



Control Union Certifications BV Evaluation of Futerra, Torrefação e Tecnologia Transformacao de Biomassa para Energia SA Compliance with the SBP Framework: Public Summary Report

Second Surveillance Audit

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Completed in accordance with the CB Public Summary Report Template Version 1.5

For further information on the SBP Framework and to view the full set of documentation see www.sbp-cert.org

Document history

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1 Overview

Certification Body (CB) Name:	Control Union Certifications BV
Primary CB contact for SBP:	Robin Rosendahl
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Audit team leader:	Lennart Holm
Audit team members:	-
Name of the Company:	Futerra, Torrefação e Tecnologia Transformacao de Biomassa para Energia SA
Company legal address:	Zona Industrial de Campo 4440 Campo, Valongo, Portugal
Company contact for SBP:	Maria João Preto
Company contact email:	m.preto@futerrafuels.com
Company website:	https://futerrafuels.com
SBP Certificate Code:	SBP-06-31
Date of certificate issue:	20 Sep 2019
Date of certificate expiry:	19 Sep 2024
Audit closing meeting date:	30 Jul 2021
Audit cycle:	Second Surveillance Audit

2 Scope of the evaluation and SBP certificate

Scope Item	Check all that apply to the Certificate Scope	Change in scope (N/A for Assessments)
Primary Activity:	Biomass Producer	☐
Approved Standards:	SBP Standard 1: Feedstock Compliance Standard; SBP Standard 2: Verification of SBP-compliant Feedstock; SBP Standard 4: Chain of Custody; SBP Standard 5: Collection and Communication of Data Instruction; Instruction Document 5E: Collection and Communication of Energy and Carbon Data 1.4	☐
Includes Supply Base Evaluation (SBE):	Yes	☐
Includes communication of Dynamic Batch Sustainability Data (DBSD)	Yes	☐
Includes Group Scheme	No	☐
Products	Pellets	☐

Feedstock types:	Primary, Secondary	☐
Feedstock origin (countries):	Portugal	☐
SBP-endorsed Regional Risk Assessments used: Public link: https://sbp-cert.org/documents/standards-documents/risk-assessments/	Not applicable	☐
Chain of custody system implemented:	FSC: CU-COC-866541 CU-CW-866541	☐
	Credit	☐

2.1 Description of the company

Futerra is a pellet production company located in the village of Valongo in Portugal. Valongo is located near to the city of Porto. Futerra buys low-quality primary feedstock from over a hundred suppliers and secondary feedstock from around 10 sawmills. Around 30 feedstock suppliers are FSC certified but not all deliver the feedstock with an FSC claim. Futerra produces regular and torrefied wood pellets. Primary feedstock accounts for approximately 90% of total feedstock supply. (ca. 40% SBP-compliant primary feedstock, 59% SBP-controlled primary feedstock, 1% SBP-complaint secondary feedstock). Futerra has a production capacity of 120.000 tons of torrefied pellets and 55.000 tons of white pellets a year. It is the world's largest production facility of torrefied pellets. The plant is the first commercial scale torrefaction plant in Portugal. Considering the total amount of feedstock it processes, Futerra is the second largest company in the north of Portugal, after a pulp and paper company. The innovative technology makes it feasible to use low-grade forest residues and debris. This activity contributes to the regional economy and to effective forest fire fighting – the main issue in Portuguese forestry today. The supply base is Portugal. Although the Supply Base consists of the whole of Portugal, at present Futerra is only procuring wood from the central and northern administrative regions of Portugal; in specific from: • Viana do Castelo; • Braga; • Villa Real; • Bragança; • Porto; • Aveiro; • Viseu; • Coimbra; • Castelo Branco; • Leiria; • Santarem.

2.2 Detailed description of the Chain of Custody system

Valid FSC system description and other documents exist. Critical control points of the FSC CoC system were evaluated also during SBP audit. The Organisation has implemented FSC credit system which is used for materials received as FSC certified, FSC Controlled wood and feedstock verified according to the Organisation's own Controlled wood verification system, covering Portugal. Feedstock whose origin cannot be verified as per the established Due Diligence system, will be considered as Non-Controlled and will not be included in the production of certified products nor supplied as SBP controlled. Supplier list is maintained. After the reception, incoming feedstock is unloaded into piles according to the type of feedstock and load is

registered into the record-keeping system. All input material is weighted and recorded in tonnes. For the credit account purposes the volume of feedstock is recalculated by using the conversion factor of the production, FSC credit account is updated monthly: data about received raw materials by FSC certification status and volume of sold pellets are recorded. In case of the FSC and/or SBP sales, the volume of sold pellets is withdrawn from the credit account. Based on the credit account management the proportion of the SBP-compliant and SBP-controlled biomass is calculated and all records are kept.

3 Specific objective

The specific objective of this evaluation was to confirm that the Biomass Producer's management system is capable of ensuring that all requirements of specified SBP Standards are implemented across the entire scope of certification. The scope of this evaluation also covered the Supply Base Evaluation, and the mitigation measures describing herein.

The scope of the evaluation covered:

- Review of the BP's management procedures, including requirements designated in applicable SBP Standards and Instruction Documents;
- Review of the production processes, production site visit;
- Review of the updated Supply Base Report;
- Review of the risk assessment results;
- Review of SBP system control points, analysis of the existing FSC CoC system;
- Evaluation of mitigation measures implemented for primary feedstock (including inspection of primary feedstock suppliers);
- Review of the records, calculations and conversion factors;
- GHG data collection analysis
- Interviews with responsible staff;
- Review of the records

4 Evaluation process

4.1 Timing of evaluation activities

<i>Audit Level of Effort (LoE)</i>		
Activity	Auditors	Auditor hours
1. Preparation	Lennart Holm	4,0
2. On-site (excl. travel time)	Lennart Holm	24,0
3. Report writing	Lennart Holm	8,0
4. Other	-	0,0

<i>Audit Schedule</i>			
Activity	Location	Auditor name	Date/time
<i>Opening meeting</i>	Futerra	Lennart Holm	28 Jul 2021/9.00
<i>Business integrity, social, health and safety requirements</i>	Futerra	Lennart Holm	28 Jul 2021/9.15
<i>Logo/Trademark use</i>	Futerra	Lennart Holm	28 Jul 2021/9.30
<i>Complaints procedures</i>	Futerra	Lennart Holm	28 Jul 2021/9.35

<i>Management system overview</i>	Futerra	Lennart Holm	28 Jul 2021/9.40
<i>Lunch break</i>	-	-	28 Jul 2021/12.30
<i>Incoming material claims and raw material registration. Chain of custody registrations</i>	Futerra	Lennart Holm	28 Jul 2021/13.30
<i>Output Claims</i>	Futerra	Lennart Holm	28 Jul 2021/15.30
<i>Tour of the facility:</i> - <i>Receiving of materials</i> - <i>Wood Yard</i> - <i>Equipment used</i>	Futerra	Lennart Holm	28 Jul 2021/16.00
<i>Final discussion / days closing meeting</i>	Futerra	Lennart Holm	28 Jul 2021/17.45
<i>Day's Opening meeting</i>	Futerra	Lennart Holm	29 Jul 2021/9.00
<i>Field verification of SBE</i>	see section 4.2 of this report	Lennart Holm	29 Jul 2021/9.15
<i>Visit to secondary feedstock suppliers</i>	Madeipoças and J. Pinto Santana & Filhos Lda.	Lennart Holm	29 Jul 2021/17.00
<i>Visit at port of Leixões</i>	Leixões	Lennart Holm	29 Jul 2021/17.45
<i>Day's Opening meeting</i>	Futerra	Lennart Holm	30 Jul 2021/9.00

