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List of abbreviations

CB	Certification Body
CoC	Chain of Custody
CFFP	Conselho da Fileira Florestal Portuguesa (Portuguese Forestry Sector Council)
IPAC	Portuguese Accreditation Institute (Instituto Português de Acreditação)
PEFC	Programme for Endorsement of Forest Certification Schemes
PFCS	Portuguese Forest Certification Scheme/PEFC Portugal
SFM	Sustainable Forest Management

1 Introduction

This document is based in PEFC ST 1004:2013 “PEFC Requirements for Certification Bodies operating Forest Management Certification (enquiry draft of 2012-03-14)” and Chapter 6 of Annex 6 of the PEFC Technical Document. It provides additional scheme requirements for certification bodies operating forest management certification against the Portuguese Standard NP4406 “Sustainable Forest Management Systems - Application of the pan-European criteria for sustainable forest management”.

This document strictly follows the structure of ISO/IEC 17021:2011. It does not include the text, of ISO/IEC 17021:2011, and so, should always be used as a complement and with the accessory disposals of the accreditation entities. This document is mandatory for the consistent application of ISO/IEC 17021:2011 in PEFC forest management systems audits.

This document comes into force on the day following its publication.

2 Normative References

The following references are indispensable for the application of this document. For normative references dated and undated, applies the latest edition thereof (including any revisions).

Document	Title
ISO/IEC 17021:2011	Conformity assessment – Requirements for bodies providing audit and certification of management systems (second edition 2011-02-01)
PEFC PT 1003:2014	Requirements for the Qualification of PEFC Portugal Auditors
NP 4406:2014	Portuguese Standard for the Sustainable Forest Management Systems - Application of the pan-European criteria for sustainable forest management
PEFC ST 2001:2008	PEFC Logo Usage Rules – Requirements (second edition 2010-11-26)



3 Terms and definitions

For purposes of this document, the relevant definitions given in ISO/IEC 17021, Portuguese Standard for Sustainable Forest Management (NP 4406) and the following apply.

3.1 *Certified area*

The forest area covered by the forest certificate conformity representing the sum of forest areas consisting of rural parcels of land, declared by the subscriber or by the individual entity and which are included in the Forest Management Unit limits.

3.2 *Client organisation*

Organisation, including a group organisation, that is applying for or whose forest management has been certified.

Note: In the case of certification of a group organisation this group will be considered the multi-site organisation

3.3 *Group forest certificate (or “regional certificate”)*

A document confirming that the group organisation complies with the requirements of the sustainable forest management standard and other applicable requirements of the forest certification scheme.

3.4 *Group organisation (or “management organisation”)*

A group of subscriber's represented by the manager of the forest management unit for the purposes of implementation of the sustainable forest management standard and the certification of the respective forest management unit.

Note 1: the term “management organization” is equivalent to the term “regional/group management organization” as it applies to each level.

Note 2: The term “group organisation” is a specific form of a “multisite organisation”.

3.5 *Site (or “Forest site”)*

Forest area managed by the subscriber.

3.6 *Site with micro dimension*

It's a forest site with particular characteristics. Areas which are not subject to individual forest management plans as required under the national forest policy that uniquely meet the codes of good forestry practice and any additional requirements of the forest management system of the group organization. These sites correspond to forested areas with a size below 2 hectares

3.7 *Additional Site*

A new forest site or group of forest sites that will be added to an existing multi-site certificate.

3.8 *Subscriber*

Public and private entities, owning or managing one or more rural parcels of land, with legal rights upon their own forest properties/plots, covered by conformity forest certificate, which have



the ability to implement the requirements of present standard and undertaking a written commitment with of the respective forest management system.

Note: The term “the ability to implement the requirements of present standard” requires the the entity to have a long-term legal right to manage the forest and would disqualify one –off contractors from becoming participants in group certification (regional/group).

3.9 Major nonconformity

The absence of, or failure to implement and maintain, one or more requirements of the forest management standard, that may result in a systemic risk to the function and effectiveness of the forest management and/or effects confidence in the client organisation’s claims on material originating from certified forests.

3.10 Minor nonconformity

A single failure to fulfil the requirements of the forest management standard that may result in no systemic risk to the function and effectiveness of the chain of custody and/or effects confidence in the supplier’s claims on material originating from certified forests.

