
**Requirements for certification bodies operating
certification of forests**

PEFC Czech Republic

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FOREWORD

The document “Requirements for certification bodies operating certification of forests” was prepared within a revision process by the technical committee of PEFC CR with the participation of the main stakeholders.

The material was presented to the national governing body of PEFC CR for formal approval. It was approved under the name TD CFCS 1004:2016 on 25 May 2016.

The national governing body of the Czech forestry certification system is PEFC CR, which consists of representatives from the areas of forestry, wood processing and other stakeholders.

This document replaces technical document CFCS 1004:2011 Requirements on carrying out audits and on accreditation of certification authorities carrying out certification of forest management.

INTRODUCTION

The certification of forestry systems is based on the need to credibly document conformity of a forestry management system with the criteria for sustainable forest management as defined by TD CFCS 1003:2016 Criteria and indicators of sustainable forest management. The document is designed with the aim of defining the specific and regulatory requirements on bodies performing audits and certification of forest management systems so as to allow the comparability of certification results and certificates with other forestry certification system.

In compliance with CSN EN ISO/IEC 17021-1:2016, this document uses the following terms:

- “must” expresses a requirement,
- “should” expresses a recommendation,
- “may” expresses admissibility,
- “can” expresses possibility or ability.

1 SCOPE OF THE DOCUMENT

This document defines specific and regulatory requirements on bodies performing the audit and certification of forest management system within the Czech forestry certification system, with a goal of ensuring conformity of forest management with the criteria for sustainable forest management.

Specific and regulatory requirements designated in this document complement the requirements on bodies providing audits and certification of management systems specified in international norm CSN EN ISO/IEC 17021-1:2016.

2 NORMATIVE REFERENCES

This document also includes the provisions of the following documents and norms, as referenced in the text of the document. Based on scientific findings, practical experience and in order to ensure long-term improvement of the whole certification system, all documents and norms adhere to revisions which are implemented at least once every five years. The contents and form of revisions are the responsibility of the national controlling body of the Czech forestry certification system. Hence participants who enter into an agreement based on this document shall use the latest version of the specified norms and documents.

TD CFCS 1001:2016 Czech forestry certification system – description

TD CFCS 1002:2016 Rules for certification of forest management

TD CFCS 1003:2016 Criteria and indicators of sustainable forest management

TD CFCS 2001:2011 Rules for the use of the PEFC logo in the Czech Republic (international document of the council: PEFC Logo usage rules – requirements)

CSN EN ISO/IEC 17021-1:2016 Conformity assessment. Requirements on bodies providing audits and certification of management systems – Part 1: Requirements

CSN P ISO/IEC TS 17021-2:2014 Requirements on bodies providing audits and certification of management systems – Part 2: Requirements on professional qualifications for auditing and certification of environmental management systems

IAF MD 1:2007- Binding IAF document for certification of multiple facilities based on sampling

CSN P ISO/IEC TS 17022:2013 Requirements and recommendations on the contents of reports from third party audits of management systems

CSN EN ISO/IEC 17000 Conformity evaluation – Terminology and general principles.

CSN EN ISO 9000 Quality management systems. Basic principles and terminology

3 TERMS AND DEFINITIONS

This document follows the terms and definitions specified in CSN EN ISO/IEC 17021-1:2016, ISO 9000, CSN ISO/IEC 17000, and in TD CFCS 1001:2016 Czech forestry certification system – description.

Note 1 for: CSN EN ISO/IEC 17021-1:2016 clearly defines the terms non-conformity, significant non-conformity and minor non-conformity, including their classification conditions.

3.1 Abbreviations

This document uses abbreviations specified in the Czech forestry certification system document – TD CFCS 1001:2016 Czech forestry certification system – description.

4 PRINCIPLES

For the purposes of this document, the principles specified in CSN EN ISO/IEC 17021-1:2016 articles 4.1 to 4.8 shall be applied. The principles described in these sections do not represent specific requirements, but should be applied as a general guide for decision-making in unexpected situations.

5 GENERAL REQUIREMENTS

Certification of a forest management system must be carried out by a legal entity or a defined part of a legal entity which is legally responsible for all of its certification activities. This entity (the certification authority) must meet the requirements on legal and contractual requirements, management of impartialness, warranties and financing.

For the purposes of this document, all requirements specified in CSN EN ISO/IEC 17021-1:2016 articles 5.1 to 5.3 shall be applied.