<i>Supply Base report</i>	Futerra	Lennart Holm	30 Jul 2021/9.15
<i>GHG data registrations</i>	Futerra	Lennart Holm	30 Jul 2021/10.45
<i>Closing Meeting</i>	Futerra	Lennart Holm	30 Jul 2021/17.30

Auditor qualification		
Auditor name	Role	Qualification
Lennart Holm	Lead Auditor	Lead SBP, GGL, SDE+ and FSC and PEFC FM/COC auditor and successfully passed the SBP auditor training programme

4.2 Description of evaluation activities

Due to the COVID-19 situation in Portugal, the audit was postponed one month to allow for on-site visit of the production facility, the port of Leixões and visits of suppliers of feedstock. The SBP annual surveillance audit was carried out on July 28, 29 and 30, 2021. The evaluation was conducted by means of on-site visits of the pellet production and office in Valongo, Portugal, as well as a visit to the port of Leixões, visits to suppliers of secondary feedstock and field inspection of forest properties from where currently the feedstock is sourced from.

Filed sites were:

Stop 1. Valongo, Campo, Linha do Comboio. Stop 2. Vila Nova da Gaia, Parque de Lavandeiras. Stop 3. Ermesinde, Valongo,. Stop 4. Valongo, Sobrado. Stop 5. Paredes, Baltar. Stop 6. Penafiel, Sorte da Costa.

A Total of 3 days were used for this audit.

This report is the result of the findings of a certification evaluation carried out by an independent lead auditor representing Control Union Certifications. The purpose of the assessment was to evaluate the compliance of the client with respect to the standards used within the scope of the certificate.

Names and affiliations of people interviewed

Name:	Affiliation:
João Paulo Baltazar	Futerra
Paulo Estevez	Futerra
Joaquim Carvalho	Futerra
Maria João Preto	Futerra
Sandra Cardoso	Futerra
David Tavares	Futerra
Alexandra Bastos	Futerra
Rita Albuquerque	Futerra
João Valdemar Fernandes	Navex, port of Leixões
José Santos	J.M. Santos Unipessoal Lda
Agostinho Garceres	J.M. Santos Unipessoal Lda
João Santos	J.M. Santos Unipessoal Lda
Maria Domingas	Câmara Municipal de Vila Nova de Gaia
Rita Diogo	Câmara Municipal de Vila Nova de Gaia
Valentin Miranda	Câmara Municipal de Vila Nova de Gaia
Sandra Mota	Madeipoças
Carlos Poças	Madeipoças
Raquel Rodrigues	J. Pinto Santana & Filhos Lda.
Bruna Rodrigues	J. Pinto Santana & Filhos Lda.
José Rodrigues	J. Pinto Santana & Filhos Lda.

Critical control points, summary

Identified CCP

Evaluation CCP

Health and Safety Obligation (management of dust)	Risk assessment requires workers to wear a mask during tasks where dust is present. Verified during on-site visit that workers wore masks.
Reception and storage	Reception and storage of material based on credit control system.
Energy use - Electricity	Electricity consumption is based on real data from the reporting period 01/05/2020-30/04/2021. This is documented in the SAR.
Energy use - Diesel	Diesel consumption is based on real data from the reporting period 01/05/2020-30/04/2021. This is documented in the SAR.

4.3 Sampling methodology

During the preparation of the audit, a sample plan was developed based on the following criteria: - A review of documentation related to energy and carbon data for the chosen reporting period of the SAR. - An evaluation of DTS, inputs and outputs, invoices and transport documentation. - Inspection of the pellet plant and interviews with staff. 6 FMUs were sampled where priority was given to active sites as well as sites where mitigation measures were implemented. 2 secondary feedstock suppliers were also sampled for visits. 1 port was visited, the port of Leixões.

4.4 CB stakeholder engagement

N/A

4.5 Stakeholder feedback

N/A

5 Results

5.1 Main strengths and weaknesses

The audit of Futerra demonstrated a good level of compliance with the required criteria of Standard 1, 2, 4 and 5. There was reasonable evidence provided to support compliance where a Non-Conformity was not detected.

The existence of a FSC Chain of Custody system in combination with the SBP are considered a strength with respect to Futerra's overall conformity with the relevant SBP standards.

Weaknesses: Futerra is a newly commissioned plant, production started in October 2019 and has not yet reached a stable level with only test runs of production of black pellets conducted.

One non-conformance was detected during this audit.

5.2 Rigour of Supply Base Evaluation

Futerra has implemented a robust Supplier Qualification Program and Mitigation Measures based on the Draft Regional Risk Assessment for Portugal of November 2020. This document includes a clear description of their Supply Base Area. The geographical scope of the SBE is Continental Portugal. This SBE uses credible data sources. Futerra's management and monitoring systems are designed to ensure compliance with applicable laws and regulations. Risk was designated low for all core Indicators, with the exception of 9 Indicators which were designated as specified risk. Futerra has developed additional controls and mitigation measures to manage these risks. The stakeholder consultation process involved consultations to key stakeholders with regard to information on SBP certification, SBP risk assessment and supply base report, by communicating this via electronic email. All received comments have been addressed, and the organization has implemented the mitigation measures for the specified risk indicators. The risk mitigation measures have been designed and implemented with in-house staff.

5.3 Collection and communication of data

Futerra is a newly commissioned plant, production started in October 2019 and has not yet reached a stable level with only test runs of production of black pellets conducted. However, the SAR has been completed according to the standard and all data provided by the BP were verified for their consistency and accuracy. Futerra do have in depth procedures for this and have supplied actual data on Greenhouse Gas emissions, as well as provided a good overview of the requirements for energy data collection. The responsible person has benefited from previous experience with other certification schemes (like GGL) for energy data collection.

5.4 Competency of involved personnel

Internal staff members are involved in the SBP system management and implementation. All interviewed responsible staff demonstrated awareness of their responsibilities within SBP system. All involved personnel, including responsible staff at suppliers and sub-suppliers have demonstrated good knowledge in relevant fields (recognition and identification of HC VF, familiarity with health and safety requirements,

timber origin verification) during the site visits. Relevant certificates and diplomas were presented during the assessment and scope change audits. Qualification requirements for personnel involved in the SBE system are provided in documented procedures of the BP. In overall, auditors evaluate the competency of main responsible staff to be sufficient for implementing the SBP system with both primary and secondary material sourced within the SBE. This has been based on interviews, review of qualification documents, training records and set of procedures and documents that were composed for the SBP system as well as field observations during the assessment and audits.

6 Review of company's risk assessments

6.1 Overview of company's risk assessments and mitigation measures

Control Union assessed the risk for each Indicator using the guidance in Section 11 of SBP Framework Standard 2: Verification of SBP-compliant Feedstock.

The risk assessment has been performed with the use of a technical expert. In determining the risk rating the likely impact of a non-compliance was taken into consideration, together with the probability of a non-compliance arising. Risk was evaluated at both regional and the individual forest.