3.11 Observation

An evaluation finding that does not warrant nonconformity but is identified by the audit team as an opportunity for improvement.

3.12 Audit time

The term audit is the actual time measured in day (s) necessary for the auditor conducting the audit activity and is applicable to all types of audits (granting, monitoring, renewal and extension).

3.13 Auditor day

General rule one day auditor has 8 hours (excluding travel time between sites and time for meals).

3.14 On-site audit

Audit held at the headquarters of the client organization. In the case of audits to group organizations the on-site audits shall be extended to the areas of the group (subscribers), applying a methodology for sampling the sites.

4 Principles

4.1 General

The criteria against which the client organisation’s forest management is evaluated are those outline in the latest version of the Portuguese forest management standard (NP4406) and the relevant mandatory appendices.

Note: The latest version of the standard and their amendments are available from IPQ official webpage www.ipq.pt



4.2 Impartiality

4.3 Competence

4.4 Responsibility

4.5 Openness

4.6 Confidentiality

4.7 Responsiveness to complaints

5 General requirements

6 Structural requirements

The committee for safeguarding impartiality may include a representative from CFFP. At least CFFP shall be informed about this option.

7 Resource requirements

7.1 Competence of management and personnel

CBs shall ensure scientific knowledge about the economic, social and environmental implications, related with forest activity and the criteria for forest certification.

7.2 Personnel involved in the certification activities

7.2.1 Auditors

Regarding to Sustainable Forest Management training, the certification body shall ensure that auditors, in the last every two years, have participated in an education programme in forest management that is recognized by the CFFP.

Auditors shall comply with the requirements and additional qualification skills as established by PEFC PT 1003:2014.

7.2.2 Audit Team

The audit team shall be comprised of by auditor(s) fulfilling the requirements defined PEFC PT 1003:2014. In some cases technical experts may be required to support the required auditor competency in a particular technical area by providing appropriate technical expertise

8 Information requirements

8.1 Publicly accessible information

CB shall have information available on demand about the PEFC certification process, including the certification criteria for sustainable forest management and chain of custody, information for the registration of PEFC license holders and total associated costs.



CB shall also have available information about the certification process, in particular the public nature of the information about the sustainable forest management system, when under public consultation and, later, the abstract of the audit report.

8.2 Certification documents

The conformity certificates of SFM have a maximum of 3 years and yearly monitoring audits should occur.

The certification of conformity is a document issued in candidate's name and, compulsory, should present the following information:

- (1) the name and the address of the client organisation;
- (2) the scope of certification and reference standard (and respective version), which was verified in audit. In the case of certificates of group organizations ensure that it is clear that the certified activities are performed by all the sites listed;
- (3) identification of the certification body;
- (4) accreditation mark as prescribed by the accreditation body and the accreditation number;
- (5) date of granting, extending or renewing certification and the expiry date or recertification due date. The effective date on a certification document shall not be before the date of the certification decision;
- (6) PEFC label user license number (optional);
- (7) annexed to the certificate, maps of the covered areas, validated by the certifier (if required by CFFP);
- (8) For certifications of group organizations, an annex identifying:
 - a. all sites covered by the certificate, respective areas and their sum;
 - b. the list of all members, including their contact details.

A sub-certificate may be issued to the organization for each site covered by the certification on condition that it contains the same scope, or a sub-scope of that scope, and includes a clear reference to the main certificate. The validity of the sub-certificate shall be the same as the main certificate.

8.3 Directory of certified clients

8.4 Reference to certification and use of marks

8.5 Confidentiality

The certification body shall inform the client organization that it is obliged to provide information to the CFFP and that this information will be publicly accessible.

This information included the identification details of the client organisation (legal name of the client organisation, address and contact details, turnover (will be kept confidential), identifying the responsible position and contacts), copy of the certificate (the certificate number, scope and products covered by the certification of management forest area of forest management unit certified and forest) and the public summary report of the audit. In the case of forest certification



group information on the properties included in the certificate, identifying the name of a member, the property name, location, area, land use and marketed production should still be included.

In order to comply with the ISO/IEC 17021 requirements for confidentiality, the certification body shall have the written consent of the client organization for the information disclosed to the CFFP.

