? [*1]*

Spanish Forest Certification Scheme, chapter 11:
“Additionally, auditors for forest management certification shall meet the required qualifications laid down in UNE standard 162.003 on Sustainable forest management - Criteria for forest auditor qualifications.” (p.24)

No reference could be found for additional qualification requirements for auditors carrying out C-o-C audits. However, as this is not an obligatory requirement no non-conformity is raised.

Does not conform (but not obligatory requirement)



Req. 10: Does the scheme documentation require that certification bodies shall have established internal procedures for forest management and/or chain of custody certification?

Spanish Forest Certification Scheme, chapter 11:

“The certification body and documented procedure for performing certification shall fulfil the provisions laid down in ISO/IEC 17021:2011 for forest management and ISO Guide 65 for chain of custody.” (p.23)

Conforms

Req. 11: Does the scheme documentation require that applied certification procedures for forest management certification or chain of custody certification against a scheme specific chain of custody standard shall fulfil or be compatible with the requirements defined in ISO 17021 or ISO Guide 65?

Spanish Forest Certification Scheme, chapter 11:

“The certification body and documented procedure for performing certification shall fulfil the provisions laid down in ISO/IEC 17021:2011 for forest management and ISO Guide 65 for chain of custody.” (p.23)

Conforms

Req. 12: Does the scheme documentation require that applied certification procedures for chain of custody certification against Annex 4 shall fulfil or be compatible with the requirements defined in ISO Guide 65?

Spanish Forest Certification Scheme, chapter 11:

“The certification body and documented procedure for performing certification shall fulfil the provisions laid down in ISO/IEC 17021:2011 for forest management and ISO Guide 65 for chain of custody.

In Chain of Custody certification, certification entities shall abide by all the requisites laid down in PEFC ST 2003:2012.” (p.23)

Conforms

Req.13: Does the scheme documentation require that applied auditing procedures shall fulfil or be compatible with the requirements of ISO 19011?

Spanish Forest Certification Scheme, chapter 11:

“Forest management auditors and the auditing process must comply with the guidelines of ISO standard 17021:2011 “Conformity assessment – requirements for bodies providing audit and certification of management systems” which includes criteria ISO 19.011.



Likewise, auditors and the auditing process used for chain of custody must comply with the specific guidelines of UNE – EN ISO 19.011 specified in PEFC ST 2003:2012.”
(p.24)

Conforms

Req. 14: Does the scheme documentation require that certification body shall inform the relevant PEFC National Governing Body about all issued forest management and chain of custody certificates and changes concerning the validity and scope of these certificates?

Spanish Forest Certification Scheme, chapter 11:
“Accredited certification bodies must [...] inform PEFC-España of any forest management and/or chain of custody certificates they grant, and shall make publicly accessible all information regarding certificates granted, suspended or withdrawn.”
(p.23)

Conforms

Req. 15: 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?

Spanish Forest Certification Scheme, chapter 11:
“Certification bodies are responsible for monitoring compliance by the Sustainable Forest Management or Chain of Custody certified entity of the requisites in force with regard to implementation of the scheme and use of the PEFC logo.” (p.26)

Conforms

Req. 16: Does a maximum period for surveillance audits defined by the scheme documentation not exceed more than one year?

Spanish Forest Certification Scheme, chapter 11:
“Every year, a follow-up audit shall be performed. Likewise, the certification body may perform extra audits when it considers that reasons exist to warrant such action.” (p/24)

Conforms

Req. 17: Does a maximum period for assessment audit not exceed five years for both forest management and chain of custody certifications?

Spanish Forest Certification Scheme, chapter 11:
“The full validity period for a sustainable forest management is 3 years, while for a chain of custody certificate, it is five years.”(p.24)

Conforms



Req. 18: Does the scheme documentation include requirements for public availability of certification report summaries?

Spanish Forest Certification Scheme, chapter 11:

“Once the auditing process has concluded, the audited entity shall make public a summary of the certification report provided by the certification body in which the most significant data

from the process is to be included, as well as a list of the persons or legal entities that have presented comments thereto.”

Conforms

Req. 19: Does the scheme documentation include requirements for usage of information from external parties as the audit evidence?

Spanish Forest Certification Scheme, chapter 11:

“All comments, remarks or opinions which for improved interpretation should refer to the concrete Criteria and Indicators in the above-mentioned UNE standard shall be taken into account in order to improve the management and shall be made available to the team of external auditors for them to assess and consider during the independent certification process.” (p.25)

“Once the auditing process has concluded, the audited entity shall make public a summary of the certification report provided by the certification body in which the most significant data from the process is to be included, as well as a list of the persons or legal entities that have presented comments thereto.” (p.26)

Conforms

*Req. 20: Does the scheme documentation include additional requirements for certification procedures? [*1]*

Spanish Forest Certification Scheme, chapter 11:

“8. For forest management certification audits, management units will be selected by sampling. The forestlands chosen in the sampling must be representative of all the forests opting for certification in terms of criteria for land usage, season quality, vegetation species, type of forest stand, forest activities or husbandry being performed, etc. In order to make the certification process more efficient, in the event that a large number of management plans need to be audited, the auditing team will concentrate its inspections by areas, districts or provinces.

Sampling for the various audits is defined by parameters relating to ‘n’, where ‘n’ is the number of management plans opting for certification.”(p.25)



“10. Except for specific cases authorised by PEFC-España, the same forestland may not be included in more than one Sustainable Forest Management certificate. For those forests that are so authorised, in the event that a non-compliance is detected in one certificate, the corresponding certification body shall be responsible for giving adequate notification thereof to the other certification bodies and to PEFC-España.

11. In chain of custody certification, both initial audits and follow-up or renewal audits shall inspect all sections of the regulatory documents concerning requirements for chain of custody traceability. In combined multiple installation or ‘multi-site’ certification, members’ control procedures shall be audited and member sites by sampling. In order for new sites to be added to the certificate, they must be considered in the sample. Sampling for the various chain of custody audits is defined by general parameters relating to ‘n’, where ‘n’ is the number of sites opting for certification.” (p.26)

Conforms

Req. 21: Does the scheme documentation require that certification bodies carrying out forest management and/or chain of custody certification shall be accredited by a national accreditation body?

Spanish Forest Certification Scheme, chapter 11:

“Certification bodies operating in Spain must be specifically accredited for forest management and/or chain of custody certification by Spain’s national accreditation board (ENAC) or an equivalent body.” (p.23)

Conforms

Req. 22: Does the scheme documentation require that an accredited certificate shall bear an accreditation symbol of the relevant accreditation body?

Spanish Forest Certification Scheme, chapter 11:

“The certificate must provide details of the [...] number and name of the accreditation entity,”(p.23)

Number and name of the accreditation entity can be considered a symbol.

Conforms

Req. 23: 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 and which implement procedures described in ISO 17011 and other documents recognised by the above-mentioned organisations?

Spanish Forest Certification Scheme, chapter 11:

“Accreditation entities shall be members of the International Accreditation Forum (IAF) and implement the procedures laid down in ISO/IEC 17011:2004 and other documents recognised by the above organisation.” (p.23)



Conforms

Req. 24: Does the scheme documentation require that certification body undertake forest management or/and chain of custody certification against a scheme specific chain of custody standard as “accredited certification” based on ISO 17021 or ISO Guide 65 and the relevant forest management or chain of custody standard(s) shall be covered by the accreditation scope?

Spanish Forest Certification Scheme, chapter 11:

“The certification body and documented procedure for performing certification shall fulfil the provisions laid down in ISO/IEC 17021:2011 for forest management and ISO Guide 65 for chain of custody. [...]

Certification bodies operating in Spain must be specifically accredited for forest management and/or chain of custody certification [...]

Accreditation entities shall [...] implement the procedures laid down in ISO/IEC 17011:2004 and other documents recognised by the above organisation.” (p.23)

“Forest management auditors and the auditing process must comply with the guidelines of ISO standard 17021:2011 “Conformity assessment – requirements for bodies providing audit and certification of management systems” which includes criteria ISO 19.011. Likewise, auditors and the auditing process used for chain of custody must comply with the specific guidelines of UNE – EN ISO 19.011 specified in PEFC ST 2003:2012.”(p.24)

Conforms

Req. 25: Does the scheme documentation require that certification body undertake chain of custody certification against Annex 4 as ‘accredited certification’ based on ISO Guide 65?

Spanish Forest Certification Scheme, chapter 11:

“The certification body and documented procedure for performing certification shall fulfil the provisions laid down in ISO/IEC 17021:2011 for forest management and ISO Guide 65 for chain of custody.

In Chain of Custody certification, certification entities shall abide by all the requisites laid down in PEFC ST 2003:2012.” (p.23)

Conforms

Req. 26: Does the scheme documentation include a mechanism for PEFC notification of certification bodies?

Spanish Forest Certification Scheme, chapter 11:



“Accredited certification bodies must be notified by PEFC-España to operate in Spain”
(p.23)

GENERAL PROCEDURE
PEFC Notification of Certification Bodies

Conforms

Req. 27 Are the procedures for PEFC notification of certification bodies non-discriminatory?

PEFC Notification of certification bodies operating in Spain sustainable forest management (SFM) and/ or Chain of Custody (CoC) certification:

1: “This procedure describes the rules for the non-discriminatory PEFC notification in Spain of Certification Bodies”

4: “The PEFC Secretariat assesses application and decides non-discriminatorily whether PEFC Notification is to be gained”(p.2)

Conforms



11. Complaints and Dispute Resolution Procedures

11.1. Analysis

The general procedure for dispute settlement was assessed (4.2_PG 4 2008 Dispute Settlement_EN) as well as certain elements of the updated version (PG 4 2013 Dispute Settlement EN).

11.2. Results

Req. 1: Does the scheme require written procedures for dealing with complaints relating to the governance and administration of the PEFC scheme?

4.2_PG 4 2008 Dispute Settlement_EN:

“1. GENERAL INFORMATION – SCOPE

This procedure defines the establishment and the operating of a dispute settlement body that takes care of any complaints arising from implementation of the scheme or certification procedures including chain of custody certification that cannot be dealt with using the dispute settlement procedures of the relevant accredited certification body or the relevant accreditation body.”

Conforms

Req. 2a: Does the complaint procedure provide for acknowledgement of the complaint to the complainant upon receipt of the complaint?

4.2_PG 4 2008 Dispute Settlement_EN:

“3. DISPUTE SETTLEMENT PROCEDURES

The request for the initiation of a dispute settlement procedure should be sent to the PEFC Spain secretariat. It must include informative documentation on the actual case, statements from all parties involved and, if appropriate, the result of the internal investigation conducted by the certification body. The PEFC secretariat will confirm receipt of the request.”

Conforms

Req. 2b: Does the complaint procedure provide for gathering and verification of all necessary information, validation and impartial evaluation of the complaint, and decision making on the complaint upon receipt of the complaint?

4.2_PG 4 2008 Dispute Settlement_EN, 2:

“The members of the dispute settlement body are independent and unbiased in order to evaluate impartially all the gathered and validated information of the complaint.”



“If within three months of receipt of the request, no regular meeting of the PEFC Spain is held, then the appointment of the dispute settlement body and its members must be organised on the basis of written correspondence. The dispute settlement body will meet for the first time within this period. For more complex cases an independent expert will be called in. The decision must be made within three months of the first meeting of the dispute settlement body. Decision is taken by a simple majority.” (p.1-2)

Conforms

Req. 2c: Does the complaint procedure provide for formal communication of the decision on the complaint and the complaint handling process to the complainant and concerned parties upon receipt of the complaint?

4.2_PG 4 2008 Dispute Settlement_EN:

“3. DISPUTE SETTLEMENT PROCEDURES

The PEFC secretariat is responsible for drafting reports on the meetings of the dispute settlement body and for informing the parties concerned of the outcome of the dispute settlement.”

Conforms

Req. 2d: Does the complaint procedure provide for appropriate corrective and preventive actions?

4.2_PG 4 2008 Dispute Settlement_EN:

“3. DISPUTE SETTLEMENT PROCEDURES

The decision of the dispute settlement body is binding and terminates the dispute settlement of PEFC Spain. All certificates and confirmations of participation remain valid until the dispute settlement body has announced its decision.”

No reference was found that the complaint procedure provides for appropriate corrective and preventive actions

In response to the non-conformity raised, PEFC Spain proposed to update the Scheme: Add at 3: [Decision is taken by simple majority] “The dispute settlement body will provide for appropriate corrective and preventive actions” [The PEFC Secretariat is responsible for drafting reports on the meetings of the dispute settlement body and for informing the parties concerned of the outcome] “and the corrective and preventive actions regarding the complaint”

With these proposed revisions, the non-conformity is closed.

Conforms



Annex 1 PEFC Standard Requirements Checklist

Guidelines PEFC Council Minimum Requirements Checklist	Revised on 26 th May 2011	GL 2/2011
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PEFC Council Minimum Requirements Checklist

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OBJECTIVE

The objectives of this guideline are (i) to assist bodies, which develop or revise their forest certification schemes and preparation of an application for PEFC Council endorsement, and (ii) to facilitate the assessment of the compliance of a national or sub-national forest certification scheme against the PEFC Council requirements carried out by the PEFC Council as a part of its endorsement and mutual recognition process (*Annex 7 Endorsement and Mutual Recognition of National Schemes and their Revision*).

SCOPE

These guidelines cover the PEFC Council minimum requirements, which shall be met by national and sub-national schemes and standards applying for PEFC Council endorsement and mutual recognition as per chapter 4, Annex 7 (*Endorsement and Mutual Recognition of National Schemes and their Revision*), and are a part of the application for the PEFC Council endorsement and mutual recognition as defined by chapter 5, Annex 7 (*Endorsement and Mutual Recognition of National Schemes and their Revision*).

These guidelines were adopted by the PEFC Council Board of Directors on 2 April 2003 and revised on 27 January 2005, 28 April 2005, 26 January 2006 26 January 2007, 31 January 2008 4 February 2010 and 26 May 2011.

PART I: MINIMUM REQUIREMENTS CHECKLIST FOR STANDARD SETTING (PEFC ST 1001:2010) PEFC SPAIN REVISION

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>AENOR Internal Regulations, heading IV: “Article 37 AENOR’s standardisation activities are carried out by means of standardisation technical committees (AEN/STC).” (p.9)</p> <p>Regulations for Standardisation Technical Committees: “3 Organisation of an STC [...] An STC shall comprise: — A President. — A Vice-President (when considered necessary by the STC). — A Secretary. — Member representatives of manufacturers, consumers or users, government bodies and, when the nature of its business so warrants: Laboratories, Research Institutes, Innovation & Technology Centres, etc. — A representative member of any other STC with a stake in its business. [...]</p>



Question	Assess. basis*	YES /NO*	Reference to application documents
			<p>3.1.2 The initial composition of the STC is agreed by the Management Board [...]</p> <p>3.1.5 The AENOR technical services shall provide the STC with at least one non-voting representative to act as liaison between themselves and the STC and who shall ensure the proper operation of the STC in accordance with the terms of these Regulations and the specific regulations of the STC.” (p.9-10)</p> <p>“4.1 Functions of the STC STCs shall implement the following functions in the field of activity assigned to them, upholding the principles of independence, objectivity, proportionality and transparency:</p> <ul style="list-style-type: none"> a) Propose an annual schedule of work. b) Propose the wording of new regulatory documents as well as the confirmation, review and cancellation of existing regulations. c) Draw up and propose, where applicable, future UNE standards to be presented for public information. d) Draw up proposals for UNE standards to be adopted as national standards. e) Adopt European standards as national standards when required as a result of the commitments involved in participating in CEN, CENELEC and ETSI. f) Propose the appointment and dismissal of the President and Vice President of the STC, as well as of its members. g) Create Subcommittees or Working groups as part of the STC in accordance with the provisions of sections 4.6 and 4.7 herein. h) Propose representatives to attend international meetings as the part of a national delegation or as experts in the working groups and who must be members of the STC or of one of its working groups. i) Analyse international documents that may be relevant to the field and propose suitable plans of action. j) Establish suitable relations with those STCs that may be of interest. k) Encourage the application of regulations and promote the development and circulation of standards throughout its field of business. l) Respond to consultations that may be laid before it about technical matters regarding standardisation in its

Question	Assess. basis*	YES /NO*	Reference to application documents
			<p>sector.</p> <p>m) Propose the adoption of any measures that may be considered necessary for the proper development of its activities, and the initiation of proceedings to impose the sanctions set forth in the Sanctioning Regulations in standardisation matters.</p> <p>n) Each year, review membership of the STC and, where applicable, propose suitable modifications.</p> <p>o) Implement whatever duties may be delegated upon it by the Management Board.” (p.13-14)</p> <p>“4.8 Processing the results</p> <p>4.8.1 Once the work of the SC or WG have concluded , the Secretary shall send them as soon as possible to the STC or SC to whom they directly respond. Likewise, STCs shall also send in the outcome of their standardisation work for processing.</p> <p>4.8.2 The analysis by the STC of a document presented by an SC or WG may lead to one of the following actions:</p> <p>a) The document is approved.</p> <p>b) Amendments to the substance or format of the draft are inserted once the position of the SC or WG has been heard.</p> <p>c) The document is returned to the SC or WG to be re-drafted following the suggestions of the STC. The Secretary shall inform the SC or WG of the STC's decisions.</p> <p>4.8.3 Draft standards, following the statutory period of public information and comments thereto received during public consultation, shall then be considered by the STC. On the basis of said consideration, the following outcomes are possible:</p> <p>a) Development of a proposed standard according to the draft.</p> <p>b) Insertion of amendments to its form.</p> <p>c) Return to the SC or WG for close study of the remarks about the content and their possible incorporation</p>



Question	Assess. basis*	YES /NO*	Reference to application documents
			<p>into the draft project.</p> <p>When any added amendments represent a substantial variation of the technical content of the draft project, the project shall be submitted once again to a period of public information.</p> <p>If a project has not received any remarks during the public consultation stage, it can be considered approved as a proposed standard, providing that the STC has accepted an agreement in this regard. [...]</p> <p>4.8.7 In those cases in which confronting opinions arise between different STCs about the contents of a standard that prevent it being approved, the Management Board shall form a panel of experts to draft a report prior to Management Board taking a decision about the standard in question.” (p.20-21).</p>
b) the record-keeping procedures,	Procedures	YES	<p>Regulations for Standardisation Technical Committees:</p> <p>“4.4.8 The minutes from all meetings, once signed by the Secretary and approved by the President, shall be safeguarded by the Secretary for a period of five years. The list of agreements currently in force and relevant to the workings of the STC shall be safeguarded for as long as they remain in force.” (p.17)</p>
c) the procedures for balanced representation of stakeholders,	Procedures	YES	<p>AENOR Internal Regulations, heading IV:</p> <p>“39.1 The composition or membership of an AEN/STC shall be such as to ensure a balanced representation of all stakeholders involved in its specific field of interest, such as: users and consumers, manufacturing and service companies, and shall be open to representatives of government agencies, laboratories, research institutes, etc.”(p.9)</p>
d) the standard-setting process,	Procedures	YES	<p>Regulations for Standardisation Technical Committees:</p> <p>“4.8.1 Once the work of the SC or WG have concluded , the Secretary shall send them as soon as possible to the STC or SC to whom they directly respond.</p>

Question	Assess. basis*	YES /NO*	Reference to application documents
			<p>Likewise, STCs shall also send in the outcome of their standardisation work for processing.</p> <p>4.8.2 The analysis by the STC of a document presented by an SC or WG may lead to one of the following actions:</p> <ul style="list-style-type: none"> a) The document is approved. b) Amendments to the substance or format of the draft are inserted once the position of the SC or WG has been heard. c) The document is returned to the SC or WG to be re-drafted following the suggestions of the STC. <p>The Secretary shall inform the SC or WG of the STC's decisions.</p> <p>4.8.3 Draft standards, following the statutory period of public information and comments thereto received during public consultation, shall then be considered by the STC. On the basis of said consideration, the following outcomes are possible:</p> <ul style="list-style-type: none"> a) Development of a proposed standard according to the draft. b) Insertion of amendments to its form. c) Return to the SC or WG for close study of the remarks about the content and their possible incorporation into the draft project. <p>When any added amendments represent a substantial variation of the technical content of the draft project, the project shall be submitted once again to a period of public information.</p> <p>If a project has not received any remarks during the public consultation stage, it can be considered approved as a proposed standard, providing that the STC has accepted an agreement in this regard. [...]</p> <p>4.8.7 In those cases in which confronting opinions arise between different STCs about the contents of a standard that prevent it being approved, the Management Board shall form a panel of experts to draft a report prior to Management Board taking a decision about the standard in question.” (p.20-21)</p>



Question	Assess. basis*	YES /NO*	Reference to application documents
e) the mechanism for reaching consensus, and	Procedures	YES	<p>STC162 – 01/09: “The Committee shall work by consensus. [...]” Consensus: General agreement, characterised by an absence of firm opposition to essential matters by any significant number of stakeholders and by a process that entails taking the opinions of all stakeholders into account and reconciling any differing position. N.B. Consensus does not necessarily imply unanimity.[...]</p> <p>In order to ensure consensus between the parties involved in setting standards, agreement of essential matters shall be by vote, thus enabling any opposition to be recognised. [..]</p> <p>In the event that sustained opposition is expressed by any stakeholder with regard to an essential matter, said matter shall be settled by way of the following mechanism:</p> <ul style="list-style-type: none"> - Debate and negotiation of the matter within the STC or sub-committee in question, - Direct negotiation between the stakeholders with differing positions, - Submission of the matter to the STC 162 Board of Conflict Settlement.” (p.1) <p>Regulations for Standardisation Technical Committees: “4.4.3 STC agreements shall preferably be adopted by consensus. However, should a vote be necessary, agreement shall be carried by simple majority of the votes cast both in person and by proxy, without taking abstentions into account.” (p.16)</p> <p>“4.4.5.a) When approving standards and confirming or cancelling current standards, as well as for formal votes on European standards, consensus is to be sought and under no circumstances may the number of votes against the motion be equal or greater than one third of the total number of votes cast, not counting abstentions.</p> <p>4.4.5.b) When debating a national position or viewpoint regarding international documents, except for the formal voting of European regulations [see 4.4.5.a)], attempts shall be made to reach consensus and</p>

Question	Assess. basis*	YES /NO*	Reference to application documents
			abstention should be agreed in the event that a position in favour or against the proposed motion is not backed by at least two thirds of the members present or represented by proxy.” (p.16)
f) revision of standards/normative documents.	Procedures	YES	<p>Work procedure manual STC: “6.3 Revision of UNE standards</p> <p>All UNE standards should be revised at least once every five years after being published.</p> <p>The revision process may confirm the standard as edited for a further period of five years maximum or it may call for partial amendments, abolition or replacement with a completely new text.”(p.9)</p>
4.2 The standardising body shall make its standard-setting procedures publicly available and shall regularly review its standard-setting procedures including consideration of comments from stakeholders.	Procedures	YES	<p>Regulations for Standardisation Technical Committees:</p> <p>“4.4.9 Any member of the STC may request at any time a motion of order, i.e. a question which refers to the suitability of the regulations with regard to the procedure being followed. Such a motion shall have priority over all other matters and shall be resolved immediately.”</p> <p>Spain_Part I_STC162_OPERATING AGREEMENT:</p> <p>“The operating Regulations for this Standardisation Technical Committee, together with its Conflict Resolution Procedure, shall be made public and reviewed regularly, and for that purpose, the considerations and feedback received from stakeholders will be taken into account.”(p.1)</p>
	Process	NO	<p><i>Standard setting procedures could be found on website www.pefc.es. The Regulations for Standardisation Technical Committees document states the current version is the 4th review carried out in 2010. However, no reference was found on the scope of the revision and involvement of stakeholders.</i></p>
4.3 The standardising body shall keep	Procedures	YES	<p>Regulations for Standardisation Technical Committees:</p> <p>“4.4.6 All agreements taken during meetings that are directly related to work in progress or the approval of</p>

Question	Assess. basis*	YES /NO*	Reference to application documents
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>documents must be recorded in the minutes that the Secretary is required to write up for each meeting held.”</p> <p>“4.4.8 The minutes from all meetings, once signed by the Secretary and approved by the President, shall be safeguarded by the Secretary for a period of five years. The list of agreements currently in force and relevant to the workings of the STC shall be safeguarded for as long as they remain in force.” (p.17)</p> <p>Work procedure manual STC, 5.6 minutes of the meetings:</p> <p>“The minutes from the various meetings held throughout the year must comply with the following requisites:[...]</p> <ul style="list-style-type: none"> • They must be sent out to each member belonging to the relevant work bodies, including the technical services of AENOR, within thirty days of the date the meeting was held.” (p.6) <p>Spain_Part I_STC162_OPERATING AGREEMENT:</p> <p>“Records relating to the standardisation process shall be kept for a minimum of 5 years and made available, upon request, to interested parties.”</p>
	Process	YES	<i>Minutes relating to standard-setting procedures are kept. The response from the questionnaires confirmed this and indicated that these were available on the e-comité for all members of the working groups STC162 and SC2.</i>
4.4 The standardising body shall establish a permanent or temporary working group/committee responsible for	Procedures	YES	<p>Regulations for Standardisation Technical Committees:</p> <p>“4.6 Sub-Committees</p> <p>In those fields in which the task to be carried out by the STC is highly complex, the committee may decide to create a technical Sub-Committee (SC) responsible for the permanent study of one or several specific parts of its programmed work.” (p.18)</p>

Question	Assess. basis*	YES /NO*	Reference to application documents
standard-setting activities.			<p>“4.7 Working groups</p> <p>STCs and Sub-committees may create Workgroups (WG) in order to prepare part of the work programme allocated to an STC or Subcommittee.” (p.19)</p>
	Process	YES	<p>Minutes 1/11 STC162:</p> <p>“5 COMMITTEE STRUCTURE SUB-COMMITTEES, WORKING GROUPS, ETC</p> <p>The meeting was informed that the current structure of the STC is as follows:</p> <p>SC1 – Vocabulary (UNE 162001:2007)</p> <p>SC2 – Criteria and indicators (UNE 162002:2007 parts 1 & 2)</p> <p>SC3 – Criteria for qualifying auditors and certifiers (UNE 162003:2001)</p> <p>SC 4 – Training</p> <p>This structure provides the necessary framework with which to revise standards UNE 162001 and UNE 162002.”</p>
4.4 The working group/committee shall:			
a) be accessible to materially and directly affected stakeholders,	Procedures	YES	<p>Regulations for Standardisation Technical Committees:</p> <p>“3.1.1 The composition of an STC shall be such that it ensures fair representation of the agents involved in its relevant field of activity, such as users, consumers, manufacturing and service companies, and shall be open to representatives of Government Agencies, assay laboratories and research centres, among others.”</p>



Question	Assess. basis*	YES /NO*	Reference to application documents
	Process	YES	<p>Minutes 1/11, section 6:</p> <p>“the following stakeholders are deemed essential for the purposes of the STC:</p> <ul style="list-style-type: none"> - enterprises and industry / children and youngsters / forest owners - local authorities / non-government organisations - science and technology community / women / workers and trade unions. <p>In this sense, the meeting was informed that acceptance or refusal of applications to join STC 162 must take the requisite of maintaining a balance of interests into account.</p> <p>Organisations that have applied as candidates are :</p> <ul style="list-style-type: none"> - Govt. of Navarra - Govt. of Castilla y León - ESCRA - CREIF - CECU <p>Once candidates had been assessed, the following agreement was reached:</p> <p>AGREEMENT 03/11 APPROVE THE FOLLOWING ENTITIES AS NEW MEMBERS OF STC162: GOVERNMENT OF NAVARRA, GOVERNMENT OF CASTILLA Y LEÓN, ESCRA, CREIF, CECU”</p> <p><i>Answers from the questionnaires show that stakeholders were of the opinion that all stakeholders that are relevant to the standard-setting have been proactively identified and invited, including disadvantaged and key</i></p>

Question	Assess. basis*	YES /NO*	Reference to application documents
			<i>stakeholders.</i>
<p>b) have balanced representation and decision-making by stakeholder categories relevant to the subject matter and geographical scope of the standard where single concerned interests shall not dominate nor be dominated in the process, and</p>	Procedures	YES	<p>Regulations for Standardisation Technical Committees:</p> <p>“3.1.1 The composition of an STC shall be such that it ensures fair representation of the agents involved in its relevant field of activity, such as users, consumers, manufacturing and service companies, and shall be open to representatives of Government Agencies, assay laboratories and research centres, among others.” (p.9)</p> <p>Internal regulations Aenor:</p> <p>“Article 38</p> <p>38.1 An AEN/STC may be created by initiative of the Management Board or by proposal from:</p> <p>a) A sufficient representative number of corporate members of the business sector corresponding to the STC’s area of interest. [...]</p> <p>Article 39</p> <p>39.1 The composition or membership of an AEN/STC shall be such as to ensure a balanced representation of all stakeholders involved in its specific field of interest, such as: users and consumers, manufacturing and service companies, and shall be open to representatives of government agencies, laboratories, research institutes, etc.</p> <p>39.2 In fields in which the complexity of the task in hand advises such an action, sub-committees may be set up, the composition of which shall have the same characteristics as the STC.”(p.9)</p>
	Process	YES	List members STC162&SC2:



Question	Assess. basis*	YES /NO*	Reference to application documents
			<p>9 stakeholder groups were identified:</p> <ul style="list-style-type: none"> 1 - enterprises and industry 2 - children and young people 3 - forest owners 4 - indigenous peoples 5 - local authorities 6 - non-governmental organisations 7 - science and technology community 8 - women 9 - workers and trade unions <p><i>The SC2 working group has 77 members, the STC162 has 72 members.</i></p> <p><i>For the STC162, the following stakeholder groups were best represented: enterprises and industry (28%), local authorities (25%), science and technology community (19%) and forest owners (14%). The stakeholder groups of women (0%), indigenous peoples (0%) and children & youngsters (1%) were underrepresented.</i></p> <p><i>For the SC2, the exact same percentages apply (not counting 5 members for which the stakeholder category has not been determined).</i></p> <p><i>The stakeholder group of NGOs seems somewhat underrepresented (4% and 6%), especially given the fact that PEFC Spain is also allocated to this category. However, many (9-10) NGOs were invited to take part in one or both working groups.</i></p> <p><i>To the question if a balanced representation of stakeholders was achieved, most stakeholders had an affirmative answer. One stakeholder indicated that this was more or less the case but that there is always room for improvement. According to this stakeholder, research institutes were poorly represented. Another</i></p>