Based on more recently version of RRA National Draft Futerra identified the following indicators as specified risks:

- 2.1.2 (*) Potential threats to forests and other areas with high conservation values from forest management are identified and addressed.
- 2.2.1 (*) Feedstock is sourced from forests where there is appropriate assessment of impacts, and planning, implementation and monitoring to minimize them
- 2.2.2 Feedstock is sourced from forests where management maintains or improves soil quality (CPET S5b).
- 2.2.3 (*) Key ecosystems and habitats are conserved or set aside in their natural state (CPET S8b).
- 2.2.4 Biodiversity is protected (CPET S5b).
- 2.2.6(*) Negative impacts on ground water, surface water and water downstream from forest management are minimised (CPET S5b).
- 2.3.2 Adequate training is provided for all personnel, including employees and contractors (CPET S6d).
- 2.4.2(*) Natural processes, such as fires, pests and diseases are managed appropriately (CPET S7b).
- 2.8.1 Appropriate safeguards are put in place to protect the health and safety of forest workers (CPET S12).

(*) Partial Specified Risks, further elaborated below:

2.1.2

Specified Risk Identified for HCV 1 and HCV 3 attributes

Low risk assessed for HCV 2, HCV 4, HCV 5 and HCV 6 attributes

2.2.1

Specified risk for other areas

Low risk is assessed for areas with approved FMP, within group management initiatives (group certification), intervention areas with area below 2ha (defined by RJAAR)

2.2.3

Specified risk for priority habitats and ecosystems as per Natura 2000 classification

Low risk for all other areas

2.2.6

Specified risk for other areas

Low risk is assessed for areas with approved FMP, within group management initiatives (group certification), intervention areas with area below 2ha (defined by RJAAR)

2.4.2

Specified risk regarding the management and prevention of wildfire occurrences.

Low risk on the management of pests and diseases

6.2 Specified risk indicators and mitigation measures

Country/Area	Indicator	Specified risk description	Mitigation measure
Portugal	2.1.2 The BP has implemented appropriate control systems and procedures to identify and address potential threats to forests and other areas	Forest operations are identified in the National Report on the Implementation of Directive Habitats and Birds to present threat in 6 habitats and pressure (on 8 habitats accounting for 3.8% and 5%, respectively, of the total assessments. A similar assessment was performed, having species (except birds) in scope and the numbers do not differ much. Forestry presents a threat to 7.7% of the species assessed and puts pressure on 9.6% of the total 426 species considered. Forest activities have a significant impact	Ahead of site visit the HCV information is searched and identified; Fill in the internal audit checklist form and MOD02. Fill in the audit suppliers table vs risk results; If necessary, training and/or notified the suppliers and /or logging workers.