9 Process requirements

9.1 General requirements

9.1.1 Audit programme

CBs should shall established documented procedures for:

- organization and structuring of audits, considering that these must be previously planned and prepared, guaranteeing the allocation of adequate resources and a clear understanding by each person involved in the audit team, of their functions and responsibilities including the audit leader,
- audits conducted under the certification of group organizations. This procedure, which includes document review and records, on-site audit, etc..., shall established how the CB decides that the requirements of forest management are actually applied to all sites and that all the criteria for forest management standard are met.
- 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.

9.1.2 Audit plan

In the case of multisite certification, the audit plan shall list the sites to be sampled.

9.1.3 Audit team selection and assignment

In case of group organizations certification, where it is necessary to designate more than one audit team to evaluation/surveillance of the network, the CB shall have provisions to present a single report with the findings from all the audit teams consolidated.

9.1.4 Determining audit time

9.1.4.1 Determination of audit time by a certification body

9.1.4.2 Determination of the audit time by CFFP/PEFC Portugal

In determining the audit time, the CB should consider among other things, the following aspects:

- a) The requirements of the forest management standard (NP 4406),
- b) Size and complexity of the client organization's operations, geographical and natural conditions,



- c) Any outsourcing of any activities included in the scope of forest management standard (NP 4406),
- d) The results of any prior audits including those of client organisation's management systems,
- e) Number of sites and multi-site considerations,
- f) Quality/level of confidence of the internal monitoring programme.

In determining the audit time of stage 2 certification audit the CB should begin by determining the sample sites, according to the Annex 1 of this document. The CB can assign the criteria it considers relevant to the client organization and for each criteria apply adjustment factors for reduced or increased. In any case, the justification should be recorded.

CB may include remote auditing techniques, e.g., using interactive web tools, web meetings, teleconferences and/or electronic verification processes in the client organization. These activities shall be identified in the audit plan and the time spent in these activities should be considered as a contribution to the total duration of on-site audit.

If the CB planning an audit were the remote audit activities represent more than 30% of the planned duration of the on-site audit, the CB shall justify the audit plan and keep records of the reasons that will be provided to the IPAC, for verification. It is unlikely that the remote auditing activities represent more than 50% of the total duration of the audit.

When there is a significant number of forest sites in the audit field visits they should be grouped by areas, districts, municipalities or regions, depending on the size and dispersion of the group certification.

Over the initial 3 year cycle duration of follow-up audits should be proportional to the time spent in the initial certification audit (stage 1 and stage 2) with the total amount of time spent annually in monitoring activities, i.e., about 1/3 of the time spent in the initial certification audit.

9.1.4.3 Minimum audit time

9.1.5 Multi-site sampling

Requirements for evaluation group forest certification or multisite organizations (regional forest certification and group) are defined in Annex 1 to this document.

9.1.6 Communication of audit team tasks

9.1.7 Communication concerning audit team members

9.1.8 Communication of audit plan

9.1.9 Conducting on site audits

9.1.10 Audit report

A report on the stage 1 audit shall be presented to the organization prior to the stage 2 audit.

The content of all reports on stage 2 audits, surveillance audits and reassessment audits shall:

- a) include a recommendation on certification by the audit team to the certification body;



- b) be sufficient for the certification body to make an informed decision on certification;
- c) allow for traceability of the objective evidence upon which the evaluation was based to establish conformance or nonconformance with the requirements of the forest management standard;
- d) include a summary of the observations, minor and major nonconformity, regarding the implementation and effectiveness of the forest management system;
- e) where possible, include suggestions for continuous improvement;
- f) support the conclusions reached by the audit team.
- g) Where applicable, reports (e.g. of surveillance and recertification audits) shall document the clearing of each nonconformity revealed previously.

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.

In certification and recertification is also prepared a summary of the report of stage 2 (i.e. a Summary Report). This summary report is produced by the CB and should contain, at least, information on the certified forest area, identification of the client organization, the scope of the certificate, brief description of the forest management system, namely the elements of public disclosure, summary of findings identified in the audit including the evidence of the public consultation where appropriate. Confidential information must be excluded.

This Summary Report is a document of public access on the process of certification of sustainable forest management and should be available on the Website of the client organization and CFFP.

