


# Certification Report

Control Union Certification B.V. P.O. Box 161, 8000 AD / Meeuwenlaan 4-6, 8011 BZ ZWOLLE The Netherlands	
<b>Project Name</b>	<b>Arbolivia</b>
<b>Project ID</b> <b>Province and Country</b> <b>Project size</b>	BO-ARB Bolivia Project total area: 1,185.78 ha Effective Planted area: ha 1,185.78
<b>Project developer</b>	<b><i>Sicirec Bolivia Ltda</i></b>  Cochabamba, Bolivia  <b>represented by</b> Mr Anko Arthur Stilma Phone : +591 4 485119 <a href="mailto:a.stilma@sicirec-bolivia.org">a.stilma@sicirec-bolivia.org</a>
<b>Assessment Team Leader</b>	Mr. Gerben Stegeman
<b>Internal Report ID</b>	CUC2016ARBO001_V1_FG
<b>Gold standard Version</b> <b>Type of Certification</b>	0.9 Road test Performance Certification / New Area Certification
<b>Date of issuance: Final Report</b> <b>Valid until</b>	Date 16-Feb-2017 Date <b>15-Feb-2022</b>
<b>CO2-certificats (ex-ante)</b> <b>from which are ex-post</b>	<b>102,893 tCO2 (ex-post verified 2007 'til 2016)</b> <b>173,747 tCO2 (ex-ante validated 2016 'til 2056)</b>
<b>Buffer CO2-certificats (ex-post &amp; ex-ante)</b>	25,723 tCo2 (ex-post) 43,437 tCo2 (ex-ante)

About the certification body		
<b>Assessment Team Leader</b>	<p>Mr. Gerben Stegeman Tel: +31 (0)38 4260100 <a href="mailto:gstegeman@controlunion.com">gstegeman@controlunion.com</a></p> <p>Short summary on the CV from Mr. Gerben Stegeman: Tropical Forestry Engineer with 28 years of worldwide forest management experience, of which 12 year experience in forest management certification as auditor, certifier and program manager, and over 18 years of forest management experience in Bolivia</p> <p>Signature:</p>	In shorts GS
<b>Assessment Team Member</b>	<p>Mr. Flavio Guiera Tel: +55 41 92020103 <a href="mailto:f.guiera@ativaflorestal.com">f.guiera@ativaflorestal.com</a></p> <p>Forest Engineer, Advisor of certification for quality and socio-environmental management systems. Qualified lead auditor IRCA. Fifteen years experienced in FSC® Forest Management and Chain of Custody certification in Brazil, Latin America (among others Bolivia) and Southeast Asia. CUC Lead Auditor since 2009. Specialist in risk assessments and sustainability in the forest products supply chain. Worked for forest companies in the private sector, NGOs and governmental bodies.</p> <p>Signature:</p>	In short FG
<b>Assessment Team Member</b>	<p>Mr. Luis Otero Tel: Tel: 56 9 90415448 <a href="mailto:oteluis@gmail.com">oteluis@gmail.com</a></p> <p>Short summary on the CV from Mr. Luis Otero</p> <p>Forest Engineer. Seventeen year experience as FSC Chile advisor and lead auditor in forest certification. Extensive experience in forestry carbon sequestration in Chile, Brazil, Colombia, Argentina and Venezuela. Long experience as researcher at the Universidad Austral de Chile in environmental impact assessment in forestry plantations in several countries in Latin America . Particular experience in forest landscape planning and forestry outreach.</p> <p>Signature:</p>	In short LO

<b>History of this document</b>	
<b>1. Draft sent to project developer</b>	<b>25-10-2016</b>
2. Feedback	27-01-2017 03-02-2017
<b>3. Draft sent by project developer to GS</b>	<b>17-02-2017</b>
<b>4. Request revision peer reviewer by GS</b>	<b>28-02-2017</b>
<b>5. Revision peer reviewer GS</b>	<b>06-03-2017</b>
<b>6. Final report sent to GS, including response to comments peer reviewer GS</b>	<b>07-03-2017</b>
<b>7. Revision GS finalized and responses to comments peer reviewer accepted</b>	<b>10-03-2017</b>
<b>8. Finalisation Report</b>	<b>10-03-2017</b>

## 1. INTRODUCTION

### Objective

The objectives of the certification are the following:

- Assess conformance of new areas with the certification criteria as laid out in the GS;
- Assess performance of the certification criteria as per already validated project area in the GS;
- Evaluate the conformance with the certification scope, including the GHG project and baseline scenarios,
- GHG sources, sinks, and reservoirs; and the physical infrastructure, activities, technologies and processes of the GHG project to the requirements of the GS;
- Evaluate the calculation of GHG emissions, including the correctness and transparency of formula and factors used, assumptions related to estimating GHG emission reductions, and uncertainties;
- Determine whether the project could reasonably be expected to achieve the claimed GHG reduction/removals.

### Scope

The project aims to include 293.4 hectares of plantations into the previous scope validated at transition certification according to the A/R Gold Standard. The total project area encompasses now 1.185,78 hectares of reforestation.

Gold Standard has already reviewed the first project report allowing the PDD to be issued and to be presented to Control Union in order to proceed the evaluation process for new area and for performance certification. The Gold standard Version 0.9 (Road test), August 2013.

