

ANNEX 11

PG 05.02. Procedures to elaborate forest management audits reports that shall be implemented by the certification bodies

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PROCEDURES TO ELABORATE FOREST MANAGEMENT AUDITS REPORTS THAT SHALL BE IMPLEMENTED BY THE CERTIFICATION BODIES

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1. OBJECTIVE

This procedure establishes the requirements that shall be fulfilled by the Certification Bodies to develop the initial certification audits and re-certification audits reports and the surveillance audits report for the conformity assessment process of forest management with the requirements of *IRAM 39801* and *IRAM 39805 both* in force

2. SCOPE

This General Procedure has been approved by the Board of Directors of cerfoar Association and it is applied for all authorised cerfoar's Certification Bodies that carry out sustainable forest management audits as established by the Argentine Forest Certification System.

3. GENERAL REQUIREMENTS

The Certification Body shall develop reports of forest management audits for each entity applying for certification in accordance with the requirements specified in this procedure.

The report of the initial certification audit and the re-certification audit shall consist of a public part available to all the interested parties which content is specified in sections 4.1 and 4.2 and a confidential documentation attached of features and contents specified in section 4.3 (confidential documents attached to the initial certification report and the re-certification audit report).

Likewise, the results of all surveillance audits shall be documented by the Certification Body in surveillance audit reports.

The reports of the surveillance audit shall consist of a public part available to all interested parties, which content is specified in sections 5.1 and 5.2 and a confidential documentation attached of features and contents specified in section 5.3 (confidential documents attached to the surveillance audit report).

4. CONTENT OF THE AUDITS REPORTS OF THE FOREST MANAGEMENT INITIAL CERTIFICATION AND RE-CERTIFICATION.

4.1 Cover page of the audits reports of the forest management initial certification and re-certification.

The cover page of the forest management initial certification and re-certification audits reports shall have at least the following information:

- Name and contact details of the Certification Body, including specification of the contact person;
- Name and contact details of the certificate holder and the person representing the organization (entity applying for certification);

NOTE 1: In the case of individual certification the certificate holder is the forest producer and in the case of group certification the certificate holder is the group certification.

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NOTE 2: A forest producer is a person or entity responsible for resource management operations and the forest company forest as well as the system and structure of management, planning and field work.

NOTE 2: A certification group is a legally constituted entity or organization seeking certification on behalf of a group of forest owners who agreed to participate in the group.

- c) Scope of the certificate;
- d) Location of the management units within the scope of the certificate;
- e) Date of the initial certification and re-certification audit report;
- f) Issue date and expiration date of the certificate;
- g) Audits dates;

NOTE: specify the type of audit: Initial certification, re-certification and follow up certification audits with their corresponding number

- h) Code and number of the certificate report.

4.2 Content

The information in the initial certification and re-certification audits reports shall at least have the following sections:

1. Forest owner information

- Details of the forest producer or the forest certification group: trade name, contact person, business address, phone, fax, website.
- Scope of the Certificate: total area and number, name, size and geographical location of the management units covered by the certificate (including latitude and longitude). In the case of group certification, the members of the certification group shall also be identified.

NOTE: geographic coordinates refer to the centre of the management unit.

NOTE: regional certification is a special case of group certification

- Annual allowable cut (m³, pieces) and all products covered by the certificate.
- Forest Type: surfaces (total and partial according to its use or purpose: production, conservation, protection, general purpose) and forest types (native and/or implanted).
- Date of Issue of the Certificate.
- Date of Expiration of the Certificate.
- Registration code and number of the certificate.

2. The certification process

- Certification standard used.
- Audit team: composition of the audit team, forest leader auditor, forest auditor and technical experts, if necessary, in the areas of forest, environment, social. List qualifications specifically outlining experience and certification training.

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- Audit schedule, including pre-audit if it was carried out and consultation to interested parties.

NOTE: It is recommended to list by audit date the general location of the main assessed sites and the work done by the assessment team in each one (document revision, interviews to technicians and workers, agrochemicals tank inspection, forest nursery visit , among other tasks)

- Revision by expert peers: composition of the expert reviewers' team, external and independent (peers).

