
Checklist of Compliance with the PEFCC Technical Document

Part 1: Minimum Requirements Check List for Standard Setting Process (Annex 2)

Question 1: Has the development of the certification standards been independent from the certification and accreditation process? Yes No

Reference to application documents: See chapter 5, point 5.1.2 of the CFFP Technical Document No.2003.01 for further details.

Question 2: Has the standard setting process been carried out at national and/or sub-national levels? Yes No

The development of the standard setting process was carried out at national level by a technical commission established for the elaboration of standards on Sustainable Forest Management Certification “CT145 - Gestão Florestal Sustentável¹”. This Commission is also responsible for the elaboration of specifications for sub-national levels.

Reference to application documents: See chapter 5, point 5.1.2 of the CFFP technical Document No.2003.01 for further details.

Question 3: Has the standard setting process been coordinated by the PEFC National Governing Body? Yes No

CT145 was created in the framework rules of the Portuguese Quality System, which imply voluntary and free participation of interested parties which elect a president and a secretary. There was not, therefore a formal coordination by CFFP (the national PEFC governing body). However, at the time the president of CT145 was also the president of CFFP, and all member organisations of CFFP were also represented in CT145. The secretariat was guaranteed by IA, the national Institute for Environment.

Reference to application documents: See chapter 4 and chapter 5, point 5.1.1 of the CFFP Technical Document No.2003.01 for further details.

Question 4: Has the certification standard been drafted to be applied at individual and/or group and/or regional level? Yes No

The national standard refers, in Point 1 – Scope, that: “The standard is applicable to any forest management unit for which one intends to: (a) implement, maintain and improve a sustainable forest management system; (b) demonstrate, to third parties, its conformity with an internally defined forestry policy; (c) obtain certification of its sustainable forest management system by an external organism”. The adopted definition of forest management unit refers to it as “a defined geographical area, consisting of rural parcels of land belonging to one or more entities and which may or may not be continuous, subject to a single management plan and located in a relatively restricted region, from an ecological, edaphic and climatic perspective”.

¹ TC145 – Sustainable Forest Management

Therefore, the standard is applicable to individual forest holdings, groups or regions, as long as all owners and/or managers under the same certificate commit to the same management plan.

However, as a result of the pilot test of the standard, CT145 identified the need to improve some aspects of the standard requirements relating both to regional and group application level. These related to the collection and management of indicator information at the regional scale and the possibility for synergies with the data collection procedure of the National Forest Inventory. This process resulted in the preparation of Annex D - “Guidelines for the application of Pan-European criteria and indicators of sustainable forest management at the regional level”.

Additionally, the management system standard requirements were reviewed to include the specific responsibilities of the participants in regional and group SFM as specified in Annex E – “Specifications for the application of the standard at regional and group levels”.

Reference to application documents: See point 1 (scope) of the NP 4406:2003 and chapter 6 of CFFP Technical Document No2003.01 for further details.

Question 5: Has the development of certification criteria been initiated by national forest owners or national forestry sector organizations having support of the major forest owners’ organizations in that country? Yes No

CT145 has involved the contribution and participation of many forestry professionals and other interested parties, representing the main forestry stakeholders.

However in the case of the development and discussion of criteria and indicators of sustainable forest management it was decided that the discussion would be enlarged to include other professionals not directly involved in the process of development of the standard for certification. This discussion process was led by DGF (General Directorate on Forests). Participants in the two workshops (September and December 1999) included the members of CT145, other stakeholders, and experts in particular fields, invited on behalf of their individual capacities.

The comments received in the two workshops constituted the basic working material for the refinement of the C&I used in the National Standard for the Certification of SFM.

Reference to application documents: All meeting summaries of CT145 are public and can be distributed upon request.

Question 6: Have all relevant interested parties representing the different aspects of sustainable forest management been invited to participate in the standard setting process and a created Forum? Yes No

The Portuguese Institute for Quality (IPQ) has its own rules for the establishment and functioning of technical commissions, including a mandatory provision by which all potentially interested parties are invited to participate.

In the case of the Portuguese National Standard for Certification of Sustainable Forest Management the invitation was preceded by the identification of the potential interested parties and was then followed by the establishment of the technical commission 145.

The table below presents all organizations invited to participate. Marked with the symbol “⇔” are those that actually participated actively and regularly in the discussions.