### Level of assurance

The verification was carried out in order to provide a reasonable level of assurance of conformance against the defined Gold standard requirements and materiality thresholds within the audit scope. Based on the findings of this verification, a positive statement assures that the project's GHG assertion is materially correct and fairly represents the GHG data and information.

### Materiality

Unless otherwise stated by the Gold Standard requirements all GHG sinks, sources and/or reservoirs (SSR's) and GHG emissions are equal to or greater than 5% of the total GHG assertion.

### Project description

Represented by SICIREC Bolivia Ltda, ARBolivia Project is part of the implementation and forest management of a carbon reforestation project with the aim of contributing to the mitigation of climate change and social risks in developing countries.

The ARBolivia Project together with local rural smallholders promotes rural and productive development through reforestation activities with mixed, mainly native tree species, sustainable forestry plantation management and the provision of environmental services. Specific silvicultural and forest management tasks are defined together with the farmer. The application of a poly-cyclic harvesting system aims to ensure a relatively high average carbon storing capacity in the plantations.

The project is being implemented in settler areas in the Cochabamba Tropics, the Province of Ichilo in the department of Santa Cruz, Northern La Paz, and Western Beni, spread by three focal regions as follows: zone of

Beni/La Paz covering municipalities of Reyes, Rurrenabaque, San Borja, Ixiamas y San Buenaventura; Zone of Cochabamba covering municipalities of Chimoré, Puerto Villaroel y Shinahota; Zone of Santa Cruz covering municipalities of Buena Vista, Sancarlos, Yapacany e San Juan.

The settlers' areas have been a destination for migrants coming from the "High Valley" and Altiplano regions of Bolivia since the 1930s. Small holders own 95% of the land in the portfolio regions. The sizes of the properties vary, but they are on average 20 hectares per family in the Cochabamba Tropics, and 25 to 50 ha in the other regions. Only a few farmers have land less than 20 ha. The settlers are organized into syndicates of 20 to 60 farmer families. Approximately 5 syndicates form a "central", which in turn belongs to a federation.

Traditional land-use practices associated over-harvesting of native forests has led to widespread deforestation, which has led to a growing shortage of timber from commercial native species. This has spurred interest by small farmers in the conservation and sustainable management of the primary and secondary forests and in planting trees on their farmland.

Areas reforested represent only small portions of the holdings of farmers which they designate voluntarily for this purpose in consideration of their food security and livelihood needs. Special programs like Integrated Land Use Planning, Agroforestry systems and silvopastoral systems accompany the project in order to guarantee food and income security for the farmers involved.

The implementation as well as the maintenance activities necessary to ensure tree development within plantations are carried out by the farmers. The activities, e.g. weeding or pruning, are planned together with the project staff during the farm visits. During the visit a personalized on-farm capacity building assessment is realized by the technician to the farmer in order to assure accomplishment according to certain minimal technical standards and schedule.

List of species planted:

***Tectona grandis***, Teca

***Virola flexuosa***, Gabun

***Terminalia oblonga***, Verdolago amarillo de ala

***Terminalia amazonica***, Verdolago negro de ala

***Tapirira guianensis***, Palo román

***Stryphnodendron purpureum***, Palo yugo

***Schyzolobium amazonicum***, Serebo

***Guarea rusby***, Trompillo de altura

***Dipteryx odorata***, Almendrillo

***Centrolobium tomentosum***, Tejeyeque

***Calophyllum basiliense***, Palo María

***Buchenavia oxycarpa***, Verdolago negro or Pepa

***Aspidosperma macrocarpon***, Jichituriqui

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## 2. METHODOLOGY

The project approach consists of the following steps:

Performance certification based on the delivered PDD and supporting documentation

- Desk Review
- Site Visit
- Validation-Verifications assessment

### **Desk review**

During the assessment Control Union will review the following elements of the project and verify against the Gold Standard A/R Requirements based on information provided by ArBolívia:

- Key project information, Project Design Document (PDD);
- Verification of the prefeasibility study;
- Shape files of the project (verification based on existing satellite images);
- Verification of the Do-No-Harm Assessment;
- Verification of the project Sustainability Requirements;
- Verification of the Additionality Requirements; and
- Verification of the Methodology requirements (including Conversion procedure and calculation of the CO2-certificates).

Deliverables: Deliverable 1

- General overview of the project
- Verified Shape files ready to upload on the Gold Standard Registry account.
- Overview of verification points on the Sustainability requirements for the Site visit.

### **Site visit:**

During the site visit the following elements will be verified based on a further to determine sampling:

- Field verification of the general overview of the project;
- Field verification of the Shape files;
- Field verification of the Do-No-Harm-Assessment;
- Field verification on the implementation of the Local Stakeholder Consultation, including the Sustainable Development Assessment;
- Field verification on the implementation of the Input & Grievance Mechanism;
- Field verification on the implementation of the Sustainability Monitoring Plan;
- Field verification of the legal rights;
- Field verification on the Risk Register; and
- Field verification of the inventory method and data on which the CO2-certificates calculation is based.

Deliverables: Deliverable 2

- Audit planning
- Report, including CARs, FARs and OBSs if any.