NOTE: Revision by external peers of the re-certification audit report is not a compulsory requirement for Certification Body.

NOTE: Incorporating labour affiliation, experience and training of external peers in the certification audit report is carried out only if these have previously given documented consent for its disclosure.


- Initial certification process: general description of the certification process, including Stages 1 and 2. Include a summary of how the *in site visits* were conducted, including general activities related to these visits and forest management issues that were evaluated in each.
- Justification for the selection of variables and inspected sites: description and justification of the methodology used for sampling field sites; description of the factors affecting the site selection (representative forest sites, size of management units, biological and ecological importance, intensity of use, mayor impact forest operations, among others), description and justification of the sampling intensity (number of properties, extensions, tasks and workplaces visited, among others).
- When it is a group certification or a certification of a single forest producer with multiple management units under his responsibility, describe the sampling system used to select management units/certification group members and list all management units visited.
- Consultation process to interested parties: description of the consultation process to interested parties and how they were identified and selected. List of interested parties (organizations or groups of interest: NGOs, government agencies, neighbours, service providers and others.) representing people consulted during the assessment and number of people consulted by interest group.

NOTE: Check the adaptation of the management units selection methodology for their in situ audit in Annex 3 Cerfoar General Procedure PG 02: in force. *cerfoar requirements for SFM audits and certification*.

NOTE: Check the adaptation of the consultation process to the interested parties against the General Procedure cerfoar PG 03: in force. *Consultation to the interested parties during the FM audits*.

3. General background of the management unit or Certification Group.

- General background of the operation: general characteristics and history of the management unit or units and the forest producer or certification group.
- Forms of ownership and land use: description of ownership and land use of the management units covered by the certificate

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- Legislative and administrative context: a summary of the legislative and institutional context in which the regional forest producer works, including the identification and roles of the enforcement authorities.
- Environmental and socioeconomic context: description of the specific regional environmental context of the forest producer, including findings on regional biological resources, the existing biodiversity, the different degrees of conservation of flora and fauna, threatened and endangered species of importance to the region, fragility characteristics of the basin, among others. Description of the specific socioeconomic context of the forest producer, including interactions with the local community, the existence of conflicts and conflict issues, summary of non-forest activities carried out in the assessed area, whether they are performed by the certificate holder or a third-party (agriculture, livestock, mining, among others)
- Products of the management unit: enumeration of forest-based products elaborated in the management units covered by the certificate.

4. Certification Group Management

NOTE: Requirements only applicable for forest group certification. Regional forest certification is a special case of group certification.

- Entity or legally constituted organization applying for certification
- Group structure and roles, rights and responsibilities of the component parts and the group management system.
- List of members of the certification group of the management units ascribed to the group.
- Membership and group policy
- Monitoring and internal control of the group

5. Forest Management Plan

- Property and forest composition: description of the land, forest (native and implanted) and areas (total and partial). Categorization of the areas of production (goods and services) and the types of forest (native and/or implanted); forest and non-forest areas managed with conservation objectives. Forest composition, productive forest and other objectives.
- Management Objectives: description of management objectives, main and private, established for the management unit or units.
- Forestry system: description of forestry systems and/or other management systems; major harvesting techniques and machinery used.
- Sustainable performance: description and justification of the assumptions underlying the estimates (inventory data, permanent sample plots, performance charts, among others), sources of information on which the estimates are based, information for continuous monitoring of the harvest.
- Rationale or basis of the annual harvest in terms of volumes and species.
- Safeguards to keep biodiversity and ecosystem functions in the management unit or units: identification of unique habitats and priority conservation sites, specific management objectives and actions implemented. Environmental

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protection measurements (buffer zones for streams, riparian areas, among others)

- Plans for the identification and protection of rare, vulnerable, endangered and critically endangered species, for conservation, and their habitat

6. Observations and conclusions from the initial certification and re-certification audit.

- Feedback received from the interested parties: summarize the issues identified by the assessment team and the contribution of the Certification Body in response to specific comments from the consulted interested parties.