Question	Assess. basis*	YES /NO*	Reference to application documents
			<i>stakeholder indicated to miss the active participation of environmental NGOs.</i>
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.	Procedures	YES	<p>Regulations for Standardisation Technical Committees:</p> <p>“3.1.1 The composition of an STC shall be such that it ensures fair representation of the agents involved in its relevant field of activity, such as users, consumers, manufacturing and service companies, and shall be open to representatives of Government Agencies, assay laboratories and research centres, among others.</p> <p>An STC shall comprise: [...]</p> <ul style="list-style-type: none"> — Member representatives of manufacturers, consumers or users, government bodies and, when the nature of its business so warrants: Laboratories, Research Institutes, Innovation & Technology Centres, etc. — A representative member of any other STC with a stake in its business.” (p.9)
	Process	YES	<p>Standards Revision Work Programme 162:</p> <p>“All stakeholders with interests in forest management were invited to take part in the forum or STC, which thus maintains a balanced and highly representative structure made up of over fifty-five voting members, representatives, among others, of both public and private forest owners and managers, trade unions, professional colleges, industrial associations, public and private research institutes, forest-based industries, consulting firms, public entities, universities and end consumers, and an invitation to leading environmental groups from the Spanish forestry sector.” (p.1)</p> <p>Minutes 1/11, section 6:</p> <p>“the following stakeholders are deemed essential for the purposes of the STC:</p> <ul style="list-style-type: none"> - enterprises and industry / children and youngsters / forest owners



Question	Assess. basis*	YES /NO*	Reference to application documents
			<p>- local authorities / non-government organisations</p> <p>- science and technology community / women / workers and trade unions.</p> <p>In this sense, the meeting was informed that acceptance or refusal of applications to join STC 162 must take the requisite of maintaining a balance of interests into account.</p> <p>Organisations that have applied as candidates are :</p> <ul style="list-style-type: none"> - Govt. of Navarra - Govt. of Castilla y León - ESCRA - CREIF - CECU <p>Once candidates had been assessed, the following agreement was reached:</p> <p>AGREEMENT 03/11 APPROVE THE FOLLOWING ENTITIES AS NEW MEMBERS OF STC162: GOVERNMENT OF NAVARRA, GOVERNMENT OF CASTILLA Y LEÓN, ESCRA, CREIF, CECU”</p> <p>List members STC162&SC2:</p> <p><i>For the STC162, the following stakeholder groups were best represented: enterprises and industry (28%), local authorities (25%), science and technology community (19%) and forest owners (14%). The stakeholder groups of women (0%), indigenous peoples (0%) and children & youngsters (1%) were underrepresented.</i></p> <p><i>For the SC2, the exact same percentages apply (not counting 5 members for which the stakeholder category has not been determined).</i></p>

Question	Assess. basis*	YES /NO*	Reference to application documents
			<p><i>The stakeholder group of NGOs seems somewhat underrepresented, especially given the fact that PEFC Spain is also allocated to this category. However, many (9-10) NGOs were invited to take part in one or both working groups.</i></p> <p><i>Answers from the questionnaires show that stakeholders were of the opinion that all stakeholders in the working group have expertise relevant to the subject matter of the standard.</i></p>
<p>4.5 The standardising body shall establish procedures for dealing with any substantive and procedural complaints relating to the standardising activities which are accessible to stakeholders.</p>	<p>Procedures</p>	<p>NO</p>	<p>Regulations for Standardisation Technical Committees:</p> <p>“4.4.9 Any member of the STC may request at any time a motion of order, i.e. a question which refers to the suitability of the regulations with regard to the procedure being followed. Such a motion shall have priority over all other matters and shall be resolved immediately.”(p.17)</p> <p>AEN/STC162 1/2009:</p> <p>“The Committee shall work by consensus [...] Consensus: General agreement, characterised by an absence of firm opposition to essential matters by any significant number of stakeholders and by a process that entails taking the opinions of all stakeholders into account and reconciling any differing position. N.B. Consensus does not necessarily imply unanimity.</p> <p>In order to ensure consensus between the parties involved in setting standards, agreement of essential matters shall be by vote, thus enabling any opposition to be recognised. [...]</p> <p>In the event that sustained opposition is expressed by any stakeholder with regard to an essential matter, said matter shall be settled by way of the following mechanism:</p> <ul style="list-style-type: none"> - Debate and negotiation of the matter within the STC or sub-committee in question, - Direct negotiation between the stakeholders with differing positions, - Submission of the matter to the STC 162 Board of Conflict Settlement

Question	Assess. basis*	YES /NO*	Reference to application documents
			<p>Board of Dispute Settlement within the STC 162:</p> <p>When consensus has not been achieved, the Chairman of the STC shall be responsible for referring the matter in dispute to the Board of Dispute Settlement (BDS). The BDS is constituted as a Sub-committee and its Secretary shall be the same as for the STC. [...]</p> <p>The BDS shall debate and discuss the case in question in order to reach a point of encounter between the positions of the parties in conflict. The meetings and other operational aspects of the BDS shall be ruled in accordance with the provisions of the Standardisation Technical Committee Regulations. The decision of the BDS shall be notified to and binding upon the STC and the disputing parties and shall therefore bring the resolution of the conflict to a conclusion.” (p.1)</p> <p>Spain_Part I_STC162_CONFLICT RESOLUTION PROCEDURE: “<i>This procedure defines how the Conflict Resolution Body (CRB) is to be formed and to operate with regard to the Sustainable Forest Management Standardisation process at national level by Standardisation Technical Committee 162. This CRB is required to resolve those issues on which consensus has not been reached within the Committee, as well as claims and complaints received from stakeholders.</i>” (p.1)</p> <p><i>No reference was found that procedures for dealing with any substantive and procedural complaints relating to the standardising activities should be <u>accessible to stakeholders</u>.</i></p>
	Process	YES	<p><i>The Regulations for Standardisation Technical Committees (including 4.4.9., see above procedure) and the Conflict Resolution policy could be found on the website www.pefc.es.</i></p>
4.5 Upon receipt of the complaint, the standard-setting body shall:			
a) acknowledge receipt of the complaint to the	Procedures	YES	<p>Spain_Part I_STC162_CONFLICT RESOLUTION PROCEDURE: “<i>When a substantiated claim or complaint is received, the CRB shall:</i></p>

Question	Assess. basis*	YES /NO*	Reference to application documents
complainant,			- Issue an acknowledgment of such receipt to the person or entity making the claim (Secretariat).” (p.2)
	Process	N/A	<i>PEFC Spain stated that no complaints were received. This was confirmed by the responses of the questionnaires</i>
b) gather and verify all necessary information to validate the complaint, impartially and objectively evaluate the subject matter of the complaint, and make a decision upon the complaint, and	Procedures	YES	Spain_Part I_STC162_CONFLICT RESOLUTION PROCEDURE:: “When a substantiated claim or complaint is received, the CRB shall: [...]” - Collect and verify all necessary data and information to enable the complaint to be validated. - Assess the matter behind the complaint impartially and objectively and reach a decision on it.”(p.2)
	Process	N/A	<i>PEFC Spain stated that no complaints were received. This was confirmed by the responses of the questionnaires</i>
c) formally communicate the decision on the complaint and of the complaint handling process to the complainant.	Procedures	YES	Spain_Part I_STC162_CONFLICT RESOLUTION PROCEDURE: “When a substantiated claim or complaint is received, the CRB shall: [...]” - Notify the complainant formally as to its decision regarding the complaint and the procedure it undergoes” (p.2)
	Process	N/A	<i>PEFC Spain stated that no complaints were received. This was confirmed by the responses of the questionnaires</i>
4.6 The standardising body shall establish at	Procedures	YES	Spain_Part I_STC162_CONFLICT RESOLUTION PROCEDURE: “Substantiated claims or complaints should be submitted to the Secretariat of the Committee



Question	Assess. basis*	YES /NO*	Reference to application documents
least one contact point for enquiries and complaints relating to its standard-setting activities. The contact point shall be made easily available.			(normalizacion@aenor.es) and should include all informative data regarding the specific case.”
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>Regulations for Standardisation Technical Committees:</p> <p>“3.1.1 The composition of an STC shall be such that it ensures fair representation of the agents involved in its relevant field of activity, such as users, consumers, manufacturing and service companies, and shall be open to representatives of Government Agencies, assay laboratories and research centres, among others.</p> <p>An STC shall comprise: [...]</p> <ul style="list-style-type: none"> — Member representatives of manufacturers, consumers or users, government bodies and, when the nature of its business so warrants: Laboratories, Research Institutes, Innovation & Technology Centres, etc. — A representative member of any other STC with a stake in its business.” (p.9)
	Process	YES	<p>Standards Revision Work Programme 162:</p> <p>“All stakeholders with interests in forest management were invited to take part in the forum or STC, which thus maintains a balanced and highly representative structure made up of over fifty-five voting members, representatives, among others, of both public and private forest owners and managers, trade unions, professional colleges, industrial associations, public and private research institutes, forest-based industries,</p>

Question	Assess. basis*	YES /NO*	Reference to application documents
			<p>consulting firms, public entities, universities and end consumers, and an invitation to leading environmental groups from the Spanish forestry sector.” (p.1)</p> <p>Minutes 1/11, section 6:</p> <p>“the following stakeholders are deemed essential for the purposes of the STC:</p> <ul style="list-style-type: none"> - enterprises and industry / children and youngsters / forest owners - local authorities / non-government organisations - science and technology community / women / workers and trade unions. <p>In this sense, the meeting was informed that acceptance or refusal of applications to join STC 162 must take the requisite of maintaining a balance of interests into account.</p> <p>Organisations that have applied as candidates are :</p> <ul style="list-style-type: none"> - Govt. of Navarra - Govt. of Castilla y León - ESCRA - CREIF - CECU <p>Once candidates had been assessed, the following agreement was reached:</p> <p>AGREEMENT 03/11 APPROVE THE FOLLOWING ENTITIES AS NEW MEMBERS OF STC162: GOVERNMENT OF NAVARRA, GOVERNMENT OF CASTILLA Y LEÓN, ESCRA, CREIF, CECU”</p>



Question	Assess. basis*	YES /NO*	Reference to application documents
			<p>List members STC162&SC2:</p> <p><i>For the STC162, the following stakeholder groups were best represented: enterprises and industry (28%), local authorities (25%), science and technology community (19%) and forest owners (14%). The stakeholder groups of women (0%), indigenous peoples (0%) and children & youngsters (1%) were underrepresented.</i></p> <p><i>For the SC2, the exact same percentages apply (not counting 5 members for which the stakeholder category has not been determined).</i></p> <p><i>The stakeholder group of NGOs seems somewhat underrepresented, especially given the fact that PEFC Spain is also allocated to this category. However, many (9-10) NGOs were invited to take part in one or both working groups.</i></p> <p><i>Overall, stakeholders agreed that a balanced representation of stakeholders was achieved, although one stakeholder indicated that research institutes were poorly represented and another stakeholder indicated to miss the active participation environmental NGOs.</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>Regulations for Standardisation Technical Committees:</p> <p>“3.1.1 The composition of an STC shall be such that it ensures fair representation of the agents involved in its relevant field of activity, such as users, consumers, manufacturing and service companies, and shall be open to representatives of Government Agencies, assay laboratories and research centres, among others.</p> <p>An STC shall comprise: [...]</p> <ul style="list-style-type: none"> — Member representatives of manufacturers, consumers or users, government bodies and, when the nature of its business so warrants: Laboratories, Research Institutes, Innovation & Technology Centres, etc. — A representative member of any other STC with a stake in its business.” (p.9) <p>Spain_Part I_STC162_OPERATING AGREEMENT:</p>

Question	Assess. basis*	YES /NO*	Reference to application documents
			<p>“The Committee is required to identify key and disadvantaged stakeholders and actively encourage their participation in and contribution to the Sustainable Forest Management standardisation process.”</p>
<p>5.3 The standardising body shall make a public announcement of the start of the standard-setting process and include an invitation for participation in a timely manner on its website and in suitable media as appropriate to afford stakeholders an opportunity for meaningful contributions.</p>	<p>Process</p>	<p>YES</p>	<p><i>A number of NGOs are not in favour of PEFC schemes in general. That most likely explains the rather limited share of stakeholder participation from NGO groups (3 members ~ 4% and 4 members ~ 6%), especially given the fact that PEFC Spain is also allocated to this category. However, many (9-10) NGOs were invited to take part in one or both working groups.</i></p> <p><i>However, multiple NGOs were invited to get actively involved in the standard revision activities.</i></p>
	<p>Procedures</p>	<p>YES</p>	<p>Standards Revision Work Programme 162, Chapter 5, phase 1:</p> <p>“Phase 1: Preliminary work Activities</p> <ul style="list-style-type: none"> • Public announcement of STC 162 establishment • Mapping of stakeholders and interest groups. STC reactivated and convened. Invitation sent to STC 162 members and other stakeholders.” (p.4) <p>Regulations Standardisation Technical Committee:</p> <p>“STC meetings shall be convened by its President, at his own initiative or at the request of at least 25% of the voting members, by means of written notification sent electronically at least 15 days prior to the planned date of the meeting and enclosing the agenda, which shall include those matters approved at the previous meeting.</p> <p>However, in cases of justified urgency, the President may call a meeting to be held within a minimum period of 7 days. In any case, the agenda of the meeting must be included.” (p.14-15)</p>

Question	Assess. basis*	YES /NO*	Reference to application documents
	Process	YES	<p><i>In the PEFC newsletter of October 2011, an announcement was included on the revision of the Spanish Forest Certification System. This included an invitation to entities interested in participating to solicit at AENOR.</i></p> <p><i>No announcement was placed on the PEFC Spain website directly, but the newsletter of October 2011 is placed on the website.</i></p> <p><i>STC261 members and newly identified stakeholders were approached by e-mail 18th/ 20th of October/ 2nd November to participate in the revision of the standard-setting process. The first meeting was held 8th of November, so according to the procedures the invitation was sent in a timely manner.</i></p>
5.3 The announcement and invitation shall include:			
a) information about the objectives, scope and the steps of the standard-setting process and its timetable,	Procedures	YES	<p>Spain_Part I_STC162_OPERATING AGREEMENT: “The announcement and invitations to stakeholders interested in participating in the work of the Committee shall include: a) information on the objectives, scope and phases of the standardisation process and its work schedule.” (p.1)</p>
	Process	YES	<p><i>The invitation included the objectives, the agenda for the first meeting on 8th of November as well as a proposed work plan. PEFC stated that this work plan is the same as the STC work programme, which included the steps of the standard-setting process and a timetable.</i></p>
b) information about opportunities for stakeholders to participate in the process,	Procedures	YES	<p>Spain_Part I_STC162_OPERATING AGREEMENT: “The announcement and invitations to stakeholders interested in participating in the work of the Committee shall include: [...] b) information about ways of participating.” (p.1)</p>
	Process	YES	<p>Invitation members STC162: (Google translation Spanish – English)</p>

Question	Assess. basis*	YES /NO*	Reference to application documents
			<p>“Given the nature of your organization and influence the sustainable management of forests Spanish have on the environment, rural development and the present and future economy, we believe it would be important to have this meeting with the presence of your organization as of guest so that they can be informed of future developments of the normative documents currently in force.</p> <p>Therefore, if from the topics discussed at the meeting should arise the interest of the organization you represent to be part of CTN 162, we inform you that in point 6 of the agenda of the meeting will be discussed including new members and would proceed to submit your request in that paragraph.</p> <p>I hope this initiative will be well received by your organization and can count on your participation in the plenary meeting of CTN-162 Sustainable Forest Management.” (p.1)</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>Spain_Part I_STC162_OPERATING AGREEMENT: “The announcement and invitations to stakeholders interested in participating in the work of the Committee shall include: [...]” c) invitation to appoint representatives. Invitations to key or disadvantaged stakeholders shall be made in such a way as to ensure they reach the target recipients in an understandable format. d) invitation to comment on the standardisation process and its scope.” (p.1)</p>
	Process	YES	<p>Invitation members STC162: (Google translation Spanish – English)</p> <p>“... if from the topics discussed at the meeting should arise the interest of the organization you represent to be part of CTN 162, we inform you that in point 6 of the agenda of the meeting will be discussed including new members and would proceed to submit your request in that paragraph.</p> <p>I hope this initiative will be well received by your organization and can count on your participation in the plenary meeting of CTN-162 Sustainable Forest Management.” (p.1)</p>

Question	Assess. basis*	YES /NO*	Reference to application documents
d) an invitation to comment on the scope and the standard-setting process, and	Procedures	YES	Spain_Part I_STC162_OPERATING AGREEMENT: “The announcement and invitations to stakeholders interested in participating in the work of the Committee shall include: [...] d) invitation to comment on the standardisation process and its scope.” (p.1)
	Process	NO	<i>Invitation did not invite stakeholder to comment on scope and standard-setting process.</i>
e) reference to publicly available standard-setting procedures.	Procedures	YES	Spain_Part I_STC162_OPERATING AGREEMENT: “The announcement and invitations to stakeholders interested in participating in the work of the Committee shall include: [...] e) reference to the fact the Standardisation Procedure is available to the public.” (p.1)
	Process	NO	<i>Invitation did not reference to publicly available standard-setting procedures, although they were publicly available.</i>
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	Procedures	YES	Spain_Part I_STC162_OPERATING AGREEMENT: “The standardisation process should be reviewed on the basis of the comments received following public announcement of the process, which may result in a modification of this STC 162 Operating Agreement.” (p.1) Standards Revision Work Programme: “According to AENOR Standardisation Regulations, membership of an STC shall be such that it ensures fair representation of the agents involved in its relevant field of activity, such as: users and consumers, manufacturing and service enterprises, and it shall be open to representatives of Government Agencies, assay laboratories and research centres, among others. [...] Acceptance or refusal of applications to join the STC must take the requisite of maintaining a balance of interests into account.[...] The general assembly shall establish Technical Sub-Committees or Working groups responsible for studying specific parts of the STC's work programme.” (p.3)

Question	Assess. basis*	YES /NO*	Reference to application documents
<p>on received nominations. The acceptance and refusal of nominations shall be justifiable in relation to the requirements for balanced representation of the working group/committee and resources available for the standard-setting.</p>	<p>Process</p>	<p>NO</p>	<p>Minutes 1/11: “5 COMMITTEE STRUCTURE SUB-COMMITTEES, WORKING GROUPS, ETC The meeting was informed that the current structure of the STC is as follows: SC1 – Vocabulary (UNE 162001:2007) SC2 – Criteria and indicators (UNE 162002:2007 parts 1 & 2) SC3 – Criteria for qualifying auditors and certifiers (UNE 162003:2001) SC 4 – Training This structure provides the necessary framework with which to revise standards UNE 162001 and UNE 162002. It was decided that revision of UNE 162002 should be undertaken by SC 2. Once the revision of UNE standard 162002 has been completed, UNE STANDARD 162001 will be updated with the new definitions agreed upon in standard UNE 162002. [...] “the meeting was informed that acceptance or refusal of applications to join STC 162 must take the requisite of maintaining a balance of interests into account. Organisations that have applied as candidates are : - Govt. of Navarra - Govt. of Castilla y León - ESCRA</p>

Question	Assess. basis*	YES /NO*	Reference to application documents
			<p>- CREIF</p> <p>- CECU</p> <p>Once candidates had been assessed, the following agreement was reached:</p> <p>AGREEMENT 03/11 APPROVE THE FOLLOWING ENTITIES AS NEW MEMBERS OF STC162: GOVERNMENT OF NAVARRA, GOVERNMENT OF CASTILLA Y LEÓN, ESCRA, CREIF, CECU” (p.4-5)</p> <p><i>No reference was found to support that the standard-setting process has been reviewed <u>based on comments received from public announcement.</u></i></p>
5.5 The work of the working group/committee shall be organised in an open and transparent manner where:			
a) working drafts shall be available to all members of the working group/committee,	Procedures	YES	Spain_Part I_STC162_OPERATING AGREEMENT: “ Working drafts of the Standard will be available to all members of the Committee or subcommittee.” (p.1)
	Process	YES	Minutes 1/11: <i>“The Secretary presented the proposed STC 162 work schedule for the remainder of 2011 and the year 2012. The house was informed that the proposed schedule is available to all members on the e-comite web.”</i> <i>PEFC Spain indicated that working drafts were also listed at the e-comité and members of the committees received an e-mail as soon as a new document was uploaded on the e-comité. The answers from the questionnaires confirmed this.</i>
b) all members of the working group shall be provided with	Procedures	YES	Regulations Standardisation Technical Committee; 3 Organisation of an STC 3.2.2 It is the President’s role to call and preside over meetings of the STC, as well as to direct debates and ensure fulfilment of all agreements. The President shall demonstrate strict neutrality in the exercise of his/her functions.

Question	Assess. basis*	YES /NO*	Reference to application documents
<p>meaningful opportunities to contribute to the development or revision of the standard and submit comments to the working drafts, and</p>			<p>“3.4.1 It is the voting members' responsibility to participate actively in all programmed work. [...] STCs shall implement the following functions in the field of activity assigned to them, upholding the principles of independence, objectivity, proportionality and transparency:” (p.12)</p> <p>4 STC operations; 4.1 Functions of the STC: STCs shall implement the following functions in the field of activity assigned to them, upholding the principles of independence, objectivity, proportionality and transparency: a) Propose an annual schedule of work. b) Propose the wording of new regulatory documents as well as the confirmation, review and cancellation of existing regulations. c) Draw up and propose, where applicable, future UNE standards to be presented for public information. d) Draw up proposals for UNE standards to be adopted as national standards. [...]</p>
	<p>Process</p>	<p>YES</p>	<p>E-mail 10th of May 2012: (Google Translate Spanish → English) “Dear members: Attached you can find the text of the PNE 162002 AEN / CTN 162/SC 2 proposes to the plenary for approval sent to Public Information. As known in the plenary meeting of CTN 162 in November 2011, it was decided that the SC 2 began the work of revising the 162002-1:2007 and 162002-2:2007 UNE since the mandatory review period the UNE (five-year) was very next. In this sense, I do beg to get their vote and comments, if any, in the format of a file before the next 2012-05-24. Thanking you in advance for your support, I look forward to hearing from you.” <i>All stakeholders that filled in the questionnaire responded positively to the question if they have been</i></p>

Question	Assess. basis*	YES /NO*	Reference to application documents				
			<i>provided with meaningful opportunities to contribute to the development or revision of the standard and submit comments to the working drafts.</i>				
c) comments and views submitted by any member of the working group/committee shall be considered in an open and transparent way and their resolution and proposed changes shall be recorded.	Procedures	YES	<p>Regulations Standardisation Technical Committee:</p> <p>“3.4.1 It is the voting members' responsibility to participate actively in all programmed work.(p.12) [...] STCs shall implement the following functions in the field of activity assigned to them, upholding the principles of independence, objectivity, proportionality and transparency: [...] l) Respond to consultations that may be laid before it about technical matters regarding standardisation in its sector. (p.13-14)</p> <p>4.4.6 All agreements taken during meetings that are directly related to work in progress or the approval of documents must be recorded in the minutes that the Secretary is required to write up for each meeting held. [...]</p> <p>4.4.7 The minutes may be approved in any of the following three ways: — At the end of the meeting in question. — At the beginning of the next meeting convened. — By postal vote, which includes the use of electronic means.” (p.17)</p> <p>Standards Revision Work Programme:</p> <table border="1" data-bbox="772 1066 2013 1319"> <thead> <tr> <th data-bbox="772 1066 1059 1121">Aim</th> <th data-bbox="1059 1066 2013 1121">Activities</th> </tr> </thead> <tbody> <tr> <td data-bbox="772 1121 1059 1319">To open draft standards to consultation by a broad spectrum of stakeholders</td> <td data-bbox="1059 1121 2013 1319"> <ul style="list-style-type: none"> • [...] • Comments received recorded by the STC 162 Secretary and proposed actions in view of those comments </td> </tr> </tbody> </table>	Aim	Activities	To open draft standards to consultation by a broad spectrum of stakeholders	<ul style="list-style-type: none"> • [...] • Comments received recorded by the STC 162 Secretary and proposed actions in view of those comments
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Question	Assess. basis*	YES /NO*	Reference to application documents
	Process	YES	<p>E-mail 10th of May 2012: (Google Translate Spanish → English) “Dear members:</p> <p>Attached you can find the text of the PNE 162002 AEN / CTN 162/SC 2 proposes to the plenary for approval sent to Public Information.</p> <p>As known in the plenary meeting of CTN 162 in November 2011, it was decided that the SC 2 began the work of revising the 162002-1:2007 and 162002-2:2007 UNE since the mandatory review period the UNE (five-year) was very next.</p> <p>In this sense, I do beg to get their vote and comments, if any, in the format of a file before the next 2012-05-24.</p> <p>Thanking you in advance for your support, I look forward to hearing from you.”</p>
5.6 The standardising body shall organise a public consultation on the enquiry draft and shall ensure that:			
a) the start and the end of the public consultation is announced in a timely manner in suitable media,	Procedures	YES	<p>Spain_Part I_STC162_OPERATING AGREEMENT: 3. Period of Public Consultation The STC 162’s draft standards, unless otherwise indicated, shall be subjected to a period of public consultation lasting 60 days, counting from the day they are approved by the STC for transfer to the public information stage. The draft standards shall be accessible to the public either by publication in the Official Gazette, or through suitable websites, publications, press releases, etc..</p> <p>Announcement of the start and end dates of the period of public consultation of the Draft Standards shall be made in due time and manner.”(p.3)</p>
	Process	YES	<i>In April 2012, an announcement was made on the start of the public consultation in the PEFC newsletter. No</i>

Question	Assess. basis*	YES /NO*	Reference to application documents				
			<p><i>end date was mentioned though. In the newsletter of August 2012, the end date of 16 August was mentioned.</i></p> <p><i>7th of June, an announcement was made on the website www.pefc.es stating that the public consultation period would last at least 60 days. However no specific start and end date was mentioned.</i></p> <p><i>11th of June, an announcement was made on Facebook that the public consultation period has commenced and that interested stakeholders were invited to comment on it.</i></p> <p><i>On 20 July 2012, an announcement was made on Twitter that the public consultation period would end on 16 August 2012.</i></p> <p><i>Room for improvement: it would be preferable to mention the start and end date in every announcement on the public consultation period to provide more clarity.</i></p>				
<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,</p>	<p>Procedures</p>	<p>YES</p>	<p>Standards Revision Work Programme:</p> <table border="1" data-bbox="772 882 2016 1227"> <thead> <tr> <th data-bbox="772 882 1059 938">Aim</th> <th data-bbox="1059 882 2016 938">Activities</th> </tr> </thead> <tbody> <tr> <td data-bbox="772 938 1059 1227"> <p>To open draft standards to consultation by a broad spectrum of stakeholders</p> </td> <td data-bbox="1059 938 2016 1227"> <ul style="list-style-type: none"> • [...] • Publication of the commencement of the public consultation period through Press Releases, PEFC Newsletters, UNE Informa or PEFC España website. • Official announcement of public consultation in State Gazette • [...] </td> </tr> </tbody> </table> <p>Regulations for Standardisation Technical Committee:</p>	Aim	Activities	<p>To open draft standards to consultation by a broad spectrum of stakeholders</p>	<ul style="list-style-type: none"> • [...] • Publication of the commencement of the public consultation period through Press Releases, PEFC Newsletters, UNE Informa or PEFC España website. • Official announcement of public consultation in State Gazette • [...]
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<p>To open draft standards to consultation by a broad spectrum of stakeholders</p>	<ul style="list-style-type: none"> • [...] • Publication of the commencement of the public consultation period through Press Releases, PEFC Newsletters, UNE Informa or PEFC España website. • Official announcement of public consultation in State Gazette • [...] 						