### **Desk review**

- Communication of project findings: CARs and NCRs
- Satisfactory response and actions regarding CARs and NCRs

Deliverables: Deliverable 3

Notification that all CARs and NCRs are closed

Validation Report – Deliverable 4

### 3. CONCLUSION

The forest management system, procedures, and techniques of **ArBolivia Project** have been assessed by CUC according to the standards the Gold Standard – A/R (v0.9).

In the opinion of the lead auditor, Flavio Guiera, ArBolivia Project (SICIREC) is in conformity with the initial certification requirements and new areas and certificate should be re-issued provided that correspondent CAR's are closed.

### 4. SUMMARY OF ASSESSMENT

A non-conformance is defined as a deficiency, discrepancy or misrepresentation that in all probability materially affects carbon credit claims.

**Corrective Action Request (CAR)** – With a CAR, Control Union Certifications or The Gold Standard Secretariat requests appropriate action be taken to show compliance with a requirement.

In order to achieve a successful certification, all CARs shall be formally closed.

CARs can be converted to FARs.

**Forward Action Request (FAR)** - With a FAR, Control Union Certifications or The Gold Standard Secretariat requests appropriate action be taken to become fully compliant with a requirement. A FAR will be issued where the impact of the infraction is:(a) not material within the current certification, AND

(b) unusual or non-systematic, AND

(c) correctable in a specific timeframe less than 5 years.

**Observation (OBS)** – With an OBS, Control Union Certifications or The Gold Standard Secretariat provides an observation on possible future non-compliance with a requirement.

Unlike CARs and FARs, observations are warnings and do not need to be formally corrected. They are given special attention during the next certification.

For detailed findings please refer to Annex 1

Overview of OBS/FAR/CAR					
Number	Date found	Reference	Status	Remarks	Date closed
CUC-CAR-01	08/10/2016	2.1 / 3.1/3.2/3.4/ 3.5/3.6/5.3/ 5.6/5.7/6.1	CLOSED	N/A	27-Jan-2017

CUC-CAR-02	08/10/2016	3.1 – (12)	CLOSED	N/A	27-Jan-2017
CUC-CAR-03	08/10/2016	3.1 – (15)	CLOSED	Downgraded to CUC-FAR-02	06-Feb-2017
CUC-OBS-01	08/10/2016	3.1 – (34)	OPEN	N/A	
CUC-FAR-01	08/10/2016	3.1 – (37/38)	OPEN	N/A	
CUC-OBS-02	08/10/2016	5.2 – (1)	OPEN	N/A	
CUC-OBS-03	08/10/2016	5.7	OPEN	N/A	

## 5. REVIEWED DOCUMENTS

The project provided the following documents for revision prior to the field verification.

PDD assessment
Documents of Performance and New Areas
Carbon sequestration through reforestation and improved land use in the Bolivian tropics by smallholders - ArBolivia Project – Project Development Document (PDD) – (Dec-2012)
Sistema de Monitoreo y Evaluación del Proyecto ArBolivia - Componente Productivo (Jun-2012)
CarbonFix Transition Report -(Mar-2013)
Growthmodel based on scientific literature (rev 2016)
Dados de las parcelas a certificar (Aug-2016)
Lista de Management Units (MUs) (Aug-2016)
Superficie por sector (Aug-2016)

Supporting documents assessment during the field verification.			
ID	Date of publication	Title	Place, Author
1	Sep-2016	Lista de comité forestales y directórios	Cochabamba, SICIREC
2	Sep-2016	Lista de Actores claves	Cochabamba, SICIREC



3	Jun-2013	Línea de base de biodiversidad para las plantaciones forestales del proyecto ArBolívia	Cochabamba, SICIREC
4	Sep-2016	Lista de Parcelas Permanentes de Muestreo (PPMs) y Parcelas de medición (PMs)	Cochabamba, SICIREC
5	Jul-2012	Formularios 15-A/B/C y D. Parcelas Permanentes de Muestreo (PPM)	Cochabamba, SICIREC
6	Jul-2012	Ficha del Indicador para la presentación de informes de monitoreo.	Cochabamba, SICIREC
7	Jul-2012	Formularios 15- C : 1/2. Parcelas Permanentes de Muestreo (PPM) – Registro de medición	Cochabamba, SICIREC
8	Ago-2009	Formularios 8- Establecimiento de Sistemas Agroforestales.	Cochabamba, SICIREC
9	Oct-2012	Plan de Monitoreo de Biodiversidad.	Cochabamba, SICIREC
10	Dec-2012 Jun-2015	Recibos de Pago por servicios de mantenimiento de la PFC	Naranjal, SICIREC
11	Jul-2016	Informe GP/042/2016: Daños ocasionados a la plantación forestal Comercial	San Carlos, SICIREC
12	Ago-2014	Comunicación Interna CI/UPROM/039/14: Informe Quema de Plantas.	San Carlos, SICIREC
13	Mar-2016	Comunicación Interna CI/UPROM/08/16: Informe pago Plantación Quemada.	San Carlos, SICIREC
14	Ago-2014	Acta de Compromiso (ref. CI/UPROM/039/14)	San Carlos, SICIREC
15	Nov-2015	GP/071/2015: Carta Respuesta: Inversión Plantación Forestal	San Carlos, SICIREC