<i>Type of Organisation</i>	<i>Organisation</i>
<i>Forest Owners</i>	⇒ FPPF/CNF – Portuguese Federation of Forest Producers
	⇒ FORESTIS – Portuguese Forestry Association
	⇒ CAP – Portuguese Confederation of Farmers
	⇒ AFLOPS – Association of Forest Owners of Setúbal
	⇒ AFLOSOR – Association of Forest Owners of Ponte de Sôr
	⇒ APFC – Association of Forest Owners of Coruche
<i>Forest Industries</i>	⇒ AFVS – Forestry Association of Vale do Sousa
	⇒ CELPA – Portuguese Association of Paper Industries
	⇒ AIMMP – Portuguese Association of Wood and Furniture Industries
	⇒ AIEC – Association of Cork Industries and Exporters
	⇒ STORA/ENSO CELBI
	⇒ AF
	⇒ SONAE INDÚSTRIA
	⇒ AMORIM
<i>Administration</i>	⇒ EMPORSIL
	⇒ MADRP/DGF – General Directorate of Forests, Ministry of Agriculture, Rural Development and Fisheries
<i>Environmental Non-Governmental Organisations</i>	⇒ MAOT/DGA – General Directorate on Environment, Ministry of Environment and Land-Use Planning
	⇒ MAOT/ICN – Institute for Nature Conservation, Ministry of Environment and Land-Use Planning
	⇒ LPN – League for the Protection of Nature
<i>Research and Development</i>	⇒ QUERCUS – National Association for Nature Protection
	⇒ GEOTA – Group of Studies on Land-Use and Environment
<i>Certification and Consultant Organisations</i>	⇒ UTL/ISA/DEF – Department of Forest Engineering, Superior Institute of Agronomy, Technical University of Lisbon
	⇒ RAIZ – Research Institute on Forest and Paper
<i>Other interested parties</i>	⇒ APCER – Portuguese Certification Association
	⇒ SGS, PORTUGAL
	⇒ ERENA – Natural Resource Management
	⇒ SILVICONSULTORES
<i>Other interested parties</i>	⇒ ANEFA
	Portuguese Order of Engineers

Reference to application documents: All meeting summaries of CT145 are public and can be distributed upon request.

Question 7: Have the views of all relevant interest parties been documented and considered in an open and transparent way? Yes No

The process of participation describe above ensured transparency. Additionally, technical commissions maintained an up to date register of progresses related to standard setting activities and keep track of all meetings minutes.

Technical commission members are organized in sub-commissions and/or working groups in an open way. The proposals drawn up by sub-commissions are submitted to approval at general meetings and a decision is made by consensus.

In addition, the discussion papers on criteria and indicators were made available for open consultation and download on the Internet site of the General Directorate on

Forests. Contacts were also provided, so that comments on the discussion paper could be submitted via e-mail, regular mail or fax.

Reference to application documents: See point 5.1.2 of CFFP Technical Document No.2003.01 for further details.

Question 8: Has a consensus been the objective to decide on the criteria?

Yes No

As stated above decisions on standard criteria were by consensus between all CT 145 members.

Reference to application documents: All meeting summaries of CT145 are public and can be distributed upon request.

Question 9: Has the Forum defined its own procedures?

Yes No

CT145 members established their own rules, based on the IPQ guidelines for the creation and function of technical commissions (CNQ2/99).

Reference to application documents: See annex 11 - CNQ 02/99, of the CFFP Technical document No.2003.01. (CT145 procedure rules can be distributed upon request)

Question 10: Has the start of the standard settings process been communicated to the public?

Yes No

The IPQ web-site makes available information on all technical commissions, their main activity and status which includes CT145.

Reference to application documents: For more details consult www.ipq.pt

Question 11: Has the information on the development process been distributed and discussed?

Yes No

The distribution of information and public discussion on the development process was done through: (1) CT145 member communications and (2) organization of discussion meetings.

- (1) CT145 members frequently promoted communication about the development process of the standard by editing and publishing articles on newsletters, internet sites or even in local journals.
- (2) Organization of discussion meetings and other additional procedures promoted by CT145 members to facilitate public discussion:
 - o The standard was made available on the Internet site of DGF (General Directorate on Forests, Ministry of Agriculture, Rural Development and Fisheries).
 - o The standard was distributed for comments by DGA (General Directorate on Environment, Ministry of Environment and Land Use Planning) to all members of their distribution list, which includes many of the forestry related stakeholders.
 - o Two seminars were organized by DGF in July 2001 participants, where a detailed presentation of the standard was made and comments were collected.
 - o Four seminars were organized by the Portuguese Order of Engineers in July 2001.

