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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

The present document establishes the requirements for qualification of auditors conducting PEFC sustainable forest management and chain of custody certification in the scope of PFCS scheme -PEFC Portugal. These requirements complement the minimum requirements established by the accrediting and certification bodies for the performance of audits.

This document cancels and replaces CFFP Technical Document No 3 adopted at the CFFP General Assembly meeting of December 30, 2003 and revised on December, 2008.

2 Bibliographic 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 19011:2002	Guidelines for quality and/or environmental management systems auditing
NP 4406	Portuguese Standard for the Sustainable Forest Management Systems. Application of the pan-european criteria for sustainable forest management" (official version at www.ipg.pt).
PEFC ST 2002:2013	Chain of Custody of Forest Based Products – Requirements, (official version at www.pefc.org / Portuguese translation at www.pefc.pt).

3 Criteria for the Qualification of PEFC Auditors

All auditors shall fulfil general criteria for quality and environmental management auditors in accordance with clauses 7.1, 7.2, 7.3.1 and 7.3.2 of ISO 19011, and also reveal understanding of and subscription to the auditing principles established as well as the additional criteria of qualification described in this document.

The auditors may begin their work only if they observe the stipulated requirements and if they are integrated in a pull of auditors of an accredited certification body with a PEFC notification with CFFP to operate PEFC certification in Portugal.

3.1 Formal Education

The candidates to auditor should have level of educations 4 or 5 according to the level of qualification of the European Union, as defined by Council Decision 85/368/CEE of 16 July, with a specialisation in forest sciences, natural resources or related areas.



3.2 Competencies

The candidates to auditor should have specific professional training, as extensive as necessary to guarantee capacity and competence in the domains required for the performance and management of the audits. CFFP shall define in this domain specific training programs in PEFC Portugal, thus ensuring good understanding of the certification criteria in relation to which the audit for certification of forest management and chain of custody is performed.

This training may be given by the Certification Body which the auditor belongs or by an external entity; in either case these entities should be recognised by PEFC Council (only for chain of custody qualification) or CFFP according to the requirements of PEFC Guide 1001:2014 "Guidelines for the Endorsement of PEFC Specific Training Courses". These entities are responsible for verifying the aptitude of the auditor so far as the training received, ensuring that the auditors demonstrate ability to apply terminology, knowledge, understanding and skills in the following areas:

Of the Sustainable Forest Management:

- General knowledge of the PEFC scheme and principles;
- Criteria for certification of sustainable forest management: Requirements of the sustainable forest management standard and knowledge of the socio-demographics and cultural issues associated with forestry activity;
- legislation, regulations or other relevant requirements – enabling the auditor to operate in the right legal framework and to be aware of the legislative requirements applicable to the entity which is the subject of the audit;
- the principles of forest management based on techniques involving inventories, forest cropping, planning, protection and the management of forest ecosystems – to enable the auditor to examine the forest management system and to decide whether it is being adequately applied;
- natural environment science, environmental technology and the economic principles applicable to forest management – to give the auditor a grasp of the fundamental relations between human activities and sustainable forest management;
- technical aspects of forestry operations associated with exploitations, technology and derived uses – to allow the auditor to grasp the activities of the entity audited and their effects on the management itself and the territory.
- audit principles, procedures and techniques (see 7.3.1a of ISO 19011): to enable the auditor to apply those appropriate to different audits and ensure that audits are conducted in a consistent and systematic manner.
- organisation situations (see 7.3.1c of ISO 19011), including organizational size, structure, functions and relationships, general business processes and related terminology and



cultural and social customs such as knowledge of the client organisation working language: to enable the auditor to comprehend the organisation's operational context.