## 6. INTINERARY OF THE FIELD VISIT

Assessment during field-visit			
Date	Location	Time spend	Auditor
<b>02-oct-2016</b>	<b>Rurrenabaque (Jose Ballivian - Beni)</b>	<b>5 hours</b>	<b>Flavio Guiera</b>
<ul style="list-style-type: none"> <li>- Opening Meeting</li> <li>- Documentation review at ArBolivia Offices</li> <li>- Stakeholders Consultation</li> </ul>			
<b>03-oct-2016</b>	<b>Rurrenabaque (Jose Ballivian - Beni)</b>	<b>10 hours</b>	<b>Flavio Guiera</b>
<ul style="list-style-type: none"> <li>- Field visit to Communities: Villa Borjana, Villa Imperial, San Juan, Marca Coroico, San Bernardo, Uncallamaya, Nueva Esperanza</li> <li>- Visita al Viviero</li> <li>- Stakeholders consultation</li> </ul>			
<b>04-oct-2016</b>	<b>San Buenaventura (Abel Iturralde - La Paz)</b>	<b>8 hours</b>	<b>Flavio Guiera</b>
<ul style="list-style-type: none"> <li>- Stakeholders Consultation</li> <li>- Field visit to Communities: TCO Tacana, Nueva Palestina, 25 de Mayo, Bella Altura.</li> </ul>			
<b>05-oct-2016</b>	<b>Yapacani (Ichilo - Santa Cruz)</b>	<b>8 hours</b>	<b>Flavio Guiera</b>
<ul style="list-style-type: none"> <li>- Field visit to Communities: Naranjal, Valle Hermoso, Ayacuchito,</li> </ul>			
<b>06-Oct-2016</b>	<b>Yapacani (Ichilo - Santa Cruz)/Puerto Villaroel (Jose carrasco - Cochabamba)</b>	<b>10 hours</b>	<b>Flavio Guiera</b>
<ul style="list-style-type: none"> <li>- Field visit to Communities: Valle Hermoso, 02 de Agosto, Villa Hermosa, Gualberto Villarroel.</li> </ul>			
<b>07-Oct-2016</b>	<b>San Carlos /Buena Vista (Ichilo-Santa Cruz)</b>	<b>8 hours</b>	<b>Flavio Guiera</b>
<ul style="list-style-type: none"> <li>- Stakeholders Consultation</li> <li>- Field visit to Community Huaytu y Propiedades privadas.</li> </ul>			
<b>08-Oct-2016</b>	<b>San Carlos (Ichilo-Santa Cruz)</b>	<b>6 hours</b>	<b>Flavio Guiera</b>
<ul style="list-style-type: none"> <li>- Documentation review at ArBolivia Offices</li> <li>- Closing Meeting</li> </ul>			

## 7. INTERVIEWS DURING THE FIELD VISIT

Assessment during field-visit			
Date	Person	Time spent	auditor
02 to 08-Oct-2016	Anko Stilma – General Manager	40 hours	Flavio Guiera
02 to 08-Oct-2016	Jorge Goitia – Excecutive Manager ArBolivia	55 hours	Flavio Guiera
02 to 08-Oct-2016	Jose Angel Bailly Arias – Monitoring Coordinator ArBolivia.	8 hours	Flavio Guiera
02-Oct-2016	Luis Filipes – Executive Director of FECAR (Federación de Comunidades Agropecuarias de Rurrenabaque)	1 hour	Flavio Guiera
03 to 04-Oct-2016	Moises Andres Acarapi – Regional supervisor Rurrenabaque ArBolivia	18 hours	Flavio Guiera
03 to 04-Oct-2016	Seferino Caral Mamani – Forest Management Technician ArBolivia	18 hours	Flavio Guiera
03-Oct-2016	Marcelo Condori Nina – Plantation Management Technician ArBolivia	6 hours	Flavio Guiera
03-Oct-2016	David Jalacori Mendoza - Plantation Management Technician ArBolivia	6 hours	Flavio Guiera
03-Oct-2016	Hilarion Zuna Ramos – Settler, project member	1 hour	Flavio Guiera
03-Oct-2016	Pascual Cuata Quete – Settler, project member	30 min	Flavio Guiera
03-Oct-2016	Fermin Sarabia Catimari – Settler, project member	30 min	Flavio Guiera
03-Oct-2016	Florencio Salas Vaquiata - Settler, project member	1 hour	Flavio Guiera
03-Oct-2016	Eusebio Yujra Estaca – President of Comite Forestal Las Tecas	2 hours	Flavio Guiera
03-Oct-2016	Josefina Espinoza Ortiz de Camacho - Settler, project member	30 min	Flavio Guiera
03-Oct-2016	Nimia Fernandez Yanamo - Settler, project member	30 min	Flavio Guiera
04-Oct-2016	Fernando Flores – Act Secretary of Comite Forestal Tacana	1 h 30 min	Flavio Guiera
04-Oct-2016	Sergio Queveno – Communication Secretary of Consejo Indígena del Pueblo Tacana (CIPTA)	1 h 30 min	Flavio Guiera
04-Oct-2016	Epifanio Lurisi – President of Comite Forestal Tacana	1 h 30 min	Flavio Guiera
04-Oct-2016	Hermán Chuqui – Chief of Land and Territories of Consejo Indígena del Pueblo Tacana (CIPTA)	1 h 30 min	Flavio Guiera
04-Oct-2016	Freddy Mamani Quiñones - Plantation Management Technician ArBolivia	3 hours	Flavio Guiera