	with high conservation values from forest management activities.	on bird attributes with 30% of the assessed species being threatened. Forest owners make use of voluntary instruments, such as certification schemes recognized worldwide like FSC and PEFC, or they adopt practices in line with the “guidelines for sustainable forest management”, based on the work of the Technical Committee for Standardization No. 145/IPQ (Portuguese Standard NP 4406/2003) which applies pan-European criteria for the sustainable forest management as well as operational level guidelines. Presently, more than 257 625 ha of forest were certified under PEFC scheme and 376 886 ha under FSC scheme. [1] There are, simultaneously, several private companies that have been developing initiatives in order to promote the sustainable management of forest through the creation of forest owners’ groups willing to apply best management practices in their properties, and supporting them with preparation to apply for the certification with independent certification bodies. Here are a few examples of these initiatives: Abastena’s Forest Management Group, http://abastena.pt/ggfa.php with national scope and specific helpdesks across the country. Unimadeira, http://unimadeiras.pt/certificacao-gestao-florestal-em-grupo/ also with national scope. Silvitec: http://www.silvitec.com/files/190.pdf South region Terrateam: http://www.terrateam.pt APFC: http://www.apfc.pt/areas.php?aID=56 Mora, Vendas Novas, Benavente, Salvaterra de Magos, Almeirim, Chamusca e Ponte de Sôr UNAC: http://www.unac.pt/projetos/certificacao-florestal.html Ribatejo and Alentejo regions In Portugal, the bodies responsible for inspection and surveillance are SEPNA and the Vigilantes da Natureza [Nature Rangers].	
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		In some cases, the municipal authorities take responsibility for inspection themselves. At present, according to the rangers' association, there are around 119 rangers in Portugal mainland. APA– Agência Portuguesa do Ambiente (Portuguese Environment Agency) has 30 rangers and the CCDD - Comissões de Coordenação e Desenvolvimento Regional (Regional Commissions for Coordination and Development) 26. Each inspection is registered, though no annual reports have yet been released. The Special Program of the National Park Peneda-gerês (PEPNPG) is under development, through Decree-law No. 96/2017 from May 18th. The PEPNPG aims to promote the development and application of conservation measures on several environmental attributes of the first protected area in the country (since 1971). Several Special Planning for specific protected areas are under development or being updated: http://www2.icnf.pt/portal/pn/biodiversidade/ordgest/poap Risk conclusion: HCV1 – Specified Risk As described in the findings above, there are identified threats and pressures from forestry activities on species and birds. The specific species that might be affected by forestry activities are identified in the report of the application of the Birds and Habitats Directive Several legal instruments protect areas of significant biological diversity: planos de ordenamento de áreas protegidas (POAP), planos regionais de ordenamento florestal (PROF), planos directores municipais [town planning] (PDM), plano de gestão florestal (PGF), and, in the case of classified areas, a programa de gestão da biodiversidade [biodiversity management programme] (PGB). Regarding the establishment of projects and programmes aiming to enhance the conservation status of HCV, the LIFE	
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		Programme has facilitated the development of a series of projects in Portugal (http://ec.europa.eu/environment/life/project/Projects/index.cfm?fuseaction=home.getDocs), many of which permit contracts with owners as good conservation management practice, support and awareness-raising for owners and schools, and also vertical signs of species' territorial areas. A series of documents is also produced, from simple brochures to manuals of good practice (an example being the conservation manual for the Bonelli's eagle and the good forestry and hunting practice manual). Some projects include action plans for species conservation. Most projects have as their objective the conservation of potential HCV 1 species, being carried out by Natura2000 Network. Some NGOs, such as Sociedade Portuguesa para o Estudo das Aves (SPEA) [Portuguese Society for the Study of Birds]), have formed working groups to monitor species, such as the Bonelli's eagle working group (GTAB) and the night birds working group (GTAN). Furthermore, various good practice manuals, leaflets and other relevant information sources are available in the public domain, published by different institutions. HCV 2 – Low risk Montados of cork and holm oaks Landscape classified as HCV2 has potential threats that may cause the decline of montado (biotic and abiotic factors, lack of forest management), but the measures available to protect Montados are considered effective, resulting in an increase of 2,7% of the cork oak area from 2005 to 2015. [National Forest Inventory 6] Existing safeguarding measures include: ✓ the application of current legislation	
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		(planning, projects and protection against felling). This legislation is well consolidated and disseminated by the various agents involved (owners, managers, and operators); and ✓ a network of R&D (Research & Development) dedicated to defining and operationalizing good management practices. Furthermore, national scale management programmes have been implemented (beneficiation, afforestation, and reforestation) to recover cork oak populations, both in terms of area and in tree health. The regulation implemented in Portugal on oak and holm trees and stands, includes a comprehensive legislative framework with a legal action planning and project but also cuttings protection. This legislation also meets forest management measures themselves related to intensity of exploitation, such as stripping and pruning. This regulation is well established and promoted. It has been assimilated by the several agents involved such as owners, managers, and operators. The awareness of operators for planned forest management and the certification of sustainable forest management has been increasing in Portugal in recent years. Certified forest of cork and holm oak account for an estimated 236 000 ha. Following several surveys on the conservation status of cork and holm oak stands, several actions have been developed in order to improve forest management practices, which were promoted by the entities involved. This includes a variety of contents and formats such as codes of good practices for cork oak forests but also pest and disease	
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		identification guides. More recent investment lines have been created supported by EU grants to assist owners and managers in pest monitoring of cork and holm oak stands (Operation 8.1.3 - Prevention of forest against biotic and abiotic agents) and for health recovery and restoration of forest stands of cork oak (Operation 8.1.4 - forest restoration affected by biotic and abiotic agents or catastrophic events). The most current detailed results achieved by management and improvement actions on forest stands are not fully known, since the full values of the last national inventory (IFN6) are still missing, however, it is known that the class of "wooded area with cork oak" showed an increase of 6% from 1995 to 2010, and holm oak decreased 3% in the same period. HCV 3 – Specified risk Referring to the data presented in image 1, 2, 3 (above) and the Information in the sectorial plan of Natura2000 and in the Third National Application Report of the Habitats Directive (2007–2012), specified risk is identified for key habitats that are subject to threats originating from forestry activities. The Natura 2000 network database was updated in 2015 and it contains relevant information about the assessment of each habitat for each Common Importance Site. Furthermore, Portugal approved its ratification of the Convention on Biological Diversity (CBD) via DL No. 21/93, June 29th, which became effective on 21st March 1994. HCV 4 – Low risk In Portugal there are several instruments related to the conservation of river basins, soil conservation, and protection against the risk of fire. In the case of river basins, information relating to the classification of flood plains, areas threatened by floods	
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		and other relevant information can be partially obtained by consulting areas included in the REN. River basin plans also contain information that may be relevant, as do PROFs, especially where they refer to protection forests. For information about erosion control it is essential to consult documentation relevant to the risk of erosion. Some of this information is contained in the REN, which identifies, on a scale of 1:25.000, areas at high risk of erosion, as well as zones of instability. Areas of high fire risk are identified in fire risk maps (ICNF) and in municipal forest fire plans. Within the national context, the structure of property, being extremely fragmented, reduces the dependence on ecosystem services and means this is not critical. Furthermore, the probability of forest management activities having a significant impact on the same service is negligible. Several legal instruments safeguard the functions of protection and regulate intervention in these areas. Examples of this are the Water Law [11], river basin plans (PBH) [12], public waters and dams planning (POAAP) [13], National Ecological Network [14], the Land law [15], etc. Not applicable, as no HCV4 is considered to exist at this scale. HCV 5 – Low risk Not applicable to Portugal. In Portugal, the use and enjoyment of common forest land is regulated (Lei dos Baldios [common land law] – Decree-Law No. 165/2015, 17th August). At present, this land is not indispensable to provide for the basic needs of the adjacent communities. HCV 6 – Low risk The criteria for identifying HCV 6 for Portugal are based on international or legal frameworks that already foresee the safeguards needed to protect/maintain the cultural values identified. At the same time, it is considered that the values are legally recognized and enforced.	
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Portugal	2.2.1 The BP has implemented appropriate control systems and procedures to verify that feedstock is sourced from forests where there is appropriate assessment of impacts, and planning, implementation and monitoring to minimise them.	The Portuguese Legal system defines a forest management and planning framework which includes three levels: I) Regional Forest Plans (PROF) are instruments of sectorial policies for regional level. PROF set general guidelines for intervention, use and forest exploration with the goal to promote and guarantee the sustainable production of all products and services, preserving the objectives of National Forest Strategy (ENF). PROF are binding for administrative authorities, at all levels. PROF are, at the moment, under revision and from the proposed documents put under public consultation it was possible to verify a general decrease in the minimum area threshold for the obligation to have an approved PGF. Moreover, PROF will define the maximum threshold for continuous cutting and single species regular stands. II) Forest Management Plans (PGF) are tools for the management of forest areas at forest unit/exploration level, following the guidelines set by the applicable Regional Forest Plan. PGF set, in time and space, the nature of concrete interventions and exploration of the existing resources in the forest unit, aiming for the sustainable production of products and services, considering the activities and uses of the surrounding areas, as well as the existing restrictions of legal and binding character. III) Specific Plans for Forest Intervention (PEIF) are instruments that produce specific measures for the intervention in forest areas with major biotic problems (e.g.: invasive species, plagues or diseases) or abiotic (e.g.: high risk of forest fire). PGF is mandatory for all public managed forests: Every community forest area (Baldio) must have an approved PGF (or PUB – Community areas use Plan), independently of its dimension. PGF and PUB are prepared by the public body responsible for the	Ahead of site visit the information is searched and identified. Fill in the internal audit checklist form and MOD02. Fill in the audit suppliers table vs risk results. If necessary, training and/or notified the suppliers and /or logging workers.
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		management of the public forest unit and it is assessed by ICNF. PGF is mandatory for private forest areas in the following cases: a) A defined size of the forest management unit is achieved. The area is set in the applicable PROF as 25, 50 or 100ha, depending on the region. b) Areas, regardless dimension, integrated in ZIF (Forest Intervention Zones) in conformity with the dispositions of Decree-law No. 127/2005, from August 5th, in the wording of Decree-laws 15/2009 from January 14th, 2/2011 from January 6th and 27/2014 from February 18th. In this case, the general PGF of the ZIF is adopted or a specific PGF must be prepared. c) a public funding is conceded (European, national or other, e.g.: Proder program) for forest management or afforestation. This obligation was in force until February 2014. From there onwards, the requirement described in a) is applicable, whether there is a public funding, or not. For private forests, the PGF is prepared by the entity responsible for the forest management and submitted to ICNF for approval. Within SNAC [National System of Classified Areas]: When a forest unit overlaps an area classified for nature and biodiversity conservation (Natura 2000 network, Protected Areas, among others), the PGF must include a Biodiversity Management Program (PGB), aimed at ensuring the compatibility and contribution of the proposed interventions in the PGF for the conservation of protected species and habitats, whose favourable conservation status depends on the forest management. PGB must consider the applicable dispositions of the PSRN2000 (Sectorial Plan for the Natura 2000 network), as well as other applicable plans and regulations (e.g. Protected Areas management plans and regulations; Territory planning). Support documentation for forest owners and	
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		managers is available. General cases: When forest owners are not obliged to develop and submit a PGF, the applicable PROF, PSRN2000 and several good practices handbooks supply general guidance. The objective of these documents is to support forest owners, managers and planners on the preparation and implementation of forest projects and operations, aiming to ensure their compatibility with the existing natural values and even contribute towards the improvement of their conservation status. Additionally, there is applicable national legislation which includes specific operational rules of mandatory character, related to species and habitats protection [see 2.1.2], soil and water resources protection [PGRH, PGBH, REN, etc.], forest fires prevention, and other instruments also described in indicators 2.1.2, 2.2.2, 2.2.6. Municipal Planning documents contain mandatory rules that must be observed. Decree-law No.151-B/2013 [4] Defines the obligation to perform an Environmental Impact Assessment (AIA) on every afforestation and reforestation occurring in areas greater than 350ha (70ha in sensitive areas) or greater than 140ha (30ha in sensitive areas) if the subject area, in conjunction with pre-existent forest stands of the same species, separated by less than 1 km, would produce a continuous forested area of more than 350ha (70ha in sensitive areas). It also establishes that an AIA must be called when there is a deforestation action on areas greater than 50ha (10ha in sensitive areas). PROF, in several regions (Alto Minho, Baixo Minho, Barroso e Padrela, Nordeste Transmontano), also define a maximum threshold for clear cutting of 10ha. [5] Decree-law No. 96/2013 (RJAAR) [2] states that afforestation and reforestation actions above 2ha must be preceded by an authorization from ICNF (article No.4).	
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		Some exceptions to the above are possible, but constraints are defined in article 5 of this Decree-law. It is important to highlight that there is no exception for previous authorization when the area in question is located totally or partially inside SNAC. Article No.9 of RJAAR defines that if an intervention area is situated inside the National Ecologic Reserve, a consultation must be addressed to the CCDR as well as the related municipality. Article No.10 defines the factors that should be taken into account in the decision-making process including protection of forest against forest fires, hydric related issues, biodiversity and habitat protection, among others. In the case of river basins, information relating to the classification of flood plains, areas threatened by floods and other relevant information can be partially obtained by consulting areas included in the National Ecologic Reserve (REN). River basin plans (PGBH) also contain relevant information, as do PROFs, especially where they refer to protection of forests. For information about erosion control it is essential to consult documentation relevant to the risk of erosion. Some of this information is contained in the REN, which identifies, on a scale of 1:25 000, areas at high risk of erosion, as well as zones of instability. Status of the implementation of Forest Management Plan [PGF in PT]: 33% of the forest stands are covered by an approved FMP. [Forest profile, ICNF, 2018] In the National Strategy for Forests – revision of 2015, one defined an objective in which 100% of the forest area managed by ICNF shall have an approved PGF by 2017. In the case of community managed forests (Baldios) an approved PUB (specific FMP for this type of management) is in place on 60% of the total area. Around 25% of the areas with PGF are encompassed in the National	
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		System of Classified Areas – SNAC – which consists of Protected Areas (AP), Natura 2000 network sites, Biosphere Reserves, Ramsar sites, among others and, thereby, a Biodiversity Management Plan must be prepared. This exponential growth of the area covered by an approved PGF, in the period between 2010 and 2013, is a clear example of the raising awareness on the importance of a responsible forest management. Updated information is not yet available, but it is considered reasonable to expect that the area under an approved PGF has increased since 2013. Finally, during the revision process of the Regional Forest Plans [PROF] which started in 2017, several drafts for specific regions were put to public consultation, enabling the identification of a common trend consisting of the reduction of the minimum area threshold to enforce the need to have an approved PGF and also the establishment of a maximum area threshold for continuous clear cuts and afforestation with some species. Risk Conclusion: A strong and diverse set of planning instruments is in place in a significant portion of forests. Despite that, wood coming from a forest area without any forest management plan or a similar management instrument is probable. Nevertheless, some considerations shall be made regarding the current situation and future trends: o This possibility is temporary, as the number of approved management plans has increased significantly in the past decade; o Such risks have a limited impact on forest resources as they are not directly related to forest harvesting; o There is national legislation that includes several specific mandatory operational rules comprising the protection of species, protection of soil, or the prevention of forest fires as well as municipal and other land use plans that have to be taken into account.	
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		Low risk is assessed for areas with: - o Approved Forest Management Plan - o Group management initiatives (Group Certification) - o Intervention zones with an area below 2ha (as defined by RJAAR) Specified risk is considered for other areas	
Portugal	2.2.2 The BP has implemented appropriate control systems and procedures for verifying that feedstock is sourced from forests where management maintains or improves soil quality (CPET S5b)	Since 1901, with the establishment of the Forest Regime, the maintenance of soil quality, as well as its fixation, was identified as a strategic objective for the improvement of forest health and forest services. [Forest Regime Legal Framework]. Forest Regime was constantly developed throughout the 20th century being the final iteration, the Law No.33/96, August 17th – Base Law for Forest Policy, which determines that the national forestry policy pursues the objective of "... ensuring the fundamental role of forests in regulating water resources, soil conservation and air quality and combating desertification ...". National Forest Strategy (2015) [4] states (chapter 2.2.5): "The susceptibility to desertification, which in terms of the Convention is defined by the aridity index threshold and, in particular in Portugal, corresponds to the 'Semi-arid' and 'dry sub-humid' classes, covers 58% of the mainland in the last three decades (1980/2010) and 63% in the last decade (2000/2010) (below). More than 60% of the national forest area estimated by IFN6 is included in areas susceptible to desertification including 100% of holm oak area, 99% of the area of cork oak, 98% of Pinus Pinea and 100% of the carob tree. Still from the same chapter of the National Forest Strategy: "It should also be noted that in the last decade there has been a significantly positive trend on the recovery of the productive capacity of Portuguese soils – in 22% of the mainland area– thus a regression in the desertification trends, including, in this scope, 5% of degraded	Ahead of site visit the information is searched and identified; Fill in the internal audit checklist form and MOD02. Fill in the audit suppliers table vs risk results; If necessary, training and/or notified the suppliers and /or logging workers. If necessary, supply informative manual to suppliers with forestry good practices guideline.