Where applicable, reports (e.g. of surveillance and recertification audits) shall document the clearing of each nonconformity revealed previously

9.2 Initial audit and certification

9.2.1 Application

The CB can accept applications to the certification from authorized representatives of the client organisation, responsible for the regional, group or individual forest management. The CB should verify, at this stage, the desired certification scope and the characteristics of the candidate organization which shall have, at least, the following information:

- a) corporate entity (if applicable), name, address and legal status,
- b) forest management documented procedures of the client organisation as defined in the forest management standard.
- c) description of the area of the client organisation and their location,
- d) the subscriber area covered by forest management system.

The CB shall confirm that this information was received to the client organization.



9.2.2 *Application review*

In the case of group organizations, the CB procedures shall ensure that the initial contract review identifies the complexity and scale of the activities covered by the forest management system subject to certification and any differences between sites as the basis for determining the level of sampling.

The CB shall identify the central function of the client organization that is its contractual partner for the performance of the audit. The contract agreement shall allow the CB to carry out the certification activities at all sites of the group certification client organisation.

9.2.3 *Initial certification audit*

The auditing criteria for the certification of sustainable forest management for group organizations (regional level or group) and individual organizations, including definitions are those established by NP 4406. As supplemental, the following certification criteria shall be checked:

- (1) in case of group organizations, verify the application of the requirements relating to the duties and responsibilities of the group entity and the participation model, described in the relevant annex of the NP 4406.
- (2) when the forest management system is implemented and operating, verify the compliance with the requirements described in PEFC ST 2001:2008 (PEFC Logo Usage Rules) and control the use of the PEFC trademark and labels, including statements for the inclusion of subscribers/forest areas in the certificate, issued by the client organization;
- (3) when a ISO 9001, ISO 14001 or EMAS certification exists (with a valid accredited certificate) the verification of the established procedures in the NP 4406, related to the demonstration of the sustainable forest management shall be include. It is not necessary to proceed with a separate evaluation of the sustainable forest management, since the organization integrates the framework in a single management system. However, one certification ISO 9001, ISO 14001 or EMAS is not a pre-condition for a sustainable forest management certificate.
- (4) Conduct the public consultation of the forest management system and collect opinions of the interested parties, as audit evidences, whenever appropriated;

Note: The Portuguese standard for SFM - NP4406, is a standard endorsed by the PEFC Council, thus complying with PEFC ST 1002:2010 (Group Forest Management Certification - Requirements) and PEFC ST 1003:2010 Sustainable Forest Management – Requirements.

9.2.3.1 *Stage 1 audit*

The CB shall perform an stage 1 audit to determine compliance of the documentation with the audit criteria. The scope of this audit comprises:

- to confirm scope and objective of the certification audit
- to audit the client's forest management documentation
- to evaluate forest management area specific conditions
- to evaluate procedures for internal audits and management system integrity and the effectiveness of their implementation.



- determine the conformity of the client organization with the PEFC logo usage rules and its effective implementation
- to finalize the audit plan for stage 2 audit.

A stage 1 audit report has to be made available to the client organization. At the end of the stage 1 audit the outcome of the public consultation shall be available.

If necessary, the certification body can include an on-site visit, where there is agreement by both parties.

9.2.3.2 Stage 2 audit

The stage 2 audit shall take place at the office and the area of the client organisation. The audit plan for the stage 2 audit is adapted on the basis of the findings of the stage 1 audit.

The stage 2 audit shall assess the effectiveness of the implementation of the forest management standard on the defined forest management area

9.2.4 Initial certification audit conclusions

As a result of the audit, a report is prepared and presented to the client organisation, in accordance to section 9.1.10 of this document.

Consequently, the client organization studies the results and prepares a response describing the corrective actions to be undertaken so as to adequately correct eventual non-conformities (minor and/or major) identified in the report. The corrective action plan, including a timeframe for the implementation shall be reviewed and accepted by the CB.

The time period for completion of the corrective action(s) for major nonconformities identified in surveillance audits and their verification by the certification body shall follow the rules of the certification body but not exceed 3 months. Corrective action(s) for minor nonconformities shall be verified no later than during the next audit.

Due to the nature of forest activities, it may happen that the execution of corrective measures, proposed by the client organisation, be conditioned to a relatively longer time scale. In these circumstances, the issue or renewal of certificates is possible, though depending on the evaluation of the impact of corrective measures by CB, in the shortest time frame possible.