04-Oct-2016	Aurelio Quispe Nina - Plantation Management Technician ArBolivia	3 hours	Flavio Guiera
04-Oct-2016	Feliciano Medina Chamarro - Settler, project member	30 min	Flavio Guiera
04-Oct-2016	Patrocinio Revollo Mejia - Settler, project member	1 hour	Flavio Guiera
04-Oct-2016	Isabel Tarifa Gallardo de Rivero - Settler, project member	30 min	Flavio Guiera
04-Oct-2016	Felix Mamio Guamona - Settler, project member	30 min	Flavio Guiera
05-Oct-2016	Henry Coaquira Vidaurre - Plantation Management Technician ArBolivia	3 hours	Flavio Guiera
05-Oct-2016	Freddy Juchasara Pillco - Regional supervisor San Carlos ArBolivia	6 hours	Flavio Guiera
05-Oct-2016	Antonio Callejas Marca Magno - Plantation Management Technician ArBolivia	3 hours	Flavio Guiera
05-Oct-2016	Isidro Colque Condori – President of Comite Forestal Zona Sur	1 hour	Flavio Guiera
05-Oct-2016	Julio Zabala Rojas - Settler, project member	30 min	Flavio Guiera
05-Oct-2016	Olga Soto Iquise - Settler, project member	30 min	Flavio Guiera
05-Oct-2016	Gregorio Udaeta Fuentes- Settler, project member	30 min	Flavio Guiera
05-Oct-2016	Natalio Aguilar - Settler, project member	30 min	Flavio Guiera
06-Oct-2016	Humberto Kanchi Yarhui - Plantation Management Technician ArBolivia	4 horas	Flavio Guiera
06-Oct-2016	Jose Luis Ventura Vargas - Regional supervisor Tropic of Cochabamba ArBolivia	4 horas	Flavio Guiera
06-Oct-2016	Demecio Cahuana Zarate - Settler, project member	30 min	Flavio Guiera
06-Oct-2016	Felix Rodriguez Yapura - Settler, project member	30 min	Flavio Guiera
07-Oct-2016	Miguel Choque Flores - Plantation Management Technician ArBolivia	2 hours	Flavio Guiera
07-Oct-2016	Ariel Saavedra Mena - Plantation Management Technician ArBolivia	2 hours	Flavio Guiera
07-Oct-2016	Santiago Martinez – President of Central Sindical Única de Trabajadores Campesinos de Buena Vista.	1 hour	Flavio Guiera
07-Oct-2016	Yhoban Salguero – Regional Director of A Autoridad de Fiscalización y Control Social de Bosques y Tierra (ABT) – Unidad Operativa de Bosques y Tierra Santa Fé	1 hour	Flavio Guiera
07-Oct-2016	Victor Hugo Chaves Saucedo – Tecnico Forestal del	1 hour	Flavio Guiera

	Gobierno Autonomo Municipal de San Carlos.		
07-Oct-2016	Salinas Franco German – Promotion and Positioning Management ArBolivia	1 hour	Flavio Guiera
07-Oct-2016	Roberto Gonzalo Valdivieso Taborga – Database Management ArBolivia	2 hours	Flavio Guiera

## ANNEX 1 FAR'S AND CAR'S OVERVIEW

<b>No FAR / NC:</b> CUC-CAR-01	<b>Reference :</b> 2.1 / 3.1/3.2/3.4/ 3.5/3.6/5.3/5.6/5.7/6.1	<b>Category :</b> CAR
<b>Date found:</b> 08/10/2016	<b>Deadline for correction:</b> Antes del cierre del informe	
<p><b>Description of indicator:</b></p> <p>2.1 - For the Performance Certification the project owner shall provide any updates to the existing filled-in template 'Key Project Information'. The most recent version of the template shall be used.</p> <p>3.1 - For the Performance Certification, the project owner shall update the existing filled-in template 'Do-No-Harm Assessment'. The most recent version of the template shall be used. For the New Area Certification, the project owner shall update the existing filled-in template 'Do-No-Harm Assessment' with the information from the <i>new areas</i> added. The new information shall be clearly distinguishable by the use of a different colour. The existing version of the template shall be used.</p> <p>3.2 - For the Performance Certification chapter '3.2 Local Stakeholder Consultation' does not apply. The continuous dialogue is ensured through the requirements of chapter '3.3 Input &amp; Grievance Mechanism' and the yearly reporting and regular certifications that include feedback from The <i>Gold Standard NGO Supporters</i>. For the New Area Certification the project owner shall identify the stakeholders that are <i>new</i> to the projects due to its expansion. With these <i>new</i> stakeholders a LSC shall be conducted. For the documentation, the project owner shall use an empty template 'Local Stakeholder Consultation'.</p> <p>3.4 - For the Performance Certification the project owner shall use an empty template 'Sustainability Monitoring Plan'. To complete the template, copy <i>remaining</i> parameters that have not yet reached their target and add <i>new</i> parameters from the update of the chapter '3.1 Do-No-Harm Assessment' or '3.3 Input &amp; Grievance Mechanism'. For the New Area Certification the project owner shall update the existing filled-in template 'Sustainability Monitoring Plan' with the information from the <i>new areas</i> added. The new information shall be clearly distinguishable by the use of a different colour. The existing version of the template shall be used.</p> <p>3.5 - For the Performance Certification the project owner shall update the existing filled-in template 'Project Participants &amp; Secured Titles'. The most recent version of the template shall be used. For the New Area Certification the project owner shall update the existing filled-in template 'Project Participants &amp; Secured Titles' with the information from the <i>new areas</i> added. The new information shall be clearly distinguishable by the use of a different colour. The existing version of the template shall be used.</p> <p>3.6 - For the Performance Certification the project owner shall update the existing filled-in template 'Risk Register'. The most recent version of the template shall be used. For the New Area Certification the project owner shall update the existing filled-in template 'Risk Register' with the information from the new areas added. The new information shall be clearly</p>		

