

# PEFC Standard and System Requirement Checklist - PEFC IGD 1007-01:2012 (PEFC Informative Guide) 2012-11-16

## PART IV: Standard and System Requirement Checklist for certification and accreditation procedures (Annex 6)

### 1 Scope

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

Any inconsistencies between this text and the original referred to document will be overruled by the content and wording of the technical document.

### 2 Checklist

No.	Question	Reference to PEFC Council PROCEDURES	YES / NO*	Reference to scheme documentation
<b>Certification Bodies</b>				
1.	Does the scheme documentation require that certification shall be carried out by impartial, independent third parties that cannot be involved in the standard setting process as governing or decision making body, or in the forest management and are independent of the certified entity?	Annex 6, 3.1	YES	Chapter 4 of the PEFC PT1002:2014 has a requirement consistence with PEFC annex 6, 3.1.
2.	Does the scheme documentation require that certification body for forest management certification shall fulfil requirements defined in ISO 17021 or ISO Guide 65?	Annex 6, 3.1	YES	Chapter 4 of the PEFC PT1002:2014 has a requirement consistence with PEFC annex 6, 3.1.
3.	Does the scheme documentation require that certification bodies carrying out forest certification shall have the technical competence in forest management on its economic, social and environmental impacts, and on the forest certification criteria?	Annex 6, 3.1	YES	Chapter 7.1 of the PEFC PT1005:2014 has a requirement consistence with PEFC annex 6, 3.1.
4.	Does the scheme documentation require that certification bodies shall have a good understanding of the national PEFC system against which they carry out forest management certification?	Annex 6, 3.1	YES	Chapter 4 of the PEFC PT1002:2014 has a requirement consistence with PEFC annex 6, 3.1 'CBs should ensure that have technical competences related with the certifying proceedings and with PFCS scheme (PEFC Portugal) and have available a structure that can safeguard these principles according to PEFC PT 1003:2014.'

No.	Question	Reference to PEFC Council PROCEDURES	YES / NO*	Reference to scheme documentation
5.	Does the scheme documentation require that certification bodies have the responsibility to use competent auditors and who have adequate technical know-how on the certification process and issues related to forest management certification?	Annex 6, 3.2	YES	Chapter 5 of the PEFC PT1002:2014 has a requirement consistence with PEFC annex 6, 3.2.
6.	Does the scheme documentation require that the auditors must fulfil the general criteria of ISO 19011 for Quality Management Systems auditors or for Environmental Management Systems auditors?	Annex 6, 3.2	YES	Chapter 5 of the PEFC PT1002:2014 has a requirement consistence with PEFC annex 6, 3.2
7.	Does the scheme documentation include additional qualification requirements for auditors carrying out forest management audits? [*1]	Annex 6, 3.2	YES	PEFC PT 1003:2014 describes qualification requirements for auditors carrying out forest management audits.
<b>Certification procedures</b>				
8.	Does the scheme documentation require that certification bodies shall have established internal procedures for forest management certification?	Annex 6, 4	YES	Chapter 4 of the PEFC PT1002:2014 has a requirement consistence with PEFC annex 6, 3.1 which is linked with PEFC PT 1005:2014 that furthers develops the certification procedures for CBs.
9.	Does the scheme documentation require that applied certification procedures for forest management certification shall fulfil or be compatible with the requirements defined in ISO 17021 or ISO Guide 65?	Annex 6, 4	YES	PEFC PT 1005:2014 states that 'These requirements are based in standard ISO/IEC 17021(...)
10.	Does the scheme documentation require that applied auditing procedures shall fulfil or be compatible with the requirements of ISO 19011?	Annex 6, 4	YES	PEFC PT 1005:2014 states that 'These requirements are based in standard ISO/IEC 17021(...) ISO/IEC 17021, 9.1.2: 'The certification body should ensure that an audit plan is established as the basis for an agreement on the implementation and planning of audit activities. This audit plan should be based on documented requirements of the certification body, prepared in accordance with relevant guidelines established in ISO 19011'

