



Content

| | |
|--|---|
| List of abbreviations | 1 |
| 1 Introduction | 2 |
| 2 Bibliographic References | 2 |
| 3 Accreditation of Certification Bodies | 3 |
| 4 Criteria for Accreditation of Certification Bodies | 3 |
| 5 Auditors Involved in Certification Activities | 4 |
| 6 Notification of the Certification Bodies | 5 |
| 7 Notification fee | 5 |
| 8 Validity of the PEFC notification | 6 |
| 9 Criteria for transition | 6 |

TABLE OF APPENDICES:

| | |
|--|---|
| Annex 1 – Application Form for PEFC Notification | 7 |
| Annex 2 – PEFC Notification Contract | 8 |

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 defines general criteria for accreditation of certification bodies operating sustainable forest management systems and/or chain of custody certification in the scope of the Portuguese Forest Certification Scheme – PEFC Portugal as well as the procedures for Notification of these bodies in Portugal.

This document can be review, based on futures developments of the PEFC International, or following reviews to the standards of reference and proceedings of the Portuguese Forest Certification Scheme under the management of CFFP.

This document cancels and replaces CFFP Technical Document No 2 adopted at the CFFP General Assembly meeting of December 30, 2013 and revised on July 27, 2009.

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 |
|--------------------------|---|
| NP EN ISO/IEC 17021:2011 | Conformity assessment. Requirements for bodies providing audit and certification of management systems (second edition 2011-02-01). |
| NP EN 45011 | General requirements for certifying bodies of products (ISO/IEC Guide 65:1996) |
| NP 4406:2014 | Portuguese Standard for the Sustainable Forest Management Systems - Application of the pan-European criteria for sustainable forest management |
| PEFC PT 1003:2014 | Requirements for the Qualification of Auditors conducting PEFC SFM and/or CoC Certification |
| PEFC PT 1005:2014 | Requirements for Certification Bodies operating Forest Management Certification |
| PEFC ST 2002:2013 | Chain of Custody of Forest Based Products – Requirements, (official version at www.pefc.org / Portuguese translation at www.pefc.pt). |
| PEFC ST2001:2008 | PEFC Logo Usage Rules - Requirements (second edition 2010-11-26) (official version at www.pefc.org / Portuguese translation at www.pefc.pt). |
| PEFC ST 2003:2012 | Requirements for Certification Bodies operating Certification against the PEFC International Chain of Custody Standard, 2012-07-16, (official version at www.pefc.org / Portuguese translation at www.pefc.pt). |



3 Accreditation of Certification Bodies

CBs that purpose to act within the scope of PFCS scheme should be accredited by an accreditation to an Accreditation body member in European Co-operation for Accreditation (EA) and/or in International Accreditation Forum (IAF) and having in place proceedings according the ISO /IEC 17011:2004 (or the most recently version in force) and other documents, recognized by these entities. In Portugal, the accreditation body with the described specifications is, today, IPAC. For SFM certification CBs should submit their accreditation to IPAC.

The fulfilment of the requirements described in this document and related appendix's is verified during the accreditation process of the certification bodies. Decisions on certification taken without consideration of the terms of accreditation will be considered invalid.

CFFP can control the fulfilment of the specific procedures for the accreditation of a CB (excepting the accreditation requirements of the NP EN ISO/IEC 17021:2011 and ISO 65:1996, verified by the certification process), on the basis of audit evidences done by the accredited body and with an audit to the CB activities related with the sustainable forest management and chain of custody certification or requesting specific documents of the accreditation process related with PEFC certification.

The requirements for sustainable forest management certification under the PFCS scheme are described in the Portuguese Standard NP4406. In this situation, there are two possible evaluation groups corresponding to two accreditation units: 1) individual certification and 2) group certification (group and regional application levels). When a CB initiates its accreditation process with the accreditation for individual certification, may request an extension of the accreditation to group certification and regional certification. In an opposite situation, the CB will be automatically accredited for both groups.

The requirements for Chain of Custody certification are described in the PEFC International standard PEFC ST 2002:2013, Chain of Custody of Forest Based Products – Requirements.

The requirements for PEFC logo usage are described in the PEFC International standard PEFC ST2001:2008 PEFC Logo Usage Rules - Requirements.