distinguishable by the use of a different colour. The existing version of the template shall be used.

4.1 - For the New Area Certification the project owner can select between the following 3 options:

a) Identify *key elements* of the project's existing additionally test and provide evidence that these *key elements* are not changed due to the *new areas*. *Key elements* shall include barriers (in case of the barrier analysis), the economic assumptions (in case of the investment analysis), or elements of 'Option 2 - Positive List' (in case this was selected). The most recent version of the 'Additionality - New areas' template shall be used.

b) Repeat the process for the Initial Certification, but only with regard to the *new areas*, not the entire project. The most recent version of the 'Additionality' template shall be used.

5.1 - For the New Area Certification the project owner shall update the existing filled-in template 'Applicability' with the information from the *new areas* added. The new information shall be clearly distinguishable by the use of a different colour. The existing version of the template shall be used.

5.2 - For the New Area Certification the project owner shall update the existing filled-in templates (see Initial Certification) with the information from the *new areas* added. The new information shall be clearly distinguishable by the use of a different colour. The existing version of the template shall be used.

5.3 – For the Performance Certification the project owner shall meet the requirements by updating the numbers from the chapters '5.4 Other Emissions' and '5.7 CO<sub>2</sub>-Fixation' and in its Climate Projects account. The system will create a 'MU Report' that the project owner shall submit to The Gold Standard Registry. For New Area Certification See Initial Certification. To enter the numbers of the new areas into the Climate Projects system the project owner has to create a new 'Modelling Units Cluster'.

5.5 - For the New Area Certification the project owner shall update the existing filled-in template 'Baseline' with the information from the *new areas* added. The new information shall be clearly distinguishable by the use of a different colour. The existing version of the template shall be used. The resulting figures of this documentation shall be submitted to the projects *Climate Projects* account.

5.6. For the New Area Certification the project owner shall update the existing filled-in template 'Leakage' with the information from the *new areas* added. The new information shall be clearly distinguishable by the use of a different colour. The existing version of the template shall be used. The resulting figures of this documentation shall be submitted to the projects *ClimateProjects* account.

5.7 - For the Performance Certification the project owner shall update the existing filled-in template 'CO<sub>2</sub>-Fixation' based on the information of the 'Forest Inventory'. The most recent version of the template shall be used. The resulting figures of this documentation shall be used to update the projects *ClimateProjects* account. For the New Area Certification the project owner shall update the existing filled-in template 'CO<sub>2</sub>-Fixation' with the information from the *new areas* added. The new information shall be clearly distinguishable by the use of

a different colour. The existing version of the template shall be used. The resulting figures of this documentation shall be submitted to the projects *ClimateProjects* account.

6.1 – For the Performance Certification the project owner shall provide documentation using the template ‘Carbon Performance’. The most recent version of the template shall be used.

**Description of non-conformity:**

A complete general description from the project was provided and includes all items requested (“a” to “p”). Despite the accuracy of information provided for the project, the project owner did not provide updates to the existing filled-in templates of GS Version 0.9 (Road-Test).

CUC-CAR-01 – Documentation related to requirements 2.1, 3.1, 3.2, 3.4, 3.5, 3.6, 4.1, 5.1, 5.2, 5.3, 5.5, 5.6, 5.7 y 6.1 is not presented using most recent version of the GS template requested for Performance and New Areas Certification process.

**Evidence received, and analysis of corrections and corrective actions provided for NC closure:**

Project developer updated project information using the most recent version of the GS templates as requested by the respective indicators. Contents are updated and represent the actual status of the project.

On the basis of a desk review of documents presented, the corrective actions implemented are sufficient to eliminate the non-conformities found and successfully close the referred CUC- CAR-01.

**Documents reviewed.**

Reply for the GS CARs, FARs and OBS  
Key Project Information  
Do-no-harm Assessment - Version: 0.9 (Road-Test)  
Local Stakeholders Consultation - Version:0.9 (Road-Test)  
Field manual woodlot socioeconomic impact evaluation – April 2013  
Linea de base de biodiversidad para las plantaciones forestales – Jun-2013  
List of Input & Grievances - Version: 0.9 (Road-Test)  
Project Participants and Secure Title  
Risk-Register- Version: 0.9 (Road-Test)  
Other Emissions - Version: 0.9 (Road-Test)  
Laekage - Version: 0.9 (Road-Test)  
CO2- Fixation - Version: 0.9 (Road-Test)  
Carbon Performance – Version: 0.9 (Road-Test)  
Carbon Scientific Growth Model ARB - 29/09/2016  
Data Base of Permanent Sample Plots (PPMs) – 2016