		areas, 9% of areas under production and 6% of naturalized areas, on a large extent related to new afforestation, since more than 90% of new afforestation interventions were carried out in areas susceptible to desertification (data from IFN5).” ICNF report “Forest adaptation to climate change” (2013) [5] prior to the development of the National Forest Strategy of 2015 states the following on page 57: “Technical studies for the assessment and monitoring of the soil status that have been developed as a support for the revision of the PANCD (National Action Plan Against Desertification), show that 28% of the areas susceptible to desertification are degraded. Nevertheless, monitoring of the soil conditions over the period 2000-2010 shown a positive evolution of soil status on susceptible areas – 22% recovered its primary productivity and only 1.1% presented a negative trend.” Law No. 31/2014 [1], May 30th, defines the general basis for the public policy on soils, territory planning and urbanism and sets a goal of enhancing the potential of agricultural, forestry and forest areas, among other broader objectives. It sets, as the objective of territory planning: “The preservation of soils with potential for agriculture, livestock or forestry, nature conservation, tourism and leisure, the production of renewable energies or the exploitation of geological resources in such a way that the allocation of such soils to other uses is restricted to situations where it is effectively needed and is duly proven” National Forest Inventory nº 6 [Inventário Florestal Nacional 6, pg.48, table 409.PTC] comprises data about soil quality based on indicators such as signs of erosion, grade of compaction of soil as well as causes of compaction, on specified forest species stands. Signs of erosion were identified on 1% of Pinus Pinaster areas,	
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		1% of Eucalyptus Globulus areas, as well as, 1% of Pinus Pinea areas. The grade of compaction is divided into three categories: Null, Reduced, High. The grade of compaction in 92% of the soils where pinus pinaster is found presented a null grade of soil compaction. For Eucalyptus, this percentage drops to 80% of the areas and, in the case of Pinus Pinea, the percentage of the forested area showing no signs of soil compaction was 78%. At a macro level, on which the inventory relies, the risk of forest operations on soil quality is low. Soil is a critical natural asset for forest operations and, despite the existing good practices, stakeholders report inadequate soil preparations for plantation and sowing as well as inadequate management of soils on areas affected by forest fires. BP shall ensure the promotion of good practices applied to soil preparation, maintenance, harvesting and transport within the forest. Considering the information reviewed and despite the positive trends verified in the latest assessments on soil quality, the risk evaluation for this indicator is assessed as specified. BP shall pay special attention to maintenance operations performed in routes and passages within forested areas considering their potential effect on soil erosion. Good practices on soil preparation, routes maintenance and harvesting operations shall be reinforced and promoted by the BP as well as verified through field visits. The number of suppliers verified shall be determined by sampling and approved by the auditor.	
Portugal	2.2.3 The BP has implemented appropriate control systems and procedures to	Key ecosystems and habitats with high concentration values are identified as classified or protected areas at national and/or EU level (Natura 2000 sites) as described in indicators 2.1.1 and 2.1.2. National summary of the implementation of the Habitats Directive (2007-2012)	Ahead of site visit the <i>ecosystems and habitats</i> information is searched and identified; Habitats Directive;