Question	Assess. basis*	YES /NO*	Reference to application documents
			“4.8.4 When the observations made about a draft during the public consultation stage come from an entity that does not form part of the STC, the President, by means of the Secretary, shall invite that entity to participate as an observer at the next meeting of the STC when those remarks are due to be studied, or alternatively shall advise it reasonably of the decision taken with regard to such comments.” (p.21)
	Process	YES	<i>The announcement of the public consultation period was made via various media: newsletter, website www.pefc.es, Twitter, Facebook. In this way, efforts are made that the information reaches its recipient. Although the exact opening and closing date of the public consultation period was not clear, stakeholders were invited to submit their comments on the draft standards.</i>
c) the enquiry draft is publicly available and accessible,	Procedures	YES	3.5.5 Spanish STC162 01/09: “Period of Public Consultation All projected standards proposed by the STC 162, unless otherwise indicated, shall be subject to a period of at least 60 days’ public consultation counting from the day the STC approves them for public presentation. Said projected standards shall be made available to the public through publication in the State Gazette or on websites, in printed media, press releases, etc.” (p.2)
	Process	YES	<i>The draft standards could be downloaded from the website www.pefc.es.</i>
d) the public consultation is for at least 60 days,	Procedures	YES	Spanish STC162 – 01/09: “All projected standards proposed by the STC 162, unless otherwise indicated, shall be subject to a period of at least 60 days’ public consultation counting from the day the STC approves them for public presentation.” (p.2)
	Process	YES	<i>To the question if the public consultation period lasted 60 days, most stakeholders answered ‘yes’ in the</i>

Question	Assess. basis*	YES /NO*	Reference to application documents
			<p><i>questionnaire. One stakeholder indicated “I think so, but I have not been aware of the formal aspects of the processing”, another stakeholder indicated 30 days. This indicates that it was not 100% clear to everyone.</i></p> <p><i>16 August was the end date of the public consultation period. Various announcements were made stating that the public consultation period has commenced: in April 2012, 7th June 2012, 11th June 2012. For each of these dates applies that the public consultation period has lasted for at least 60 days.</i></p>
<p>e) all comments received are considered by the working group/committee in an objective manner,</p>	<p>Procedures</p>	<p>YES</p>	<p>Regulations Standardisation Technical Committee:</p> <p>“STCs shall implement the following functions in the field of activity assigned to them, upholding the principles of independence, objectivity, proportionality and transparency: [...]”</p> <p>l) Respond to consultations that may be laid before it about technical matters regarding standardisation in its sector.” (p.13-14)</p> <p>Work Procedure Manual STC:</p> <p>“During the period of public information, any individual person or legal entity may send AENOR or the secretary of the committee whatever remarks or observations he/she considers appropriate about the text of the project, for further consideration by the Committee.</p> <p>The technical services of AENOR must be informed of all remarks thus received by the Secretary of the Committee so as to include them in the Standard archives. The Committee should also consider and analyse any remarks or observations from representatives of other standardisation boards, members of CEN/CENELEC or ETSI, as well as allow them to participate in meetings if they ask to do so .</p> <p>The secretary should collect all comments and remarks received during the public information stage and send them to all the members of the committee together with proposed actions (to be discussed in a meeting, accept observation, etc.) depending on the nature of each remark. If it is a matter to be discussed in a meeting, the secretary, with the President’s authority, may invite the persons making the proposal, who nevertheless must be informed of the decision taken so that they can make their counter-allegations within</p>

Question	Assess. basis*	YES /NO*	Reference to application documents
			two months of the remark or observation being received.”(p.8)
	Process	YES	<i>All stakeholders that filled in the questionnaire responded positively to the question if all comments received during the public consultation have been considered in an objective manner by the working group/committee.</i>
(f) a synopsis of received comments compiled from material issues, including the results of their consideration, is publicly available, for example on a website.	Procedures	YES	<p>Work Procedure Manual STC:</p> <p>“The secretary should collect all comments and remarks received during the public information stage and send them to all the members of the committee together with proposed actions (to be discussed in a meeting, accept observation, etc.) depending on the nature of each remark.” (p.8)</p> <p>Spain Part I STC162 OPERATING AGREEMENT:</p> <p>“ Public access, (e.g. via the www), shall be arranged to documentation regarding the development and progress of the standardisation process, as well as development reports, minutes of meetings and a synopsis of the comments received, sorted by topic, including the outcome of their assessment.” (p.2)</p>
	Process	NO	<i>A synopsis was made of all received comments and the results of their consideration. PEFC Spain stated that this resume was shared on the e-comité and at the time also on the website. For the latter, no specific proof was presented to confirm this.</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	Procedures	N/A	<i>Not applicable as it does not concern a <u>new standard</u>.</i>
	Process	N/A	<i>Not applicable as it does not concern a <u>new standard</u>.</i>

Question	Assess. basis*	YES /NO*	Reference to application documents
group/committee.			
5.8 The decision of the working group to recommend the final draft for formal approval shall be taken on the basis of a consensus.	Procedures	YES	<p>Spain_Part I_STC162_OPERATING AGREEMENT: “2. Standardisation through Consensus between stakeholders The Committee will work through consensus.”(p.2)</p> <p>Regulations for Standardisation Technical Committee:</p> <p>“4.4.5.a) When approving standards and confirming or cancelling current standards, as well as for formal votes on European standards, consensus is to be sought and under no circumstances may the number of votes against the motion be equal or greater than one third of the total number of votes cast, not counting abstentions.”(p.16)</p> <p>Standards Revision Work Programme: “• Achieve consensus among members of STC 162 for the Proposed UNE Standards to be approved” (p.5)</p>
	Process	YES	<p>Minutes STC162 SC2 2/10/2012:</p> <p>“On 24/5/2012, the STC 162 General Assembly gave its unanimous approval (postal vote) for PNE 162.001 on Terminology and Vocabulary and PNE 162.002 of Criteria and Indicators to be presented for public consultation.” (p.2)”</p> <p><i>Responses from the questionnaires confirmed that the decision was taken on the basis of consensus which was finally 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	Procedures	YES	Regulations for Standardisation Technical Committee:

Question	Assess. basis*	YES /NO*	Reference to application documents
meeting where there is a verbal yes/no vote, show of hands for a yes/no vote; a statement on consensus from the Chair where there are no dissenting voices or hands (votes); a formal balloting process, etc.,			“4.4.3 STC agreements shall preferably be adopted by consensus. However, should a vote be necessary, agreement shall be carried by simple majority of the votes cast both in person and by proxy, without taking abstentions into account. Should any entity have several representatives at the meeting, that entity shall only have one effective vote The minutes shall duly record the names of those members that abstain or votes against the motion. In the event of a tie, the President, or whoever is performing such a function at the time, shall have the casting vote.” (p.16)
	Process	N/A	
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	Regulations for Standardisation Technical Committee: “4.5.6 Agreements by postal vote shall be adopted by simple majority of the number of votes received, provided that no more than a third of votes cast, not counting abstentions, stand against the motion. Proxy voting is not permitted for postal votes.” (p.18)
	Process	YES	E-mail 10th of May 2012: (Google Translate Spanish → English) “Dear members: Attached you can find the text of the PNE 162002 AEN / CTN 162/SC 2 proposes to the plenary for approval

Question	Assess. basis*	YES /NO*	Reference to application documents
			<p>sent to Public Information.</p> <p>As known in the plenary meeting of CTN 162 in November 2011, it was decided that the SC 2 began the work of revising the 162002-1:2007 and 162002-2:2007 UNE since the mandatory review period the UNE (five-year) was very next.</p> <p>In this sense, I do beg to get their vote and comments, if any, in the format of a file before the next 2012-05-24.</p> <p>Thanking you in advance for your support, I look forward to hearing from you.</p> <p>Regards,</p> <p>Minutes STC162 SC2 2/10/2012:</p> <p>“On 24/5/2012, the STC 162 General Assembly gave its unanimous approval (postal vote) for PNE 162.001 on Terminology and Vocabulary and PNE 162.002 of Criteria and Indicators to be presented for public consultation.” (p.2)</p>
d) combinations thereof.	Procedures	YES	<p>Spanish STC 01/09:</p> <p>“In order to ensure consensus between the parties involved in setting standards, agreement of essential matters shall be by vote, thus enabling any opposition to be recognised.</p> <p>All votes shall be registered in the relevant minutes and may be performed verbally, by raising of hands, secret ballot, proxy (e-mail/FAX/etc) or by any other means agreed by the Committee.” (p.1)</p>
	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			

Question	Assess. basis*	YES /NO*	Reference to application documents
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	Spanish STC 01/09: “In the event that sustained opposition is expressed by any stakeholder with regard to an essential matter, said matter shall be settled by way of the following mechanism: - Debate and negotiation of the matter within the STC or sub-committee in question,” (p.1)
	Process	N/A	<i>No reference was found in the process. It is possible that there was no sustained 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	Spanish STC 01/09: “In the event that sustained opposition is expressed by any stakeholder with regard to an essential matter, said matter shall be settled by way of the following mechanism: [...] - Direct negotiation between the stakeholders with differing positions,” (p.1)
	Process	N/A	<i>No reference was found in the process. It is possible that there was no sustained opposition.</i>
c) dispute resolution process.	Procedures	YES	Spanish STC 01/09: “In the event that sustained opposition is expressed by any stakeholder with regard to an essential matter, said matter shall be settled by way of the following mechanism: [...] - Submission of the matter to the STC 162 Board of Conflict Settlement” (p.1)
	Process	N/A	<i>No reference was found in the process. It is possible that there was no sustained opposition.</i>



Question	Assess. basis*	YES /NO*	Reference to application documents
5.10 Documentation on the implementation of the standard-setting process shall be made publicly available.	Procedures	YES	Spain_Part I_STC162_OPERATING AGREEMENT: 1. <i>Public participation (paragraph 7) .</i> “Public access, (e.g. via the www), shall be arranged to documentation regarding the development and progress of the standardization process, as well as development reports, minutes of meetings and a synopsis of the comments received, sorted by topic, including the outcome of their assessment. “
	Process	NO	<i>Development report, minutes etc. could not be found on the website www.pefc.es.</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	NO	Spain_Part I_STC162_OPERATING AGREEMENT: “2. Standardisation through Consensus between stakeholders The Committee will work through consensus.”(p.2) Work Procedure Manual STC: “Once the proposal has been approved by the Committee, the secretary checks that the final text includes such agreements and meets the indications given in the <i>Guide to Drafting UNE Normative Documents</i> , for the proposal to be sent thereafter to the technical services of AENOR in the prescribed format and with the corresponding notification as attachment, for it to be submitted for final approval from the managing bodies of AENOR.” (p.9) <i>No reference could be found that standards/normative documents shall be approved based on evidence of consensus reached by working group/committee.</i>
	Process	YES	E-mail 25th February 2013: (Google Translate Spanish → English) “Dear members: We inform you that the vote for the final edition of the UNE 162001 and UNE 162002 was approved by

Question	Assess. basis*	YES /NO*	Reference to application documents
			<p>unanimous vote cast.</p> <p>In this respect I inform you that we have proceeded to edit them.</p> <p>Accept, accept my best regards.”</p>
<p>5.12 The formally approved standards/normative documents shall be published in a timely manner and made publicly available.</p>	Procedures	YES	<p>Spain_PartI_STC162_OPERATING AGREEMENT:</p> <p>“The approved Standards shall be published within six months after their approval.”</p>
	Process	YES	<p><i>In March 2013, an announcement was made on the revised standards for forest management in AENOR's magazine NORMAS AL DIA No 280. 25 March, the revised standards were published in the BOLETÍN OFICIAL DEL ESTADO. 15 April 2013, the revised UNE 16001 and UNE 16002 standards were published in ASPAPEL newsletter.</i></p> <p><i>It is unclear what 'a timely manner' means exactly. Knowing that the final standard was approved end of February 2013, publication in March/April seems timely.</i></p>
Revisions of standards/normative documents			
<p>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</p>	Process	YES	<p><i>The revised Spanish Forest Management Standards were approved at General Assembly meeting held in June 2008. In February 2013, the revised standard was approved after the second revision has taken place. The period between the first revision and the second revision was 4 years and 8 months.</i></p>

Question	Assess. basis*	YES /NO*	Reference to application documents
documents shall follow those set out in chapter 5.			
6.2 The revision shall define the application date and transition date of the revised standards/normative documents.	Process	YES	<p>Spanish scheme DT 2013/02/20:</p> <p>“For the full application of this version of the Spanish Forest Certification Scheme, a transitory period of 12 months is established, during which time both schemes shall be valid. Once the transition period has concluded, all programmed audits must be based on the new Spanish Scheme.” (p.30).</p> <p><i>The Scheme was approved by the General assembly of PEFC Spain on 20 February 2013.</i></p>
6.3 The application date shall not exceed a period of one year from the publication of the standard. This is needed for the endorsement of the revised standards/normative documents, introducing the changes, information dissemination and training.	Process	YES	<p>Spanish scheme DT 2013/02/20:</p> <p>“For the full application of this version of the Spanish Forest Certification Scheme, a transitory period of 12 months is established, during which time both schemes shall be valid. Once the transition period has concluded, all programmed audits must be based on the new Spanish Scheme.” (p.30)</p>

Question	Assess. basis*	YES /NO*	Reference to application documents
<p>6.4 The transition date shall not exceed a period of one year except in justified exceptional circumstances where the implementation of the revised standards/normative documents requires a longer period.</p>	<p>Process</p>	<p>N/A</p>	<p>See 6.3</p>

PART II: MINIMUM REQUIREMENTS CHECKLIST FOR GROUP FOREST MANAGEMENT CERTIFICATION (PEFC ST 1002:2010)

3 Scope

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

4 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	Spanish SCHEME - DT_2013_02_20, 7.1: “The regional applicant entity must proffer access to forest certification for all forestlands in the region belonging to owners or managers interested in the certification process, provided that said forestlands comply with the requisites laid down by the Spanish Scheme.”
b) the group entity,	Yes	Spanish SCHEME - DT_2013_02_20, 7.1: ” Group Applicant Entity: Group Forest Certification requires owners/managers interested group and a legally constituted Association, which will then be Entity or enter into a legally documented agreement to determine Group’s Applicant Entity. That Group Applicant Entity shall represent the members of the of applying for and safekeeping the Group Forest Certificate.”
c) the participant,	Yes	Spanish SCHEME - DT_2013_02_20, 7.4: ” 7.4 Regional/Group Forest Certification member duties

Question	YES / NO*	Reference to scheme documentation
		Members may include persons or legal entities, both public or private, voluntarily interested in having forestlands managed in a sustainable fashion certified.”
d) the certified area,	Yes	Spanish SCHEME - DT_2013_02_20, 7.1: “The Group’s certified forestland area is the sum total of all the forestlands covered by the certificate.”
e) the group forest certificate, and	Yes	Spanish SCHEME - DT_2013_02_20, 7.3: “6. Guard and enforce the maintenance of the Regional/Group Forest Certificate issued by the Certifying Entity once the certification process has been successfully completed. Maintain a register of forestlands and members included in the regional/group forest certificate that clearly identifies the owner/manager, forestland and its location. “
f) the document confirming participation in group forest certification.	Yes	Spanish SCHEME - DT_2013_02_20, 7.3: “9. Provide each member with a copy of the Regional/Group Forest Certificate, including the annex that lists member forestlands, or a document of individual attestation, for forestlands included in the certification process. This document shall indicate the certificate number and its validity period, together with information about the Regional/Group Applicant Entity and the Certification Body that issued the certificate, but it shall not grant the holder the right to use the PEFC logo - such entitlement can only be granted by PEFC-España through a licence to use the PEFC logo and trademark”
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 scheme is addressed in any other forest management certification scheme that covers the forest owner.	Yes	Spanish SCHEME - DT_2013_02_20, 11.10 “10. Except for specific cases authorised by PEFC-España, the same forestland may not be included in more than one Sustainable Forest Management certificate . For those forests that are so authorised, in the event that a non-compliance is detected in one certificate, the corresponding certification body shall be responsible for giving adequate notification thereof to the other certification bodies and to PEFC-España”.

Question	YES / NO*	Reference to scheme documentation
<p>4.1.3 The forest certification scheme shall define requirements for group forest certification which ensure that participants' conformity with the sustainable forest management standard is centrally administered and is subject to central review and that all participants shall be subject to the internal monitoring programme.</p>	Yes	<p>Spanish SCHEME - DT_2013_02_20, 7.3: "1. Assume and enforce UNE standards 162.002 and the Regional Guidelines, where applicable, for Sustainable Forest Management in force to guarantee fulfilment by the forest management of the PEFC Spanish Certification Scheme. 2. Set up a Control Procedure to monitor members with regard to fulfilment of all their obligations, including preventive and corrective actions. As part of said Control Procedure, an internal audit shall be carried out each year of a representative sample of the forestland covered by the certificate that enables compliance with applicable Spanish Scheme requisites to be confirmed.</p> <p>6. Guard and enforce the maintenance of the Regional/Group Forest Certificate issued by the Certifying Entity once the certification process has been successfully completed. Maintain a register of forestlands and members included in the regional/group forest certificate that clearly identifies the owner/manager, forestland and its location."</p>
<p>4.1.4 The forest certification scheme shall define requirements for an annual internal monitoring programme that provides sufficient confidence in the conformity of the whole group organisation with the sustainable forest management standard.</p>	Yes	<p>Spanish SCHEME - DT_2013_02_20, 7.3: "2. Set up a Control Procedure to monitor members with regard to fulfilment of all their obligations, including preventive and corrective actions. As part of said Control Procedure, an internal audit shall be carried out each year of a representative sample of the forestland covered by the certificate that enables compliance with applicable Spanish Scheme requisites to be confirmed."</p> <p>Spanish SCHEME - DT_2013_02_20, p25: "For forest management certification audits, management units will be selected by sampling. The forestlands chosen in the sampling must be representative of all the forests opting for certification in terms of criteria for land usage, season quality, vegetation species, type of forest stand, forest activities or husbandry being performed, etc. In order to make the certification process more efficient, in the event that a large</p>

Question	YES / NO*	Reference to scheme documentation												
		<p>number of management plans need to be audited, the auditing team will concentrate its inspections by areas, districts or provinces. Sampling for the various audits is defined by parameters relating to 'n', where 'n' is the number of management plans opting for certification.”</p> <p>Spain_PartII_PG 6 2014 EN SamplingSFM: “As a general rule, the sampling ratios applicable to the 2013 Scheme are:</p> <table border="1" data-bbox="1021 555 2040 703"> <thead> <tr> <th></th> <th>Initial</th> <th>Follow-up</th> <th>Renewal</th> </tr> </thead> <tbody> <tr> <td>Individual</td> <td>\sqrt{n}</td> <td>$0.5 * \sqrt{(n/4)}$</td> <td>$[0.5 * \sqrt{(n/4)}] + 1$</td> </tr> <tr> <td>Group or Regional</td> <td>$0.6 * \sqrt{n}$</td> <td>$0.3 * \sqrt{(n/4)}$</td> <td>$[0.3 * \sqrt{(n/4)}] + 1$</td> </tr> </tbody> </table> <p>[...] In the event that a Management Plan comprising a series of independent member forestlands is selected for sampling, the previous method is to be applied again, in which case “n” is taken to be the number of “member plots”.” (p.1)</p>		Initial	Follow-up	Renewal	Individual	\sqrt{n}	$0.5 * \sqrt{(n/4)}$	$[0.5 * \sqrt{(n/4)}] + 1$	Group or Regional	$0.6 * \sqrt{n}$	$0.3 * \sqrt{(n/4)}$	$[0.3 * \sqrt{(n/4)}] + 1$
	Initial	Follow-up	Renewal											
Individual	\sqrt{n}	$0.5 * \sqrt{(n/4)}$	$[0.5 * \sqrt{(n/4)}] + 1$											
Group or Regional	$0.6 * \sqrt{n}$	$0.3 * \sqrt{(n/4)}$	$[0.3 * \sqrt{(n/4)}] + 1$											
Functions and responsibilities of the group entity														
4.2.1 The forest certification scheme shall define the following requirements for the function and responsibility of the group entity:														
a) To represent the group organisation in the certification process, including in communications and relationships with the certification body, submission of an application for certification, and contractual relationship with the certification body;	Yes	<p>Spanish SCHEME - DT_2013_02_20, 7.3: “That Group Applicant Entity shall represent the members of the Group and shall be in charge of applying for and safekeeping the Group Forest Certificate.”</p> <p>Spanish SCHEME - DT_2013_02_20, 7.3: “5. Provide technical assistance to the Certification body during the auditing process.”</p>												
b) To provide a commitment on behalf of the whole group	Yes	Spanish SCHEME - DT_2013_02_20, 7.3:												



Question	YES / NO*	Reference to scheme documentation
organisation to comply with the sustainable forest management standard and other applicable requirements of the forest certification scheme;		<p>"The Regional/Group Applicant Entity shall:</p> <p>1. Assume and enforce UNE standards 162.002 and the Regional Guidelines, where applicable, for Sustainable Forest Management in force to guarantee fulfilment by the forest management of the PEFC Spanish Certification Scheme."</p>
c) To establish written procedures for the management of the group organisation;	Yes	<p>Spanish SCHEME - DT_2013_02_20, 7.3:</p> <p>"2. Set up a Control Procedure to monitor members with regard to fulfilment of all their obligations, including preventive and corrective actions. As part of said Control Procedure, an internal audit shall be carried out each year of a representative sample of the forest land covered by the certificate that enables compliance with applicable Spanish Scheme requisites to be confirmed.</p> <p>7. Establish a procedure for inclusion and exclusion of members and/or forestlands in the Regional/Group Certificate that guarantees compliance with certification requisites and inform the certification body punctually of all new or excluded members."</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>Spanish SCHEME - DT_2013_02_20, 7.3:</p> <p>"The Regional/Group Applicant Entity shall:</p> <p>1. Assume and enforce UNE standards 162.002 and the Regional Guidelines, where applicable, for Sustainable Forest Management in force to guarantee fulfilment by the forest management of the PEFC Spanish Certification Scheme.</p> <p>2. Set up a Control Procedure to monitor members with regard to fulfilment of all their obligations, including preventive and corrective actions. As part of said Control Procedure, an internal audit shall be carried out each year of a representative sample of the forest land covered by the certificate that enables compliance with applicable Spanish Scheme requisites to be confirmed.</p> <p>6. Guard and enforce the maintenance of the Regional/Group Forest Certificate issued by the Certifying Entity once the certification process has been successfully completed. Maintain a register of forestlands and members included in the regional/group forest certificate that clearly identifies the owner/manager, forestland and its location."</p>

Question	YES / NO*	Reference to scheme documentation
		<p><i>No reference found that the cited paragraphs above includes that records shall be kept of conformity with SFM standard by participants and that records shall be kept of the review of the monitoring programme and any preventive or corrective actions are taken.</i></p> <p><i>No reference found that cited paragraphs above includes contact details of the forest owner</i></p> <p><i>In response to the non-conformity raised, PEFC Spain proposed to update the Scheme:</i></p> <p><i>Add at 2: “Records shall be kept of conformity with SFM standard by participants and that records shall be kept of the review of the monitoring programme and any preventive or corrective actions are taken”</i></p> <p><i>Add at 6: [Maintain a register of forestlands and members included in the regional/group forest certificate that clearly defines the owner/manager] “including their contacts details” [forestland and its location.].</i></p> <p><i>With these proposed revisions, the non-conformity is closed.</i></p>
<p>e) To establish connections with all participants based on a written agreement which shall include the participants’ commitment to comply with the sustainable forest management standard. The group entity shall have a written contract or other written agreement with all participants covering the right of the group entity to implement and enforce any corrective or preventive measures, and to initiate the exclusion of any participant from the scope of certification in the event of non-conformity with the sustainable forest management</p>	<p>YES</p>	<p>Spanish SCHEME - DT_2013_02_20, 7.3:</p> <p>“2. Set up a Control Procedure to monitor members with regard to fulfilment of all their obligations, including preventive and corrective actions. As part of said Control Procedure, an internal audit shall be carried out each year of a representative sample of the forest land covered by the certificate that enables compliance with applicable Spanish Scheme requisites to be confirmed.</p> <p>Spanish SCHEME - DT_2013_02_20, 7.4.2:</p> <p>“Regional/Group Forest Certification member duties:</p> <p>1. Declare in writing to the Regional/Group Applicant Entity the forestlands they manage and wish to include in the forest certificate.</p>



Question	YES / NO*	Reference to scheme documentation
standard		2. Commit expressly to complying with the obligations imposed by the Spanish Forest Certification Scheme.”
f) To provide participants with a document confirming participation in the group forest certification;	Yes	Spanish SCHEME - DT_2013_02_20, 7.3: “9. Provide each member with a copy of the Regional/Group Forest Certificate, including the annex that lists member forestlands, or a document of individual attestation, for forestlands included in the certification process. This document shall indicate the certificate number and its validity period, together with information about the Regional/Group Applicant Entity and the Certification Body that issued the certificate, but it shall not grant the holder the right to use the PEFC logo - such entitlement can only be granted by PEFC-España through a licence to use the PEFC logo and trademark”
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	Spanish SCHEME - DT_2013_02_20, 7.3: “3. Inform members and stakeholders regarding forest certification and of their entitlements and duties. “ “7.4.1 Regional/Group Forest Certification member entitlements Members shall be entitled to: 1. Receive information from the Regional/Group Applicant Entity about the certification process. 2. Obtain a copy of the Regional/Group Forest Certificate, including the annex that lists member forestlands or an equivalent certificate for their individual lands from the Certification body stating that their forests are included in the certification process.” (p.18)” <i>No reference is found that guidance is provided that is required for effective implementation of the sustainable forest management standard.</i> <i>In response to the non-conformity raised, PEFC Spain proposed the following rewording</i>

Question	YES / NO*	Reference to scheme documentation
		<p><i>of the scheme:</i> Add at ch7.3, point 3: [Inform] “and guide” [members and stakeholders regarding forest certification and of their entitlements and duties.] Add at ch 7.4, point 1: [Receive information] “and guidance” [from the Regional/Group Applicant Entity about the certification process.]</p> <p><i>With these proposed revisions, the non-conformity is closed.</i></p>
<p>h) To operate an annual internal monitoring programme that provides for the evaluation of the participants’ conformity with the certification requirements, and;</p>	<p>Yes</p>	<p>Spanish SCHEME - DT_2013_02_20, 7.3: “2. Set up a Control Procedure to monitor members with regard to fulfilment of all their obligations, including preventive and corrective actions. As part of said Control Procedure, an internal audit shall be carried out each year of a representative sample of the forest land covered by the certificate that enables compliance with applicable Spanish Scheme requisites to be confirmed.</p>
<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.</p>	<p>Yes</p>	<p>Spanish SCHEME - DT_2013_02_20, 7.3: “2. Set up a Control Procedure to monitor members with regard to fulfilment of all their obligations, including preventive and corrective actions. As part of said Control Procedure, an internal audit shall be carried out each year of a representative sample of the forest land covered by the certificate that enables compliance with applicable Spanish Scheme requisites to be confirmed.</p>
<p>Function and responsibilities of participants</p>		
<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</p>	<p>Yes</p>	<p>Spanish SCHEME - DT_2013_02_20, 7.4.2: “7.4.2 Regional/Group Forest Certification member duties Regional/Group Forest Certification member duties: 1. Declare in writing to the Regional/Group Applicant Entity the forestlands they</p>

Question	YES / NO*	Reference to scheme documentation
requirements of the forest certification scheme;		manage and wish to include in the forest certificate. 2. Commit expressly to complying with the obligations imposed by the Spanish Forest Certification Scheme.”
b) To comply with the sustainable forest management standard and other applicable requirements of the forest certification scheme;	Yes	Spanish SCHEME - DT_2013_02_20, 7.4.2: “7.4.2 Regional/Group Forest Certification member duties Regional/Group Forest Certification member duties: 1. Declare in writing to the Regional/Group Applicant Entity the forestlands they manage and wish to include in the forest certificate. 2. Commit expressly to complying with the obligations imposed by the Spanish Forest Certification Scheme.”
c) To provide full co-operation and assistance in responding effectively to all requests from the group entity or certification body for relevant data, documentation or other information; allowing access to the forest and other facilities, whether in connection with formal audits or reviews or otherwise;	Yes	Spanish SCHEME - DT_2013_02_20, 7.4.2: “4. Make available to the Regional/Group Applicant Entity and the Certification body whatever documents or facilities may be required for internal control and execution of the Certification audits.”
d) To implement relevant corrective and preventive actions established by the group entity.	Yes	Spanish SCHEME - DT_2013_02_20, 7.4.2: “7.4.2 Regional/Group Forest Certification member duties 2. Commit expressly to complying with the obligations imposed by the Spanish Forest Certification Scheme.” Spanish SCHEME - DT_2013_02_20, 7.3: “The Regional/Group Applicant Entity shall: 2. Set up a Control Procedure to monitor members with regard to fulfilment of all their obligations, including preventive and corrective actions. As part of said Control

Question	YES / NO*	Reference to scheme documentation
		Procedure, an internal audit shall be carried out each year of a representative sample of the forest land covered by the certificate that enables compliance with applicable Spanish Scheme requisites to be confirmed.

PART III: MINIMUM REQUIREMENTS CHECKLIST FOR SUSTAINABLE FOREST MANAGEMENT (PEFC ST 1003:2010)**1 Scope**

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

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	UNE 162002_2013 EN3.28 management unit: A forest area which is the object of sustainable forest management and which must fulfil the indicators set forth in UNE standard 162002, whether at the level of the management unit itself or at a higher level in which the management unit is included. Spanish SCHEME - DT_2013_02_20 page 6: "Forest management certification: is that in which the forest stewardship implemented in the forests of the applicant entity is the object of an audit by an independent third party to certify that such stewardship is performed in accordance with UNE standards 162.002 on Sustainable Forest Management and all relevant legislation.
b) be clear, objective-based and auditable.	YES	<i>Overall, the requirements stated in UNE 162002_2013 EN are clear and auditable. The requirements are set out in 'Justification', 'Aim/Target', 'Parameter' and 'Sources of information'. Justification, aim-target and parameters are normative and often clearly auditable. Sources of information are not</i>

Question	YES / NO*	Reference to scheme documentation
		<i>normative, but serve as examples for evidence.</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	Spanish SCHEME - DT_2013_02_20 page 6: “The Management Plan must include at least a description of the current status of the management unit, the long-term objectives, and the average annual permitted logging rate, with due justification thereof, as well as, where applicable, the annual permitted production rate of non-wood products under the control of the manager.” “ Forest Manager: An individual person or legal entity who, individually or through shared or coordinated management, is responsible for the management operations of the forest resources.”
d) require record-keeping that provides evidence of compliance with the requirements of the forest management standards.	Yes	Spanish SCHEME - DT_2013_02_20 7.3: “2. Set up a Control Procedure to monitor members with regard to fulfilment of all their obligations, including preventive and corrective actions. As part of said Control Procedure, an internal audit shall be carried out each year of a representative sample of the forestland covered by the certificate that enables compliance with applicable Spanish Scheme requisites to be confirmed.” 7. Establish a procedure for inclusion and exclusion of members and/or forestlands in the Regional/Group Certificate that guarantees compliance with certification requisites and inform the certification body punctually of all new or excluded members.”
Specific requirements for SFM standards		
Criterion 1: Maintenance and appropriate enhancement of forest resources and their contribution to the global carbon cycle		
5.1.1 Forest management planning shall aim to maintain or increase forests and other wooded areas and enhance the quality of the economic, ecological, cultural and social values of forest	Yes	<u>UNE 162002 2013 EN:</u> “1.1 Indicator: Forest area (C) Justification: a description of the management unit and monitoring of changes.

Question	YES / NO*	Reference to scheme documentation
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>Aim/target: to maintain or increase the forest area, especially wooded land, except for decreases as a result of actions to protect the forest itself (e.g. against fire) or other activities aimed at improving its multi-functionality.</p> <p>2.4 <u>Indicator: Damage prevention and correction measures in forests (D)</u></p> <p>Justification: In its planning and realisation, forest management must include suitable measures to minimise degradation of the forest soil and canopy (soil, canopy) due to biotic, abiotic and anthropic causes¹. Such measures include suitable use of natural structures and processes to increase the stand's vitality and strength, and the application of suitable stewardship practices, such as the proper execution of forestry operations and, generally, of all actions carried out in the forest.</p> <p>Aim/target: to include measures as part of forest management that minimise the risks of degradation and damage to the ecosystem according to general recommendations or guidelines on matters of health, when applicable.</p> <p>Parameter: existence of prevention and corrective measures, where necessary, and their description</p> <p>3.5 <u>Indicator: Management Plan (D)</u></p> <p>Justification: Sustainable forest management has to be carried out in a well-planned, orderly and technically viable fashion. Suitably sustainable management of the management unit is the basic element that guarantees its persistence and the optimisation of its long-term functions.</p> <p>Aim/target: To be in possession of an effective management plan.</p> <p>Parameter: the existence of an effective management plan, duly approved, validated and authorised by the relevant forestry authorities or approved by the relevant forestry professional</p>

Question	YES / NO*	Reference to scheme documentation
		<p>body.</p> <p>Sources of information: Regional Forest Structuring Plan (PORF) and other planning documents.</p> <p>5.1 <u>Indicator: Forest protective functions: soil, water and other ecosystem functions (D)</u></p> <p>Justification: the planning of the forest management must contemplate controlling possible erosion caused by the actions of the management programme. Preventive measures must be adopted for all potentially erosive actions and, if they do occur, adequately documented remedial actions are to be taken, taking into account at all times their medium and long-term effects. Forest management shall prevent any adverse effects on water quality. Special care is to be given to regulating the water cycle, stabilising water sources, protecting riverbanks, etc.</p> <p>Aim/target: to afford as much protection as possible to erosion-prone soil, water quality and riverbank forests. To adopt corrective measures where necessary.</p> <p>Parameters:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Identification of potentially sensitive areas; <input type="checkbox"/> Existence of suitably implemented preventive and corrective measures. <p>Sources of information: cartographic sources, stock counts, specialist literature, registry of erosion-affected areas, National Forest Inventory, National Inventory of Soil Erosion, forestry statistics, aerial photography, specifications or contracts governing outsourced forest operations, regional guidelines, other documents to be defined by the manager.</p> <p>6.3 <u>Indicator: Net revenue (C)</u></p>

Question	YES / NO*	Reference to scheme documentation
		<p>Justification: net revenue, as reported on financial statements, derived from managing the forest is a good indicator of its economic sustainability, although in many cases the most significant benefits are not quantifiable from the monetary point of view. It includes all pre-tax sources of income and expense directly related to the forest, including government subsidies.</p> <p>Aim/target: to improve the economic sustainability of forest management.</p> <p>Parameter: amount of net profit - actual or forecast - derived from revenues and expenses related to the forest management.</p> <p>Sources of information: economic reporting relating to the forest.</p> <p>4.1 <u>Indicator: Estimation of biodiversity (D)</u></p> <p>Justification: Biological diversity is directly related to the type and characteristics of the vegetation and wildlife it comprises and to the fundamental purpose of the management unit, characterised, among other factors, by the variety of species.</p> <p>Aim/target: to preserve or increase the quality of the biodiversity in a way compatible with the management unit's stated purpose.</p> <p>6.11 <u>Indicator: Cultural and spiritual values (D)</u></p> <p>Justification: forests have certain cultural and spiritual values attached to them for aesthetic, religious, artistic, and historical reasons, amongst others. Although such values are frequently intangible or personal, on occasions they are visible in concrete places and can be identified and, where applicable, protected.</p> <p>Examples of such areas are archaeological sites, unique specimens of trees, places with a</p>

Question	YES / NO*	Reference to scheme documentation
		<p>historical significance or where traditional ceremonies are carried out, exceptionally beautiful landscapes, etc.</p> <p>Aim/target: for forestry management to be respectful of clearly identified cultural and spiritual values.</p> <p>Parameters:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Cultural and spiritual values identified in the management plan; <input type="checkbox"/> Measures and guidelines for preserving cultural and spiritual values, in the event they are deemed necessary for protecting those values. <p>Sources of information: inventory of cultural assets or similar, inventory or registry of unique or comparable trees or settings.</p> <p>6.5 <u>Indicator: Employment in the forestry sector (C)</u></p> <p>Justification: the employment generated by a forest is an important indicator of its social benefits, especially for sustainable rural development. At the same time, suitably qualified human resources are required in sufficient numbers.</p> <p>Aim/target: to monitor employment statistics in the management unit and to enhance theoretical and/or practical training on Sustainable Forest Management.</p> <p>Parameters:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Amount of direct employment (number of days worked or number of employees); <input type="checkbox"/> training and awareness-building programs taught.