**Status: CLOSED**



<b>No FAR / NC:</b> CUC-CAR-03 converted to CUC-FAR-02	<b>Reference :</b> 3.1 – (15)	<b>Category :</b> CAR to FAR
<b>Date found:</b> 08/10/2016 – 06/02/2017	<b>Deadline for correction:</b> Before the report closure. Up to 5 years of date found	
<p><b>Description of indicator:</b> 3.1 Do-No-Harm-Assessment – Working Conditions</p> <p>There shall be a ‘Health &amp; Safety Policy’ that is documented, implemented and regularly updated. This policy shall include at a minimum:</p> <ul style="list-style-type: none"> <li>(a) provisions for first aid, AND</li> <li>(b) provisions for the safe transport of workers, AND</li> <li>(c) provisions for timely evacuation of workers to an adequately equipped medical facility in case of serious accident, AND</li> <li>(d) a health insurance scheme for workers who are impacted by workplace accidents AND</li> <li>(e) if workers stay in camps for a longer period of time, measures shall be provided to ensure that conditions for accommodation and nutrition comply at least with those specified in the <i>ILO Code of Practice on Safety &amp; Health in Forestry</i>.</li> </ul>		
<p><b>Description of non-conformity:</b></p> <p>Health and Safety Policy is not fully implemented.</p>		
<p><b>Evidence received, and analysis of corrections and corrective actions provided for NC closure:</b></p> <p>SICIREC presented its “Plan de Higiene, Seguridad Ocupacional y Bienestar”, which includes the risk analysis for the health and safety at the activities developed in the scope of ArBolívia Project. The legal requirements for the employers are fulfilled by SICIREC and a Committee for Health and Safety are in place with responsibilities to follow the ongoing situation on health and safety issues directly into the labor environment, analyzing accidents and risks, proposing improvements on working conditions, fostering communication and education for better health and safety conditions and further initiatives in order to minimize risks of accidents and implement the plan mentioned above. Training sessions were applied for the key personal such as practical first-aid.</p> <p>The committee has addressed a corrective action for the CUC-CAR-03 with the issuance of a bid for the purchase of helmets, ear protectors and sheath for knives. SICIREC is proceeding the acquisition of the EPPs, which will be distributed for ArBolívia’ staff and project members according to the specific demands of the work.</p> <p>On the basis of a desk review of the documents presented, interviews with SICIREC managers and members of the Committee for Health and Safety, the auditor considers the corrective actions implemented as sufficient to eliminate the non-conformities found and successfully close the referred CUC- CAR-02.</p> <p>During the detailed review of the „Plan de Higiene, Seguridad Ocupacional y Bienestar” and its annexes it was detected that it is not clear on the specifications of the types of personal protection which is demanded to be applied for each labor position according to its inherent risks. ArBolívia must review the Plan of Occupational Health and Safety, making it as a specific tool that can clearly provide information regarding the appropriate EPPs in order to avoid/mitigate the risks and threats of each activity, such as defined on page 53 – “Elección</p>		

de Equipos de Protección Personal”. Furthermore, as defined at the same document ( page 55) EPPs shall be in conformance with international standards of manufacture.

**CUC-FAR-02** – The document that addresses Occupational Health and Safety Policy is deficient on the guidelines to the appropriate implementation of measures and to effectively avoid risks of work at ArBolivia Project in its specific activities.

**Documents reviewed**

Reply for the GS CARs, FARs and OBS  
 Plan De Higiene Seguridad Ocupacional Y Bienestar – 2016  
 Anexos: Requisitos Minimios; Manual De Primeros Auxilios; Plan De Contingencia; Plan De Incendios; Manual Del Comitè Mixto.  
 Cuadro Comparativo de Cotizaciones – 14 Dec-2016  
 Informe De Actividades: Evento de inducción y capacitación de la empresa SICIREC Bolivia Ltda. - 11 - 13 de May de 2016.

**Status:** CLOSED (converted to a FAR)

<b>No OBS:</b> CUC-OBS-01	<b>Reference :</b> 3.1 – (34)	<b>Category :</b> OBSERVATION
<b>Date found:</b> 08/10/2016	<b>Deadline for correction:</b> No Aplicable	
<p><b>Description of indicator:</b> 3.1 Do-No-Harm-Assessment – Water Resources</p> <p>34. On both sides of permanent or temporary <i>water bodies</i> (lakes, streams, rivers, wetlands, etc.) riparian buffer zones of 15 meters shall be implemented on each site. In these riparian buffer zones:</p> <p>(a) only <i>native tree species</i><sup>3</sup> may be planted, AND</p> <p>(b) <i>invasive species</i><sup>4</sup> shall be removed, AND</p> <p>(c) all existing vegetation shall be kept, AND</p> <p>(d) no timber harvesting activities shall take place, AND (e) no use of fertilizer or chemical pesticides.</p>		
<p><b>Description of Observation:</b></p> <p>Project Manager should present a more detailed guidance to the establishment of trees plantation at the boundaries of buffer zones of water courses, considering to avoid risks of having commercial plantations into fragile or key protection zones along the management cycle. Also, the project manager should clearly demonstrate in maps (not only by croquis) all riparian and hydrographic elements herein mentioned as “water bodies” and their buffer zones established or planned to be reformed in it.</p>		

**Evidence received, and analysis of corrections and corrective actions provided for NC closure:**

ArBolivia has raised the situation of all sites planted regarding the limits with buffer zones and detected that no exotic species are occupying limits of 15 m from water streams. Project Manager stated that ARBolivia is changing the protocols for site selection on new plantations, which will be available on the next review of the operational standard procedures.