NOTE: Recommend summary chart

IRAM 39801 Principle	Comments from the interested parties (summary)	Feedback from the CB
Principle 1 - Law Enforcement		
Principle 2 - Search for forest resources sustainability		
Principle 3 – Maintenance of forest resources productivity, health and vitality		
Principle 4 – Biological diversity maintenance		
Principle 5 - Water, soil and air care		
Principle 6 - Economic and social growth of the local community in which the forest activity exists		
Principle 7 - Monitoring and control		

- Main strengths and weaknesses: summary of the strengths and weaknesses of the audited management unit identified by the audit team.

NOTE: Recommend summary chart

IRAM 39801 Principle	Strengths	Weaknesses
Principle 1 - Law Enforcement	Summary of the strengths of the management unit identified in accordance with this principle	Summary of the weaknesses of the management unit identified in accordance with this principle
Principle 2 - Search for forest resources sustainability		

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Principle 3 – Maintenance of forest resources productivity, health and vitality		
Principle 4 – Biological diversity maintenance		
Principle 5 - Water, soil and air care		
Principle 6 - Economic and social growth of the local community in which the forest activity exists		
Principle 7 - Monitoring and control		

- Identified nonconformities and required corrective action: on the basis of the findings reported in the checklist, nonconformities are identified and the appropriate corrective actions are requested.

NOTE 1: Recommended Application Form for corrective actions.

Request Corrective Action No.:	Date:	Major	Minor
Principle, Criteria and not fulfilled Indicator:			
Nature of the nonconformity (failure) and evidence related:			
Corrective action request			
Deadline to implement corrective action:			
Evidence of implemented corrective action provided by the organization:			
Status of the requested corrective action:	Open	Closed	

NOTE 2: Major nonconformities are those ones in which there is a fundamental failure in the achievement of the objective indicated by the correspondent criteria. A series of minor nonconformities to a requirement can have cumulative effect and, therefore, be considered a major nonconformity.

NOTE 3: Minor nonconformities are temporal, unusual or non-systematic breakups, the effects are limited

- Observations: identifying minor problems or minor problems at their early stages which do not constitute a nonconformity by themselves, but that the audit team considers a nonconformity if not addressed by the applicant for certification.

NOTE 1: An observation may be a warning sign for a particular issue that, if not addressed, could become a corrective action request (or a pre-condition or condition during a re-certification audit)

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NOTE 2: Recommended observation Form.

Observation No.:	Date:
Principle, Criteria and not fulfilled Indicator:	
Description of the finding that led to the observation	
Observation	
Follow-up evidence	

- Recommendations for certification and re-certification: Initial certification or re-certification decision

4.3. Confidential documentation attached to the audits reports of initial certification and re-certification.


- Annex 1: Checklist of conformity with the certification standard IRAM 39801 and/or IRAM 39805
- Annex 2: Implementation program of corrective actions
- Annex 2: Maps of the management unit and the forest resource
- Annex 4: Detailed list of the interested parties consulted
- Annex 5: Additional Information:
 - Details of the management plan.
 - List of all chemicals used in the management unit or units
 - Protocols for the use of chemicals.
 - Copy of the property titles.
 - Confidential commercial information.
 - Any other supporting evidence.
- Annex 6: Review of independent peers

NOTE: Revision by external peers of the re-certification audit report is not a compulsory requirement for Certification Body.

5. CONTENTS OF THE FOREST MANAGEMENT SURVEILLANCE AUDIT REPORT

5.1 Cover page of the forest management follow-up audit report

Content equal to that defined in section 4.1

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5.2 Content

Information on the surveillance audit report shall include, at least, the following sections:

1. Forest owner information

- Content equal to that defined in section 4.2.1

2. Surveillance audit process

- Certification standard used.
- Audit team: Members of the audit team. List qualifications specifically outlining experience and certification training.
- Schedule of follow-up audits, including consultation to interested parties.