Question	YES / NO*	Reference to scheme documentation
		Sources of information: current legislation, personal interviews.
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.	Yes	Spanish SCHEME - DT_2013_02_20 p14.: "Forest management must include programmed inventories and planning, monitoring and assessment activities, as well as giving proper consideration to the social, environmental and economic impacts of the forest management. That is the basis of a continuous improvement process to minimise or prevent negative impacts
5.1.3 Inventory and mapping of forest resources shall be established and maintained, adequate to local and national conditions and in correspondence with the topics described in this document.	Yes	<p><u>UNE 162002_2013 EN:</u> "1.1 <u>Indicator: Forest area (C)</u></p> <p>Justification: a description of the management unit and monitoring of changes.</p> <p>Aim/target: to maintain or increase the forest area, especially wooded land, except for decreases as a result of actions to protect the forest itself (e.g. against fire) or other activities aimed at improving its multi-functionality.</p> <p>Parameters:</p> <ul style="list-style-type: none"> <input type="checkbox"/> forest area, wooded and non wooded land (absolute values); <input type="checkbox"/> surface area per species or vegetable formation (absolute values). <p>Sources of information: stock counts, cartographic sources (forest mapping, crop mapping and regional harvesting, etc), aerial photography and satellite imaging, LIDAR data, land registry, National Forest inventory, forestry statistics, agrarian census, catalogues.</p> <p>1.3 <u>Structure of the stand (C)</u></p>

Question	YES / NO*	Reference to scheme documentation
		<p>Justification: description of the forest lands that comprise the management unit and the structure of existing stands (age structure, diameter distribution, forest type, or others).</p> <p>Aim/target: to adjust the stand structure to the management objectives.</p> <p>Parameter (absolute and/or relative values): Forest area per type of structure</p> <p>Sources of information: inventories, cartographic sources, National Forest inventory, forestry statistics, forest mapping.</p> <p>1.6 <u>Indicator: Forestry information (D)</u></p> <p>Justification: The growing complexity of demands made of the forest and their scope in terms of time and space call for transparent, accessible and efficient information systems, as well as significant research, together with effective ways of participating.</p> <p>Aim/target: To make sources of information available (internal information, inventories, statistics, R+D+i, etc.) and to create mechanisms for participation.</p> <p>Parameters: existence of a mechanism to enable access to available data, for example concerning:</p> <ul style="list-style-type: none"> <input type="checkbox"/> forest inventories; <input type="checkbox"/> forestry statistics (logging, damage, replanting, investment, etc.); <input type="checkbox"/> Forestry R+D+i;

Question	YES / NO*	Reference to scheme documentation
		<p><input type="checkbox"/> participative forums;</p> <p><input type="checkbox"/> general or sector-specific studies.</p> <p>Sources of information: information from the regional entity, forest inventories, forestry statistics, forestry legislation, related websites.”</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><u>UNE 162002 2013 EN:</u> “3.5 <u>Indicator: Management Plan (D)</u></p> <p>Justification: Sustainable forest management has to be carried out in a well-planned, orderly and technically viable fashion. Suitably sustainable management of the management unit is the basic element that guarantees its persistence and the optimisation of its long-term functions.</p> <p>Aim/target: To be in possession of an effective management plan.</p> <p>Parameter: the existence of an effective management plan, duly approved, validated and authorised by the relevant forestry authorities or approved by the relevant forestry professional body.</p> <p>Sources of information: Regional Forest Structuring Plan (PORF) and other planning documents.“</p> <p>Provincial Council of Bizkaia - PROVINCIAL DECREE 71/2013, of May 7, laying down general instructions for the drafting, approval, monitoring and review of the Technical Plans for Sustainable Forest Management (PTGFS) and Simple Technical Plans Sustainable Forest Management (Simple PTGFS.) <u>Section 5-Validity and revision</u> <u>Validity and review of the PTGFS</u> 1. In general, the term of 10 years PTGFS be optionally can be 20 years to the mountains</p>

Question	YES / NO*	Reference to scheme documentation
		<p>populated with species of medium and slow growth. ...</p> <p>3. The validity of PTGFS may be suspended when the Department of Agriculture detected serious violations and / or communications related to the actions contained in the PTGFS, if the disclosure is mandatory.</p> <p>Autonomous Community of Catalonia - ORDER MAB/394/2003 of 18 September, which regulates the content, approval, review and monitoring of “forest management and improvement technical plans” (PTGMF) and “simple forest management plans” (PSGF)</p> <p><u>Article 4 - Validity</u></p> <p>4.1 The validity of PTGMF is 10 to 30 years and the PSGF, 10 to 15 years.</p> <p>4.2 At the request of stakeholders, plans may be revised from the 5th year of operation. However, they may be reviewed sooner for exceptional reasons, assessed by the competent authority to approve the instrument of forest management in accordance with Article 12.</p> <p>4.3 The plans may be extended upon review of its contents. Approval of the extension will be governed by the same procedures established for initial approval.</p>
<p>5.1.5 Management plans or their equivalents shall include at least a description of the current condition of the forest management unit, long-term objectives; and the average annual allowable cut, including its justification and, where relevant, the annually allowable exploitation of non-timber forest products.</p>	<p>Yes</p>	<p>Spanish SCHEME-DT_2013_02_20 page 14:</p> <p>“The Management Plan must include at least a description of the current status of the management unit, the long-term objectives, and the average annual permitted logging rate, with due justification thereof, as well as, where applicable, the annual permitted production rate of non-wood products under the control of the manager.”</p> <p>2.3.a UNE 162002_2013 EN:</p> <p>“3.1 <u>Indicator: Tree growth and logging rates (C)</u></p> <p>Justification: Monitoring and assessing growth and the growth:logging ratios provides valuable information about the characteristics of forest husbandry in the management unit.</p> <p>Aim/target: To monitor and assess overall production in terms of quality and quantity and how it</p>

Question	YES / NO*	Reference to scheme documentation
		<p>relates to long-term growth.</p> <p>To adjust logging to the biological growth or production rate, ensuring that any exceptions are duly justified.</p> <p>Parameters:</p> <ul style="list-style-type: none"> <input type="checkbox"/> tree and/or wood production: in units; <input type="checkbox"/> ratio between logging and wood increment or ratio between logging and biological production; <input type="checkbox"/> amount of wood products (round or cut wood) marketed. <p>Sources of information: management plan. Other related indicators. Forestry statistics and forest inventories.”</p>
<p>5.1.6 A summary of the forest management plan or its equivalent appropriate to the scope and scale of forest management, which contains information about the forest management measures to be applied, is publicly available. The summary may exclude confidential business and personal information and other information made confidential by national legislation or for the protection of cultural sites or sensitive natural resource features.</p>	<p>Yes</p>	<p>Spanish SCHEME-DT_2013_02_20 page 25: “The entity applying for Forest Management certification shall make available to all interested parties a summary of the forest management plan, or an equivalent that covers the extension and scale of the forest management, which contains all the forest management measures to be applied. Said abbreviated version may exclude confidential sales information and personal data or other suchlike considered confidential given national legislation or to protect cultural areas of places with sensitive natural resources.</p>
<p>5.1.7 Monitoring of forest resources and evaluation of their management shall be periodically performed, and results fed back into the planning process.</p>	<p>No</p>	<p>2.3.a UNE 162002_2013 EN: “3.5 <u>Indicator: Management Plan (D)</u></p> <p>Justification: Sustainable forest management has to be carried out in a well-planned, orderly and technically viable fashion. Suitably sustainable management of the management unit is the basic element that guarantees its persistence and the optimisation of its long-term functions.</p>

Question	YES / NO*	Reference to scheme documentation
		<p>Aim/target: To be in possession of an effective management plan.</p> <p>Parameter: the existence of an effective management plan, duly approved, validated and authorised by the relevant forestry authorities or approved by the relevant forestry professional body.</p> <p>Sources of information: Regional Forest Structuring Plan (PORF) and other planning documents.”</p> <p><i>Although several indicators include monitoring of several forest resource parameters, there is no reference found that monitoring and evaluation of these parameters shall be done periodically and that results shall be fed back into the planning progress.</i></p> <p><i>In response to the non-conformity raised, PEFC Spain provided explanation that this may partially be resulting from a translation issue. According to PEFC Spain: “The System in its Spanish version refers to term “seguimiento” that is defined as “to observe a situation for any changes which may occur over time”. It implies that the monitoring and evaluation of parameters have to be done periodically. The System sets out in the criteria that parameters have to be maintained and enhanced. Therefore, if during the monitoring and evaluation the parameters would get worse, the forest manager will have to feed into his/her management plan to maintain or enhance the conditions of such parameters.”</i></p> <p><i>The consultant does not agree with this explanation. Still no reference is made to a specific period for monitoring certain parameters at what intervals, or prescriptions guiding periodicity. Also, the feedback into management planning is not referred to.</i></p>
5.1.8 Responsibilities for sustainable forest management shall be clearly defined and assigned.	Yes	Spanish SCHEME - DT_2013_02_20 page 21: “Those entities applying for forest management certification must draw up a forest management system that includes the administration structure, action planning, responsibilities, practices, procedures, processes and resources, controls and revisions available to determine and execute the policy defined by the Applicant Entity and which



Question	YES / NO*	Reference to scheme documentation
		states the intentions, overall objectives and principles of action regarding the forest management to be implemented in their forests.”
5.1.9 Forest management practices shall safeguard the quantity and quality of the forest resources in the medium and long term by balancing harvesting and growth rates, and by preferring techniques that minimise direct or indirect damage to forest, soil or water resources.	Yes	<p>1.2 <u>Indicator: Wood or cork stock (M)</u></p> <p>Justification: Measuring the growing stock of wood or cork is one of the main characteristics and indicators with which to gauge the quality and sustainability of the stewardship.</p> <p>Aim/target: to attain stock levels in accordance with management objectives and regional forestry directives, when applicable.</p> <p>Parameter: stock levels or de-corked surface area</p> <p>Sources of information: regional forestry guidelines, reference figures (growth tables, production tables, empirical data from the area, etc), inventories.</p> <p>2.4 <u>Indicator: Damage prevention and correction measures in forests (D)</u></p> <p>Justification: In its planning and realisation, forest management must include suitable measures to minimise degradation of the forest soil and canopy (soil, canopy) due to biotic, abiotic and anthropic causes¹⁾. Such measures include suitable use of natural structures and processes to increase the stand's vitality and strength, and the application of suitable stewardship practices, such as the proper execution of forestry operations and, generally, of all actions carried out in the forest.</p> <p>Aim/target: to include measures as part of forest management that minimise the risks of degradation and damage to the ecosystem according to general recommendations or guidelines on matters of health, when applicable.</p> <p>Parameter: existence of prevention and corrective measures, where necessary, and their</p>

Question	YES / NO*	Reference to scheme documentation
		<p>description.</p> <p>Sources of information: samples/measurements of areas affected by damage, records of pests/disease, current forestry legislation, forest pasture or hunting management plans, specification of terms for Sustainable Forest Management. In the case of phytosanitary treatments: current legislation, bibliography, courses of treatment carried out by official organisms, chemical safety documents. Forestry operations: logging permits, good forestry practices.</p> <p>5.1 <u>Indicator: Forest protective functions: soil, water and other ecosystem functions (D)</u></p> <p>Justification: the planning of the forest management must contemplate controlling possible erosion caused by the actions of the management programme. Preventive measures must be adopted for all potentially erosive actions and, if they do occur, adequately documented remedial actions are to be taken, taking into account at all times their medium and long-term effects. Forest management shall prevent any adverse effects on water quality. Special care is to be given to regulating the water cycle, stabilising water sources, protecting riverbanks, etc.</p> <p>Aim/target: to afford as much protection as possible to erosion-prone soil, water quality and riverbank forests. To adopt corrective measures where necessary.</p> <p>Parameters:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Identification of potentially sensitive areas; <input type="checkbox"/> Existence of suitably implemented preventive and corrective measures. <p>Sources of information: cartographic sources, stock counts, specialist literature, registry of erosion-affected areas, National Forest Inventory, National Inventory of Soil Erosion, forestry statistics, aerial photography, specifications or contracts governing outsourced forest operations,</p>

Question	YES / NO*	Reference to scheme documentation
		<p>regional guidelines, other documents to be defined by the manager.</p> <p>3.1 <u>Indicator: Tree growth and logging rates (C)</u></p> <p>Justification: Monitoring and assessing growth and the growth:logging ratios provides valuable information about the characteristics of forest husbandry in the management unit.</p> <p>Aim/target: To monitor and assess overall production in terms of quality and quantity and how it relates to long-term growth.</p> <p>To adjust logging to the biological growth or production rate, ensuring that any exceptions are duly justified.</p> <p>Parameters:</p> <ul style="list-style-type: none"> <input type="checkbox"/> tree and/or wood production: in units; <input type="checkbox"/> ratio between logging and wood increment or ratio between logging and biological production; <input type="checkbox"/> amount of wood products (round or cut wood) marketed. <p>Sources of information: management plan. Other related indicators. Forestry statistics and forest inventories</p>
5.1.10 Appropriate silvicultural measures shall be taken to maintain or reach a level of the growing stock that is economically, ecologically and socially desirable.	Yes	<p>1.2 <u>Indicator: Wood or cork stock (M)</u></p> <p>Justification: Measuring the growing stock of wood or cork is one of the main characteristics and indicators with which to gauge the quality and sustainability of the stewardship.</p> <p>Aim/target: to attain stock levels in accordance with management objectives and regional forestry directives, when applicable.</p>

Question	YES / NO*	Reference to scheme documentation
		<p>Parameter: stock levels or de-corked surface area</p> <p>Sources of information: regional forestry guidelines, reference figures (growth tables, production tables, empirical data from the area, etc), inventories.</p> <p>1.3 <u>Structure of the stand (C)</u></p> <p>Justification: description of the forest lands that comprise the management unit and the structure of existing stands (age structure, diameter distribution, forest type, or others).</p> <p>Aim/target: to adjust the stand structure to the management objectives.</p> <p>Parameter (absolute and/or relative values): Forest area per type of structure</p> <p>Sources of information: inventories, cartographic sources, National Forest inventory, forestry statistics, forest mapping.</p> <p>1.4 <u>Indicator: Carbon fixation (C)</u></p> <p>Justification: forest stands and their products are characterised by their ability to sequester carbon. Forest management that tends to generate products with a long life cycle or which can substitute other more pollutant products multiplies that effect.</p> <p>Aim/target: to strengthen and maintain the long-term carbon sump effect of forest stands and their wood products.</p> <p>Parameter: estimation of carbon sequestered in the aerial tree biomass</p>

Question	YES / NO*	Reference to scheme documentation
		<p>Sources of information: the actual management plan and related indicators, National Forest Inventory, forestry statistics, research, specialist bibliography.</p>
<p>5.1.11 Conversion of forests to other types of land use, including conversion of primary forests to forest plantations, shall not occur unless in justified circumstances where the conversion:</p> <ul style="list-style-type: none"> a) is in compliance with national and regional policy and legislation relevant for land use and forest management and is a result of national or regional land-use planning governed by a governmental or other official authority including consultation with materially and directly interested persons and organisations; and b) entails a small proportion of forest type; and c) does not have negative impacts on threatened (including vulnerable, rare or endangered) forest ecosystems, culturally and socially significant areas, important habitats of threatened species or other protected areas; and d) makes a contribution to long-term conservation, economic, and social benefits. 	<p>Yes</p>	<p>Spanish SCHEME - DT_2013_02_20 Page 7: “With regard to the conversion of timberlands to other land uses, including the conversion of natural forests to plantations, such conversion should not take place except in justified circumstances in which conversion:</p> <ul style="list-style-type: none"> a) complies with national or regional policies and relevant legislation on land use and forest management and is the result of state or regional territorial organisation undertaken by the competent authority or another authority that includes consultation of persons and organisations with a material and direct stake and b) involves a small proportion of the type of forest, and c) has no negative effects on endangered forest eco□systems (including vulnerable, rare or endangered eco□systems), in culturally and socially significant areas, in the main habitats of endangered species or in other protected nature reserves, and d) represents a long-term contribution to conservation, the economy or social benefit.”
<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>PEFC Spain: “National Law 43/2003, of 21 November, of Forestry - Article 5. Concept of “monte” (Forest Land). 1. For the purposes of this Law, the term “monte” is all terrain with forest species that grow trees, shrubs, or herbaceous scrub, either spontaneously or come from sowing or planting, that meet or to meet environmental, protective, productive, cultural , scenic or recreational. Are also considered “monte”:</p>

Question	YES / NO*	Reference to scheme documentation
		a) The wastelands, rocky and sandy. b) Buildings and infrastructure for the service of the mountain on which they are located. c) The abandoned agricultural land that meet the conditions and terms established by the autonomous communities and provided that they have acquired their status unequivocal signs of forest.”
Criterion 2: Maintenance of forest ecosystem health and vitality		
5.2.1 Forest management planning shall aim to maintain and increase the health and vitality of forest ecosystems and to rehabilitate degraded forest ecosystems, whenever this is possible by silvicultural means.	Yes	2.3 <u>Indicator: Condition of forest landcover (M)</u> Justification: damage ¹⁾ of abiotic, abiotic and anthropic nature on the forestry system may be decisive for the stability and growth of the stand, and knowledge about it is fundamental in order to apply quality management practices. Aim/target: to acquire knowledge of the state of health of the forest landcover by monitoring it, paying special attention to key biotic, abiotic and anthropic factors that affect forest ecosystems' health and vitality, in order to react accordingly. Parameter: identification and extent of damage, the agents that cause it and the degree of its effect. Sources of information: National Forest inventory, forestry statistics, health status monitoring networks; registry of pests/diseases, samples/measurements of stand's state of health, other relevant documents to be defined by the manager. National Forestry Act – Act 10-2006:

¹⁾ Biotic agents include among others: pests, disease, hunting species and extensive cattle farming. Abiotic agents include among others: fire, electrical storms, wind, snow, drought, landslides and avalanches. Damage of an anthropic nature includes among others: damage caused by logging and forestry operations in the course of extensive cattle farming and hunting activities, by intensive tourism and recreational activities, including nutritional deficiencies in the soil, as a result of intensive management and the management of non-wood waste.

Question	YES / NO*	Reference to scheme documentation
		<p>“c) Management: a set of technical and material activities relating to the conservation, enhancement and utilization of forest land.</p> <p>d) Silviculture: a set of techniques that deal with the conservation, improvement, harvesting and regeneration or, where appropriate, restoration of forests</p> <p>m) Forest Management Tools: this includes forest management projects, dasocratic plans, technical plans or other equivalent figures</p> <p>0)Managed forest, which has a forest management plan in force.”</p>
<p>5.2.2 Health and vitality of forests shall be periodically monitored, especially key biotic and abiotic factors that potentially affect health and vitality of forest ecosystems, such as pests, diseases, overgrazing and overstocking, fire, and damage caused by climatic factors, air pollutants or by forest management operations.</p>	<p>Yes</p>	<p>2.1 <u>Indicator: Depositions of airborne pollutants (only applicable at national level)</u></p> <p>Justification: The deposition of airborne pollutants, such as nitrogen, sulphur dioxide, ozone or other heavy metals, represents a menace for the forest ecosystem, both directly or via acidification or eutrophication of the soil. Atmospheric pollution can cause lower resilience of the forest to external agents, such as drought or pests.</p> <p>Aim/target: To ascertain the influence and evolution that the deposition of atmospheric pollutants has on forest lands, especially on the forest ecosystem’s health and vitality.</p> <p>Parameter: Quantity (kg/ha) of annual deposition of main airborne pollutants: ammonia, chlorine, ozone, nitrogen oxides and sulphur oxides</p> <p>Source: European Inventory of Damage in Forests (ICP forests), level II Network, other Environmental Data Networks from regional authorities.</p> <p>2.3 <u>Indicator: Condition of forest landcover (M)</u></p>

Question	YES / NO*	Reference to scheme documentation
		<p>Justification: damage²⁾ of abiotic, abiotic and anthropic nature on the forestry system may be decisive for the stability and growth of the stand, and knowledge about it is fundamental in order to apply quality management practices.</p> <p>Aim/target: to acquire knowledge of the state of health of the forest landcover by monitoring it, paying special attention to key biotic, abiotic and anthropic factors that affect forest ecosystems' health and vitality, in order to react accordingly.</p> <p>Parameter: identification and extent of damage, the agents that cause it and the degree of its effect.</p> <p>Sources of information: National Forest inventory, forestry statistics, health status monitoring networks; registry of pests/diseases, samples/measurements of stand's state of health, other relevant documents to be defined by the manager.</p> <p>2.6 <u>Indicator: Hunting and extensive cattle farming (only applicable in the event that the forest manager is responsible for such activities) (M)</u></p> <p>Justification: hunting and extensive cattle farming may be decisive factors in the stability of wildlife biodiversity and the survival of endangered species, as well as a supplementary source of income for the forest</p> <p>Aim/target: To maintain levels of hunting and cattle farming compatible with ecosystem stability.</p> <p>Parameters:</p> <ul style="list-style-type: none"> <input type="checkbox"/> inventory or census of animal populations;

²⁾ Biotic agents include among others: pests, disease, hunting species and extensive cattle farming. Abiotic agents include among others: fire, electrical storms, wind, snow, drought, landslides and avalanches. Damage of an anthropic nature includes among others: damage caused by logging and forestry operations in the course of extensive cattle farming and hunting activities, by intensive tourism and recreational activities, including nutritional deficiencies in the soil, as a result of intensive management and the management of non-wood waste.

Question	YES / NO*	Reference to scheme documentation
		<ul style="list-style-type: none"> <input type="checkbox"/> existence of current hunting plans, where applicable; <input type="checkbox"/> assessment of the suitability of the load on the territory; <input type="checkbox"/> monitoring of animal health. <p>Sources of information: technical hunting plans, cattle farming census, observation of vegetation (overall state and indicative plants), current legislation regarding animal health.</p>
<p>5.2.3 The monitoring and maintaining of health and vitality of forest ecosystems shall take into consideration the effects of naturally occurring fire, pests and other disturbances.</p>	<p>Yes</p>	<p>2.4 <u>Indicator: Damage prevention and correction measures in forests (D)</u></p> <p>Justification: In its planning and realisation, forest management must include suitable measures to minimise degradation of the forest soil and canopy (soil, canopy) due to biotic, abiotic and anthropic causes¹⁾. Such measures include suitable use of natural structures and processes to increase the stand's vitality and strength, and the application of suitable stewardship practices, such as the proper execution of forestry operations and, generally, of all actions carried out in the forest.</p> <p>Aim/target: to include measures as part of forest management that minimise the risks of degradation and damage to the ecosystem according to general recommendations or guidelines on matters of health, when applicable.</p> <p>Parameter: existence of prevention and corrective measures, where necessary, and their description.</p> <p>Sources of information: samples/measurements of areas affected by damage, records of pests/disease, current forestry legislation, forest pasture or hunting management plans, specification of terms for Sustainable Forest Management. In the case of phytosanitary treatments: current legislation, bibliography, courses of treatment carried out by official organisms, chemical safety documents. Forestry operations: logging permits, good forestry practices.</p>

Question	YES / NO*	Reference to scheme documentation
		<p>2.5 <u>Indicator: Prevention and defence against forest fires (D)</u></p> <p>Justification: Wildfires are one of the major threats to the forest ecosystem. The variables involved in the risk of wildfires include the type and amount of biomass that accumulates as fuel, including waste from harvesting and forestry operations, as well as the characteristics and structure of that biomass, treatment of which is compatible with the nutrient cycle.</p> <p>Aim/target: To control of the risk of wildfires by implementing fire prevention and defence measures.</p> <p>Parameter: existence and application of fire prevention and defence measures.</p> <p>Sources of information: current legislation, cartographic sources, management plan, forest fire-fighting plan, inventory of infrastructures (access roads, sources of water, etc), forest inventories, SFM specifications.</p>
<p>5.2.4 Forest management plans or their equivalents shall specify ways and means to minimise the risk of degradation of and damages to forest ecosystems. Forest management planning shall make use of those policy instruments set up to support these activities.</p>	<p>Yes</p>	<p>2.4 <u>Indicator: Damage prevention and correction measures in forests (D)</u></p> <p>Justification: In its planning and realisation, forest management must include suitable measures to minimise degradation of the forest soil and canopy (soil, canopy) due to biotic, abiotic and anthropic causes¹⁾. Such measures include suitable use of natural structures and processes to increase the stand's vitality and strength, and the application of suitable stewardship practices, such as the proper execution of forestry operations and, generally, of all actions carried out in the forest.</p> <p>Aim/target: to include measures as part of forest management that minimise the risks of degradation and damage to the ecosystem according to general recommendations or guidelines on matters of health, when applicable.</p> <p>Parameter: existence of prevention and corrective measures, where necessary, and their</p>

Question	YES / NO*	Reference to scheme documentation
		<p>description.</p> <p>Sources of information: samples/measurements of areas affected by damage, records of pests/disease, current forestry legislation, forest pasture or hunting management plans, specification of terms for Sustainable Forest Management. In the case of phytosanitary treatments: current legislation, bibliography, courses of treatment carried out by official organisms, chemical safety documents. Forestry operations: logging permits, good forestry practices.</p>
<p>5.2.5 Forest management practices shall make best use of natural structures and processes and use preventive biological measures wherever and as far as economically feasible to maintain and enhance the health and vitality of forests. Adequate genetic, species and structural diversity shall be encouraged and/or maintained to enhance the stability, vitality and resistance capacity of the forests to adverse environmental factors and strengthen natural regulation mechanisms.</p>	<p>Yes</p>	<p>2.3 <u>Indicator: Condition of forest landcover (M)</u></p> <p>Justification: damage³⁾ of abiotic, abiotic and anthropic nature on the forestry system may be decisive for the stability and growth of the stand, and knowledge about it is fundamental in order to apply quality management practices.</p> <p>Aim/target: to acquire knowledge of the state of health of the forest landcover by monitoring it, paying special attention to key biotic, abiotic and anthropic factors that affect forest ecosystems' health and vitality, in order to react accordingly.</p> <p>Parameter: identification and extent of damage, the agents that cause it and the degree of its effect.</p> <p>Sources of information: National Forest inventory, forestry statistics, health status monitoring networks; registry of pests/diseases, samples/measurements of stand's state of health, other relevant documents to be defined by the manager.</p> <p>2.4 <u>Indicator: Damage prevention and correction measures in forests (D)</u></p>

³⁾ Biotic agents include among others: pests, disease, hunting species and extensive cattle farming. Abiotic agents include among others: fire, electrical storms, wind, snow, drought, landslides and avalanches. Damage of an anthropic nature includes among others: damage caused by logging and forestry operations in the course of extensive cattle farming and hunting activities, by intensive tourism and recreational activities, including nutritional deficiencies in the soil, as a result of intensive management and the management of non-wood waste.

Question	YES / NO*	Reference to scheme documentation
		<p>Justification: In its planning and realisation, forest management must include suitable measures to minimise degradation of the forest soil and canopy (soil, canopy) due to biotic, abiotic and anthropic causes¹. Such measures include suitable use of natural structures and processes to increase the stand's vitality and strength, and the application of suitable stewardship practices, such as the proper execution of forestry operations and, generally, of all actions carried out in the forest.</p> <p>Aim/target: to include measures as part of forest management that minimise the risks of degradation and damage to the ecosystem according to general recommendations or guidelines on matters of health, when applicable.</p> <p>Parameter: existence of prevention and corrective measures, where necessary, and their description.</p> <p>Sources of information: samples/measurements of areas affected by damage, records of pests/disease, current forestry legislation, forest pasture or hunting management plans, specification of terms for Sustainable Forest Management. In the case of phytosanitary treatments: current legislation, bibliography, courses of treatment carried out by official organisms, chemical safety documents. Forestry operations: logging permits, good forestry practices.</p>
<p>5.2.6 Lighting of fires shall be avoided and is only permitted if it is necessary for the achievement of the management goals of the forest management unit.</p>	<p>Yes</p>	<p>2.5 <u>Indicator: Prevention and defence against forest fires (D)</u></p> <p>Justification: Wildfires are one of the major threats to the forest ecosystem. The variables involved in the risk of wildfires include the type and amount of biomass that accumulates as fuel, including waste from harvesting and forestry operations, as well as the characteristics and structure of that biomass, treatment of which is compatible with the nutrient cycle.</p> <p>Aim/target: To control of the risk of wildfires by implementing fire prevention and defence measures.</p>

Question	YES / NO*	Reference to scheme documentation
		<p>Parameter: existence and application of fire prevention and defence measures.</p> <p>Sources of information: current legislation, cartographic sources, management plan, forest fire-fighting plan, inventory of infrastructures (access roads, sources of water, etc), forest inventories, SFM specifications.</p> <p>National Law 43/2003, of 21 November, of Forestry.</p> <p>Article 43. Defense against wildfires. Corresponds to competent public authorities the responsibility of the organization of defense against wildfires. To this end, shall take, in a coordinated, leading to prevention measures, detection and suppression of forest fires, regardless of the ownership of the forests.</p> <p>Article 44. Prevention of forest fires. Point 3. The autonomous communities will regulate in woodland and bordering areas the exercise of all activities that may result in risk of fire, and will establish safety standards applicable to developments, other buildings, works, electrical and transport infrastructure on forest land and its nearby, that may involve risk of fire or be affected by them. They may also limit to transit through the mountains, reaching delete when the fire danger so requires.</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	Yes	<p>2.3 <u>Indicator: Condition of forest landcover (M)</u></p> <p>Justification: damage⁴⁾ of abiotic, abiotic and anthropic nature on the forestry system may be decisive for the stability and growth of the stand, and knowledge about it is fundamental in order to apply quality management practices.</p> <p>Aim/target: to acquire knowledge of the state of health of the forest landcover by monitoring it,</p>

⁴⁾ Biotic agents include among others: pests, disease, hunting species and extensive cattle farming. Abiotic agents include among others: fire, electrical storms, wind, snow, drought, landslides and avalanches. Damage of an anthropic nature includes among others: damage caused by logging and forestry operations in the course of extensive cattle farming and hunting activities, by intensive tourism and recreational activities, including nutritional deficiencies in the soil, as a result of intensive management and the management of non-wood waste.