	ensure that key ecosystems and habitats are conserved or set aside in their natural state (CPET S8b).	provides relevant information about the conservation status and evolution of key habitats, including the source of threats and pressures for each designated habitat. The complete data set necessary to produce the summary is available on Central Data Repository (EIONET) and can be consulted using this link: Report on the implementation of the Habitats Directive (2007-2012) The Fifth National Report to CBD shows that Portugal is acting to reduce threats to biodiversity and meet the Aichi Biodiversity Targets by 2020 – the country is implementing several initiatives directed to each Target, which are described in detail in this report, however, several issues are identified that need to be addressed over the next years, such as improvements on the: i) implementation of strategic guidelines namely the National Strategy for Nature and Biodiversity Conservation; ii) integration of biodiversity issues in the different sectors and policies; iii) classification, inventory, ecological characterization and monitoring of biodiversity; iv) engagement of the private sector, v) biodiversity valuation process and its integration on public accounting, vi) management efficiency of the conservation status of threatened species (including ex situ), vii) control and elimination of exotic invasive species, viii) habitat restoration, ix) enforcement actions related to crimes against biodiversity and x) promotion of active participation of civil society in biodiversity issues. By analysing this report, it can be seen that Portugal has taken several measures to achieve CBD's goals, concluding from the need for a greater integration of biodiversity issues in different sectors and policies and the greater involvement of the private sector in this area. Reference should be made to the development of the Biodiversity Information and Monitoring of northern	Ahead of site visit the HCV information is searched and identified; Fill in the internal audit checklist form and MOD02. Fill in the audit suppliers table vs risk results; If necessary, training and/or notified the suppliers and /or logging workers (example: <i>species of birds</i>, protected areas..);
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		Portugal (SIMBioN), developed by the ICNB, IP, and by CIBIO, which had, among its objectives, to provide the ICNB, IP with a tool to support biodiversity management and contribute to scientific knowledge and public dissemination of biodiversity. Conclusion: The overall conservation status trends of habitats, as well as the number of attributes from which the conservation trends are unknown imposes the risk to be assessed as specified for priority habitats and ecosystems as per Natura 2000 network listing.	
Portugal	2.2.4 The BP has implemented appropriate control systems and procedures to ensure that biodiversity is protected (CPET S5b).	Relevant biodiversity attributes are identified in indicator 2.1.1, specifically on HCV1. The threats are described in indicator 2.1.2. Indicators 2.1.1, 2.1.2, 2.2.3 and 2.2.4 are complementary and shall be taken into account during the assessment. National summary of the implementation of the Habitats Directive (2007-2012) shows that forestry presents a “high importance” threat to 7.7% of the species assessed and puts pressure on 9.6% of the total 426 species considered. Regarding the monitoring programs and systematic monitoring of species, the Habitats Directive requires periodic assessment of the conservation status of many relevant habitats. The Planning and Management Plans of the Protected Areas and Classified Areas of the Natura2000 network may also integrate a monitoring program for a periodic evaluation of the implementation of the proposed measures and actions. In addition, Environmental Impact Assessment processes involve the monitoring of key environmental descriptors (namely, fauna, flora and vegetation) potentially affected by project implementation. A number of monitoring programs have been implemented for certain species as representatives of a given taxonomic group that may integrate	Ahead of site visit the <i>Biodiversity</i> information is searched and identified; Fill in the audit form that have the items verified in country region; Fill in the audit suppliers table vs risk results; If necessary, training and/or notified the suppliers and /or logging workers

		the set of indicators of progress achieved towards a significant reduction in the rate of biodiversity loss. ICNF coordinates several long-term monitoring programs addressed to several species and groups of birds: • National program for monitoring of winter waterfowl, for species highly dependent on wetlands. This program has been in force since 1976. This project comprises the annual assessment of the population and distribution of Anseriformes and Gruiformes species. [2] • Stations of constant effort project. Has the objective of monitoring the population alterations of Passeriformes e quasi-Passeriformes species with wide distribution. [3] At national level, other monitoring projects have been carried out since 2010, oriented to different taxonomic groups: • Monitoring program for cave species of bats in progress since 1987. Annually, the most important winter and maternity shelters are visited at national level, and an annual estimate is made of the actual numbers present. A recent analysis of data collected between 1988 and 2012 includes population trends of seven species calculated using TRIM software. [4] The use of updated criteria to evaluate shelters of national importance showing that there are currently 76 major shelters (3 important ones throughout the year, 43 hibernacula and 40 maternities). [5] • CAC (Censo de Aves Comuns), a long-term monitoring program for common birds and their habitats in Portugal. Launched by the Portuguese Wild Bird Society (SPEA) in 2004, in mainland Portugal and Madeira, and in 2007 in the Azores. It is integrated into the Pan-European Common Bird Monitoring Scheme (PECBMS). [6] This census received public support in 2009 and 2010. It continues to be carried out annually but lacks funding, namely for processing and analysis of data, reporting of results and	
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		support to the network of volunteers, which has made unfeasible the provision of Common Bird Indexes (IACZA, IACZF, etc.) to the public administration. These indexes have been published until 2009. After 2009, only CAC reports are available, which only contain information disaggregated by species; [7] • CANAN (Bird counts at Christmas and New Year), monitoring of population trends of wintering bird species in Portugal's agricultural fields; [8] • NOCTUA-Portugal, monitoring of nocturnal birds; [9] • Monitoring the mortality of vertebrates by trampling on roads in Portugal. Since 2010, a joint project of the University of Lisbon and Estradas de Portugal, S.A., with the objective of minimizing road mortality and improving the permeability of routes through the identification of points of high mortality and improvement of the hydraulic passages for the passage of animals; As a contribution to the establishment of a reference framework for species, the most important are the Portuguese Atlas of Bats, the Winter Migratory Birds and the Atlas of Birds (In prep.). The project of the Atlas of Bats of Portugal (mainland), which involved about 150 volunteers, had as main objectives to map the current distribution of the 25 species of bats with known occurrence in mainland Portugal, to fill a database to make this information available to stakeholders and, together with the 2011-2012 Year of the Bat campaign, mobilize and encourage practitioners in this area to educate the public about the importance of bats in ecosystems. Based on the evidences presented in indicators 2.1.1, 2.1.2 and 2.2.3 it is possible to conclude that forestry activities and feedstock supply represent specified risk for biodiversity attributes in Portugal.	
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Portugal	2.2.6 The BP has implemented appropriate control systems and procedures to verify that negative impacts on ground water, surface water and water downstream from forest management are minimised (CPET S5b).	Forest resources have a positive impact on water resources, compared with other land uses, such as agriculture. In the case of river basins, information related to the classification of flood plains, areas threatened by floods and other relevant information can be partially obtained by consulting areas included in the National Ecologic Reserve (REN). River basin plans (PGBH) also contain relevant information, as do PROFs, especially where they refer to protection forests. For information about erosion control it is essential to consult documentation relevant to the risk of erosion. Some of this information is contained in the REN, which identifies, on a scale of 1:25.000, areas at high risk of erosion, as well as zones of instability. National Ecological Reserve is a territory classification of sensitive areas for “ecosystem services” where water issues are addressed, and some restrictions are in place to prevent negative impacts in slopes, valleys and other sensitive situations. All forest projects and plans must comply with this regulation, and they should be in place, for example in projected soil preparation techniques. The ICNF Handbook for forest best practices defines: “In the areas surrounding the water lines the risk of erosion is often very high, since these are areas of concentration of rainwater runoff. In these bands (with a minimum width of 10 metres on either side, as stated in the legal definitions and conditions of legal limits (Decree-Law No. 468/71, of 5th November) a strict prevention of erosion phenomena shall be performed, and it is therefore essential to adopt measures to protect it, such as maintaining all or a significant part of the spontaneous vegetation and not perform any mobilization of the soil.” Decree-law No. 173/88, May 17th establishes the definition of premature cutting operations on Eucalyptus and Pinus Pinaster stands	Ahead of site visit the information is searched and identified; Fill in the internal audit checklist form and MOD02. Fill in the audit suppliers table vs risk results; If necessary, training and/or notified the suppliers and /or logging workers. If necessary, supply informative manual to suppliers with forestry good practices guideline.
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		and defines limitations for these operations. Decree-law No. 139/89, April 28th establishes the legal framework for the protection of natural slope, arable soil and vegetation cover. At a regional level, Municipal Forest Regulations (see references below) define the permitted operations near water lines considering the potential hazard of erosion, fire propagation and water displacement, namely: • Species permitted near water lines and riparian galleries, excluding fast growing species from afforestation and reforestation activities (ordinance No.528/89, July 11th) • Mandatory low density of stands on afforested and reforested areas • Advice on the species considered as appropriate to a defined location; • Use of heavy machinery limited to no less than 10 metres from the water line • Clear cutting operations and management activities must be previously authorized by the municipality. There are forestry best practices handbooks for operations occurring on river basins and forest areas near dams easily accessible online and through forest owners' associations, as well as a strong legal framework regarding operations within the mentioned areas. At the same time, North of the Tagus river, where the implementation of Forest Management Plans is not as visible as in the southern region of Portugal, the average property size is considerably small, which reduces the risk for this indicator. Low risk is assessed for areas with: - o Approved Forest Management Plan - o Group management initiatives (Group Certification) - o Intervention zones with an area below 2ha (as defined by RJAAR) Specified risk is considered for other cases.	
Portugal	2.3.2 Adequate training is	National Strategy for Forests states that focus on the professionalization and training of the different actors in the	Fill the health and safety in internal audit checklist form