4 Criteria for Accreditation of Certification Bodies

CBs should be impartial and independent, acting as third part entities that cannot be directly involved in the process of elaborating the standards of reference for the certification, as entities with leadership or decision competences and are independent from entities that request certification.

CBs should observe the following qualifications:

- I. For the certification of the sustainable forest management, CBs should be in compliance with the requirements established by ISO 17021;



CB's must also comply with specific accreditation requirements described in the CFFP normative document PEFC PT 1005:2014. The requirements described in these documents are based on the ISO / IEC 17021:2011 standard and complement this.

II. For the chain of custody certification, certifying bodies should be in compliance with the requirements defined in NP EN 45011, General requirements for certifying bodies of products (ISO/IEC Guide 65:1996);

CB's must also comply with specific accreditation requirements described in the PEFC ST 2001:2008 Requirements for Certification Bodies operating Certification against the PEFC International Chain of Custody

CBs shall ensure that they have the 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.

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 ST 2001:2008, whenever applicable.

5 Auditors Involved in Certification Activities

CB have the responsibility to use competent auditors that have successfully completed training in audit techniques based on ISO 19011 and with suitable knowledge in certifying process and in subjects related with SFM and CoC. Competences and professional skills for auditors involved in certification activities are detailed in PEFC PT 1003:2014 "Requirements for Qualification of Auditors conducting PEFC SFM and/or CoC Certification".

CB shall provide evidence of annual monitoring of forest management and/or chain of custody auditors applying methods such as audit witnessing, reviewing audit reports or client organisations' feedback, etc. based on the frequency of their usage and the level of risk linked to their activities. In particular, the certification body shall review the competence of its personnel in the light of their performance in order to identify training needs.

The specific training required for qualification of auditors may be provided by the CB with whom the auditor is working or by an external training entity. In any case training should be recognized by CFFP, according to PEFC PT Guide 1001.1012 "Guidelines for the Endorsement of PEFC Specific Training Courses".

For maintaining the qualification of the auditor, the CB 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 audit work.



CB shall also ensure that auditors, in the last two years, have participated in an specific training programme in CoC of forest based products and/or SFM that is recognized by the PEFC Council or by CFFP.

6 Notification of the Certification Bodies

CFFP accepts applications of CB's that fulfill the accreditation requirements described in the present document for SFM and/or CoC certification. The CB applying to CFFP for PEFC Notification shall:

- Addressed to CFFP the written application (Appendix 2) for acquire PEFC notification and follow the administrative conditions describe on PQ08 which deal with communication of the CB with the CFFP, transfer of information and updates, financial conditions (payment of the notification taxes)
- Authorize CFFP to include the CB on a public list which shall include general identity data and/or other relevant details required for its registration on the correspondent database
- Submit the valid accreditation certificate verified by the accreditation process. CB shall advise CFFP of any change in its accreditation which may enable the body to certify SFM and /or CoC, as applicable.

The evaluation result will allow a decision non-discriminatory about the admission to the CB Notification. In case of the evaluation result is positive, the mechanism of the CB Notification will be instructed by firming a contract covering PEFC Notification (Appendix 1) and the fulfillment of any accessories obligations related with the specific accreditation requirements described in this document. The applicant may appeal to the Governing Board of CFFP regarding the Secretariat's decision. The Governing Board decision shall be final and binding.

Any CB that obtained the accreditation for the Chain of Custody outside Portugal and wish to acquire PEFC Notification in the country should demonstrate that fulfill the procedures described in this document. This notification is necessary when the CB issues CoC certificates to entities with the head offices in Portugal.

7 Notification fee

The notification fee is calculated by certificate issued, according to the certified area (hectares), in the case of certificates of sustainable forest management and to the turnover (millions of euros) in the case of certificates of the chain of custody. The notification fee is an integrant part of the Notification contract.

CB's shall provide to CFFP punctually with information regarding the concession or modification of all certificates granted in Portugal, in accordance with the provisions laid down in the corresponding procedures. The data to be provide shall be communicate to CFFP annually, or whenever requested to do.



CB's shall co-ordinate with CFFP regarding the design of the certificate model for SFM and/or CoC, in order to comply with the relevant provisions in the PEFC Council and CFFP/PEFC Portugal technical documentation.

8 Validity of the PEFC notification

PEFC Notification is valid for the period of validity shown on the correspondent specific accreditation.