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				ISO/IEC 17021, 9.1.9: 'The certification body should have a process to carry out spot audits, defined in documented requirements, formulated in accordance with the relevant guidelines established in ISO19011.'
11.	Does the scheme documentation require that certification body shall inform the relevant PEFC National Governing Body about all issued forest management certificates and changes concerning the validity and scope of these certificates?	Annex 6, 4	YES	Chapter 4 of the PEFC PT1002:2014 has a requirement consistence with PEFC annex 6, 4 which is linked with the notification contract, in appendix 2 to this document.
12.	Does the scheme documentation require that certification body shall carry out controls of PEFC logo usage if the certified entity is a PEFC logo user?	Annex 6, 4	YES	Chapter 4 of the PEFC PT1002:2014 has a requirement consistence with PEFC annex 6, 4 "CB's shall verify the use of the PEFC logo, labels and claims issued by the PEFC logo usage if the certified entity is a PEFC logo user in accordance with PEFC ST2001:2008, whenever applicable."  Additional requirements are given in chapter 9.2.3 (2) of the PEFC PT 1005:2014.
13.	Does a maximum period for surveillance audits defined by the scheme documentation not exceed more than one year?	Annex 6, 4	YES	Chapter 9.3 of the PEFC PT 1005:2014 has a requirement consistence with PEFC annex 6,4 "The CB has to undertake annual evaluations of the certified forest management system. The date of the first surveillance audit following initial certification shall not be more than 12 months from the last day of the stage 2 audit."
14.	Does a maximum period for assessment audit not exceed five years for forest management certifications?	Annex 6, 4	YES	Chapter 8.2 of the PEFC PT 1005:2014 requires that "the conformity

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				certificates of SFM have a maximum of 3 years and yearly monitoring audits should occur. “
15.	Does the scheme documentation include requirements for public availability of certification report summaries?	Annex 6, 4	YES	Chapter 9.1.10 of the PEFC PT 1005:2014 requires that “additionally, the report shall contain a summary of the certified forest area and the audit results (i.e. a Summary Report) that the forest manager will make publicly available to relevant stakeholders.  Additional requirements are further described in this chapter and, Chapter 8.5 ensures the information can be publicly available.
16.	Does the scheme documentation include requirements for usage of information from external parties as the audit evidence?	Annex 6, 4	YES	Chapter 9.1.11 of the PEFC PT 1005:2014 requires that “CBs should shall established documented procedures for organization and structuring of public consultation processes to the SFM system taking into account that these should be previously planned and prepared, ensuring that relevant information’s about the opinions of the interested parts are included as an audit evidence whenever appropriate”
17.	Does the scheme documentation include additional requirements for certification procedures? <sup>[*1]</sup>	Annex 6, 4	YES	PEFC PT 1005:2014
<b>Accreditation procedures</b>				
18.	Does the scheme documentation require that certification bodies carrying out forest management certification shall be accredited by	Annex 6, 5	YES	Chapter 3 of the PEFC PT 1002:2014 has a requirement consistence

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	a national accreditation body?			with PEFC annex 6, 5.
19.	Does the scheme documentation require that an accredited certificate shall bear an accreditation symbol of the relevant accreditation body?	Annex 6, 5	YES	Chapter 8.2 number (4) of the PEFC PT 1005:2014 requires
20.	Does the scheme documentation require that the accreditation shall be issued by an accreditation body which is a part of the International Accreditation Forum (IAF) umbrella or a member of IAF's special recognition regional groups and which implement procedures described in ISO 17011 and other documents recognised by the above mentioned organisations?	Annex 6, 5	YES	Chapter 3 of the PEFC PT 1002:2014 has a requirement consistence with PEFC annex 6, 5
21.	Does the scheme documentation require that certification body undertake forest management certification as "accredited certification" based on ISO 17021 or ISO Guide 65 and the relevant forest management standard(s) shall be covered by the accreditation scope?	Annex 6, 5		Chapter 3 of the PEFC PT 1002:2014 has a requirement consistence with PEFC annex 6, 5.
22.	Does the scheme documentation include a mechanism for PEFC notification of certification bodies?	Annex 6, 6		Chapter 6 of the PEFC PT 1002:2014 has a requirement consistence with PEFC annex 6, 6.
23.	Are the procedures for PEFC notification of certification bodies non-discriminatory?	Annex 6, 6		Chapter 6 of the PEFC PT 1002:2014 has a requirement consistence with PEFC annex 6, 6.

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

[\*1] This is not an obligatory requirement

## Application documentation

The application for the endorsement and mutual recognition as defined in Chapter 5 of Annex 7 (*Endorsement and Mutual Recognition of National Systems and their Revision*) shall include information which enables the assessment of the applicant system's compliance with the PEFC Council requirements.

The application documentation should identify and make reference to other detailed documentation such as minutes, internal procedures and rules, reports, etc. which do not need to create a part of the application documentation.

**Asses. basis\*** The standard setting is assessed against the PEFC Council requirements in two stages: (i) compliance of written standard setting procedures ("Procedures") and (ii) compliance of the standard setting process itself ("Process").

For "Procedures" the applicant should refer to the part(s) of its standard setting procedures related to the respective PEFC requirement. For "Process" the applicant should either refer to the report/records of the standard setting process forming a part of the submitted application documents, or describe how the PEFC requirement was fulfilled during the standard setting process.

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