	provided for all personnel, including employees and contractors (CPET S6d).	forestry sector shows key importance for increasing the competitiveness and, thereby, the development of the sector. ICNF develops training actions aimed at forest operators, foresters, inspectors, forest managers through COTF (Forestry Techniques Operational Centre). This Centre is under direct management of ICNF and has as its main objective to provide training and professional skills enhancement for operators with special emphasis on forest operations, use and maintenance of machinery and equipment, technologies and techniques applied. Training courses always comprise attention to safety, hygiene and health at the workplace. COTF has been operative since 1984 and provides yearly training courses for forest companies, ICNF staff, inspectors, as well as information and promotion activities at schools and other public events. There are training activities promoted by Organizations of Forest Producers (OPF) engaged with Municipalities and local authorities as well as courses undertaken by private entities throughout the country. Portugal has a long tradition of forests activities. Universities networks supply higher education courses in the field of forestry engineering, agronomy, environment engineering, among others. There are, as well, specific courses for field machinery operators. Several professional schools, agroforestry training centres and public institutes have several training courses directed at forestry operators as demonstrated below: http://www.eppovoacao.pt/index.php?page=277 http://forestis.pt/pagina,8,8.aspx http://www.drapn.min-agricultura.pt/BDFPA/documentos/Florestas.pdf http://moodle.epafbl.edu.pt/course/view.php?id=339 http://academiacomenius.com/course/operador-de-maquinas-multifuncoes-	Fill the audit suppliers table vs risk results; If necessary, training and/or notified the suppliers and /or logging workers. If necessary, supply informative manual to suppliers with forestry good practices guideline
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		processadora-e-feller/ The risk for this indicator is assessed as specified.	
Portugal	2.4.2 The BP has implemented appropriate control systems and procedures for verifying that natural processes, such as fires, pests and diseases are managed appropriately (CPET S7b).	The Operational Program of Forest Health defines a complete action framework comprising implementation assessment reports (diagnosis, identification, monitoring, control, sampling, etc.), informative leaflets (FitoNotícias), Best practices handbook aimed at several steps of forest based operations and a wide diversity of documents and actions aiming to inform and train forest owners and operators on legislation, best practices, precautionary measures among others [4]. Programs aimed at monitoring forest health and at monitoring and controlling quarantine and non-quarantine organisms, pests and diseases are in place: http://www2.icnf.pt/portal/florestas/prag-doe Annual reports addressing the implementation of the action plans set out to tackle threats from pest and diseases are made available on ICNF webpage. http://www2.icnf.pt/portal/florestas/prag-doe/plan-rel/rel http://www2.icnf.pt/portal/florestas/prag-doe/posf The most important biotic threat for tree species relevant for timber feedstock is the Nemátodo da Madeira do Pinheiro [Pine Tree Nematode] (http://www2.icnf.pt/portal/florestas/prag-doe/plan-rel/p-acao/pa-nmp) Other relevant pests and diseases are: - Cancro-resinoso-do-pinheiro “Fusarium circinatum” [Pine Resin Cancer] http://www2.icnf.pt/portal/florestas/prag-doe/plan-rel/p-acao/pa-cancr-res-pinh - Gorgulho-do-eucalipto [Gonipterus platensis] affecting eucalyptus http://www2.icnf.pt/portal/florestas/prag-doe/plan-rel/p-control/gorgulho-eucalipto Pine Tree Nematode [NMP] Comprehensive action plans aimed at controlling and eradicating the Pine Tree Nematode in Portugal are in place and	Ahead of site visit the information is searched and identified; Fill in the internal audit checklist form and MOD02. Fill in the audit suppliers table vs risk results; If necessary, training and/or notified the suppliers and /or logging workers. If necessary, supply informative manual to suppliers with forestry good practices guideline.