- An open workshop, dealing with the intermediate results of the first test on application of the indicators, was organized by the Portuguese Federation of Forest Producers (FPFP) in Arcos de Valdevez (4 - 5/05/2001) with a total of 130 participants.
- The final draft of the standard was presented in a meeting organized by ISA (Department of Forest Engineering, Superior Institute of Agronomy, Technical University of Lisbon), (29/03/2001) with a total of 80 participants.
- Two seminars, on SFM and certification were organized by FPFP in Santarém (11/07/2001 and 26/10/2001) with a total of approximately 100 participants.
- During the IV National Forestry Congress, organized by the Portuguese Society of Forestry Sciences in Évora (28 - 30/11/2001), final results of the first test of indicators for sustainable forest management were presented by FPFP to approximately 80 participants.

The secretariat of CT145 compiled all written comments received and distributed them among members (these included comments received by regular mail, fax and e-mail).

The development process of The Code of Good Forest Practices was submitted to public discussion in three seminars, where comments were requested to improve the document. The seminars were organized by CT 145 at the following universities: Universidade de Trás-os-Montes (UTAD) on 14/05/2002, Escola Superior Agrária de Coimbra (ESAC) on 15/05/2002 and the Instituto Superior de Agronomia (ISA) on 9/05/2002 with a total of 60 participants.

Reference to application documents: All meeting summaries of CT145 are public and can be distributed upon request.

Question 12: Has the final draft standard been available to all interested parties, e.g. posting it on the internet? Yes No

The final draft of the standard was adopted at a CT145 meeting held at Santarém (11/06/2001) and it was available on the website of IPQ between the 1st October 2001 and the 31st October 2001 during a consultation period of 30 days for comments.

Reference to application documents: IPQ standards list – October 2001 can be distributed upon request.

Question 13: Has the final draft standard been sent out for formal national consultation process? Yes No

IPQ has the responsibility of conducting the Portuguese Standards formal national consultation process which includes a consultation period of 30 days as described above.

In addition, CT145 members promoted a discussion meeting on the final draft standard for gathering further comments.

Reference to application documents: IPQ standards list – October 2001 can be distributed upon request.

Question 14: Have views of interested parties been discussed? Yes No

As result of the formal national consultation period two comments were received (1) from an environmental NGO named GEOTA and (2) from an individual interested party, Prof. Joaquim Sandes Silva. The comments were discussed at the general delegates meeting held on the 5th February 2002.

Reference to application documents: All meeting summaries of CT145 are public and can be distributed upon request.

Question 15: Has the Forum given general information on the changes made as a result of a consultation process? Yes No

Despite a written response to both entities who made the comments, no changes were made to the standard as a result of the formal consultation process. The comments were considered by CT145 member to be too generic to include them in the standard.

Reference to application documents: All meeting summaries of CT145 are public and can be distributed upon request.

Question 16: Had the consultation been at least 60 days? Yes No

The rules established by IPQ for the consultation period foresee a mandatory provision, under which a consultation and public discussion process has to be set up at least during 30 days. After this period, the technical committees have to analyze all contributions received and submit the final draft for approval.

Reference to application documents: For more details consult www.ipq.pt

Standards for chain of custody certification

Questions 17- 33

Since it is expected that, within a short period of time, an international standard will be established for chain of custody certification, CT 145 members and CFFP (the national PEFC governing body) agreed to adopt annex 4 of the PEFC Technical Document as the certification requirements for Portuguese CoC systems while the future standard is not available. As a result no comments are made on questions 17 to 33.

Pilot testing

Question 34: Have the first results on the testing of the final draft for national /sub-national forest certification standard and their implementation arrangements been obtained prior to submission of the scheme for PEFC Council endorsement and mutual recognition? Yes No

By the year 2000 the Portuguese Federation of Forest Producers (FPFP) conducted a field-testing project, to test the Portuguese Standard in different operational conditions and forest types on the proposed indicators at the forest management unit level and to assess the practicability and methodology for evaluating the indicators. The project, with financial support from the Ministry of Agriculture, Rural Development and Fisheries, was concluded before the final draft of the standard and the results were integrated in Annex A – sustainable forest management criteria and indicators (*Anexo A - Critérios e indicadores de gestão florestal sustentável*) and Annex B - Guidelines to application of sustainable forest management criteria and indicators (*Anexo B - Linhas orientadoras para aplicação dos critérios e indicadores de gestão florestal sustentável*) of the standard.