Question	YES / NO*	Reference to scheme documentation
<p>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>paying special attention to key biotic, abiotic and anthropic factors that affect forest ecosystems' health and vitality, in order to react accordingly.</p> <p>Parameter: identification and extent of damage, the agents that cause it and the degree of its effect.</p> <p>Sources of information: National Forest inventory, forestry statistics, health status monitoring networks; registry of pests/diseases, samples/measurements of stand's state of health, other relevant documents to be defined by the manager.</p> <p>2.4 <u>Indicator: Damage prevention and correction measures in forests (D)</u></p> <p>Justification: In its planning and realisation, forest management must include suitable measures to minimise degradation of the forest soil and canopy (soil, canopy) due to biotic, abiotic and anthropic causes¹⁾. Such measures include suitable use of natural structures and processes to increase the stand's vitality and strength, and the application of suitable stewardship practices, such as the proper execution of forestry operations and, generally, of all actions carried out in the forest.</p> <p>Aim/target: to include measures as part of forest management that minimise the risks of degradation and damage to the ecosystem according to general recommendations or guidelines on matters of health, when applicable.</p> <p>Parameter: existence of prevention and corrective measures, where necessary, and their description.</p> <p>Sources of information: samples/measurements of areas affected by damage, records of pests/disease, current forestry legislation, forest pasture or hunting management plans,</p>

Question	YES / NO*	Reference to scheme documentation
		<p>specification of terms for Sustainable Forest Management. In the case of phytosanitary treatments: current legislation, bibliography, courses of treatment carried out by official organisms, chemical safety documents. Forestry operations: logging permits, good forestry practices.</p> <p>4.2 <u>Indicator: Regeneration (D)</u></p> <p>Justification: the variables that affect the biological diversity in forest stands include the type of regeneration used. In each case, the most suitable regeneration method needs to be indicated. Natural regeneration, where appropriate, should be a priority.</p> <p>Aim/target: to use the most suitable type of regeneration in view of the local environment, the forest species used, and the established objectives of the management program, taking into account planning instruments at a higher level or regional directives, where applicable, thereby guaranteeing the quality and viability of the regeneration.</p> <p>Parameter: list and description of the areas under regeneration and the rate actually achieved compared to forecasts.</p> <p>Sources of information: forestry statistics, literature (specialised in areas of provenance, etc), regional forestry directives, stock count of regeneration areas (quality and quantity).</p> <p>4.6 <u>Indicator: Forest Reproductive Material (M)</u></p> <p>Justification: forest reproductive material has a direct effect on forest genetic diversity, so that it must be monitored and controlled, including its external quality.</p> <p>Aim/target: the conservation and sustainable use of genetic resources must be taken into account as part of the forest stand management to contribute to maintaining forest genetic diversity.</p>

Question	YES / NO*	Reference to scheme documentation
		<p>Parameter: origin of forest reproductive material used for artificial reforestation or regeneration programs.</p> <p>Sources of information: technical standards for the use of reproductive material, provenance regions or areas, national catalogue of base materials, strategy for the conservation and sustainable use of forest genetic resources.</p> <p>PEFC Spain:</p> <p>“National Law 43/2003, of 21 November, of Forestry - Article 67. Types of violations.</p> <p>For the purposes of this law, without prejudice to what is provided about regional legislation, are considered administrative violations the following:</p> <p>n) The unauthorized dumping of waste on forest land.”</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>.3 <u>Indicator: Condition of forest landcover (M)</u></p> <p>Justification: damage⁵⁾ of abiotic, abiotic and anthropic nature on the forestry system may be decisive for the stability and growth of the stand, and knowledge about it is fundamental in order to apply quality management practices.</p> <p>Aim/target: to acquire knowledge of the state of health of the forest landcover by monitoring it, paying special attention to key biotic, abiotic and anthropic factors that affect forest ecosystems’ health and vitality, in order to react accordingly.</p> <p>Parameter: identification and extent of damage, the agents that cause it and the degree of its effect.</p>

⁵⁾ Biotic agents include among others: pests, disease, hunting species and extensive cattle farming. Abiotic agents include among others: fire, electrical storms, wind, snow, drought, landslides and avalanches. Damage of an anthropic nature includes among others: damage caused by logging and forestry operations in the course of extensive cattle farming and hunting activities, by intensive tourism and recreational activities, including nutritional deficiencies in the soil, as a result of intensive management and the management of non-wood waste.

Question	YES / NO*	Reference to scheme documentation
		<p>Sources of information: National Forest inventory, forestry statistics, health status monitoring networks; registry of pests/diseases, samples/measurements of stand's state of health, other relevant documents to be defined by the manager.</p> <p>2.4 <u>Indicator: Damage prevention and correction measures in forests (D)</u></p> <p>Justification: In its planning and realisation, forest management must include suitable measures to minimise degradation of the forest soil and canopy (soil, canopy) due to biotic, abiotic and anthropic causes¹⁾. Such measures include suitable use of natural structures and processes to increase the stand's vitality and strength, and the application of suitable stewardship practices, such as the proper execution of forestry operations and, generally, of all actions carried out in the forest.</p> <p>Aim/target: to include measures as part of forest management that minimise the risks of degradation and damage to the ecosystem according to general recommendations or guidelines on matters of health, when applicable.</p> <p>Parameter: existence of prevention and corrective measures, where necessary, and their description.</p> <p>Sources of information: samples/measurements of areas affected by damage, records of pests/disease, current forestry legislation, forest pasture or hunting management plans, specification of terms for Sustainable Forest Management. In the case of phytosanitary treatments: current legislation, bibliography, courses of treatment carried out by official organisms, chemical safety documents. Forestry operations: logging permits, good forestry practices.</p>

Question	YES / NO*	Reference to scheme documentation
		<p>LAW 43/2002, of 20 November, plant health.”</p> <p>Article 2. Definitions.</p> <p>For the purposes of this Act shall apply:</p> <p>r) Integrated pest management: the rational application of a combination of biological, biotechnological, chemical, cultural or plant-breeding, so that the use of plant protection products is limited to the minimum necessary to control pests.</p> <p>TITLE III Media phytosanitary defense</p> <p>CHAPTER I Common provisions</p> <p>Article 23. Terms of trade and use.</p> <p>4 - The plant defenses must be used appropriately, taking into account good phytosanitary practices and other conditions specified in the authorization and, where appropriate, in accordance with the principles of Integrated pest management defined in paragraph r) of Article 2.”</p>
<p>5.2.9 The WHO Type 1A and 1B pesticides and other highly toxic pesticides shall be prohibited, except where no other viable alternative is available.</p>	<p>Yes</p>	<p>PEFC Spain: “Stockholm Convention on Persistent Organic Pollutants in the framework of the United Nations Environment Programme (UNEP), was signed in May 2001 and entered into force on May 17, 2004. After presenting the ratification on May 28, 2004, the Convention entered into force in Spain on August 26, 2004. The Convention is a legally binding international instrument that prohibits the intentional use of POPs chemicals listed in Annex A, the restrictions on the use of POPs for some products there may be exemptions PNA 145 Page 10 of the Stockholm Convention and Regulation 850/2004 Annex B identified and measures taken to minimize unintentional emissions of the substances identified in Annex C.”</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</p>	<p>Yes</p>	<p>PEFC Spain: “The European Union (EU), of which Spain is a member since June 12, 1985, has also ratified this convention. The May 20, 2004 came into force in all EU countries Regulation 850/2004 on POPs, which aims to establish a common legal framework to implement the main provisions of the</p>

Question	YES / NO*	Reference to scheme documentation
pesticides banned by international agreement, shall be prohibited.		Stockholm Convention and the Protocol on Persistent Organic Pollutants persistent , the 1979 Geneva Convention, adopted in Aarhus (Denmark) in 1998”
5.2.11 The use of pesticides shall follow the instructions given by the pesticide producer and be implemented with proper equipment and training.	Yes	<p><i>PEFC Spain:</i></p> <p><i>“Law 31/1995 of November 8, Occupational Risk Prevention (BOE no. 269 of 10/11/1995), determines the basic body guarantees and responsibilities necessary to establish an adequate level of protection of health workers from the risks of working conditions.</i></p> <p><i>Directive 98/24/EC of the Council of April 7 (DOCE no. L131 of 5/5/98) on the protection of the health and safety of workers from the risks related to chemical agents at work establishes the minimum specific provisions in this area. Later the Commission adopted Directive 2000/39/EC, on 8 June, establishing a first list of indicative occupational exposure limit values indicative implementation of Directive 98/24/EC.</i></p> <p><i>By Royal Decree 374/2001 of 6 April (BOE 1.5.2001) on the protection of the health and safety of workers from the risks related to chemical agents at work, proceed to the transposition into Spanish law the content of the two Directives.</i></p> <p><i>Medios de defensa fitosanitaria.</i></p> <p><i>LAW 43/2002, of 20 November, plant health.</i></p> <p><i>CHAPTER I - Common provisions.</i></p> <p><i>Article 23. Terms of trade and use.</i></p> <p><i>1. The means for phytosanitary defense must, for marketing and use, the following general conditions:</i></p> <p><i>b) Be, where appropriate, labeled, including at least the necessary information about their identity, risks, and precautions to be taken for its use.</i></p>
5.2.12 Where fertilisers are used, they shall be applied in a controlled manner and with due	Yes	Royal Decree 506/2013 – Use of fertilizers

Question	YES / NO*	Reference to scheme documentation
consideration for the environment.		<p>“Article 4. Requirements.</p> <p>c) Under normal conditions of use it does not adversely affect human, animal or plant health, or the environment.”</p> <p>National Act 43/2003 – Forestry Act</p> <p>“Article 52. Forest protection against harmful agents.</p> <p>1) Forest protection against harmful agents should be preventive, through appropriate forestry techniques, use of biological agents that prevent or slow the increasing populations of harmful agents, and implementation of integrated control methods.”</p>
Criterion 3: Maintenance and encouragement of productive functions of forests (wood and non-wood)		
5.3.1 Forest management planning shall aim to maintain the capability of forests to produce a range of wood and non-wood forest products and services on a sustainable basis.	Yes	<p>3.1 <u>Indicator: Tree growth and logging rates (C)</u></p> <p>Justification: Monitoring and assessing growth and the growth:logging ratios provides valuable information about the characteristics of forest husbandry in the management unit.</p> <p>Aim/target: To monitor and assess overall production in terms of quality and quantity and how it relates to long-term growth.</p> <p>To adjust logging to the biological growth or production rate, ensuring that any exceptions are duly justified.</p> <p>Parameters:</p> <ul style="list-style-type: none"> <input type="checkbox"/> tree and/or wood production: in units; <input type="checkbox"/> ratio between logging and wood increment or ratio between logging and biological production; <input type="checkbox"/> amount of wood products (round or cut wood) marketed.

Question	YES / NO*	Reference to scheme documentation
		<p>Sources of information: management plan. Other related indicators. Forestry statistics and forest inventories.</p> <p>3.3 <u>Indicator: Non-wood forest products (C)</u></p> <p>Justification: Saleable non-wood forest products estimated by the owner or manager could represent additional income for the management unit and for sustainable forest management.</p> <p>Aim/target: To monitor and assess the number or quantity of non-wood forest products sold.</p> <p>Parameters:</p> <ul style="list-style-type: none"> <input type="checkbox"/> forecast quantities should be in units or value, or where applicable, an estimation of the amount of non-wood forest products; <input type="checkbox"/> proportion of products actually sold compared to forecast amount. <p>Sources of information: management plan, surveys and/or sector-specific data sources. Forestry statistics</p> <p>Spanish SCHEME - DT_2013_02_20 page 14: “The Management Plan must include at least a description of the current status of the management unit, the long-term objectives, and the average annual permitted logging rate, with due justification thereof, as well as, where applicable, the annual permitted production rate of non-wood products under the control of the manager. Note: Identification of annual permitted production levels of non-wood products is required when such products are traded at a level that may have an impact on the long-term sustainability of those non-wood products.”</p>

Question	YES / NO*	Reference to scheme documentation
<p>5.3.2 Forest management planning shall aim to achieve sound economic performance taking into account any available market studies and possibilities for new markets and economic activities in connection with all relevant goods and services of forests.</p>	<p>Yes</p>	<p>3.4 Indicator: Services (C)</p> <p>Justification: Services sold by the owner or manager could represent additional income for the management unit and for sustainable forest management.</p> <p>Aim/target: To monitor and assess, in monetary terms, the services sold by the management unit.</p> <p>Parameter: Services sold, in units or value.</p> <p>Sources of information: Management plan. Surveys and/or sector-specific data sources. Forestry statistics, specialist bibliography.</p> <p>6.3 Indicator: Net revenue (C)</p> <p>Justification: net revenue, as reported on financial statements, derived from managing the forest is a good indicator of its economic sustainability, although in many cases the most significant benefits are not quantifiable from the monetary point of view. It includes all pre-tax sources of income and expense directly related to the forest, including government subsidies.</p> <p>Aim/target: to improve the economic sustainability of forest management.</p> <p>Parameter: amount of net profit - actual or forecast - derived from revenues and expenses related to the forest management.</p> <p>Sources of information: economic reporting relating to the forest.</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>	<p>Yes</p>	<p>1.4 Indicator: Carbon fixation (C)</p> <p>Justification: forest stands and their products are characterised by their ability to sequester carbon. Forest management that tends to generate products with a long life cycle or which can substitute other more pollutant products multiplies that effect.</p>

Question	YES / NO*	Reference to scheme documentation
production of commercial and non-commercial forest goods and services.		<p>Aim/target: to strengthen and maintain the long-term carbon sump effect of forest stands and their wood products.</p> <p>Parameter: estimation of carbon sequestered in the aerial tree biomass</p> <p>Sources of information: the actual management plan and related indicators, National Forest Inventory, forestry statistics, research, specialist bibliography</p> <p>6.4 <u>Indicator: Investment in the forest (M)</u></p> <p>Justification: Forest management requires additional funds to produce the goods and services that society demands. Such goods and services are a significant contribution to overall living standards and to reducing natural risks.</p> <p>Aim/target: to maintain or improve the services provided by the forest by means of investments.</p> <p>Parameter: description of capital investments and amount of expenditure whenever such information is available.</p> <p>Sources of information: economic reporting relating to the forest</p> <p>6.10 <u>Indicator: Recreational values (D)</u></p> <p>Justification: social demands for recreation in the forest make the creation and maintenance of areas specially designated for such purposes in forest environments recommendable. The number and quality of such infrastructures are ways of measuring the region's recreational value.</p> <p>Aim/target: to structure the recreational use of forests</p>

Question	YES / NO*	Reference to scheme documentation
		<p>Parameters:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Identify and locate recreation areas; <input type="checkbox"/> existence of management practices to ensure they operate properly. <p>Sources of information: inventories, district planning, PRUG, PORN, PORF or similar.</p>
<p>5.3.4 Forest management practices shall maintain and improve the forest resources and encourage a diversified output of goods and services over the long term.</p>	<p>Yes</p>	<p>3.1 <u>Indicator: Tree growth and logging rates (C)</u></p> <p>Justification: Monitoring and assessing growth and the growth:logging ratios provides valuable information about the characteristics of forest husbandry in the management unit.</p> <p>Aim/target: To monitor and assess overall production in terms of quality and quantity and how it relates to long-term growth.</p> <p>To adjust logging to the biological growth or production rate, ensuring that any exceptions are duly justified.</p> <p>Parameters:</p> <ul style="list-style-type: none"> <input type="checkbox"/> tree and/or wood production: in units; <input type="checkbox"/> ratio between logging and wood increment or ratio between logging and biological production; <input type="checkbox"/> amount of wood products (round or cut wood) marketed. <p>Sources of information: management plan. Other related indicators. Forestry statistics and forest inventories.</p>

Question	YES / NO*	Reference to scheme documentation
		<p>3.3 <u>Indicator: Non-wood forest products (C)</u></p> <p>Justification: Saleable non-wood forest products estimated by the owner or manager could represent additional income for the management unit and for sustainable forest management.</p> <p>Aim/target: To monitor and assess the number or quantity of non-wood forest products sold.</p> <p>Parameters:</p> <ul style="list-style-type: none"> <input type="checkbox"/> forecast quantities should be in units or value, or where applicable, an estimation of the amount of non-wood forest products; <input type="checkbox"/> proportion of products actually sold compared to forecast amount. <p>Sources of information: management plan, surveys and/or sector-specific data sources. Forestry statistics</p> <p>3.4 <u>Indicator: Services (C)</u></p> <p>Justification: Services sold by the owner or manager could represent additional income for the management unit and for sustainable forest management.</p> <p>Aim/target: To monitor and assess, in monetary terms, the services sold by the management unit.</p> <p>Parameter: Services sold, in units or value.</p> <p>Sources of information: Management plan. Surveys and/or sector-specific data sources. Forestry statistics, specialist bibliography.</p> <p>6.4 <u>Indicator: Investment in the forest (M)</u></p>

Question	YES / NO*	Reference to scheme documentation
		<p>Justification: Forest management requires additional funds to produce the goods and services that society demands. Such goods and services are a significant contribution to overall living standards and to reducing natural risks.</p> <p>Aim/target: to maintain or improve the services provided by the forest by means of investments.</p> <p>Parameter: description of capital investments and amount of expenditure whenever such information is available.</p> <p>Sources of information: economic reporting relating to the forest</p> <p>6.10 <u>Indicator: Recreational values (D)</u></p> <p>Justification: social demands for recreation in the forest make the creation and maintenance of areas specially designated for such purposes in forest environments recommendable. The number and quality of such infrastructures are ways of measuring the region's recreational value.</p> <p>Aim/target: to structure the recreational use of forests</p> <p>Parameters:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Identify and locate recreation areas; <input type="checkbox"/> existence of management practices to ensure they operate properly.
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	Yes	<p>2.4 <u>Indicator: Damage prevention and correction measures in forests (D)</u></p> <p>Justification: In its planning and realisation, forest management must include suitable measures to minimise degradation of the forest soil and canopy (soil, canopy) due to biotic, abiotic and</p>

Question	YES / NO*	Reference to scheme documentation
<p>damage to retained stands and trees as well as to the forest soil, and by using appropriate systems.</p>		<p>anthropic causes¹⁾. Such measures include suitable use of natural structures and processes to increase the stand's vitality and strength, and the application of suitable stewardship practices, such as the proper execution of forestry operations and, generally, of all actions carried out in the forest.</p> <p>Aim/target: to include measures as part of forest management that minimise the risks of degradation and damage to the ecosystem according to general recommendations or guidelines on matters of health, when applicable.</p> <p>Parameter: existence of prevention and corrective measures, where necessary, and their description.</p> <p>Sources of information: samples/measurements of areas affected by damage, records of pests/disease, current forestry legislation, forest pasture or hunting management plans, specification of terms for Sustainable Forest Management. In the case of phytosanitary treatments: current legislation, bibliography, courses of treatment carried out by official organisms, chemical safety documents. Forestry operations: logging permits, good forestry practices.</p> <p>4.2 <u>Indicator: Regeneration (D)</u></p> <p>Justification: the variables that affect the biological diversity in forest stands include the type of regeneration used. In each case, the most suitable regeneration method needs to be indicated. Natural regeneration, where appropriate, should be a priority.</p> <p>Aim/target: to use the most suitable type of regeneration in view of the local environment, the forest species used, and the established objectives of the management program, taking into account planning instruments at a higher level or regional directives, where applicable, thereby guaranteeing the quality and viability of the regeneration.</p>

Question	YES / NO*	Reference to scheme documentation
		<p>Parameter: list and description of the areas under regeneration and the rate actually achieved compared to forecasts.</p> <p>Sources of information: forestry statistics, literature (specialised in areas of provenance, etc), regional forestry directives, stock count of regeneration areas (quality and quantity).</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>3.1 <u>Indicator: Tree growth and logging rates (C)</u></p> <p>Justification: Monitoring and assessing growth and the growth:logging ratios provides valuable information about the characteristics of forest husbandry in the management unit.</p> <p>Aim/target: To monitor and assess overall production in terms of quality and quantity and how it relates to long-term growth.</p> <p>To adjust logging to the biological growth or production rate, ensuring that any exceptions are duly justified.</p> <p>Parameters:</p> <ul style="list-style-type: none"> <input type="checkbox"/> tree and/or wood production: in units; <input type="checkbox"/> ratio between logging and wood increment or ratio between logging and biological production; <input type="checkbox"/> amount of wood products (round or cut wood) marketed. <p>Sources of information: management plan. Other related indicators. Forestry statistics and forest inventories.</p> <p>3.2 <u>Indicator: Roundwood (C)</u></p> <p>Not drafted - included in 3.1</p>

Question	YES / NO*	Reference to scheme documentation
		<p>3.3 <u>Indicator: Non-wood forest products (C)</u></p> <p>Justification: Saleable non-wood forest products estimated by the owner or manager could represent additional income for the management unit and for sustainable forest management.</p> <p>Aim/target: To monitor and assess the number or quantity of non-wood forest products sold.</p> <p>Parameters:</p> <ul style="list-style-type: none"> <input type="checkbox"/> forecast quantities should be in units or value, or where applicable, an estimation of the amount of non-wood forest products; <input type="checkbox"/> proportion of products actually sold compared to forecast amount. <p>Sources of information: management plan, surveys and/or sector-specific data sources. Forestry statistics</p> <p>2.4 <u>Indicator: Damage prevention and correction measures in forests (D)</u></p> <p>Justification: In its planning and realisation, forest management must include suitable measures to minimise degradation of the forest soil and canopy (soil, canopy) due to biotic, abiotic and anthropic causes¹⁾. Such measures include suitable use of natural structures and processes to increase the stand's vitality and strength, and the application of suitable stewardship practices, such as the proper execution of forestry operations and, generally, of all actions carried out in the forest.</p> <p>Aim/target: to include measures as part of forest management that minimise the risks of degradation and damage to the ecosystem according to general recommendations or guidelines on matters of health, when applicable.</p>

Question	YES / NO*	Reference to scheme documentation
		<p>Parameter: existence of prevention and corrective measures, where necessary, and their description.</p> <p>Sources of information: samples/measurements of areas affected by damage, records of pests/disease, current forestry legislation, forest pasture or hunting management plans, specification of terms for Sustainable Forest Management. In the case of phytosanitary treatments: current legislation, bibliography, courses of treatment carried out by official organisms, chemical safety documents. Forestry operations: logging permits, good forestry practices.</p> <p>2.5 <u>Indicator: Prevention and defence against forest fires (D)</u></p> <p>Justification: Wildfires are one of the major threats to the forest ecosystem. The variables involved in the risk of wildfires include the type and amount of biomass that accumulates as fuel, including waste from harvesting and forestry operations, as well as the characteristics and structure of that biomass, treatment of which is compatible with the nutrient cycle.</p> <p>Aim/target: To control of the risk of wildfires by implementing fire prevention and defence measures.</p> <p>Parameter: existence and application of fire prevention and defence measures.</p> <p>Sources of information: current legislation, cartographic sources, management plan, forest fire-fighting plan, inventory of infrastructures (access roads, sources of water, etc), forest inventories, SFM specifications.</p>
<p>5.3.7 Where it is the responsibility of the forest owner/manager and included in forest management, the exploitation of non-timber forest products, including hunting and fishing, shall be regulated, monitored and controlled.</p>	<p>Yes</p>	<p>2.6 <u>Indicator: Hunting and extensive cattle farming (only applicable in the event that the forest manager is responsible for such activities) (M)</u></p> <p>Justification: hunting and extensive cattle farming may be decisive factors in the stability of wildlife biodiversity and the survival of endangered species, as well as a supplementary source of</p>

Question	YES / NO*	Reference to scheme documentation
		<p>income for the forest</p> <p>Aim/target: To maintain levels of hunting and cattle farming compatible with ecosystem stability.</p> <p>Parameters:</p> <ul style="list-style-type: none"> <input type="checkbox"/> inventory or census of animal populations; <input type="checkbox"/> existence of current hunting plans, where applicable; <input type="checkbox"/> assessment of the suitability of the load on the territory; <input type="checkbox"/> monitoring of animal health. <p>Sources of information: technical hunting plans, cattle farming census, observation of vegetation (overall state and indicative plants), current legislation regarding animal health</p> <p>3.3 <u>Indicator: Non-wood forest products (C)</u></p> <p>Justification: Saleable non-wood forest products estimated by the owner or manager could represent additional income for the management unit and for sustainable forest management.</p> <p>Aim/target: To monitor and assess the number or quantity of non-wood forest products sold.</p> <p>Parameters:</p> <ul style="list-style-type: none"> <input type="checkbox"/> forecast quantities should be in units or value, or where applicable, an estimation of the amount of non-wood forest products; <input type="checkbox"/> proportion of products actually sold compared to forecast amount.

Question	YES / NO*	Reference to scheme documentation
		<p>Sources of information: management plan, surveys and/or sector-specific data sources. Forestry statistics</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>2.4 <u>Indicator: Damage prevention and correction measures in forests (D)</u></p> <p>Justification: In its planning and realisation, forest management must include suitable measures to minimise degradation of the forest soil and canopy (soil, canopy) due to biotic, abiotic and anthropic causes¹⁾. Such measures include suitable use of natural structures and processes to increase the stand's vitality and strength, and the application of suitable stewardship practices, such as the proper execution of forestry operations and, generally, of all actions carried out in the forest.</p> <p>Aim/target: to include measures as part of forest management that minimise the risks of degradation and damage to the ecosystem according to general recommendations or guidelines on matters of health, when applicable.</p> <p>Parameter: existence of prevention and corrective measures, where necessary, and their description.</p> <p>Sources of information: samples/measurements of areas affected by damage, records of pests/disease, current forestry legislation, forest pasture or hunting management plans, specification of terms for Sustainable Forest Management. In the case of phytosanitary treatments: current legislation, bibliography, courses of treatment carried out by official organisms, chemical safety documents. Forestry operations: logging permits, good forestry practices.</p> <p>3.6 <u>Indicator: Access infrastructures (M)</u></p> <p>Justification: Suitable road infrastructure is essential for fulfilment of the objectives of the management system and to ensure proper use and defence of the forest. The infrastructure</p>

Question	YES / NO*	Reference to scheme documentation
		<p>network may comprise public thoroughfares that provide access to the forest, as well as service tracks in the forest itself.</p> <p>Aim/target: To have a suitable network of roads (in terms of traffic density, conditions, etc.) that serves the management unit for its use of the forest, logging activities, defence needs, etc.</p> <p>Parameter: Assessment of the suitability of the current network of roads, with special attention to forest tracks.</p> <p>Sources of information: Cartographic sources, inventories, aerial photos.</p>
Criterion 4: Maintenance, conservation and appropriate enhancement of biological diversity in forest ecosystems		
5.4.1 Forest management planning shall aim to maintain, conserve and enhance biodiversity on ecosystem, species and genetic levels and, where appropriate, diversity at landscape level.	Yes	<p>4.1 <u>Indicator: Estimation of biodiversity (D)</u></p> <p>Justification: Biological diversity is directly related to the type and characteristics of the vegetation and wildlife it comprises and to the fundamental purpose of the management unit, characterised, among other factors, by the variety of species.</p> <p>4.6 <u>Indicator: Forest Reproductive Material (M)</u></p> <p>Justification: forest reproductive material has a direct effect on forest genetic diversity, so that it must be monitored and controlled, including its external quality.</p> <p>Aim/target: the conservation and sustainable use of genetic resources must be taken into account as part of the forest stand management to contribute to maintaining forest genetic diversity.</p> <p>Parameter: origin of forest reproductive material used for artificial reforestation or regeneration programs.</p> <p>Sources of information: technical standards for the use of reproductive material, provenance</p>

Question	YES / NO*	Reference to scheme documentation
		<p>regions or areas, national catalogue of base materials, strategy for the conservation and sustainable use of forest genetic resources.</p> <p>Aim/target: to preserve or increase the quality of the biodiversity in a way compatible with the management unit's stated purpose.</p> <p>Parameters:</p> <ul style="list-style-type: none"> <input type="checkbox"/> characteristic or ecologically important forest habitats/vegetation formations in the management unit (listed or quantified); <input type="checkbox"/> List of most significant species (vegetation and wildlife to be found in the management unit). <p>Sources of information: cartographic sources, specialist literature, stock counts (species and frequency), national inventory of habitats, catalogue of endangered species, forest map.</p>
<p>5.4.2 Forest management planning, inventory and mapping of forest resources shall identify, protect and/or conserve ecologically important forest areas containing significant concentrations of:</p> <p>a) protected, rare, sensitive or representative forest ecosystems such as riparian areas and wetland biotopes;</p> <p>b) areas containing endemic species and habitats of threatened species, as defined in recognised reference lists;</p> <p>c) endangered or protected genetic <i>in situ</i></p>	<p>Yes</p>	<p>4.1 <u>Indicator: Estimation of biodiversity (D)</u></p> <p>Justification: Biological diversity is directly related to the type and characteristics of the vegetation and wildlife it comprises and to the fundamental purpose of the management unit, characterised, among other factors, by the variety of species.</p> <p>Aim/target: to preserve or increase the quality of the biodiversity in a way compatible with the management unit's stated purpose.</p> <p>Parameters:</p> <ul style="list-style-type: none"> <input type="checkbox"/> characteristic or ecologically important forest habitats/vegetation formations in the management unit (listed or quantified); <input type="checkbox"/> List of most significant species (vegetation and wildlife to be found in the management unit).