In the case of noncompliance's with the requirements established in the present document or in the Notification contract by the CB, the CFFP has the competence to withdrawn or suspend the PEFC Notification contract and consequently suspend all entities which were certified by that CB from the PEFC registration database.

9 Criteria for transition

CBs shall fully fulfil the accreditation requirements established in the present document, according with the following criteria of transition: CBs may admit, for a period of two years, starting from its accreditation process request, auditors who fulfil the listed requirements in PEFC PT 1003:2014, with the exception of auditing experience. During the transition period CBs may prove the fulfilment with the audit qualification requirements with the presence of experts in an audit group with experience in auditing quality and environmental systems, since they had received specific education in relevant standards of the PFCS scheme recognized by CFFP.



CFFP Normative Document for PEFC Portugal scheme Users

PEFC PT 1002:2014

General Criteria for Accreditation of Certification Bodies operating certification under the PFCS scheme and Notification

Revisão: 04

Data: 2013-05-26

Página 7/12

Annex 1 – Application Form for PEFC Notification



Form

Nº: Imp08-01ing

Application for PEFC Notification

Revisão: 00

Data: 2013-06-20

(This Form must be completed by the applicant certification body)

| APPLICANT'S IDENTIFICATION DATA | | | |
|---------------------------------|-------------|------|--|
| Organisation name | | | |
| VAT number | | | |
| Organisation's representative | | | |
| Address | Street, No. | | |
| | City | Zip | |
| | Country | | |
| Contact person | | | |
| Telephone | | Fax | |
| E-mail | | Http | |

| INFORMATION AND DOCUMENTS FOR APPLICATION PROCESSING (only if logo user group C): | |
|---|--|
| Accreditation number | |
| expire date of validity | |
| Accreditation Body Name | |

DOCUMENTS REQUIRED FOR THE APPLICATION PROCESSING:

- ☐ Copy of the accreditation attestation issued against ISO Guide 65 and which scope explicitly covers certification against PEFC International standard PEFC ST 2002:2013 Chain of Custody - requirements.
- ☐ Copy of the accreditation attestation issued against ISO 17021 and which scope explicitly covers certification against Portuguese Standard NP4406:2014 Sustainable Forest Management system.

SELF-DECLARATION:

I hereby confirm that:

- I have read the PEFC Council's regulations concerning PEFC certification and notification and accept them,
- The data included in this application is complete and truthful.

This form must be digitally completed and signed by the applicant's representative (given in Section I)

Date:

Signature:

CONSELHO DA FILEIRA FLORESTAL PORTUGUESA – PEFC PORTUGAL,
PEFC Portugal, Rua Marquês Sá da Bandeira, 74-2.º
1069-076 Lisboa
cffp@cffp.pt / <http://www.pefc.pt>



Annex 2 – PEFC Notification Contract



PEFC Notification Contract

Between

(1) The **Conselho da Fileira Florestal Portuguesa**, hereafter the CFFP/PEFC Portugal, having its registered office at Rua Marquês Sá da Bandeira, n.º74 -2.º, 1069-076 Lisbon, Portugal

And

(2) Certification body, having its registered “ ” (hereafter the notified certification body)

Whereas is a PEFC Notified Certification Body operating chain of custody certification which is recognised by the PEFC Council;

Whereas the PEFC Council has delegated for the Portuguese territory its action to CFFP/PEFC Portugal by a licence contract of the PEFC logo and PEFC claims;

Whereas the PEFC Notified Certification Body is to be granted a PEFC notification and will be allowed to issue the PEFC recognised chain of custody certificates within the scope of the valid accreditation to organisations which are registered in Portugal;



Now, therefore the above said parties agree to the following:

ARTICLE 1

(Definitions)

1. Chain of Custody of Forest Based Products – Requirements
This is PEFC ST 2002:2010 to the PEFC International standard for Chain of Custody, which forms part of the contractual documentation and is in appendix to this contract. PEFC ST 2002:2010 is valid as stated now and as may be from time to time altered by the PEFC Council.
2. Certification and Accreditation Procedures
This is PEFC PT 1002:2014 General Criteria for Accreditation of Certification Bodies in PEFC Portugal and Notification, which forms part of the contractual documentation and is in appendix to this contract. PEFC PT 1002:2014 is valid as stated now and as may be from time to time altered by the CFFP/PEFC Portugal.
3. Tariffs of PEFC Notification Fee
This is the Annex I “PEFC Portugal Notification Fee tariffs”, which forms part of the contractual documentation and is found in the annex of this contract. Appendix I is valid as stated now and as may be from time to time altered by the CFFP/PEFC Portugal.