NOTE: It is recommended to list by audit date the general location of the main assessed sites and the work done by the assessment team in each one (document revision, interviews to technicians and workers, agrochemicals tank inspection, forest nursery visit , among other tasks)

- Audit Process: Description of the general audit process. Include a summary of how the *in situ* visits were carried out, including general activities related to these visits and forest management issues that were assessed in each one.
- Justification for the selection of variables and audited sites: description and justification of the methodology used for sampling field sites; description of the factors affecting the site selection (representative forest sites, size of management units, biological importance , intensity of use, among others), description and justification of the sampling intensity (number of properties, extensions, tasks and workplaces visited, among others).
- When it is a group certification or a certification of a single forest owner with multiple management units under his responsibility and/or domain, describe the sampling system used to select management units/certification group members and list all management units visited.
- Consultation process to interested parties: description of the consultation process to interested parties and how they were identified and selected. List of interested parties (organizations or groups of interest: NGOs, government agencies, neighbours, service providers, and others.) representing people consulted during the assessment and number of people consulted by interest group.

3. Changes in the forest management, forestry and in the monitoring and control activities (monitoring)

- Description of the changes introduced by the forest owner or the group of certification (including the addition of new members or management units) in management practices, in applied forestry and in monitoring and control activities from the certification audit (Main audit)

4. Conclusions and observations from the surveillance audit

- Feedback received from the interested parties: summarize the issues identified by the assessment team and the contribution of the CB in response to specific comments from the consulted interested parties.

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NOTE: Recommend summary chart

IRAM 39801 Principle	Comments from the interested parties (summary)	Feedback from the CB
Surveillance Audit 1		
Surveillance Audit n		

- Conformity with applied corrective actions: Description of the activities carried out by the certified organization to perform each of the applicable corrective action issued during previous assessments. A finding and a description of its current status is presented for each request of corrective action that was carried out in previous audits using the following categories:
 - Closed: The certified organization has satisfactorily complied with the corrective action requested and it has addressed the identified nonconformities.
 - Open: The certified organization has not satisfactorily complied with the corrective action requested, there are nonconformities. The identified nonconformity becomes a major nonconformity with a term of three months for compliance.

NOTE 1: Recommended follow-up form for requested corrective actions.

Request Corrective Action No.:	Date:	Major	Minor
Principle, Criteria and not fulfilled Indicator:			
Nature of the nonconformity (failure) and evidence related::			
Corrective action request			
Deadline to implement corrective action:			
Evidence of implemented corrective action provided by the organization:			
Status of the requested corrective action:	Open	Closed	
Follow-up Actions (if applicable):			

- New nonconformities identified and corrective action required: on the basis of the findings reported in the checklist, nonconformities are identified and the appropriate corrective actions are requested.

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NOTE 1: Recommended Form of requested Corrective Actions.

Request Corrective Action No.:	Date:	Major	Minor
Principle, Criteria and not fulfilled Indicator:			
Nature of the nonconformity (failure) and evidence related:			
Corrective action request			
Deadline to implement corrective action:			
Evidence of implemented corrective action provided by the organization:			
Status of the requested corrective action:	Open	Closed	

NOTE 2: Major nonconformities are those ones in which there is a fundamental failure in the achievement of the objective indicated by the correspondent criteria. A series of minor nonconformities to a requirement can have cumulative effect and, therefore, be considered a major nonconformity.

NOTE 3: Minor nonconformities are temporal, unusual or non-systematic breakups, the effects are limited

- Observations: identifying minor problems or the early stages.

NOTE 2: Recommended observation Form.

Observation No.:	Date:
Principle, Criteria and not fulfilled Indicator:	
Description of the finding that led to the observation	
Observation	
Follow-up evidence	

- Recommendations to keep the certification.

5.3. Confidential documentation attached to the follow-up audit report

- Annex 1: Checklist of conformity with the certification standard IRAM 39801 and/or IRAM 39805
- Annex 2: Implementation program of corrective actions
- Annex 2: Maps of the management unit and the forest resource
- Annex 4: Detailed list of the interested parties consulted
- Annex 5: Additional Information:
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- Any other supporting evidence.