Question	YES / NO*	Reference to scheme documentation
<p>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>Sources of information: cartographic sources, specialist literature, stock counts (species and frequency), national inventory of habitats, catalogue of endangered species, forest map.</p> <p>4.4 <u>Indicator: Conservation of unique habitats (D)</u></p> <p>Justification: the particular ecological characteristics of certain forest biotopes (high diversity, special vulnerability, representativity, presence of endemic, rare, protected or endangered species, genetic reserves, etc) make them <i>unique habitats</i>, either at the level of the management unit or over a larger area, and therefore call for them to be preserved, whether required by specific regulations or not.</p> <p>Aim/target: maintenance of unique habitats existing in the forest management unit.</p> <p>Parameters:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Identification of unique habitats in the management plan and corresponding forest maps; <input type="checkbox"/> Existence of measures aimed at conserving unique habitats within the management unit. <p>Sources of information: aerial photography, cartographic sources, specialist literature, current legislation, National Inventory of habitats, samples and stock counts.</p> <p>4.8 <u>Indicator: Endangered forest species (D)</u></p> <p>Justification: endangered species that live or depend on the forest must be identified and submitted to conservation measures. The presence of species classed as endangered in the management unit should be considered in the forest management plan. Forest management plans shall be compatible with conservation plans for endangered species.</p>

Question	YES / NO*	Reference to scheme documentation
		<p>Aim/target: to identify and preserve all endangered species within the management unit.</p> <p>Parameters:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Register of endangered species existing in the management unit; <input type="checkbox"/> The extent to which the conditions specified in the endangered species conservation plan and regulations match the husbandry practices described in the management plan. <p>Sources of information: endangered species conservation schemes, catalogue of endangered species, specialist literature, protected species legislation, stock counts, contract specifications.</p> <p>4.9 <u>Indicator: Protected forests (D)</u></p> <p>Justification: sustainable forest management of timberlands within protected natural areas must be carried out in accordance with the applicable regulations and management objectives.</p> <p>Aim/target: to manage forests in accordance with the regulations and objectives governing the protected area.</p> <p>Parameters:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Identification and mapping of protected areas within the management unit; <input type="checkbox"/> The extent to which the management meets the regulations and objectives laid down for protected natural areas, including PORN, PRUG and similar. <p>Sources of information: regulations governing protected natural areas, mapping of protected</p>

Question	YES / NO*	Reference to scheme documentation
		<p>areas, specification of terms for forestry operations, management systems in the Natura 2000 network.</p> <p>6.11 <u>Indicator: Cultural and spiritual values (D)</u></p> <p>Justification: forests have certain cultural and spiritual values attached to them for aesthetic, religious, artistic, and historical reasons, amongst others. Although such values are frequently intangible or personal, on occasions they are visible in concrete places and can be identified and, where applicable, protected.</p> <p>Examples of such areas are archaeological sites, unique specimens of trees, places with a historical significance or where traditional ceremonies are carried out, exceptionally beautiful landscapes, etc.</p> <p>Aim/target: for forestry management to be respectful of clearly identified cultural and spiritual values.</p> <p>Parameters:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Cultural and spiritual values identified in the management plan; <input type="checkbox"/> Measures and guidelines for preserving cultural and spiritual values, in the event they are deemed necessary for protecting those values. <p>Sources of information: inventory of cultural assets or similar, inventory or registry of unique or comparable trees or settings.</p>
5.4.3 Protected and endangered plant and animal species shall not be exploited for commercial purposes. Where necessary,	Yes	<p>4.8 <u>Indicator: Endangered forest species (D)</u></p> <p>Justification: endangered species that live or depend on the forest must be identified and</p>

Question	YES / NO*	Reference to scheme documentation
<p>measures shall be taken for their protection and, where relevant, to increase their population.</p>		<p>submitted to conservation measures. The presence of species classed as endangered in the management unit should be considered in the forest management plan. Forest management plans shall be compatible with conservation plans for endangered species.</p> <p>Aim/target: to identify and preserve all endangered species within the management unit.</p> <p>Parameters:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Register of endangered species existing in the management unit; <input type="checkbox"/> The extent to which the conditions specified in the endangered species conservation plan and regulations match the husbandry practices described in the management plan. <p>Sources of information: endangered species conservation schemes, catalogue of endangered species, specialist literature, protected species legislation, stock counts, contract specifications. Royal Decree 1739/1997, of 20 November, on measures to implement the Convention on International Trade in Endangered Species of Fauna and Flora (CITES), done at Washington on March 3, 1973 and Regulation (EC) 338/91 the Council of 9 December 1996 on the protection of species of wild fauna and flora by regulating trade.</p> <p>The purpose of Regulation (EC) No. 338/97 is to protect species of wild fauna and flora, wildlife and ensure their conservation by regulating trade. In this sense, its scope extends to the species included in Appendices I, II and III of the Washington Convention and to other species for which there is or may be demand in the Community or international trade whose survival, or maintenance of their populations may be threatened by trade, which also includes species significant import volume to warrant monitoring.</p> <p>LAW 42/2007, of December 13, Natural Heritage and Biodiversity: “Article 54. Prohibitions for species included in the List of Wild Species in Special Protection Regime.</p>

Question	YES / NO*	Reference to scheme documentation
		<p>1. Inclusion in the List of Wild Species in Special Protection Regime of a species, subspecies or population generic has the following prohibitions:</p> <p>a. In the case of plants, fungi or algae, that of collect, cut, mutilate, uproot or intentionally destroying nature.</p> <p>c. In both cases, to possess, naturalize, transport, sell, trade or exchange, offer for purposes of sale or exchange, import or export live or dead specimens and their propagules or debris, except in cases prescribed by regulation.</p> <p>These prohibitions apply to all stages of the life cycle of these species, subspecies or populations. For the purposes of this Act, and without prejudice to what is provided about regional legislation, are considered administrative violations:</p> <ul style="list-style-type: none"> • b) The destruction, death, damage, collection, trade or barter, capture and offering for sale or exchange or unauthorized naturalization of flora and fauna listed "endangered" as well as that of their propagules or remains".
<p>5.4.4 Forest management shall ensure successful regeneration through natural regeneration or, where not appropriate, planting that is adequate to ensure the quantity and quality of the forest resources.</p>	<p>Yes</p>	<p>4.2 <u>Indicator: Regeneration (D)</u></p> <p>Justification: the variables that affect the biological diversity in forest stands include the type of regeneration used. In each case, the most suitable regeneration method needs to be indicated. Natural regeneration, where appropriate, should be a priority.</p> <p>Aim/target: to use the most suitable type of regeneration in view of the local environment, the forest species used, and the established objectives of the management program, taking into account planning instruments at a higher level or regional directives, where applicable, thereby guaranteeing the quality and viability of the regeneration.</p> <p>Parameter: list and description of the areas under regeneration and the rate actually achieved compared to forecasts.</p> <p>Sources of information: forestry statistics, literature (specialised in areas of provenance, etc), regional forestry directives, stock count of regeneration areas (quality and quantity).</p>

Question	YES / NO*	Reference to scheme documentation
<p>5.4.5 For reforestation and afforestation, origins of native species and local provenances that are well-adapted to site conditions shall be preferred, where appropriate. Only those introduced species, provenances or varieties shall be used whose impacts on the ecosystem and on the genetic integrity of native species and local provenances have been evaluated, and if negative impacts can be avoided or minimised.</p>	<p>Yes</p>	<p>4.2 <u>Indicator: Regeneration (D)</u></p> <p>Justification: the variables that affect the biological diversity in forest stands include the type of regeneration used. In each case, the most suitable regeneration method needs to be indicated. Natural regeneration, where appropriate, should be a priority.</p> <p>Aim/target: to use the most suitable type of regeneration in view of the local environment, the forest species used, and the established objectives of the management program, taking into account planning instruments at a higher level or regional directives, where applicable, thereby guaranteeing the quality and viability of the regeneration.</p> <p>Parameter: list and description of the areas under regeneration and the rate actually achieved compared to forecasts.</p> <p>Sources of information: forestry statistics, literature (specialised in areas of provenance, etc), regional forestry directives, stock count of regeneration areas (quality and quantity).</p> <p>4.6 <u>Indicator: Forest Reproductive Material (M)</u></p> <p>Justification: forest reproductive material has a direct effect on forest genetic diversity, so that it must be monitored and controlled, including its external quality.</p> <p>Aim/target: the conservation and sustainable use of genetic resources must be taken into account as part of the forest stand management to contribute to maintaining forest genetic diversity.</p> <p>Parameter: origin of forest reproductive material used for artificial reforestation or regeneration programs.</p> <p>Sources of information: technical standards for the use of reproductive material, provenance</p>

Question	YES / NO*	Reference to scheme documentation
		<p>regions or areas, national catalogue of base materials, strategy for the conservation and sustainable use of forest genetic resources.</p> <p>ROYAL DECREE 289/2003, dated 7 March, on the trading of forest reproduction materials. The social, economic, environmental, ecological and cultural functions of forestlands require, for their sustainable management and for the improvement and preservation of forest genetic resources, that reproduction materials for species and hybrids to be used in forestry shall be of high genetic and phenotype quality, as well as suitable for the environmental conditions where they are to be used.</p> <p>...</p> <p>This royal decree incorporates EC Directive 1999/105/EC into our internal regulations, as well as the peculiarities of Spanish forest reality that were covered by the aforementioned Royal Decree 1356/1998, which simultaneously repeals Royal Decree 1356/1998 and the aforementioned ministerial orders of 21 January 1989.</p>
<p>5.4.6 Afforestation and reforestation activities that contribute to the improvement and restoration of ecological connectivity shall be promoted.</p>	<p>Yes</p>	<p>LAW 42/2007, of December 13, Natural Heritage and Biodiversity. Preamble:</p> <p>“... Are incorporated in environmental planning or Plans Natural Resource Management, ecological corridors, giving a prominent role to the cattle trails and mountain areas. These corridors should be involved in the establishment of the European network of biological corridors and community defined by the Pan-European Ecological and Landscape Diversity and the European Territorial Strategy itself. In particular the Autonomous Communities may use these corridors, or the definition of mountain areas, with a view to improving the ecological coherence, functionality and connectivity of the Natura 2000 network. ...</p> <p>Article 20. Ecological corridors and mountain areas.</p> <p>The government shall provide in its environmental planning or Plans Natural Resource Management, mechanisms for ecological connectivity of the territory, setting or resetting corridors, particularly between the Natura 2000 protected areas and among those unique natural spaces relevance to biodiversity.”</p>

Question	YES / NO*	Reference to scheme documentation
5.4.7 Genetically-modified trees shall not be used.	Yes	<p><i>The substantive provisions contained in the EU Directives on genetically modified organisms (98/81/CE y 2001/18/CE) have been incorporated into Spanish legislation by Law 9/2003, of 25 April, by which establishes the legal regime of the contained use, deliberate release and marketing genetically modified organisms (BOE of 26/04/2003). The contents of the directives and decisions of the Commission on development and adaptation not included in this Act, have been included in the Royal Decree 178/2004, of 30 January, which approves the Regulation for the Development and Implementation of the Law 9/2003 (BOE of 31/01/2004).</i></p>
5.4.8 Forest management practices shall, where appropriate, promote a diversity of both horizontal and vertical structures such as uneven-aged stands and the diversity of species such as mixed stands. Where appropriate, the practices shall also aim to maintain and restore landscape diversity.	Yes	<p>1.3 Structure of the stand (C)</p> <p>Justification: description of the forest lands that comprise the management unit and the structure of existing stands (age structure, diameter distribution, forest type, or others).</p> <p>Aim/target: to adjust the stand structure to the management objectives.</p> <p>Parameter (absolute and/or relative values): Forest area per type of structure</p> <p>Sources of information: inventories, cartographic sources, National Forest inventory, forestry statistics, forest mapping.</p> <p>4.2 Indicator: Regeneration (D)</p> <p>Justification: the variables that affect the biological diversity in forest stands include the type of regeneration used. In each case, the most suitable regeneration method needs to be indicated. Natural regeneration, where appropriate, should be a priority.</p> <p>Aim/target: to use the most suitable type of regeneration in view of the local environment, the forest species used, and the established objectives of the management program, taking into account planning instruments at a higher level or regional directives, where applicable, thereby</p>

Question	YES / NO*	Reference to scheme documentation
		<p>guaranteeing the quality and viability of the regeneration.</p> <p>Parameter: list and description of the areas under regeneration and the rate actually achieved compared to forecasts.</p> <p>Sources of information: forestry statistics, literature (specialised in areas of provenance, etc), regional forestry directives, stock count of regeneration areas (quality and quantity).</p> <p>4.1 <u>Indicator: Estimation of biodiversity (D)</u></p> <p>Justification: Biological diversity is directly related to the type and characteristics of the vegetation and wildlife it comprises and to the fundamental purpose of the management unit, characterised, among other factors, by the variety of species.</p> <p>Aim/target: to preserve or increase the quality of the biodiversity in a way compatible with the management unit's stated purpose.</p> <p>Parameters:</p> <ul style="list-style-type: none"> <input type="checkbox"/> characteristic or ecologically important forest habitats/vegetation formations in the management unit (listed or quantified); <input type="checkbox"/> List of most significant species (vegetation and wildlife to be found in the management unit). <p>Sources of information: cartographic sources, specialist literature, stock counts (species and frequency), national inventory of habitats, catalogue of endangered species, forest map</p> <p><i>No reference is found that a diverse, un-even aged stands shall be promoted and that where</i></p>

Question	YES / NO*	Reference to scheme documentation
		<i>appropriate, the practices shall also aim to maintain and restore landscape diversity.</i>
<p>5.4.9 Traditional management systems that have created valuable ecosystems, such as coppice, on appropriate sites shall be supported, when economically feasible.</p>	<p>Yes</p>	<p>4.4 <u>Indicator: Conservation of unique habitats (D)</u></p> <p>Justification: the particular ecological characteristics of certain forest biotopes (high diversity, special vulnerability, representativity, presence of endemic, rare, protected or endangered species, genetic reserves, etc) make them <i>unique habitats</i>, either at the level of the management unit or over a larger area, and therefore call for them to be preserved, whether required by specific regulations or not.</p> <p>Aim/target: maintenance of unique habitats existing in the forest management unit.</p> <p>Parameters:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Identification of unique habitats in the management plan and corresponding forest maps; <input type="checkbox"/> Existence of measures aimed at conserving unique habitats within the management unit. <p>Sources of information: aerial photography, cartographic sources, specialist literature, current legislation, National Inventory of habitats, samples and stock counts.</p> <p>4.1 <u>Indicator: Estimation of biodiversity (D)</u></p> <p>Justification: Biological diversity is directly related to the type and characteristics of the vegetation and wildlife it comprises and to the fundamental purpose of the management unit, characterised, among other factors, by the variety of species.</p> <p>Aim/target: to preserve or increase the quality of the biodiversity in a way compatible with the management unit's stated purpose.</p> <p>Parameters:</p>

Question	YES / NO*	Reference to scheme documentation
		<p><input type="checkbox"/> characteristic or ecologically important forest habitats/vegetation formations in the management unit (listed or quantified);</p> <p><input type="checkbox"/> List of most significant species (vegetation and wildlife to be found in the management unit).</p> <p>Sources of information: cartographic sources, specialist literature, stock counts (species and frequency), national inventory of habitats, catalogue of endangered species, forest map.</p>
<p>5.4.10 Tending and harvesting operations shall be conducted in a way that does not cause lasting damage to ecosystems. Wherever possible, practical measures shall be taken to improve or maintain biological diversity.</p>	<p>Yes</p>	<p>2.4 <u>Indicator: Damage prevention and correction measures in forests (D)</u></p> <p>Justification: In its planning and realisation, forest management must include suitable measures to minimise degradation of the forest soil and canopy (soil, canopy) due to biotic, abiotic and anthropic causes¹. Such measures include suitable use of natural structures and processes to increase the stand's vitality and strength, and the application of suitable stewardship practices, such as the proper execution of forestry operations and, generally, of all actions carried out in the forest.</p> <p>Aim/target: to include measures as part of forest management that minimise the risks of degradation and damage to the ecosystem according to general recommendations or guidelines on matters of health, when applicable.</p> <p>Parameter: existence of prevention and corrective measures, where necessary, and their description.</p> <p>Sources of information: samples/measurements of areas affected by damage, records of pests/disease, current forestry legislation, forest pasture or hunting management plans, specification of terms for Sustainable Forest Management. In the case of phytosanitary treatments: current legislation, bibliography, courses of treatment carried out by official organisms, chemical safety documents. Forestry operations: logging permits, good forestry practices.</p>

Question	YES / NO*	Reference to scheme documentation
		<p>4.1 <u>Indicator: Estimation of biodiversity (D)</u></p> <p>Justification: Biological diversity is directly related to the type and characteristics of the vegetation and wildlife it comprises and to the fundamental purpose of the management unit, characterised, among other factors, by the variety of species.</p> <p>Aim/target: to preserve or increase the quality of the biodiversity in a way compatible with the management unit's stated purpose.</p> <p>Parameters:</p> <ul style="list-style-type: none"> <input type="checkbox"/> characteristic or ecologically important forest habitats/vegetation formations in the management unit (listed or quantified); <input type="checkbox"/> List of most significant species (vegetation and wildlife to be found in the management unit). <p>Sources of information: cartographic sources, specialist literature, stock counts (species and frequency), national inventory of habitats, catalogue of endangered species, forest map.</p>
<p>5.4.11 Infrastructure shall be planned and constructed in a way that minimises damage to ecosystems, especially to rare, sensitive or representative ecosystems and genetic reserves, and that takes threatened or other key species – in particular their migration patterns – into consideration.</p>	<p>Yes</p>	<p>2.4 <u>Indicator: Damage prevention and correction measures in forests (D)</u></p> <p>Justification: In its planning and realisation, forest management must include suitable measures to minimise degradation of the forest soil and canopy (soil, canopy) due to biotic, abiotic and anthropic causes¹⁾. Such measures include suitable use of natural structures and processes to increase the stand's vitality and strength, and the application of suitable stewardship practices, such as the proper execution of forestry operations and, generally, of all actions carried out in the forest.</p> <p>Aim/target: to include measures as part of forest management that minimise the risks of</p>

Question	YES / NO*	Reference to scheme documentation
		<p>degradation and damage to the ecosystem according to general recommendations or guidelines on matters of health, when applicable.</p> <p>Parameter: existence of prevention and corrective measures, where necessary, and their description.</p> <p>Sources of information: samples/measurements of areas affected by damage, records of pests/disease, current forestry legislation, forest pasture or hunting management plans, specification of terms for Sustainable Forest Management. In the case of phytosanitary treatments: current legislation, bibliography, courses of treatment carried out by official organisms, chemical safety documents. Forestry operations: logging permits, good forestry practices.</p> <p>3.6 <u>Indicator: Access infrastructures (M)</u></p> <p>Justification: Suitable road infrastructure is essential for fulfilment of the objectives of the management system and to ensure proper use and defence of the forest. The infrastructure network may comprise public thoroughfares that provide access to the forest, as well as service tracks in the forest itself.</p> <p>Aim/target: To have a suitable network of roads (in terms of traffic density, conditions, etc.) that serves the management unit for its use of the forest, logging activities, defence needs, etc.</p> <p>Parameter: Assessment of the suitability of the current network of roads, with special attention to forest tracks.</p> <p>Sources of information: Cartographic sources, inventories, aerial photos</p> <p>4.4 <u>Indicator: Conservation of unique habitats (D)</u></p> <p>Justification: the particular ecological characteristics of certain forest biotopes (high diversity,</p>

Question	YES / NO*	Reference to scheme documentation
		<p>special vulnerability, representativity, presence of endemic, rare, protected or endangered species, genetic reserves, etc) make them <i>unique habitats</i>, either at the level of the management unit or over a larger area, and therefore call for them to be preserved, whether required by specific regulations or not.</p> <p>Aim/target: maintenance of unique habitats existing in the forest management unit.</p> <p>Parameters:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Identification of unique habitats in the management plan and corresponding forest maps; <input type="checkbox"/> Existence of measures aimed at conserving unique habitats within the management unit. <p>Sources of information: aerial photography, cartographic sources, specialist literature, current legislation, National Inventory of habitats, samples and stock counts.</p> <p>4.8 <u>Indicator: Endangered forest species (D)</u></p> <p>Justification: endangered species that live or depend on the forest must be identified and submitted to conservation measures. The presence of species classed as endangered in the management unit should be considered in the forest management plan. Forest management plans shall be compatible with conservation plans for endangered species.</p> <p>Aim/target: to identify and preserve all endangered species within the management unit.</p> <p>Parameters:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Register of endangered species existing in the management unit; <input type="checkbox"/> The extent to which the conditions specified in the endangered species conservation plan and

Question	YES / NO*	Reference to scheme documentation
		<p>regulations match the husbandry practices described in the management plan.</p> <p>Sources of information: endangered species conservation schemes, catalogue of endangered species, specialist literature, protected species legislation, stock counts, contract specifications.</p>
<p>5.4.12 With due regard to management objectives, measures shall be taken to balance the pressure of animal populations and grazing on forest regeneration and growth as well as on biodiversity.</p>	<p>Yes</p>	<p>2.6 <u>Indicator: Hunting and extensive cattle farming (only applicable in the event that the forest manager is responsible for such activities) (M)</u></p> <p>Justification: hunting and extensive cattle farming may be decisive factors in the stability of wildlife biodiversity and the survival of endangered species, as well as a supplementary source of income for the forest</p> <p>Aim/target: To maintain levels of hunting and cattle farming compatible with ecosystem stability.</p> <p>Parameters:</p> <ul style="list-style-type: none"> <input type="checkbox"/> inventory or census of animal populations; <input type="checkbox"/> existence of current hunting plans, where applicable; <input type="checkbox"/> assessment of the suitability of the load on the territory; <input type="checkbox"/> monitoring of animal health. <p>Sources of information: technical hunting plans, cattle farming census, observation of vegetation (overall state and indicative plants), current legislation regarding animal health.</p>
<p>5.4.13 Standing and fallen dead wood, hollow trees, old groves and special rare tree species shall be left in quantities and distribution necessary to safeguard biological diversity, taking into account the potential effect on the health and stability of forests and on surrounding</p>	<p>Yes</p>	<p>4.5 <u>Indicator: Deadwood (M)</u></p> <p>Justification: the presence of deadwood in forests can contribute to increasing biodiversity. However, an excess of deadwood can encourage fires or pests and may entail a danger from falling branches or trees in the case of highly frequented forests, factors which call for it to be extracted.</p>

Question	YES / NO*	Reference to scheme documentation
ecosystems.		<p>Aim/target: to achieve a suitable amount, size and distribution of deadwood in line with scientific guidelines and progress, except when justified due to fire, pests or forest usage.</p> <p>Parameters:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Consideration in the management plan of the need for deadwood to exist in the forest; <input type="checkbox"/> Estimation of the amount, percentage of resources or surface area, and if possible, status (standing/lying) and to what extent it meets the objectives of the management plan. <p>Sources of information: guidelines, scientific research papers, National Forest inventory, stock counts, specifications, specialist literature.</p> <p>4.8 <u>Indicator: Endangered forest species (D)</u></p> <p>Justification: endangered species that live or depend on the forest must be identified and submitted to conservation measures. The presence of species classed as endangered in the management unit should be considered in the forest management plan. Forest management plans shall be compatible with conservation plans for endangered species.</p> <p>Aim/target: to identify and preserve all endangered species within the management unit.</p> <p>Parameters:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Register of endangered species existing in the management unit; <input type="checkbox"/> The extent to which the conditions specified in the endangered species conservation plan and regulations match the husbandry practices described in the management plan.

Question	YES / NO*	Reference to scheme documentation
		Sources of information: endangered species conservation schemes, catalogue of endangered species, specialist literature, protected species legislation, stock counts, contract specifications.
Criterion 5: Maintenance and appropriate enhancement of protective functions in forest management (notably soil and water)		
5.5.1 Forest management planning shall aim to maintain and enhance protective functions of forests for society, such as protection of infrastructure, protection from soil erosion, protection of water resources and from adverse impacts of water such as floods or avalanches.	Yes	<p>5.1 <u>Indicator: Forest protective functions: soil, water and other ecosystem functions (D)</u></p> <p>Justification: the planning of the forest management must contemplate controlling possible erosion caused by the actions of the management programme. Preventive measures must be adopted for all potentially erosive actions and, if they do occur, adequately documented remedial actions are to be taken, taking into account at all times their medium and long-term effects. Forest management shall prevent any adverse effects on water quality. Special care is to be given to regulating the water cycle, stabilising water sources, protecting riverbanks, etc.</p> <p>Aim/target: to afford as much protection as possible to erosion-prone soil, water quality and riverbank forests. To adopt corrective measures where necessary.</p> <p>Parameters:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Identification of potentially sensitive areas; <input type="checkbox"/> Existence of suitably implemented preventive and corrective measures. <p>Sources of information: cartographic sources, stock counts, specialist literature, registry of erosion-affected areas, National Forest Inventory, National Inventory of Soil Erosion, forestry statistics, aerial photography, specifications or contracts governing outsourced forest operations, regional guidelines, other documents to be defined by the manager.</p> <p>5.2 <u>Indicator: Forests as protectors of infrastructures (M) - applicable to areas officially declared as such</u></p>

Question	YES / NO*	Reference to scheme documentation
		<p>Justification: the planning of management for forests or similar that protect infrastructures must ensure that function is fulfilled and encourage its stability and regeneration by avoiding actions that may put it at risk.</p> <p>Aim/target: to match forest management to the forest's protective function.</p> <p>Parameters:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Quantity of surface area declared as protective of infrastructures; <input type="checkbox"/> existence of suitably implemented preventive and corrective measures. <p>Sources of information: declaration of protective forest, registry of protective forests, catalogue of forests of public interest, cartographic sources, aerial photography, forestry statistics and national forest inventory, river basin management plans.</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>4.9 <u>Indicator: Protected forests (D)</u></p> <p>Justification: sustainable forest management of timberlands within protected natural areas must be carried out in accordance with the applicable regulations and management objectives.</p> <p>Aim/target: to manage forests in accordance with the regulations and objectives governing the protected area.</p> <p>Parameters:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Identification and mapping of protected areas within the management unit;

Question	YES / NO*	Reference to scheme documentation
		<p><input type="checkbox"/> The extent to which the management meets the regulations and objectives laid down for protected natural areas, including PORN, PRUG and similar.</p> <p>Sources of information: regulations governing protected natural areas, mapping of protected areas, specification of terms for forestry operations, management systems in the Natura 2000 network.</p> <p>5.2 <u>Indicator: Forests as protectors of infrastructures (M) - applicable to areas officially declared as such</u></p> <p>Justification: the planning of management for forests or similar that protect infrastructures must ensure that function is fulfilled and encourage its stability and regeneration by avoiding actions that may put it at risk.</p> <p>Aim/target: to match forest management to the forest's protective function.</p> <p>Parameters:</p> <p><input type="checkbox"/> Quantity of surface area declared as protective of infrastructures;</p> <p><input type="checkbox"/> existence of suitably implemented preventive and corrective measures.</p> <p>Sources of information: declaration of protective forest, registry of protective forests, catalogue of forests of public interest, cartographic sources, aerial photography, forestry statistics and national forest inventory, river basin management plans.</p>
5.5.3 Special care shall be given to silvicultural operations on sensitive soils and erosion-prone	Yes	2.6 <u>Indicator: Hunting and extensive cattle farming (only applicable in the event that the forest manager is responsible for such activities) (M)</u>

Question	YES / NO*	Reference to scheme documentation
<p>areas as well as in areas where operations might lead to excessive erosion of soil into watercourses. Inappropriate techniques such as deep soil tillage and use of unsuitable machinery shall be avoided in such areas. Special measures shall be taken to minimise the pressure of animal populations.</p>		<p>Justification: hunting and extensive cattle farming may be decisive factors in the stability of wildlife biodiversity and the survival of endangered species, as well as a supplementary source of income for the forest</p> <p>Aim/target: To maintain levels of hunting and cattle farming compatible with ecosystem stability.</p> <p>Parameters:</p> <ul style="list-style-type: none"> <input type="checkbox"/> inventory or census of animal populations; <input type="checkbox"/> existence of current hunting plans, where applicable; <input type="checkbox"/> assessment of the suitability of the load on the territory; <input type="checkbox"/> monitoring of animal health. <p>Sources of information: technical hunting plans, cattle farming census, observation of vegetation (overall state and indicative plants), current legislation regarding animal health.</p> <p>5.1 <u>Indicator: Forest protective functions: soil, water and other ecosystem functions (D)</u></p> <p>Justification: the planning of the forest management must contemplate controlling possible erosion caused by the actions of the management programme. Preventive measures must be adopted for all potentially erosive actions and, if they do occur, adequately documented remedial actions are to be taken, taking into account at all times their medium and long-term effects. Forest management shall prevent any adverse effects on water quality. Special care is to be given to regulating the water cycle, stabilising water sources, protecting riverbanks, etc.</p> <p>Aim/target: to afford as much protection as possible to erosion-prone soil, water quality and riverbank forests. To adopt corrective measures where necessary.</p>

Question	YES / NO*	Reference to scheme documentation
		<p>Parameters:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Identification of potentially sensitive areas; <input type="checkbox"/> Existence of suitably implemented preventive and corrective measures. <p>Sources of information: cartographic sources, stock counts, specialist literature, registry of erosion-affected areas, National Forest Inventory, National Inventory of Soil Erosion, forestry statistics, aerial photography, specifications or contracts governing outsourced forest operations, regional guidelines, other documents to be defined by the manager.</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>2.4 <u>Indicator: Damage prevention and correction measures in forests (D)</u></p> <p>Justification: In its planning and realisation, forest management must include suitable measures to minimise degradation of the forest soil and canopy (soil, canopy) due to biotic, abiotic and anthropic causes¹. Such measures include suitable use of natural structures and processes to increase the stand's vitality and strength, and the application of suitable stewardship practices, such as the proper execution of forestry operations and, generally, of all actions carried out in the forest.</p> <p>Aim/target: to include measures as part of forest management that minimise the risks of degradation and damage to the ecosystem according to general recommendations or guidelines on matters of health, when applicable.</p> <p>Parameter: existence of prevention and corrective measures, where necessary, and their description.</p> <p>Sources of information: samples/measurements of areas affected by damage, records of pests/disease, current forestry legislation, forest pasture or hunting management plans,</p>

Question	YES / NO*	Reference to scheme documentation
		<p>specification of terms for Sustainable Forest Management. In the case of phytosanitary treatments: current legislation, bibliography, courses of treatment carried out by official organisms, chemical safety documents. Forestry operations: logging permits, good forestry practices.</p> <p>5.1 <u>Indicator: Forest protective functions: soil, water and other ecosystem functions (D)</u></p> <p>Justification: the planning of the forest management must contemplate controlling possible erosion caused by the actions of the management programme. Preventive measures must be adopted for all potentially erosive actions and, if they do occur, adequately documented remedial actions are to be taken, taking into account at all times their medium and long-term effects. Forest management shall prevent any adverse effects on water quality. Special care is to be given to regulating the water cycle, stabilising water sources, protecting riverbanks, etc.</p> <p>Aim/target: to afford as much protection as possible to erosion-prone soil, water quality and riverbank forests. To adopt corrective measures where necessary.</p> <p>Parameters:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Identification of potentially sensitive areas; <input type="checkbox"/> Existence of suitably implemented preventive and corrective measures. <p>Sources of information: cartographic sources, stock counts, specialist literature, registry of erosion-affected areas, National Forest Inventory, National Inventory of Soil Erosion, forestry statistics, aerial photography, specifications or contracts governing outsourced forest operations, regional guidelines, other documents to be defined by the manager.</p> <p>SFCS 2014_03_21 Chapter 13, page 30:</p>

Question	YES / NO*	Reference to scheme documentation
		<p>Further to the requirements laid down in UNE standard 162.002 – Sustainable Forest Management. Criteria and Indicators, the following requirements shall be fulfilled:</p> <p style="text-align: center;">Avoid all unsuitable use of chemicals or other harmful substances or husbandry practices that may have a detrimental effect on water quality.</p>
<p>5.5.5 Construction of roads, bridges and other infrastructure shall be carried out in a manner that minimises bare soil exposure, avoids the introduction of soil into watercourses and preserves the natural level and function of water courses and river beds. Proper road drainage facilities shall be installed and maintained.</p>	<p>YES</p>	<p>3.6 <u>Indicator: Access infrastructures (M)</u></p> <p>Justification: Suitable road infrastructure is essential for fulfilment of the objectives of the management system and to ensure proper use and defence of the forest. The infrastructure network may comprise public thoroughfares that provide access to the forest, as well as service tracks in the forest itself.</p> <p>Aim/target: To have a suitable network of roads (in terms of traffic density, conditions, etc.) that serves the management unit for its use of the forest, logging activities, defence needs, etc.</p> <p>Parameter: Assessment of the suitability of the current network of roads, with special attention to forest tracks.</p> <p>Sources of information: Cartographic sources, inventories, aerial photos.</p> <p>5.1 <u>Indicator: Forest protective functions: soil, water and other ecosystem functions (D)</u></p> <p>Justification: the planning of the forest management must contemplate controlling possible erosion caused by the actions of the management programme. Preventive measures must be adopted for all potentially erosive actions and, if they do occur, adequately documented remedial actions are to be taken, taking into account at all times their medium and long-term effects. Forest management shall prevent any adverse effects on water quality. Special care is to be given to regulating the water cycle, stabilising water sources, protecting riverbanks, etc.</p>

Question	YES / NO*	Reference to scheme documentation
		<p>Aim/target: to afford as much protection as possible to erosion-prone soil, water quality and riverbank forests. To adopt corrective measures where necessary.</p> <p>Parameters:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Identification of potentially sensitive areas; <input type="checkbox"/> Existence of suitably implemented preventive and corrective measures. <p>Sources of information: cartographic sources, stock counts, specialist literature, registry of erosion-affected areas, National Forest Inventory, National Inventory of Soil Erosion, forestry statistics, aerial photography, specifications or contracts governing outsourced forest operations, regional guidelines, other documents to be defined by the manager.</p> <p>5.2 <u>Indicator: Forests as protectors of infrastructures (M) - applicable to areas officially declared as such</u></p> <p>Justification: the planning of management for forests or similar that protect infrastructures must ensure that function is fulfilled and encourage its stability and regeneration by avoiding actions that may put it at risk.</p> <p>Aim/target: to match forest management to the forest's protective function.</p> <p>Parameters:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Quantity of surface area declared as protective of infrastructures; <input type="checkbox"/> existence of suitably implemented preventive and corrective measures.