The results on the field methodologies, data collection and guidelines for the indicator evaluation showed that other alternatives should be considered at the regional application level. Those results were also useful for validating the standard and emendments were made before the final draft was approved. All conclusions on the

pilot test were made available to the public in the first edition of Technical Manuals for the Sustainable Management of Portuguese Forestry Systems: M1 – Manual of Procedures for Application of Indicators of Sustainable Forest Management; M2 – Manual of Instructions for Field Work (“*Manuais Técnicos Gestão Sustentável dos Sistemas Florestais Portugueses: M1- Manual de Procedimentos para Aplicação de Indicadores de Gestão Florestal Sustentável; M2 – Manual de Instruções para o Trabalho de Campo*”).

In August 2003, CFFP established a cooperation protocol with CELBI to test the full implementation of the standard at the individual forest management unit level and to establish the certification unit for the pilot test. As a result, the standard was implemented on an individual application level. Despite a few minor aspects related to the interpretation of the contents of the normative body, which will be addressed in the standard revision period, no other aspects were identified.

In relation to the regional application level testing and with due consideration to the several tests already established it is not expected that there be any further major aspects on the applicability of the standard. Nevertheless, CFFP is preparing a project proposal to test the Portuguese Standard at this level, with support from the Ministry of Agriculture, Rural Development and Fisheries, which is expected to start before the end of 2003.

Additionally, several forest organizations already submitted projects to the Ministry of Agriculture, Rural Development and Fisheries for collecting data on individual and group certification levels and to fully implement the NP4406:2003 standard.

Reference to application documents: “Manuais Técnicos Gestão Sustentável dos Sistemas Florestais Portugueses: M1- Manual de Procedimentos para Aplicação de Indicadores de Gestão Florestal Sustentável; M2 – Manual de Instruções para o trabalho de Campo”. Protocol for Cooperation between CFFP and CELBI to establish standard testing at the individual application level.

Question 35: Has appropriate action been taken to incorporate improvements and recommendations prior to submission of the scheme for PEFC Council endorsement and mutual recognition process? Yes No

As stated before, improvements were made as a result of the FFPF project, which included improvement arrangements for regional and group SFM application levels. These improvements were achieved by developing Informative Annex D “Guidelines for the application of Pan-European criteria and indicators of sustainable forest management at the regional level” and Technical Annex E “Specifications for standard application at the regional level and the group level”.

Reference to application documents: See Annex D and Annex E of the NP4406 standard for further details.

Review of standards

Question 36: Have the standards on forest and chain of custody certifications been reviewed at least every 5 years or is it foreseen to review these standards at least every 5 years? Yes No

The standard has not yet been subject to revision since only a few months have passed after its publication. However, there is a requirement under the IPQ rules and procedures which foresees that standards should be revised at least every 5 years, or whenever considered necessary due to developments in technical commission meetings

conducted at least twice a year. These meetings are established to: (1) evaluate progress in implementation of the standard; (2) evaluate difficulties in the interpretation and/or practical application of the standard in field conditions; (3) analyse developments in scientific and technical knowledge; (4) analyse developments in relevant forums relating to sustainable forest management.

Reference to application documents: For more details consult www.ipq.pt

Question 37: Does the scheme documentation indicate which organization is responsible for initiating the revision work? Yes No

Reference to application documents: See point 5.1.1 and 5.1.2 for further details.

Question 38: Have the revision procedures been participatory, fair and transparent?^[*8] Yes No

Reference to application documents: Does not apply.

Question 39: Has the PEFC National Governing Body appropriately considered the revisions of the general PEFC requirements for standard setting and implementation in the national standards?^[*8] Yes No

The basis for the standard setting and implementation arrangements was the PEFC Technical Document adopted by the General Assembly of the PEFC Council on 27th November 2002.

Question 40: Has the PEFC National Governing Body indicated to the PEFC Council the appropriate considerations of the revisions induced by the PEFC Council in national standards?^[*8] Yes No

Reference to application documents: Does not apply.