Aside from that, the system also lists the following specific and additional binding requirements:

- a) The certification authority carrying out certification of the forest management system must be qualified in the area of forest management, have knowledge of the economic, social and environmental effects of forests, and be familiar with certification criteria.
- b) The certification authority must have good knowledge of the PEFC national system used for the certification of forest management.
- c) The certification authority must inform the national controlling body of PEFC on all issued certificates for forest management system and of all changes related to the validity and scope of these certificates. The applicant must be informed of this obligation and he/she must provide written consent.
- d) The certification authority must prepare a certification framework for the certification of forest management system which includes internal procedures used for certification.
- e) The certification authority must perform certification of forest management systems only in the form of “accredited certification”.

6 STRUCTURAL REQUIREMENTS

The certification authority in charge of certification of the forest management system must meet the requirements on organizational structure and top management as well as requirements on operations.

For the purposes of this document, all requirements specified in CSN EN ISO/IEC 17021-1:2016 articles 6.1 to 6.2 shall be applied.

Aside from that, the system also lists the following specific and additional binding requirements:

- a) The certification authority must nominate a Committee of stakeholders.
- b) At least one member of the Committee of stakeholders must be a representative of the PEFC national controlling body and of the owner of the certification framework.
- c) The certification authority must have defined rules which will ensure that a member of the Committee of stakeholders has access to all information and can verify impartialness, and also has the right to participate in on-site audits carried out by the certification authority and audits of conformity of forest management with criteria of sustainable forest management.
- d) The certification authority must have defined rules which ensure that a representative of the national controlling body of the Czech forests certification system - a member of the Committee of stakeholders - has the right to work independently and provide information on securing impartialness by the certification authority to the Council of the national controlling body of the Czech forests certification system. The rules must define requirements on confidentiality of submitted information related to applications of the certification authority. The applicants must be informed of this fact by the certification authority.

7 RESOURCE REQUIREMENTS

The certification authority in charge of certification of a forest management system must fulfill the requirements on competences of all employees involved in certification activities, including the use of external auditors and external technical experts, keeping personal records and use of outsourcing.

For the purposes of this document, all requirements specified in CSN EN ISO/IEC 17021-1:2016 articles 7.1 to 7.5 shall be applied.

The certification authority is to suitably apply the approaches specified in ISO 19011 and the appendices to CSN EN ISO/IEC 17021-1:2016:

Appendix A: Required skills and know-how.

Appendix B: Possible evaluation methods.

Appendix C: Example of a flowchart for the process of determining and keeping competences.

Appendix D: Required personal behavior.

Aside from that, the system also lists the following specific and additional binding requirements:

- a) All employees performing the main activities, such as: requiring information for certification applications, examination of applications, specification of programs of audits, determining the duration of audits and sampling on several sites, planning of audits, selection of the auditor team and assignment of tasks, performance of audits, decisions

on certification, maintaining the validity of certification, appeals, complaints and keeping records of clients - must demonstrate knowledge of the following norms and documents:

- TD CFCS 1001:2016 Czech forests certification system
- TD CFCS 1002:2016 Rules for certification of forest management
- TD CFCS 1003:2016 Criteria and indicators of sustainable forest management

b) The auditor who participates in the certification of a forest management system must:

- fulfil the requirements of CSN P ISO/IEC TS 17021-2:2014 Requirements on professional qualifications for auditing and certification of environmental management systems,
- demonstrate knowledge of forest management and legislature, international agreements and conventions applicable to SFM, knowledge of the protection and improvement of biodiversity, working conditions, adherence to principles of occupational health and safety,
- demonstrate knowledge of the rules governing the use of the PEFC logo and other marks and identifications,
- to obtain basic qualification, perform four SFM (sustainable forest management) audits during the last year under the guidance of a qualified auditor. The number of supervised audits can be reduced by two if the auditors are qualified for audits of ISO 9001 or ISO 14001 in this area,
- to retain qualification, perform at least five audits per year, out of which at least two must be SFM audits,
- to retain qualification, every three years complete an educational program focusing on SFM certification organized by the national controlling body.

c) The certification authority must nominate a team of auditors (and, if necessary, also technical experts) for the audit who will secure a sufficient:

- level of knowledge of the team at least on the level of first-level university education in forestry or a related field,
- level of knowledge of the team allowing the understanding of the organization, including its size, structure, functions and relations in the organization of LH CR, general business practices and associated terminology, cultural and social customs such as knowledge of the applicant organization, working language, its operation etc.,
- professional forestry practice of at least one team member of at least six years.

d) The certification authority must perform annual monitoring of auditors, which must include a combination of on-site assessment, examination of audit reports and feedback from clients or from the market.