Question	YES / NO*	Reference to scheme documentation
		<p>Sources of information: declaration of protective forest, registry of protective forests, catalogue of forests of public interest, cartographic sources, aerial photography, forestry statistics and national forest inventory, river basin management plans.</p> <p>SFCS 2014_03_21 Chapter 13, page 30:</p> <p>Further to the requirements laid down in UNE standard 162.002 – Sustainable Forest Management. Criteria and Indicators, the following requirements shall be fulfilled:</p> <ul style="list-style-type: none"> - <i>Monitor the construction of access roads and other infrastructures in order to minimize potential erosion and to ensure they include proper drainage systems.</i>
Criterion 6: Maintenance of other socio-economic functions and conditions		
5.6.1 Forest management planning shall aim to respect the multiple functions of forests to society, give due regard to the role of forestry in rural development, and especially consider new opportunities for employment in connection with the socio-economic functions of forests.	Yes	<p>6.2 <u>Contribution of forestry sector to GDP</u> (only applicable at national level).</p> <p>Justification: The contribution of forestry, which includes silviculture and forest exploitation, together with forest-based industry, which comprises manufacturers of wood products, pulp, paper and board, is a way of determining the significance in macro-economic terms of the forestry sector at national and/or regional level.</p> <p>Aim: To quantify the forestry sector's direct contribution to the economy of the country or of the autonomous region.</p> <p>Parameters:</p> <ul style="list-style-type: none"> - Gross Added Value (GAV) or Gross Domestic Product (GDP) generated by forestry and forest-based industry, whether on national or regional scale. - Percentage of Gross Domestic Product generated by the forestry sector compared to overall Gross Domestic Product at national or regional level.

Question	YES / NO*	Reference to scheme documentation
		<p>Sources: National Classification of Economic Activities (CNAE: A-02, C-16, C-17): Eurostat, National Institute of Statistics, MAGRAMA Annual Forestry Statistics Report, regional Annual Statistics Reports.</p> <p>6.5 <u>Indicator: Employment in the forestry sector (C)</u></p> <p>Justification: the employment generated by a forest is an important indicator of its social benefits, especially for sustainable rural development. At the same time, suitably qualified human resources are required in sufficient numbers.</p> <p>Aim/target: to monitor employment statistics in the management unit and to enhance theoretical and/or practical training on Sustainable Forest Management.</p> <p>Parameters:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Amount of direct employment (number of days worked or number of employees); <input type="checkbox"/> training and awareness-building programs taught. <p>Sources of information: current legislation, personal interviews</p> <p>6.3 <u>Indicator: Net revenue (C)</u></p> <p>Justification: net revenue, as reported on financial statements, derived from managing the forest is a good indicator of its economic sustainability, although in many cases the most significant benefits are not quantifiable from the monetary point of view. It includes all pre-tax sources of income and expense directly related to the forest, including government subsidies.</p>

Question	YES / NO*	Reference to scheme documentation
		<p>Aim/target: to improve the economic sustainability of forest management.</p> <p>Parameter: amount of net profit - actual or forecast - derived from revenues and expenses related to the forest management.</p> <p>Sources of information: economic reporting relating to the forest.</p>
<p>5.6.2 Forest management shall promote the long-term health and well-being of communities within or adjacent to the forest management area.</p>	<p>Yes</p>	<p>6.5 <u>Indicator: Employment in the forestry sector (C)</u></p> <p>Justification: the employment generated by a forest is an important indicator of its social benefits, especially for sustainable rural development. At the same time, suitably qualified human resources are required in sufficient numbers.</p> <p>Aim/target: to monitor employment statistics in the management unit and to enhance theoretical and/or practical training on Sustainable Forest Management.</p> <p>Parameters:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Amount of direct employment (number of days worked or number of employees); <input type="checkbox"/> training and awareness-building programs taught. <p>Sources of information: current legislation, personal interviews.</p> <p>6.6 <u>Indicator: Occupational health and safety (C)</u></p> <p>Justification: forestry continues to be one of the sectors with the highest accident rates. Preventing accidents and occupational illness in the forestry sector is an important social aspect of</p>

Question	YES / NO*	Reference to scheme documentation
		<p>Sustainable Forest Management.</p> <p>Aim/target: to reduce accident rates in the forestry business.</p> <p>Parameter: number of severe accidents occurring during management activities carried out on the management unit.</p> <p>Sources of information: records created by the manager, current legislation, specifications or contracts for outsourced forestry work, regional guidelines.</p> <p>6.10 <u>Indicator: Recreational values (D)</u></p> <p>Justification: social demands for recreation in the forest make the creation and maintenance of areas specially designated for such purposes in forest environments recommendable. The number and quality of such infrastructures are ways of measuring the region's recreational value.</p> <p>Aim/target: to structure the recreational use of forests</p> <p>Parameters:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Identify and locate recreation areas; <input type="checkbox"/> existence of management practices to ensure they operate properly. <p>Sources of information: inventories, district planning, PRUG, PORN, PORF or similar.</p> <p>6.11 <u>Indicator: Cultural and spiritual values (D)</u></p> <p>Justification: forests have certain cultural and spiritual values attached to them for aesthetic,</p>

Question	YES / NO*	Reference to scheme documentation
		<p>religious, artistic, and historical reasons, amongst others. Although such values are frequently intangible or personal, on occasions they are visible in concrete places and can be identified and, where applicable, protected.</p> <p>Examples of such areas are archaeological sites, unique specimens of trees, places with a historical significance or where traditional ceremonies are carried out, exceptionally beautiful landscapes, etc.</p> <p>Aim/target: for forestry management to be respectful of clearly identified cultural and spiritual values.</p> <p>Parameters:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Cultural and spiritual values identified in the management plan; <input type="checkbox"/> Measures and guidelines for preserving cultural and spiritual values, in the event they are deemed necessary for protecting those values. <p>Sources of information: inventory of cultural assets or similar, inventory or registry of unique or comparable trees or settings.</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.	Yes	<p>6.1 <u>Forest holdings (M)</u></p> <p>Justification: acknowledging and respecting legal and traditional rights of property and land usage is fundamental for the sustainable management of forest lands, as well as a significant social indicator, especially for sustainable development in rural areas.</p> <p>Aim/target: to ascertain the number of forest properties and the type of ownership.</p>

Question	YES / NO*	Reference to scheme documentation
		<p>Parameter: type⁶⁾ of the property depending on categories of ownership and sizes.</p> <p>Sources of information: land and building registry, SIGPAC, private contracts</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>Yes</p>	<p>1.5 <u>Indicator: Forestry legislation (D)</u></p> <p>Justification: Sustainable Forest Management calls for a legal framework that sets forth, among other things, the rights and obligations of forest owners and other users of forest land and which establishes rules for preserving and defending forest resources.</p> <p>Aim/target: to enhance accessibility to current forest legal framework in force.</p> <p>Parameter: existence of a mechanism to understand the legal requirements applicable in forestry matters.</p> <p>Sources of information: forestry and supplementary legislation, international agreements and related websites</p> <p>6.1 <u>Forest holdings (M)</u></p> <p>Justification: acknowledging and respecting legal and traditional rights of property and land usage is fundamental for the sustainable management of forest lands, as well as a significant social indicator, especially for sustainable development in rural areas.</p> <p>Aim/target: to ascertain the number of forest properties and the type of ownership.</p>

⁶⁾ Example: Classification of forest property according to TBFR 2000 (Temperate and Boreal Forest Resources Assessment):

- a) categories of ownership: public, private or others;
- b) sizes (ha): < 10, from 11 to 100, from 101 to 500, from 501 to 10 000 and >10 000.

Question	YES / NO*	Reference to scheme documentation
		<p>Parameter: type⁷⁾ of the property depending on categories of ownership and sizes.</p> <p>Sources of information: land and building registry, SIGPAC, private contracts</p> <p>Spanish SCHEME - DT_2013_02_20 Page 6:</p> <p>“Apart from the requisites explicitly laid down in the Scheme, entities applying for certification must comply with the laws, regulations, programmes and state and regional policies that may be applicable to them, including those of the fundamental conventions of the ILO, as well as those that have any direct relationship or impact on the criteria for Sustainable Forest Management or on the traceability of forest-based resources, and any apparent violation of said legislation shall be taken into consideration during the auditing and certification processes.”</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>3.6 <u>Indicator: Access infrastructures (M)</u></p> <p>Justification: Suitable road infrastructure is essential for fulfilment of the objectives of the management system and to ensure proper use and defence of the forest. The infrastructure network may comprise public thoroughfares that provide access to the forest, as well as service tracks in the forest itself.</p> <p>Aim/target: To have a suitable network of roads (in terms of traffic density, conditions, etc.) that serves the management unit for its use of the forest, logging activities, defence needs, etc.</p> <p>Parameter: Assessment of the suitability of the current network of roads, with special attention to forest tracks.</p>

⁷⁾ Example: Classification of forest property according to TBFR 2000 (Temperate and Boreal Forest Resources Assessment):

- a) categories of ownership: public, private or others;
- b) sizes (ha): < 10, from 11 to 100, from 101 to 500, from 501 to 10 000 and >10 000.

Question	YES / NO*	Reference to scheme documentation
		<p>Sources of information: Cartographic sources, inventories, aerial photos.</p> <p>6.10 <u>Indicator: Recreational values (D)</u></p> <p>Justification: social demands for recreation in the forest make the creation and maintenance of areas specially designated for such purposes in forest environments recommendable. The number and quality of such infrastructures are ways of measuring the region's recreational value.</p> <p>Aim/target: to structure the recreational use of forests</p> <p>Parameters:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Identify and locate recreation areas; <input type="checkbox"/> existence of management practices to ensure they operate properly. <p>Sources of information: inventories, district planning, PRUG, PORN, PORF or similar.</p>
<p>5.6.6 Sites with recognised specific historical, cultural or spiritual significance and areas fundamental to meeting the basic needs of local communities (e.g. health, subsistence) shall be protected or managed in a way that takes due regard of the significance of the site.</p>	<p>Yes</p>	<p>6.11 <u>Indicator: Cultural and spiritual values (D)</u></p> <p>Justification: forests have certain cultural and spiritual values attached to them for aesthetic, religious, artistic, and historical reasons, amongst others. Although such values are frequently intangible or personal, on occasions they are visible in concrete places and can be identified and, where applicable, protected.</p> <p>Examples of such areas are archaeological sites, unique specimens of trees, places with a</p>

Question	YES / NO*	Reference to scheme documentation
		<p>historical significance or where traditional ceremonies are carried out, exceptionally beautiful landscapes, etc.</p> <p>Aim/target: for forestry management to be respectful of clearly identified cultural and spiritual values.</p> <p>Parameters:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Cultural and spiritual values identified in the management plan; <input type="checkbox"/> Measures and guidelines for preserving cultural and spiritual values, in the event they are deemed necessary for protecting those values.
<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>	Yes	<p>2.4 <u>Indicator: Damage prevention and correction measures in forests (D)</u></p> <p>Justification: In its planning and realisation, forest management must include suitable measures to minimise degradation of the forest soil and canopy (soil, canopy) due to biotic, abiotic and anthropic causes¹⁾. Such measures include suitable use of natural structures and processes to increase the stand's vitality and strength, and the application of suitable stewardship practices, such as the proper execution of forestry operations and, generally, of all actions carried out in the forest.</p> <p>Aim/target: to include measures as part of forest management that minimise the risks of degradation and damage to the ecosystem according to general recommendations or guidelines on matters of health, when applicable.</p> <p>Parameter: existence of prevention and corrective measures, where necessary, and their description.</p>

Question	YES / NO*	Reference to scheme documentation
		<p>Sources of information: samples/measurements of areas affected by damage, records of pests/disease, current forestry legislation, forest pasture or hunting management plans, specification of terms for Sustainable Forest Management. In the case of phytosanitary treatments: current legislation, bibliography, courses of treatment carried out by official organisms, chemical safety documents. Forestry operations: logging permits, good forestry practices.</p> <p>6.11 <u>Indicator: Cultural and spiritual values (D)</u></p> <p>Justification: forests have certain cultural and spiritual values attached to them for aesthetic, religious, artistic, and historical reasons, amongst others. Although such values are frequently intangible or personal, on occasions they are visible in concrete places and can be identified and, where applicable, protected.</p> <p>Examples of such areas are archaeological sites, unique specimens of trees, places with a historical significance or where traditional ceremonies are carried out, exceptionally beautiful landscapes, etc.</p> <p>Aim/target: for forestry management to be respectful of clearly identified cultural and spiritual values.</p> <p>Parameters:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Cultural and spiritual values identified in the management plan; <input type="checkbox"/> Measures and guidelines for preserving cultural and spiritual values, in the event they are deemed necessary for protecting those values. <p>Sources of information: inventory of cultural assets or similar, inventory or registry of unique or</p>

Question	YES / NO*	Reference to scheme documentation
		comparable trees or settings
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>Spanish SCHEME - DT_2013_02_20 page 27: " Knowledge of the fundamental principles of sustainable forest management, as well as of the PEFC Certification Scheme and UNE standards on Sustainable Forest Management, is an essential requirement for initiating, organising, developing and implementing a certification process. This requirement is applicable to all those involved in the certification process to the extent required by the role each person plays in the process."</p> <p>1.6 <u>Indicator: Forestry information (D)</u></p> <p>Justification: The growing complexity of demands made of the forest and their scope in terms of time and space call for transparent, accessible and efficient information systems, as well as significant research, together with effective ways of participating.</p> <p>Aim/target: To make sources of information available (internal information, inventories, statistics, R+D+i, etc.) and to create mechanisms for participation.</p> <p>Parameters: existence of a mechanism to enable access to available data, for example concerning:</p> <ul style="list-style-type: none"> <input type="checkbox"/> forest inventories; <input type="checkbox"/> forestry statistics (logging, damage, replanting, investment, etc.); <input type="checkbox"/> Forestry R+D+i; <input type="checkbox"/> participative forums; <input type="checkbox"/> general or sector-specific studies.

Question	YES / NO*	Reference to scheme documentation
		<p>Sources of information: information from the regional entity, forest inventories, forestry statistics, forestry legislation, related websites.</p> <p>6.5 <u>Indicator: Employment in the forestry sector (C)</u></p> <p>Justification: the employment generated by a forest is an important indicator of its social benefits, especially for sustainable rural development. At the same time, suitably qualified human resources are required in sufficient numbers.</p> <p>Aim/target: to monitor employment statistics in the management unit and to enhance theoretical and/or practical training on Sustainable Forest Management.</p> <p>Parameters:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Amount of direct employment (number of days worked or number of employees); <input type="checkbox"/> training and awareness-building programs taught. <p>Sources of information: current legislation, personal interviews.</p>
<p>5.6.9 Forest management practices shall make the best use of local forest-related experience and knowledge, such as those of local communities, forest owners, NGOs and local people.</p>	<p>Yes</p>	<p>1.6 <u>Indicator: Forestry information (D)</u></p> <p>Justification: The growing complexity of demands made of the forest and their scope in terms of time and space call for transparent, accessible and efficient information systems, as well as significant research, together with effective ways of participating.</p> <p>Aim/target: To make sources of information available (internal information, inventories, statistics, R+D+i, etc.) and to create mechanisms for participation.</p>

Question	YES / NO*	Reference to scheme documentation
		<p>Parameters: existence of a mechanism to enable access to available data, for example concerning:</p> <ul style="list-style-type: none"> <input type="checkbox"/> forest inventories; <input type="checkbox"/> forestry statistics (logging, damage, replanting, investment, etc.); <input type="checkbox"/> Forestry R+D+i; <input type="checkbox"/> participative forums; <input type="checkbox"/> general or sector-specific studies. <p>Sources of information: information from the regional entity, forest inventories, forestry statistics, forestry legislation, related websites.</p> <p>Spanish Scheme, chapter 3: “The concentration of privately owned lands (70.9%) is remarkable, followed by the 22.9% owned by local administrations, compared to the very scarce ownership by the central and regional governments, who together account for 6.2%.”</p> <p>“The size of forestlands depending on their ownership does not reflect great differences between those that belong to the State and those that belong to other public entities, with an average of 500 and 600ha respectively, but there is a significant difference with privately owned forestlands, whose mean surface area scarcely covers 3 ha, clear indication of the extent of smallholdings still existing in the private forest sector (Spanish Forest Strategy).”</p> <p>PEFC Spain stated that it is clear that most forest area in Spain is managed by small landowners and local authorities (70.9% + 22.9% = 93.8%). They apply directly their knowledge and local experience in the management.</p>

Question	YES / NO*	Reference to scheme documentation
<p>5.6.10 Forest management shall provide for effective communication and consultation with local people and other stakeholders relating to sustainable forest management and shall provide appropriate mechanisms for resolving complaints and disputes relating to forest management between forest operators and local people.</p>	<p>Yes</p>	<p>1.6 <u>Indicator: Forestry information (D)</u></p> <p>Justification: The growing complexity of demands made of the forest and their scope in terms of time and space call for transparent, accessible and efficient information systems, as well as significant research, together with effective ways of participating.</p> <p>Aim/target: To make sources of information available (internal information, inventories, statistics, R+D+i, etc.) and to create mechanisms for participation.</p> <p>Parameters: existence of a mechanism to enable access to available data, for example concerning:</p> <ul style="list-style-type: none"> <input type="checkbox"/> forest inventories; <input type="checkbox"/> forestry statistics (logging, damage, replanting, investment, etc.); <input type="checkbox"/> Forestry R+D+i; <input type="checkbox"/> participative forums; <input type="checkbox"/> general or sector-specific studies. <p>Sources of information: information from the regional entity, forest inventories, forestry statistics, forestry legislation, related websites.</p> <p><i>It is not clear what ' effective ways of participating' or 'mechanism of participation' are and if this includes consultation with local people and other stakeholders and includes appropriate mechanism for resolving complaints and disputes on a forest management level</i></p>

Question	YES / NO*	Reference to scheme documentation
		<p>Spanish SCHEME - DT_2013_02_20 :</p> <p>“6. Complaints and appeals relating to the decisions and activities of a certified entity, an accredited certification body or an accreditation entity shall be dealt with using the procedure for complaints and appeals in place at the relevant accredited certification body, accreditation entity, or by the International Accreditation Forum (IAF) as may be required.”</p> <p>Spanish SCHEME - DT_2013_02_20 Chapter 5. <i>Chapter 5 refers to organisational structure of PEFC Spain including regional association. However this chapter does not refer to the level of forest management planning and consultation with local stakeholders.</i></p> <p>Spanish Scheme, chapter 11.9:</p> <p>“The entity applying for Forest Management certification shall make available to all interested parties a summary of the forest management plan, or an equivalent that covers the extension and scale of the forest management, [...]”</p> <p>All comments, remarks or opinions which for improved interpretation should refer to the concrete Criteria and Indicators in the above-mentioned UNE Standard shall be taken into account in order to improve the management and shall be made available to the team of external auditors for them to assess and consider during the independent certification process.</p> <p>Once auditing process has concluded, the audited entity shall make public summary of the certification report provided by the certification body” [...]</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	Yes	<p>6.6 <u>Indicator: Occupational health and safety (C)</u></p> <p>Justification: forestry continues to be one of the sectors with the highest accident rates. Preventing accidents and occupational illness in the forestry sector is an important social aspect of Sustainable Forest Management.</p>

Question	YES / NO*	Reference to scheme documentation
work and about preventive measures.		<p>Aim/target: to reduce accident rates in the forestry business.</p> <p>Parameter: number of severe accidents occurring during management activities carried out on the management unit.</p> <p>Sources of information: records created by the manager, current legislation, specifications or contracts for outsourced forestry work, regional guidelines.</p> <p>National Act 31/1995 – Prevention of Risks in the Work Place, Chapter III Rights and Duties</p> <p>Article 18: Information, consultation and participation of workers: “In order to comply with the duty of protecting workers established in this Act, the employer shall set out and develop appropriate actions to ensure that workers receive all necessary information regarding: a) The risks for safety and health of workers at work, including those that concern the company as a whole and those that concern each type of job or role. b) The measures and activities for protection and prevention applicable to the risks identified in the previous section.</p> <p>Article 19: Workers training: “In compliance with the duty of protecting workers, the employer shall ensure that every worker receives training and education, adequate and appropriate, regarding prevention, (...)”</p> <p>Technical Assistance Manual on Prevention of Occupational Risks in Forestry sector</p> <p>7. Workers information and training a) Workers information: “The employer is obliged to inform workers about the measures and activities developed in order to improve the safety in working conditions. To comply with this obligation, the employer shall set out and develop appropriate measures to ensure that workers receive all the necessary information (...).</p>

Question	YES / NO*	Reference to scheme documentation
		<p>b) Workers training: “Workers training is linked to the employer requirement of informing workers about occupational health and safety. The employer is obliged to guarantee that every worker receives theoretical training, and adequate and appropriate information about the risks they may be exposed within the company and work centers. This training is also required to be open to the participation of workers, through consultation, proposals, etc.”</p> <p>8. Control of material resources for preventive activities</p> <p>a) Working equipment: “The Article 17 of the Prevention of Risks in the Work Place Act establishes the specific obligation for the employer of taking the appropriate measures to avoid the risk for safety and health of workers caused by the use of working equipments.”</p> <p>b) Personal Protective Equipment (PPE): “The article 17 of the Law Prevention of Risks in the Work Place Act lays down that the employer must provide workers Personal Protective Equipment (PPE) for the performance of their tasks and ensure their use when, by the type of work, its is necessary.”</p>
5.6.12 Working conditions shall be safe, and guidance and training in safe working practices shall be provided to all those assigned to a task in forest operations.	Yes	<p>6.5 <u>Indicator: Employment in the forestry sector (C)</u></p> <p>Justification: the employment generated by a forest is an important indicator of its social benefits, especially for sustainable rural development. At the same time, suitably qualified human resources are required in sufficient numbers.</p> <p>Aim/target: to monitor employment statistics in the management unit and to enhance theoretical and/or practical training on Sustainable Forest Management.</p> <p>Parameters:</p> <p><input type="checkbox"/> Amount of direct employment (number of days worked or number of employees);</p>

Question	YES / NO*	Reference to scheme documentation
		<p><input type="checkbox"/> training and awareness-building programs taught.</p> <p>Sources of information: current legislation, personal interviews.</p> <p>6.6 <u>Indicator: Occupational health and safety (C)</u></p> <p>Justification: forestry continues to be one of the sectors with the highest accident rates. Preventing accidents and occupational illness in the forestry sector is an important social aspect of Sustainable Forest Management.</p> <p>Aim/target: to reduce accident rates in the forestry business.</p> <p>Parameter: number of severe accidents occurring during management activities carried out on the management unit.</p> <p>Sources of information: records created by the manager, current legislation, specifications or contracts for outsourced forestry work, regional guidelines.</p> <p><i>“Law 31/1995 of November 8, Occupational Risk Prevention (BOE no. 269 of 10/11/1995), determines the basic body guarantees and responsibilities necessary to establish an adequate level of protection of health workers from the risks of working conditions.”</i></p>
5.6.13 Forest management shall comply with fundamental ILO conventions.	Yes	<i>Spain has ratified all Core ILO Conventions and has implemented through the legislative framework;</i>
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	Yes	<p>1.6 <u>Indicator: Forestry information (D)</u></p> <p>Justification: The growing complexity of demands made of the forest and their scope in terms of time and space call for transparent, accessible and efficient information systems, as well as</p>

Question	YES / NO*	Reference to scheme documentation
<p>sustainable forest management or support relevant research activities carried out by other organisations, as appropriate.</p>		<p>significant research, together with effective ways of participating.</p> <p>Aim/target: To make sources of information available (internal information, inventories, statistics, R+D+i, etc.) and to create mechanisms for participation.</p> <p>Parameters: existence of a mechanism to enable access to available data, for example concerning:</p> <ul style="list-style-type: none"> <input type="checkbox"/> forest inventories; <input type="checkbox"/> forestry statistics (logging, damage, replanting, investment, etc.); <input type="checkbox"/> Forestry R+D+i; <input type="checkbox"/> participative forums; <input type="checkbox"/> general or sector-specific studies. <p>Sources of information: information from the regional entity, forest inventories, forestry statistics, forestry legislation, related websites.</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</p>	<p>Yes</p>	<p>Spanish SCHEME - DT_2013_02_20 page 6: “Apart from the requisites explicitly laid down in the Scheme, entities applying for certification must comply with the laws, regulations, programmes and state and regional policies that may be applicable to them, including those of the fundamental conventions of the ILO, as well as those that have any direct relationship or impact on the criteria for Sustainable Forest Management or on the traceability of forest-based resources, and any apparent violation of said legislation shall be taken into consideration during the auditing and certification processes.”</p>

Question	YES / NO*	Reference to scheme documentation
royalties and taxes.		<p>1.5 Indicator: Forestry legislation (D)</p> <p>Justification: Sustainable Forest Management calls for a legal framework that sets forth, among other things, the rights and obligations of forest owners and other users of forest land and which establishes rules for preserving and defending forest resources.</p> <p>Aim/target: to enhance accessibility to current forest legal framework in force.</p> <p>Parameter: existence of a mechanism to understand the legal requirements applicable in forestry matters.</p> <p>Sources of information: forestry and supplementary legislation, international agreements and related websites</p>
5.7.2 Forest management shall provide for adequate protection of the forest from unauthorised activities such as illegal logging, illegal land use, illegally initiated fires, and other illegal activities.	Yes	<p>1.5 Indicator: Forestry legislation (D)</p> <p>Justification: Sustainable Forest Management calls for a legal framework that sets forth, among other things, the rights and obligations of forest owners and other users of forest land and which establishes rules for preserving and defending forest resources.</p> <p>Aim/target: to enhance accessibility to current forest legal framework in force.</p> <p>Parameter: existence of a mechanism to understand the legal requirements applicable in forestry matters.</p> <p>Sources of information: forestry and supplementary legislation, international agreements and related websites</p>

Question	YES / NO*	Reference to scheme documentation
		<p>Law 10/2006 – Forestry Act</p> <p>Article 1. Object</p> <p>This law aims to ensure the conservation and protection of the Spanish forest land, promoting their restoration, improvement, sustainability and rational, based on collective solidarity and territorial cohesion.[...]</p> <p>Article 67. Characterization of infringements</p> <p>For the purpose of this law, without prejudice to what is provided about regional legislation, are considered administrative offenses the following:</p> <p>a) the change of forest use without permission.</p> <p>h) Conducting forest exploitation without official authorization, 9...0 and, in general, performing any unauthorized activity or notified when it is obligatory. [...]</p> <p>n) The unauthorized dumping of waste on forest land.”</p>

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

PART IV: MINIMUM REQUIREMENTS CHECKLIST FOR CERTIFICATION AND ACCREDITATION PROCEDURES (ANNEX 6)

3 Scope

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

4 CHECKLIST

No.	Question	Reference to PEFC Council PROCEDURES	YES / NO*	Reference to scheme documentation
Certification Bodies				
1.	Does the scheme documentation require that certification shall be carried out by impartial, independent third parties that cannot be involved in the standard setting process as governing or decision making body, or in the forest management and are independent of the certified entity?	Annex 6, 3.1	YES	Spanish Forest Certification Scheme, chapter 11: “2. Certification bodies shall be impartial third parties independent both of the forest management and of the certified entity and shall not be an organ of decision in the Standards drafting process.” (p.22)
2.	Does the scheme documentation require that certification body for forest management certification or chain of custody certification	Annex 6, 3.1	YES	Spanish Forest Certification Scheme, chapter 11: “The certification body and documented procedure for performing certification shall fulfil the provisions laid down in ISO/IEC