**Documents reviewed**

Reply for the GS CARs, FARs and OBS

**Status:** OPEN

<b>No FAR / NC:</b> CUC-FAR-01	<b>Reference :</b> 3.1 – (37/38)	<b>Category :</b> FAR
<b>Date found:</b> 08/10/2016	<b>Deadline for correction:</b> up to 5 years after the date of found.	
<p><b>Description of indicator:</b> 3.1 Do-No-Harm-Assessment – <b>Waste</b></p> <p>37. All sources of waste and waste products shall be identified and classified. Waste products include amongst others:</p> <ul style="list-style-type: none"> <li>(a) chemical wastes, AND</li> <li>(b) containers, AND</li> <li>(c) fuels and oils, AND</li> <li>(d) human waste, AND</li> <li>(e) rubbish (including metals, plastics, organic and paper products), AND</li> <li>(f) abandoned buildings, machinery or equipment.</li> </ul> <p>38. Measures for waste products and their spillage shall be in place for safe and environmentally appropriate:</p> <ul style="list-style-type: none"> <li>(a) collection, AND</li> <li>(b) transport, AND (c) storage, AND</li> <li>(d) handling, AND</li> <li>(e) disposal.</li> </ul>		
<p><b>Description of non-conformity:</b></p> <p>Despite the fact that ArBolivia Project has managed the waste in an appropriate manner for the sources found at field level, the project manager did not present a written policy or documented procedures which describe all sources of waste and waste products, followed by instructions and measures for the appropriate collection, transport, storage, handling and disposal.</p>		
<p><b>Evidence received, and analysis of corrections and corrective actions provided for NC closure:</b></p> <p>Project Manager accepted the future action stating that ArBolivia will implement measures along 2017.</p>		
<p><b>Documents reviewed</b></p> <p>Reply for the GS CARs, FARs and OBS</p>		
<p><b>Status:</b> OPEN</p>		

<b>No OBS:</b> CUC-OBS-02	<b>Reference :</b> 5.2 – (1)	<b>Category :</b> OBSERVATION
<b>Date found:</b> 08/10/2016	<b>Deadline for correction:</b> up to 5 years after the date of found.	
<p><b>Description of indicator:</b> 5.2 (1) Methodology – Conversion procedure</p> <p>1. Conversion factors shall be determined at the level of a Modelling Unit:</p> <p>(a) Wood Density</p> <p>(b) Biomass Expansion Factor.</p> <p>(c) Root-to-Shoot ratio</p> <p>All factors shall be based on the best available scientific sources.</p>		
<p><b>Description of Observation:</b></p> <p>Despite Gold Standard allows the Project Manager to use the default factors to calculation of root-to-shoot ratio, ArBolivia Project should implement analysis of samples of first soil horizon to improve conversion factors (Root : Shoot ratio of tree and non-tree biomass) of planted sites concerning their species and management. Should, also, implement analysis of wood density to complement bibliographic data, given that the permanent sample plots already have measurable outputs for the aboveground tree biomass and also operational activities such as thinning are taking place.</p>		
<p><b>Evidence received, and analysis of corrections and corrective actions provided for NC closure:</b></p> <p>Project Manager stated that they will consider the Observation into the Monitoring Plan in the second half of 2017 through an agreement signed with the „Facultad de Ciencias Forestales de la Universidad Autonoma René Gabriel Moreno (UAGRM) - Santa Cruz“, which hosts a laboratory for the analysis.</p> <p>A meeting has taken place on Dec 21st, 2016 between Sicirec’s staff and the UAGRM’s forestry department director, when it was agreed to receive post-graduate students to develop their thesis on this issue.</p> <p><b>Documents reviewed</b></p> <p>Reply for the GS CARs, FARs and OBS</p>		
<b>Status:</b> OPEN		

<b>No OBS:</b> CUC-OBS-03	<b>Reference :</b> 5.7	<b>Category :</b> OBSERVATION
<b>Date found:</b> 08/10/2016	<b>Deadline for correction:</b> N/A	
<p><b>Description of indicator:</b> 5.7 Methodology - CO2 Fixation – Forest Inventory</p> <p>3 - The process of a <i>forest inventory</i> shall be documented clearly and easy replicated.</p>		
<p><b>Description of Observation:</b></p> <p>Though the results of measurements obtained from forest inventories and their records are accurate, the establishment and maintenance of PPMs should promote an harmonization</p>		

between practices regarding identification of trees and sample plots at the field level, seen that Rurrenabaque region clearly presents sequential numbering and measurement checkmarks in the trees (red label on DHB) but Ichilo and Tropico de Cochabamba zones are not always easily sighted.

**Evidence received, and analysis of corrections and corrective actions provided for NC closure:**

No further comments have been made by the Project Manager, despite to have accepted and stated that will implement measures along 2017.

**Documents reviewed**

Reply for the GS CARs, FARs and OBS

**Status:** OPEN