ARTICLE 2

(Responsibilities of the PEFC Notified Certification Body)

The PEFC Notified Certification Body is obliged to:

1. Have and keep valid accreditation issued in compliance with PEFC PT 1002:2014 and to inform the CFFP/PEFC Portugal immediately about any changes in the accreditation. The PEFC Notified Certification Body will provide, at the beginning of each year as well as each time it is so requested, updated evidence that it still meets the requirements of valid accreditation.
2. Carry out the chain of custody certification against PEFC ST 2002:2013 (Chain of Custody of Forest Based Products – Requirements) within the scope of the valid accreditation.
3. Provide the CFFP/PEFC Portugal immediately and truthfully with information on every chain of custody certificate issued to an organisation in Portugal and /or inform of any changes to already issued certificates within the range of data as specified by the PEFC Council.
4. Pay the CFFP/PEFC Portugal the annual PEFC notification fee for every certificate issued based on an invoice issued by the CFFP/PEFC Portugal. The amount of the fees is specified in the appendix I and can be changed by the CFFP/PEFC Portugal during the validity of the contract. The corresponding change in the contract between CFFP/PEFC Portugal and the PEFC Notified Certification Body



concerning the fees takes effect the following year after the PEFC Council has informed the PEFC Notified Certification Body, in writing, of the change.

5. Agree to be listed on the publicly available PEFC Portugal and PEFC Council internet database including the certification body's identification data and/or other data as specified in the internal rules for the PEFC registration system.

ARTICLE 3

Responsibilities of the Conselho da Fileira Florestal Portuguesa (CFFP/PEFC Portugal)

1. The CFFP/PEFC Portugal recognises the certificates issued by the PEFC Notified Certification Body in compliance with this contract and provides holders of the certificates with access to the PEFC Logo usage license under the conditions specified by the PEFC Council.
2. The CFFP/PEFC Portugal is obliged to inform the PEFC Notified Certification Body of any changes to the PEFC Council regulations and documentation or CFFP/PEFC Portugal regulations and documentation which affect this contract.

ARTICLE 4

Contract Termination

1. The CFFP/PEFC Portugal as well as the PEFC Notified Certification Body may terminate the contract with three-months prior notice by registered letter.
2. The CFFP/PEFC Portugal may suspend the contract with the immediate effect if there are reasons to believe that any provision of the PEFC notification contract is not being adhered to.
3. Withdrawal, suspension or the end of the validity of the PEFC Notified Certification Body's accreditation, will result in automatic termination of the contract with effect on the same date as the withdrawal, suspension or the end of the validity of the accreditation.
4. No PEFC notification fee is refunded to the PEFC Notified Certification Body in case of temporary suspension or termination of the contract according to the Article 4, bullet 1, 2 and 3.
5. CFFP/PEFC Portugal is not obliged to pay compensation for any costs or other damages which any temporary suspension or termination causes to the PEFC Notified Certification Body.

ARTICLE 5

Validity of the Contract

The contract enters into force when it has been signed by both parties.

ARTICLE 6



Governing Law – Jurisdiction

1. This contract is subject to Portuguese law.
2. Any disputes arising out of this agreement shall be finally and exclusively settled by the courts of the Canton of Lisbon, subject to a right of appeal to the Portuguese Supreme Court.

Signed in duplicate.

Date

Date

For and on behalf of CFFP/PEFC Portugal

For and on behalf of the the PEFC
Notified Certification Body



Annex I

(PEFC Portugal Notification Fee tariffs)

| | Turnover of the PEFC certified organization (million €) | Notification fee (€) |
|---------------------------|---|----------------------|
| Forest related industries | De 0 a 2 | 165 |
| | De 2 a 5 | 330 |
| | De 5 a 10 | 500 |
| | De 10 a 30 | 830 |
| | De 30 a 50 | 1200 |
| | De 50 a 500 | 2000 |
| | De 500 a 1000 | 2500 |
| | Mais de 1000 | 3000 |

In the case of multisite licenses the notification fee is due to the sum of the corresponding notification fees of each site, less 20% reduction.