No.	Question	Reference to PEFC Council PROCEDURES	YES / NO*	Reference to scheme documentation
	against a scheme specific chain of custody standard shall fulfil requirements defined in ISO 17021 or ISO Guide 65?			17021:2011 for forest management and ISO Guide 65 for chain of custody.” (p.23)
3.	Does the scheme documentation require that certification body chain of custody certification against PEFC ST 2002:2010 shall fulfil requirements defined in ISO Guide 65?	Annex 6, 3.1	YES	<p>Spanish Forest Certification Scheme, chapter 11: “The certification body and documented procedure for performing certification shall fulfil the provisions laid down in [...] ISO Guide 65 for chain of custody.</p> <p>In Chain of Custody certification, certification entities shall abide by all the requisites laid down in PEFC ST 2003:2012.” (p.23)</p>
4.	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>Spanish Forest Certification Scheme, chapter 11: “Certification bodies are responsible for employing competent auditors that have adequate technical know-how on the certification process and all issues related to forest management.” (p.24)</p> <p>UNE 162.003 standard on criteria for qualification of forest auditors, section 4: “Auditors must have at least two years’ professional experience in the forestry sector in any or all of the following fields: a) The Sustainable Forest Management Systems and Standards which may be audited. [...]</p>

No.	Question	Reference to PEFC Council PROCEDURES	YES / NO*	Reference to scheme documentation
				<p>Forest management auditors must be competent in the following fields:[...]</p> <p>e) the principles of forest management based on techniques involving inventories, forest cropping, planning, protection and the management of Natural Systems – to enable the auditor to examine the forest management system and decide whether it is being adequately applied;</p> <p>f) Natural Environment Science, Environmental technology and the economic principles applicable to forest management – to give the auditor a grasp of the fundamental relations between human activities and sustainable forest management;</p> <p>g) technical aspects of forestry operations associated with exploitations, technology and derived uses – to allow the auditor to grasp the activities of the entity audited and their effects on the management itself and the territory. (p.4-5)</p>
5.	Does the scheme documentation require that certification bodies carrying out C-o-C certifications shall have technical competence in forest based products procurement and processing and material flows in different stages of processing and trading?	Annex 6, 3.1	YES	<p>Spanish Forest Certification Scheme, chapter 11: “Certification bodies are responsible for employing competent auditors that have adequate technical know-how on the certification process and all issues related to [...] chain of custody certification.” (p.24)</p> <p>Spanish Forest Certification Scheme, chapter 9:</p>



No.	Question	Reference to PEFC Council PROCEDURES	YES / NO*	Reference to scheme documentation
				<p>“The Spanish Forest Certification Scheme, as far as Chain of Custody Certification is concerned, adopts and assumes all the provisions of the PEFC Council's technical document, especially the current version of reference document PEFC ST 2002:2010.”(p.21)</p> <p>PEFC ST 2003:2012, 5.2.6.1.c</p> <p>“The certification body shall ensure that auditors demonstrate ability to apply knowledge and skills in the following areas:... applicable international legislation and country specific forest governance and law enforcement system relevant to forest based raw material procurement”</p> <p>PEFC ST 2003:2012, 5.2.6.2.b</p> <p>“The certification body shall ensure that auditors demonstrate ability to apply terminology, knowledge, understanding and skills in the following areas of the chain of custody of forest based product.. products, processes and practices in the specific sector, applied raw material flow, measurements and control measures,...”</p> <p>PEFC ST 2003:2012, 5.2.6.2.f</p> <p>“The certification body shall ensure that auditors demonstrate ability to apply terminology, knowledge, understanding and skills in the following areas of the chain of custody of forest based product.. application of the measures to avoid procurement of raw material from controversial sources, including the relevant risk assessment methodology and indicators..”</p>

No.	Question	Reference to PEFC Council PROCEDURES	YES / NO*	Reference to scheme documentation
6.	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 or C-o-C certifications?	Annex 6, 3.1	YES	<p>Spanish Forest Certification Scheme, chapter 11: “Certification bodies are responsible for monitoring compliance by the Sustainable Forest Management or Chain of Custody certified entity of the requisites in force with regard to implementation of the scheme and use of the PEFC logo.” (p.23) “auditors and the auditing process used for chain of custody must comply with the specific guidelines of UNE – EN ISO 19.011 specified in PEFC ST 2003:2012. Certification bodies are responsible for employing competent auditors that have adequate technical know-how on the certification process and all issues related to forest management or chain of custody certification.” (p.24)</p> <p>UNE 162.003 standard on criteria for qualification of forest auditors, section 4: “Auditors must have at least two years’ professional experience in the forestry sector in any or all of the following fields: a) The Sustainable Forest Management Systems and Standards which may be audited.” [...] Forestry auditor candidates must have received theoretical and practical training in sustainable forest management audits which will guarantee their aptitude in the fields of knowledge required to run</p>



No.	Question	Reference to PEFC Council PROCEDURES	YES / NO*	Reference to scheme documentation
				<p>and manage forestry audits.</p> <p>This theoretical training can be provided by the entity to which the auditor belongs or by an outside organisation, and must be recognised by the Spanish body administering the Paneuropean forestry certification system. The organisation providing the training will accredit the candidate's suitability as a forestry auditor in terms of the training received. [...]</p> <p>Forest management auditors must be competent in the following fields:[...]</p> <p>b) management systems and reference documents – to allow the auditor to grasp the scope of the audit and apply its criteria;" (p.4-5)</p>
7.	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 or chain of custody certification?	Annex 6, 3.2	YES	<p>Spanish Forest Certification Scheme, chapter 11: "Certification bodies are responsible for employing competent auditors that have adequate technical know-how on the certification process and all issues related to forest management." (p.24)</p>
8.	Does the scheme documentation require that the auditors must fulfil the general criteria of	Annex 6, 3.2	YES	<p>Spanish Forest Certification Scheme, chapter 11: "Forest management auditors and the auditing process must</p>

No.	Question	Reference to PEFC Council PROCEDURES	YES / NO*	Reference to scheme documentation
	ISO 19011 for Quality Management Systems auditors or for Environmental Management Systems auditors?			comply with the guidelines of ISO standard 17021:2011 “Conformity assessment – requirements for bodies providing audit and certification of management systems” which includes criteria ISO 19.011. Likewise, auditors and the auditing process used for chain of custody must comply with the specific guidelines of UNE – EN ISO 19.011 specified in PEFC ST 2003:2012.”(p.24)
9.	Does the scheme documentation include additional qualification requirements for auditors carrying out forest management or chain of custody audits? ^[*1]	Annex 6, 3.2	NO	<p>Spanish Forest Certification Scheme, chapter 11: “Additionally, auditors for forest management certification shall meet the required qualifications laid down in UNE standard 162.003 on Sustainable forest management - Criteria for forest auditor qualifications.” (p.24)</p> <p><i>No reference could be found for additional qualification requirements for auditors carrying out C-o-C audits. However, as this is not an obligatory requirement no non-conformity is raised.</i></p>
Certification procedures				
10.	Does the scheme documentation require that certification bodies shall have established internal procedures for forest management and/or chain of custody certification?	Annex 6, 4	YES	<p>Spanish Forest Certification Scheme, chapter 11: “The certification body and documented procedure for performing certification shall fulfil the provisions laid down in ISO/IEC 17021:2011 for forest management and ISO Guide 65 for chain of custody.” (p.23)</p>



No.	Question	Reference to PEFC Council PROCEDURES	YES / NO*	Reference to scheme documentation
11.	Does the scheme documentation require that applied certification procedures for forest management certification or chain of custody certification against a scheme specific chain of custody standard shall fulfil or be compatible with the requirements defined in ISO 17021 or ISO Guide 65?	Annex 6, 4	YES	Spanish Forest Certification Scheme, chapter 11: “The certification body and documented procedure for performing certification shall fulfil the provisions laid down in ISO/IEC 17021:2011 for forest management and ISO Guide 65 for chain of custody.” (p.23)
12.	Does the scheme documentation require that applied certification procedures for chain of custody certification against PEFC ST 2002:2010 shall fulfil or be compatible with the requirements defined in ISO Guide 65?	Annex 6, 4	YES	Spanish Forest Certification Scheme, chapter 11: “The certification body and documented procedure for performing certification shall fulfil the provisions laid down in ISO/IEC 17021:2011 for forest management and ISO Guide 65 for chain of custody. In Chain of Custody certification, certification entities shall abide by all the requisites laid down in PEFC ST 2003:2012.” (p.23)
13.	Does the scheme documentation require that applied auditing procedures shall fulfil or be compatible with the requirements of ISO 19011?	Annex 6, 4	YES	Spanish Forest Certification Scheme, chapter 11: “Forest management auditors and the auditing process must comply with the guidelines of ISO standard 17021:2011 “Conformity assessment – requirements for bodies providing audit and certification of management systems” which includes criteria ISO 19.011. Likewise, auditors and the auditing process used for chain of

No.	Question	Reference to PEFC Council PROCEDURES	YES / NO*	Reference to scheme documentation
				custody must comply with the specific guidelines of UNE – EN ISO 19.011 specified in PEFC ST 2003:2012.” (p.24)
14.	Does the scheme documentation require that certification body shall inform the relevant PEFC National Governing Body about all issued forest management and chain of custody certificates and changes concerning the validity and scope of these certificates?	Annex 6, 4	YES	Spanish Forest Certification Scheme, chapter 11: “Accredited certification bodies must [...] inform PEFC-España of any forest management and/or chain of custody certificates they grant, and shall make publicly accessible all information regarding certificates granted, suspended or withdrawn.” (p.23)
15.	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	Spanish Forest Certification Scheme, chapter 11: “Certification bodies are responsible for monitoring compliance by the Sustainable Forest Management or Chain of Custody certified entity of the requisites in force with regard to implementation of the scheme and use of the PEFC logo.” (p.26)
16.	Does a maximum period for surveillance audits defined by the scheme documentation not exceed more than one year?	Annex 6, 4	YES	Spanish Forest Certification Scheme, chapter 11: “Every year, a follow-up audit shall be performed. Likewise, the certification body may perform extra audits when it considers that reasons exist to warrant such action.” (p/24)
17	Does a maximum period for assessment audit not exceed five years for both forest management and chain of custody certifications?	Annex 6, 4	YES	Spanish Forest Certification Scheme, chapter 11: “The full validity period for a sustainable forest management is 3 years, while for a chain of custody certificate, it is five years.”(p.24)



No.	Question	Reference to PEFC Council PROCEDURES	YES / NO*	Reference to scheme documentation
18	Does the scheme documentation include requirements for public availability of certification report summaries?	Annex 6, 4	YES	<p>Spanish Forest Certification Scheme, chapter 11: “Once the auditing process has concluded, the audited entity shall make public a summary of the certification report provided by the certification body in which the most significant data from the process is to be included, as well as a list of the persons or legal entities that have presented comments thereto.”</p>
19	Does the scheme documentation include requirements for usage of information from external parties as the audit evidence?	Annex 6, 4	YES	<p>Spanish Forest Certification Scheme, chapter 11: “All comments, remarks or opinions which for improved interpretation should refer to the concrete Criteria and Indicators in the above-mentioned UNE standard shall be taken into account in order to improve the management and shall be made available to the team of external auditors for them to assess and consider during the independent certification process.” (p.25)</p> <p>“Once the auditing process has concluded, the audited entity shall make public a summary of the certification report provided by the certification body in which the most significant data from the process is to be included, as well as a list of the persons or legal entities that have presented comments thereto.” (p.26)</p>
20.	Does the scheme documentation include additional requirements for certification	Annex 6, 4	YES	<p>Spanish Forest Certification Scheme, chapter 11: “8. For forest management certification audits, management units</p>

No.	Question	Reference to PEFC Council PROCEDURES	YES / NO*	Reference to scheme documentation
	procedures? ^[1]			<p>will be selected by sampling. The forestlands chosen in the sampling must be representative of all the forests opting for certification in terms of criteria for land usage, season quality, vegetation species, type of forest stand, forest activities or husbandry being performed, etc. In order to make the certification process more efficient, in the event that a large number of management plans need to be audited, the auditing team will concentrate its inspections by areas, districts or provinces.</p> <p>Sampling for the various audits is defined by parameters relating to 'n', where 'n' is the number of management plans opting for certification."(p.25)</p> <p>"10. Except for specific cases authorised by PEFC-España, the same forestland may not be included in more than one Sustainable Forest Management certificate. For those forests that are so authorised, in the event that a non-compliance is detected in one certificate, the corresponding certification body shall be responsible for giving adequate notification thereof to the other certification bodies and to PEFC-España.</p> <p>11. In chain of custody certification, both initial audits and follow-up or renewal audits shall inspect all sections of the regulatory documents concerning requirements for chain of custody traceability. In combined multiple installation or 'multi-site'</p>



No.	Question	Reference to PEFC Council PROCEDURES	YES / NO*	Reference to scheme documentation
				<p>certification, members' control procedures shall be audited and member sites by sampling. In order for new sites to be added to the certificate, they must be considered in the sample.</p> <p>Sampling for the various chain of custody audits is defined by general parameters relating to 'n', where 'n' is the number of sites opting for certification." (p.26)</p>
Accreditation procedures				
21.	Does the scheme documentation require that certification bodies carrying out forest management and/or chain of custody certification shall be accredited by a national accreditation body?	Annex 6, 5	YES	<p>Spanish Forest Certification Scheme, chapter 11: "Certification bodies operating in Spain must be specifically accredited for forest management and/or chain of custody certification by Spain's national accreditation board (ENAC) or an equivalent body." (p.23)</p>
22.	Does the scheme documentation require that an accredited certificate shall bear an accreditation symbol of the relevant accreditation body?	Annex 6, 5	YES	<p>Spanish Forest Certification Scheme, chapter 11: "The certificate must provide details of the [...] number and name of the accreditation entity,"(p.23)</p> <p><i>Number and name of the accreditation entity can be considered a symbol.</i></p>
23.	Does the scheme documentation require that the accreditation shall be issued by an accreditation body which is a part of the	Annex 6, 5	YES	<p>Spanish Forest Certification Scheme, chapter 11: "Accreditation entities shall be members of the International</p>

No.	Question	Reference to PEFC Council PROCEDURES	YES / NO*	Reference to scheme documentation
	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?			Accreditation Forum (IAF) and implement the procedures laid down in ISO/IEC 17011:2004 and other documents recognised by the above organisation.” (p.23)
24.	Does the scheme documentation require that certification body undertake forest management or/and chain of custody certification against a scheme specific chain of custody standard as “accredited certification” based on ISO 17021 or ISO Guide 65 and the relevant forest management or chain of custody standard(s) shall be covered by the accreditation scope?	Annex 6, 5	YES	<p>Spanish Forest Certification Scheme, chapter 11:</p> <p>“The certification body and documented procedure for performing certification shall fulfil the provisions laid down in ISO/IEC 17021:2011 for forest management and ISO Guide 65 for chain of custody. [...]</p> <p>Certification bodies operating in Spain must be specifically accredited for forest management and/or chain of custody certification [...]</p> <p>Accreditation entities shall [...] implement the procedures laid down in ISO/IEC 17011:2004 and other documents recognised by the above organisation.” (p.23)</p> <p>“Forest management auditors and the auditing process must comply with the guidelines of ISO standard 17021:2011 “Conformity assessment – requirements for bodies providing audit and</p>



No.	Question	Reference to PEFC Council PROCEDURES	YES / NO*	Reference to scheme documentation
				certification of management systems” which includes criteria ISO 19.011. Likewise, auditors and the auditing process used for chain of custody must comply with the specific guidelines of UNE – EN ISO 19.011 specified in PEFC ST 2003:2012.”(p.24)
25.	Does the scheme documentation require that certification body undertake chain of custody certification against PEFC ST 2002:2010 as “accredited certification” based on ISO Guide 65?	Annex 6, 5	YES	<p>Spanish Forest Certification Scheme, chapter 11:</p> <p>“The certification body and documented procedure for performing certification shall fulfil the provisions laid down in ISO/IEC 17021:2011 for forest management and ISO Guide 65 for chain of custody.</p> <p>In Chain of Custody certification, certification entities shall abide by all the requisites laid down in PEFC ST 2003:2012.” (p.23).</p>
26.	Does the scheme documentation include a mechanism for PEFC notification of certification bodies?	Annex 6, 6	YES	<p>Spanish Forest Certification Scheme, chapter 11:</p> <p>“Accredited certification bodies must be notified by PEFC-España to operate in Spain” (p.23)</p> <p>GENERAL PROCEDURE</p> <p>PEFC Notification of Certification Bodies</p>
27.	Are the procedures for PEFC notification of certification bodies non-discriminatory?	Annex 6, 6	YES	<p>PEFC Notification of certification bodies operating in Spain sustainable forest management (SFM) and/ or Chain of Custody (CoC) certification:</p>

No.	Question	Reference to PEFC Council PROCEDURES	YES / NO*	Reference to scheme documentation
				1: “This procedure describes the rules for the non-discriminatory PEFC notification in Spain of Certification Bodies” 4: “The PEFC Secretariat assesses application and decides non-discriminatorily whether PEFC Notification is to be gained”(p.2)

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

[*1] This is not an obligatory requirement

PART V REQUIREMENTS FOR ADMINISTRATION OF PEFC SCHEME – COMPLAINTS AND DISPUTE PROCEDURES

No.	Question	Reference to PEFC GD 1004:2009	YES / NO*	Reference to application documents
Requirements for administration of PEFC Scheme – Complaints and dispute procedures				
1	Does the scheme documentation contain procedures for dealing with complaints relating to the governance and administration of the PEFC scheme?	Section 8.1	YES	4.2_PG 4 2008 Dispute Settlement_EN: “1. GENERAL INFORMATION – SCOPE This procedure defines the establishment and the operating of a dispute settlement body that takes care of any complaints arising from implementation of the scheme or certification procedures including chain of custody certification that cannot be dealt with using the dispute settlement procedures of the relevant accredited certification body or the relevant accreditation body.”
2a	Does the complaint procedure provide for acknowledgement of the complaint to the complainant upon receipt of the complaint?	Section 8.2a	YES	4.2_PG 4 2008 Dispute Settlement_EN: “3. DISPUTE SETTLEMENT PROCEDURES The request for the initiation of a dispute settlement procedure should be sent to the PEFC Spain secretariat. It must include informative documentation on the actual case, statements from all parties involved and, if appropriate, the result of the internal investigation conducted by the certification body. The PEFC secretariat will confirm receipt of the request.”
2b	Does the complaint procedure provide for gathering and verification of all necessary information, validation and impartial evaluation	Section 8.2b	YES	4.2_PG 4 2008 Dispute Settlement_EN, 2: “The members of the dispute settlement body are independent and unbiased in order to evaluate impartially all the gathered and validated information of

No.	Question	Reference to PEFC GD 1004:2009	YES / NO*	Reference to application documents
	of the complaint, and decision making on the complaint upon receipt of the complaint?			the complaint.” “If within three months of receipt of the request, no regular meeting of the PEFC Spain is held, then the appointment of the dispute settlement body and its members must be organised on the basis of written correspondence. The dispute settlement body will meet for the first time within this period. For more complex cases an independent expert will be called in. The decision must be made within three months of the first meeting of the dispute settlement body. Decision is taken by a simple majority.” (p.1-2)
2c	Does the complaint procedure provide for formal communication of the decision on the complaint and the complaint handling process to the complainant and concerned parties upon receipt of the complaint?	Section 8.2c	YES	4.2_PG 4 2008 Dispute Settlement_EN: “3. DISPUTE SETTLEMENT PROCEDURES The PEFC secretariat is responsible for drafting reports on the meetings of the dispute settlement body and for informing the parties concerned of the outcome of the dispute settlement.”
2d	Does the complaint procedure provide for appropriate corrective and preventive actions?	Section 8.2d	YES	4.2_PG 4 2008 Dispute Settlement_EN: “3. DISPUTE SETTLEMENT PROCEDURES The decision of the dispute settlement body is binding and terminates the dispute settlement of PEFC Spain. All certificates and confirmations of participation remain valid until the dispute settlement body has announced its decision.” <i>No reference was found that the complaint procedure provide for appropriate corrective and preventive actions.</i> <i>In response to the non-conformity raised, PEFC Spain proposed to update the Scheme:</i>



No.	Question	Reference to PEFC GD 1004:2009	YES / NO*	Reference to application documents
				<p><i>Add at 3: [Decision is taken by simple majority] “The dispute settlement body will provide for appropriate corrective and preventive actions” [The PEFC Secretariat is responsible for drafting reports on the meetings of the dispute settlement body and for informing the parties concerned of the outcome] “and the corrective and preventive actions regarding the complaint”</i></p> <p><i>With these proposed revisions, the non-conformity is closed.</i></p>

Annex 2 Results of stakeholder survey

17 questionnaires were filled in. Only the responses providing meaningful information are shown here. To the other questions, the answers supported conformity with the requirements of PEFC.

To the question if a balanced representation of stakeholders was achieved, most stakeholders had an affirmative answer. One stakeholder indicated that this was more or less the case but that there is always room for improvement. According to this stakeholder, research institutes were poorly represented. Another stakeholder indicated to miss the active participation of environmental NGOs.

To the question if the public consultation period lasted 60 days, most stakeholder answered 'yes'. One stakeholder indicated "I think so, but I have not been aware of the formal aspects of the processing." Another stakeholder indicated 30 days.

Only 2 individuals provided a comment, which did not contain serious issues. Therefore, the abovementioned remarks have not led to any non-conformity.



Annex 3 Results of international consultation

No comments were received during the international stakeholder consultation period.

Annex 4 Results of comments Panel of experts

Three panel of experts have commented on this assessment. Their comments are presented here including the responses from the consultants. Minor adaptations have been made to the text of the report as indicated in the consultant responses.

Report chapter / page	Consultant's report statement	PoE member comment	Consultant's response
Total report	Content, especially chapter 4	This is a very detailed, well-prepared and informative assessment report by the consultant!	Thank you
1.1.p. 6	Form has carried out several conformity assessments for PEFC, such as the standards of Austria, Spain, Gabon, Czech Republic, Finland, Sweden, Canada, Switzerland, Canada , Ireland, Denmark and the United Kingdom.	Canada mentioned twice in the list!	Updated in the report
ACRONYMS p.5	List of ACRONYMS used	At least the following acronyms have been used in the report, which are not in this list: STC, UNE, AENOR, AEN/STC, CEN, CENELEC, ETSI, WG, SC, NGO, ESCRA, CREIF, CECU, BDS PNE, CTN, DT, ISO/ICE,	Updated in the report
Annex 1, Part 1 PEFC Standard requirements Checklist p. 96-140	Content of Annex 1	There are 91 questions (procedures and process) with the following assessment results by the consultant: YES 51 or 56% (65%) N/A 13 or 14% -	No further action deemed necessary.



		<p>NO 27 or 30% (35%)</p>	
<p>Chapter 2 p. 11 Chapter 3.2.p. 12</p>	<p>“Based on the results of this conformity assessment, Form international recommends the PEFC Board of Directors to re-endorse the PEFC Spain scheme (Spanish Forest Certification Scheme – SFCS), on the condition that the identified non- conformities shall be corrected within 6 months after re-endorsement.” “Non-conformities were found for 21 requirements in the Standard Setting Procedures. These non-conformities were mostly identified in the procedures and a few in the process as well.”</p>	<p>Consultant’s recommendation is to re-endorse the scheme, although one third of answers for the questions in Annex 1, Part 1 (MINIMUM REQUIREMENTS CHECKLIST FOR STANDARD SETTING) are negative, “NO” (see above). I question this recommendation. Non-conformances here deal with transparency and participation of the standard setting process. These are the corner stones of the credibility of the process – as well as certification schemes themselves. If the number of these “minor non-conformities” were only few, say 1-4, it would be possible to recommend re-endorsement, but I doubt with such a big number of non-conformities – it does not look good! Additionally there are some non-conformities in the content of SFM, i.e. dealing with chemicals!</p>	<p>Form agrees that the standard setting process is a corner stone for the credibility of the scheme and that the number of NC’s in the procedures are numerous. However, the number of NC’s of the process are few meaning that the actual process mostly conformed PEFC standards. Form has therefore decided that the numerous NC’s do not jeopardize the credibility of the latest revision process and we have therefore recommend endorsement. The timeline of six months is chosen to provide PEFC Spain enough time to update their procedures before the revision. Certain issues regarding involvement of stakeholders and transparency in the process can be improved in the standard setting procedures. In the standard setting process however this is mostly done well. During the stakeholder consultation no serious comments or complaints were received regarding the standard setting process</p>

Chapter 2. p. 11	All proposed new texts that are accepted by the consultant as proof of conformity are expected to be adopted in official new versions of the scheme documentation after due approval processes following PEFC Spain's internal procedures for standard revision. New scheme documents shall be approved by the PEFC Spain Board of Directors and/or standard setting working group where appropriate.	Should there be a similar time limit for these new texts to be approved by PEFC Spain like for the 21 “minor non-conformities” in the Recommendation? – or are these texts already there and need only approval?	Adoption of the new text for the standard setting procedures is part of this assessment and formal approval from AENOR shall be indeed presented to the PEFC council. This is added to chapter 2 of the report. This will ensure that the procedures are conform PEFC standards before the new revision starts as intended.
Chapter 3.1. p.12	The first paragraph	It would be informative to add the numbers of non-conformities both in indicators and standard setting process	Line added in the text.
Chapter 3.2. p. 12	For this part no additional information was presented by PEFC during the 2-week commenting period	...or presented by SFCS? or PEFC Spain ?	By PEFC Spain. Text updated.
p12 3.2 & pp 104-38	Rather a lot of non-conformities in the Standard Setting Process.	I agree that each one is minor but together they mount up. It is important that the Spanish make the necessary changes to their Procedure over the next six months.	Form agrees with this.
Chapter 3.2. p. 12-20	the content of the chapter	With so many “minor” non-conformities the end result could easily be interpreted as “major” !?	“See comment above (Chapter 2 p. 11 Chapter 3.2.p. 12“
p20 6.1	'It is not clear if the period between the first and the second revision exceeded the 5-year period'	It does seem from the data presented that the Scheme was reviewed within 5 years	The data was not clear to us as several dates were mentioned. We therefore requested additional info from PEFC Spain, which was not yet provided.



Chapter 3.4. p. 21	Corrective action request: provide evidence that the indicator 2,4 is auditable and does not leave ample room for interpretation. References that define good forestry practices and suitable stewardship practices shall be specified and included in the normative scheme documentation.	I find this non-conformance rather remarkable!	This non-conformity is made because indicator 2.4 is a key indicator and is being used as evidence for conformance for numerous sometimes very detailed requirements in the PEFC Standards. We think that the indicator lacks detail shall define good forestry practices and suitable stewardship practices.
Chapter 3.4. p. 22	The consultant does not agree with this explanation. Still no reference is made to a specific period for monitoring certain parameters at what intervals, or prescriptions guiding periodicity. Also, the feedback into management planning is not referred to. Does not conform – minor Corrective action request: provide evidence to show conformity or update standard.	This is only one example of consultant’s corrective action requests. “provide evidence or update the standard” My conclusion of these several corrective action requests is: “this report has been prepared too early. More time should have been spent to get these corrective actions been done by PEFC Spain and only after these corrections the timing of this assessment report should be in place. If the BoD of PEFCC shall make the decision recommended in this report, I fear that the credibility of the endorsement process will suffer.	This seems a suggestion to evaluate the commenting period by the national PEFC body. In the two weeks the national PEFC body gets now, limited work can be done to close identified NCs. PEFC Spain is part of AENOR and it would not have been possible to update the standards in the two weeks PEFC Spain chose to focus on closing the NCs identified in the forest management standard and the group certification procedures, but save the revision of the standard setting procedures for the 6-month period after endorsement.
Chapter 3.4. p. 22	As chemicals or harmful substances are not mentioned at all, this is too general and not concrete enough. Specific	Chemicals and other harmful substances are – and have been - a very important issue in SFM discussions, and in	A major NC in this scenario would imply that the FM standard has a such a gap that it would be possible that

	reference to use of chemicals must be included. Does not conform – minor Corrective action request: provide evidence to show conformity or update standard.	certification discussions. Why is this only a “minor” non-conformance?	harmful substances are used ant that water pollution is possible in a certified forest. According to our assessment no such gap exist as several indicators are in place (see also comment from Panel of Expert HGM on this point). It is a minor NC since we think the indicators and laws are too much of a general nature.
p22 5.5.4 & pp 218-20	‘As chemicals or harmful substances are not mentioned at all, this seems too general...’	It would be desirable to insert a specific reference to the avoidance of the inappropriate use of chemicals near waterways, although it is in part covered by 5.2.9, 5.2.10 and to some considerable extent by 5.5.1	Although covered by several indicator it is not specific enough, leaves room for interpretation and therefore non-conform. See also comment from H. Valtanen on this subject
p23 5.5.5 & pp 220-21	‘the scheme documentation does not sufficiently require minimization of the possible negative impacts of road construction’	This is perhaps covered by 5.5.1 (‘Preventive measures must be adopted for all potentially erosive actions...Forest management shall prevent any adverse effects on water quality. Special care is to be given to regulating the water cycle, stabilising water sources, protecting riverbanks etc.’) but even so it would it would be desirable to insert a more specific requirement in the Scheme.	Form agrees with this
4.3/25	<u>Secretariat-Registry</u> ... The secretariat manages the register of forest	As far as I can see in the report there are no Procedures for authorisation in the	This paragraph is directly cited from the PEFC scheme documentation and it is



	management and chain of custody certifications from accredited and authorised certification bodies, ...	SFCS. Chapter 10 of this report also confirms that SFCS conforms to the requirements of PEFC, see requirement 21 on page 89 – 90. Delete "... and authorised ..."	therefore not possible to delete parts. Consultant agrees that this authorisation can be deleted or authorisation procedures to be included in the scheme documentation. This does not lead to any non-conformity
Chapter 5.1. p. 27	In total, non-conformities were found for 21 requirements in the Standard Setting Procedures. These non-conformities were mostly identified in the procedures and a few in the process as well. No comments or additional information on Part I was received from PEFC Spain during the 2-week commenting period from 2-13 September.	This fact (no comments from PEFC Spain) should have been a good reason to stop the assessment process, or to give more time for PEFC Spain to reconsider or revise the Spanish scheme for re-endorsement.	Form has informed PEFC on PEFC Spain's decision to focus on closing NCs in all parts but Part I on Standard Setting Procedures. When in the major-minor system, NCs are regarded as minor, this provides room to wait with revision of the procedures as a 6-month period is given to correct the NCs classified as minor. PEFC Spain has taken this time as they need to take this up with AENOR, the national standardization organization in Spain.
p27 5.1	'AENOR'...'STC'	It would be helpful if these acronyms were included in the list on p5	List of acronyms is updated.
10.2/85	... The organisation providing the training will accredit the candidate's suitability ...	Using "accredit" for confirming the candidate's suitability as a forest auditor can cause confusion in combination with the requirement that the certification bodies shall be accredited.	This paragraph is directly cited from the PEFC scheme documentation. Form also recommends PEFC Spain to update this in the text during the next revision. This does not lead to any non-conformity