Corrective action(s) for all nonconformities identified in initial, surveillance and re-certification audits shall be verified by the certification body by site visit or other appropriate forms of verification.

When nonconformities are found at any individual site of a group certification, either through the client organisation's internal auditing or from auditing by the certification body, an investigation shall take place to determine whether the other sites may be affected.

In this case, the CB shall require the client organisation to review the nonconformities to determine whether they indicate an overall forest management deficiency applicable to all sites or not. If they are found to do so, corrective action shall be performed both at the group entity and at the individual sites. If they are found not to do so, the client organisation shall be able to demonstrate to the certification body the justification for limiting its follow-up action.

The certification body shall require evidence of these actions and increase its sampling frequency until it is satisfied that control is re-established.



If the nonconformities indicate an overall forest management deficiency applicable to the overall function of the group certification shall be denied to the whole multi-site client organisation pending satisfactory corrective action. It shall not be admissible that, in order to overcome the obstacle raised by the existence of nonconformity at a single site, the client organisation seeks to exclude from the scope the "problematic" site during the certification process.

9.2.5 Information for granting initial certification

Following the positive decision, the CB sends the certificate to the client organisation, with a copy to CFFP in the time period corresponding to the civil month when the certificated was issued.

The CB shall also send to the client organization and CFFP, at the same time, the abstract of the audit report in a digital format so that it can be made publicly available to relevant stakeholders.

9.3 Surveillance activities

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.

The surveillance activities have to be planned in a way that representative áreas and functions of the client's organisation are covered.

Is for the client organisation to establish a procedure for the inclusion/exclusion of sites that ensures full compliance with the SFM certification requirements at the level of each site. A list of all participants, including their contact details and identification of their forest property, shall be kept updated by the client organisation which shall inform the CB about any update to the list.

Between audits CB shall consider the requests for updating the client organization sites and include them in the attached to the group organization certificate in order to be considered immediately as certified areas. These changes are considered minor thus not requiring an extraordinary audit from the CB, but evaluated in the context of follow-up audits.

In the case of an extraordinary growth of area, the client organisation may require the anticipation of the surveillance activities with the aim of getting the CB confirmation about the efficiency and robustness of the management system implemented.

At each surveillance audit at least the following aspects shall be included:

- the confidence of the forest management system implemented with regard to the inclusion and/or exclusion of sites;
- compliance with legislation and regulations relevant in the areas and functions selected for the particular surveillance audit
- review of progress of planned activities
- sample of forest management activities in the field.
- use of the PEFC logo and label (PEFC ST 2001:2008) and declarations issued to participants on their inclusion and/or exclusion in the certificate by the client organization, where applicable.



In each annual surveillance audits the CB shall inform the CFFP by sending the audit conclusions and the PEFC SFM registration form dully updated, signed and dated by the client organization.

Between audits the CB shall send to the CFFP a copy of any updates to the participants list annexed to the certificate, required by the client organization.

9.4 Recertification

9.5 Special audits

9.5.1 Extensions to scope

Extensions to scope are those that results of the inclusion of new products to the forest management system. In this case the client organization must inform the CB about the new products and agree the mechanism for inclusion of new sites.

9.5.2 Extraordinary Audit

9.6 Suspending, withdrawing or reducing the scope of certification

The certificate will be withdrawn in its entirety, if the central office or a significant number of the sites does not/does not fulfil the necessary criteria for the maintaining of the certificate.

The CB shall immediately advise CFFP in writing, if certification is suspended or withdrawn, or where there are any changes in decisions relating to the status of certification of an organization, and the reasons for those decisions. The CB should inform the CFFP the reasons for the change of status of the certificate of the client organization, in the same calendar month following the initial communication.

In this situation the certified entity will no longer appear in the PEFC register and cannot use the logo until the situation is outdated

9.7 Appeals

9.8 Complaints

10 Criteria for Transition

This document takes immediately effect for new certificates of sustainable forest management. For certificates already issued a period of 6 months transition applies for the adequacy of CB to the requirements of Section 9.1.4 of this document.