- application of PEFC and other product labels and claims, and

and/or of the chain of custody of forest based products:

- General knowledge of the PEFC scheme and principles;
- principles and requirements of the chain of custody standard,
- products, processes and practices in the specific sector, applied raw material flow, measurements and control measures,
- the application of management systems to forest based and related industries and interaction between their components,
- information systems and technology for, authorisation, security, distribution and control of documents, data and records,
- application of PEFC and other product labels and claims, and
- application of the measures to avoid procurement of raw material from controversial sources, including the relevant risk assessment methodology and indicators.
- audit principles, procedures and techniques (see 7.3.1a of ISO 19011): to enable the auditor to apply those appropriate to different audits and ensure that audits are conducted in a consistent and systematic manner.
- organisation situations (see 7.3.1c of ISO 19011), including organizational size, structure, functions and relationships, general business processes and related terminology and cultural and social customs such as knowledge of the client organisation working language: to enable the auditor to comprehend the organisation's operational context.
- applicable international legislation and Portuguese specific forest governance and law enforcement system relevant to forest based raw material procurement and avoidance of raw material from controversial sources: to enable the auditor to comprehend the client organisation's contractual relationships with suppliers and evaluate the client organisation's procedures for avoidance of raw material from controversial sources. Knowledge and understanding of this area shall cover:
 - contracts and agreements,
 - forest governance and law enforcement system of countries of the uncertified raw material origin,
 - international treaties and conventions relating to forest products trade (CITES).

Other aspects of the system may be included in the training whenever considered necessary by CFFP so as to guarantee the adequate training of the auditors.



3.3 Working Experience

The candidates to auditor should possess recognised experience in the forestry sector, at least over a period of three years and relatively recent, in at least one of the following areas:

- Systems and Standards of Sustainable Forest Management and Chain of Custody, in relation to which audits may be performed;
- Technical experience in forest management, ecology, planning and inventory, and management of natural resources and land use management;
- Technical aspects of forest operations, whether from the operational point of view or in relation to utilisation and technology and land use management;
- Legislation and regulations relevant to forestry activity.
- full time experience in the forest based and related industries (just to CoC).

The number of years of total work experience may be reduced by one (1) year, if the auditor has completed a tertiary education on forestry (post-secondary education) for perform SFM audits and/or has completed a tertiary education appropriate and relevant to forest based and related industries in the case of CoC audits.

3.4 Audit experience

CFFP will establish the following transitory criteria:

- i. For a first qualification of an auditor, the CB shall ensure that the auditor within the last three years has performed forest management or chain of custody audits for at least four client organisations under the leadership of a qualified auditor. The number of SFM and chain of custody audits in training can be reduced by two (2) audits for auditors that are qualified for ISO 9001 or 14001 auditing in forestry or in the sector of forest based and related industries.
- ii. For auditors who fulfil the requirements defined in this document but are not ISO 9001 or ISO 14001 auditors, they should have performed four ISO 9001 or ISO 14001 audits in the category of auditor in training.
- iii. For ISO 9001 and/or ISO 14001 auditors (qualified by an accredited certifying body or auditors certified by an entity for the certification of individuals) who do not fulfil the requirements for PEFC auditors but do not have the competences established in this document, these should receive specific PEFC training.

4 Maintenance of competence

The auditors should maintain their competence, ensuring that their knowledge of PEFC Portugal is up to date. To this effect, CFFP shall promote the realisation of recycle training with a frequency adequate to the maintenance of competence or whenever alterations to the system justify them, at least every 2 years.



For maintaining the qualification of the auditor, the certification body shall ensure that the auditor has performed a minimum of five (5) external audits per year including at least two (2) forest management audits where the sum of these audits should cover at least seven (7) man-day of audit work. This qualification is subject to verification and validation by the certification body and should be registered with CFFP.

5 Admission and registration

The admission of auditors shall be based on the verification of the criteria of qualification by the entity that contracts the auditors (PEFC Portugal certification bodies) or by CFFP, in the case of auditors who are not on the pull of auditors of these entities.

The CFFP secretariat registers the admission of the auditors into the list of PEFC Portugal auditors. CFFP accepts, on its internal list, auditors who bring together the criteria of qualification described in points 3.1, 3.2 and 3.3 of the present document, so as to support the promotion and application of PEFC Portugal. The auditors that perform audits for certifying bodies are also registered.