		pursue the following objectives: - - Identify affected forest areas (Intervention Zones [Zonas de Intervenção]) - - Avoid the dissemination of the disease to the Buffer Zone [Zona Tampão], a strip of 20 km along the border with Spain. - - Avoid the spreading of the disease from affected to non-affected areas. - The execution reports of the action plan for the control of NMP, between 2008 and 2017, show that the disease is geographically confined to the Intervention Zones (ZI) and the number of vector insects detected with NMP is stable over the years. Simultaneously, no positive samples were identified at the buffer zone (ZT). 2008 – 2013; 2014; 2016; 2017 Coniferous wood timber must be accompanied by a specific harvesting manifest [NMP manifest] which is emitted through an online platform where the involved operators must be registered. The NMP manifest contains all the relevant information about the harvested timber, location of the harvesting operation, registered operator which performed the harvest, land owner, destination, among other data. Link to the NMP manifest online platform: https://fogos.icnf.pt/manifesto/manifestoadd.asp Road circulation of pine tree timber and wood products is under surveillance by the Economic and Food Security Authority [ASAE] and the Republican National Guard [GNR]. Data from surveillance operations, comprising the inspection of more than 24 000 wood transport vehicles, show a residual number of contraventions raised by the lack of the NMP manifest – 295 in 2016 and 4 in 2018. [Activity Report 2016] and [Resina 2018] <i>Fusarium Circinatum</i> Reports from the execution of the action plan to monitor and control the spreading of <i>Fusarium circinatum</i> are available comprising the period between 2012 and 2018. Data show a stable trend of	
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		infected production sites and number of plants destroyed. Only 3 forest stands where declared as infected over the assessment period. The Sistema de Gestão de Informação de Fitossanidade Florestal (FITO) is an online platform where all inspectors responsible for the application of the several action plans related to forest health can add relevant information and findings from their work. Rural Wild Fires Rural wild fires are addressed in several planning and strategic documents as the National Strategy for Forest from 2015 and the National Plan for the Reduction of Fire Occurrences from 2016. Relevant information about rural wild fires can be found in the dedicated page of the ICNF website: Forest Safeguard Against Fires where the following are made available: - Mapping of combustible management lanes, high risk areas, areas affected by wildfires, etc. - Good practices, reports and technical orientations; - Studies and Planning - Statistics - Legal framework DL n.º 17/2009. D.R. n.º 9, Série I de 2009-01-14 which alters the DL n.º 124/2006. D.R. n.º 123, Série I-A de 2006-06-28 establishes measures and actions to take place within the framework of the Forest Safeguard System Against Wildfires, such as: - A distance of 4 meters between tree tops must be maintained; - Pruning must be applied till 50% of tree height - A 10 meters buffer lane must be kept between tree tops vertical projection and roads. - Instruments to support the implementation of actions to recover the effects of large forest fires are applied every year in order to manage the risks created by the occurrence of forest fires: http://www2.icnf.pt/portal/florestas/dfci/relat/raa There is a Program of Forest Rangers in place to promote several activities related to the prevention of fires, operators and public awareness among	
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		others. To assess the effectiveness of the activities performed during the year, several activity reports are available with the listing of operations, statistics analysis and other relevant information. The Protection of forest against forest fires is implemented and applied by every municipality and the Municipal plans approved and in force can be consulted here: https://fogos.icnf.pt/infoPMDFCI/PMDFCI_PUBLICOlist.asp Examples of law enforcement: Forest protection against fires – 2016 from GNR Cooperation between ICNF and the Army Considering that effective management activities are put in place regarding the control of forest pests and diseases comprising annual reports and surveillance of forest operators on the compliance with legal requirements, the risk is considered low for management of pests and diseases. For forest fires, the lack of updated reports on the application of national plans against forest fires and the impact of occurrences make the risk to be assessed as specified.	
Portugal	2.8.1 The BP has implemented appropriate control systems and procedures for verifying that appropriate safeguards are put in place to protect the health and safety of forest workers (CPET S12).	In Portugal, health and safety at work is heavily regulated in accordance with the legislation presented, which covers all forestry and forestry-related activities, namely the requirements for collective and personal protective equipment, the use/verification of forestry machinery and the use of plant protection products. ACT (Working Conditions Authority) promoted the development of the Strategic Action Plan for Agriculture, livestock and Forestry sectors from 2012 to 2015 producing the assessment report for this initiative (see report). From the execution of this plan 6 informative leaflets were produced as well as 8 instruments for the application of the respective law framework (checklists). The plan involved the participation of several social partners	Fill in the health and safety internal audit checklist form Fill in the audit suppliers table vs risk results; If necessary, training and/or notified the suppliers and /or logging workers. If necessary, supply informative manual to suppliers with forestry good practices guideline.

		as well as public partners which can be consulted in the report. An estimated 9000 employers and employees were reached throughout the development of this plan as well as 560 associative managers and technicians. The plan also comprised an inspective component materialized in 1700 inspections over 3 years reaching 10 000 workers. The National Strategic Plan for The Health and Safety at Work 2015-2020 was launched in May 2016 and it establishes the following strategic objectives: i) Promote the well-being at work and competitiveness of companies; ii) Decrease work accidents by 30% and the incidence rate of work accidents by 30% iii) Decrease the risk factors related to occupational diseases. In order to pursue the proposed objectives, a total of 31 measures will be carried out. Data from INE (National Statistics Institute) shows that overall fatal accidents at work decreased from 2011 to 2014 (196 to 160 deaths), as well as fatal accidents in the forestry, agriculture and fishing sector (29 to 25) in the same period. [1] The primary sector accounts for around 20% of fatal accidents occurring in one year in Portugal and employs around 7% of the employed population. More recent numbers from ACT (Work Authority) show 16 fatal accidents in 2016 in the primary sector, the lowest number in 10 years. This shows a trend of reduction. ACT reported 5 severe work accidents occurring in the Forestry sector in 2014, 10 in 2015 and 6 in 2016. The number of fatal accidents reported was 2, 4 and 8 respectively, for the same period. Law No. 98/2009, September 4th, governs the regime for the repair of work accidents and occupational disease. (http://www.act.gov.pt/(pt-PT)/CentroInformacao/Estatistica/Paginas/default.aspx) Assessment of law enforcement Authorities with specific	
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		jurisdiction for licensing and inspecting the provisions of health and safety at work legislation in Portugal are: – ACT (Autoridade para as condições do Trabalho) [Working Conditions Authority]; – DGS (Direcção Geral de Saúde) [Directorate-General of Health]; – ANPC (Autoridade Nacional de Protecção Civil) [National Civil Protection Authority]. All companies must provide an annual report to the Ministério da Solidariedade e Segurança Social [Ministry for Solidarity and Social Security], which is registered in Annex D, with: - Quantity and severity of accidents at work and occupational diseases; – Training hours related to OSH (occupational safety and health); – Organization of OSH services; – Risk identification, assessment, and control; – Periodic and occasional aptitude tests; The ACT has recently developed a set of initiatives and projects aimed at the forestry sector. These consist of awareness and training in the most significant risks in forestry. The report “Relatório de Actividades ACT” [‘ACT Activities Report’] confirms that there has been a decrease in accidents at work in the primary sector. Nevertheless, the occurrence of work accidents in the primary sector are still considerably high when compared to other sectors. For this reason, specified risk is assessed for this indicator.	
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7 Non-conformities and observations

NC number NC-000589 (2021-01)	NC Grading: Minor
Standard:	SBP Standard 2: Verification of SBP-compliant Feedstock
Requirement:	IN2C; 4.1 The report shall be concise, covering the most important features, and shall be completed using the latest version of the SBR template for Biomass Producers downloaded from the SBP website.
Description of Non-conformance and Related Evidence:	
Supply base report is made in English and will be made available in Portuguese upon request. The report is concise, covering the most important features, and is completed using the audit portal. However, during the review of the SBR several obligatory fields in the audit portal was not properly filled in, and some figures were not properly loaded.	
Timeline for Conformance:	By the next surveillance audit, but no later than 12 months from report finalisation date
Evidence Provided by Company to close NC:	N/A
Findings for Evaluation of Evidence:	N/A
NC Status:	Open

8 Certification decision

Based on the auditor's recommendation and the Certification Body's quality review, the following certification decision is taken:	
Certification decision:	Certification approved
Certification decision by (name of the person):	Andries Polinder
Date of decision:	18 Oct 2021
Other comments:	N/A