Annex 1 – Sampling for On-Site Audits

This annex is for auditing and certification of forest management certification audits in client organisations with a network of sites to ensure that the audit provides adequate confidence in the conformity of the client organisation's forest management with the forest management standard, NP 4406, across all sites listed and that the audit is both practical and feasible in both economic and operative terms.

The central office shall be examined during every initial, surveillance and re-certification audit.

1. Methodology

a. Size of the sample

The CB shall implement a procedure to determine the size of the sample that should follow the following method of calculation:

- Initial audit: the size of the sample should be the square root of the number of remote sites with 0.6 as a coefficient: $(y = 0,6\sqrt{x})$, rounded to the upper whole number.
- Surveillance audit: the size of the annual sample should be the square root of the number of remote sites with 0.3 as a coefficient $(y = 0,3\sqrt{x/4})$, rounded to the upper whole number.
- Re-certification audit: the size of the sample should be the same as for an initial audit. Nevertheless, where the management system has proved to be effective over a period of three years, the size of the sample could be reduced by a factor 0.5, i.e.: $(y = 0,5\sqrt{x})$, rounded to the upper whole number.
- Extension audit: the size of the sample shall be the square root of the number of remote sites with 0.4 as a coefficient: $(y = 0,4\sqrt{x})$, rounded to the upper whole number.
- Extraordinary audit: Aplica-se aos sites sob denúncia/reclamação. No caso da denuncia ser generalizada à área sob gestão da organização cliente the size of the sample should be the square root of the number of remote sites with 0.3 as a coefficient: $(y = 0,3\sqrt{x/4})$.

The size of the sample shall be at least 5 % of the area of the site. The size of the sample may increase to ensure the selection criteria for multisite sampling.

b. Sampling selection criteria

The sample for the initial, surveillance as well as re-certification audits shall be determined separately for representative categories of forest sites. The following indicators shall be used in order to ensure representativeness:

- forest ownership type (e.g. private forest, communal forest, state forest, Zonas de Intervenção Florestal (ZIF), etc)
- size of forest properties (different size classes)
- biogeographic region (e.g. lowlands, medium range mountains, zonas montanhosas)



- Forest management activities.

c. Size of sample

The sample should be partly selective based on the factors set out below and partly non selective, in the proportion of 75% and 25% respectively.

The selective part of the sample should ensure that the most representative differences among the sites are covered during the period of validity of the certificate.

The site selection criteria, besides the basic criteria described in b) shall include the following aspects:

- Results of internal audits or previous certification audits,
- Records of complaints and other relevant aspects of corrective and preventive action,
- Significant variations in production processes of the sites,
- Modifications since the last certification audit,
- Geographical dispersion.

Depending on the specific situation the certification body should implement a procedure for taking a sub-sample in micro sites. Considerando que os micro sites florestais constituem áreas de baixo risco atendendo à sua contribuição para o sistema de gestão florestal global o OC deve aplicar factores de amostragem mais baixos do que os referidos no ponto 1.a.

This selection does not have to be done at the start of the evaluation process. It can also be done once the audit at the central office has been completed. In any case, the central office shall be informed of the sites to be part of the sample. This can be on relatively short notice, but should allow adequate time for preparation for the audit.

d. Adjustment factor to determine the size of the sample

The calculation procedure for the size of the sample can be adapted by the certification body taking into account the following indicators:

Increase of the size of the sample

- size and complexity of the client organization's operation, geographical and natural conditions,
- the results of any prior audits, including those of client organisation's management systems,
- High number of different forestry models,
- Opinions from stakeholders (the result of stakeholders consultation should be available as evidence for the stage 2 audits, if appropriated).

Decrease of the size of the sample

- quality / level of confidence of the internal monitoring programme,
- Low number of different forestry models,
- Uniformity of the sites,



- High number of sites with micro dimension,
- Identical forestry activities practiced in all forest sites where there is evidence that they are held to the same level of performance (for example recognized service providers within the forest management system),
- Opinions from stakeholders (the result of stakeholder consultation should be available as evidence for the stage 2 audit, if appropriate.).

All the characteristics of the forest management system of the client organization shall be considered, including the processes and services, to properly select the adjustment factors that can increase or decrease the duration of the audit, ensuring that it is carried out effectively. The factors of increase may be offset by the reduction factors.

In any case the use of adjustment factors should be justified and the adjustment to the size of the sample should be carried out in agreement with the client organization.