8 INFORMATION REQUIREMENTS

The certification authority performing certification of the forest management system must meet the requirements on information, certification documents, references to certification and use of symbols, credibility and exchange of information between the certification authority and its clients.

For the purposes of this document, all requirements specified in CSN EN ISO/IEC 17021-1:2016 articles 8.1 to 8.5 shall be applied.

Aside from that, the system also lists the following specific and additional binding requirements:

- a) A summary of the audit report, including a summary of the evaluation of conformity with respect to standards for the forest management system prepared by the certification authority, must be available for the public at least via:
- the certification authority,
 - the applicant and
 - the national controlling body.

The certification authority must place the accreditation mark on the certificate in compliance with the accreditation body's regulations (incl. accreditation number, if applicable), the date of assignment, extension or renewal of the certification and the date of expiration or recertification. The date on the certification document cannot precede the date of the decision on certification.

The certification authority must inform the applicant that they are obliged to provide information to the PEFC Council and the national controlling body of PEFC. To comply with the confidentiality requirements as per ISO/IEC 17021-1, the certification authority must have a written consent of the applicant for information sent to the PEFC Council or the PEFC national controlling body.

9 PROCESS REQUIREMENTS

The certification authority performing certification of the forest management system must comply with the requirements for activities before certification, planning of audits, initial certification, implementation of audits, decision on certification, maintaining the certification valid, appeals, complaints and client records.

For the purposes of this document, all requirements specified in CSN EN ISO/IEC 17021-1:2016 articles 9.1 to 9.9 shall be applied.

Aside from that, the system also lists the following specific and additional binding requirements:

- a) The certification authority must require a certification application from the applicant; the application must be properly completed and signed by an authorized representation of the applicant and includes at least the following information:
- information about the applicant - name, address, legal and organizational form, names and addresses of branch offices and facilities,
 - required scope of the certification,
 - identification of processes and operations, human and technical resources, functions, relations as well as any relevant legal obligations,
 - identification of organizations used for outsourced processes which have an impact on conformity to requirements,
 - full power of attorney for an application for regional certification covering owners/forest managers representing at least 50 % of the territory in the region,

- list of owners/forest managers who participate in regional certification,
 - the latest Report on the state of forest management in the region, which includes information required to verify and evaluate the criteria for long-term sustainable forest management on a regional level.
- b) When examining the certification application and during each update of the program of audits, the certification authority examined the latest Report on the state of forest management in the region and information from external parties as the audit evidence. Based on this examination of documentation, the certification authority must specify organizations and functional units responsible for fulfilling the criteria for sustainable forest management and data collection where an external inspection is to take place. The examination must check whether:
- there exists an organizational structure for securing fulfillment of SFM criteria and requirements are defined at least for the management system,
 - the description of securing SFM criteria and indicators matches the required contents of SFM criteria and indicators as per the technical document TD CFCS 1003:2016 Criteria and indicators of sustainable forest management,
 - the goals for individual criteria are clearly and intelligibly formulated, and these goals have been achieved (only during supervisory activities or during recertification).
- c) The program of audits must also include:
- identification of organizational and functional units of the applicant and organizations ensuring the fulfillment of criteria and data collection where an external inspection is to take place,
 - identification of individual owners/authorized entities participating in regional certification where on-site assessment will take place.
 - identification of criteria and elements of sustainable forest management and data sources which are to be examined on-site,
 - time schedule for negotiations which are to take place with a representative of the applicant.
- d) The audit program and the time schedule of negotiations must be submitted by the certification authority for remarks to the applicant and to the national controlling body of the Czech forests certification system. If the applicant disagrees with certain steps proposed in the audit program and time schedule for negotiations, they shall notify the certification authority of their remarks/objections. Objections should be resolved with the participation of the lead auditor, applicant, and when necessary the national controlling body of the Czech forests certification system, before the audit begins.
- e) If sampling is used for a SFM management audit in case of applicants where several identical activities are carried out at distinct locations, the certification authority must create and document a sampling program which will ensure a proper audit of SFM management. For the purposes of this document, all requirements defined in IAF MD 1:2007- Binding IAF document for certification of multiple facilities based on sampling, as well as all requirements as per appendix 3 to this document, shall be applied.
- f) It may be necessary to ensure that the certification authority carried out audits of certification applicants based on complaints or reactions to changes of/for certification participants with an interrupted certificate validity. In case of an extraordinary audit, the certification authority must describe the conditions under which these extraordinary visits are to take place and notify the certified applicants.

- g) The goals of the audit must also include a verification of the implementation and functionality of procedures for securing the participation of individual owners/forest managers in the regional certification system.
- h) The certification authority must be able to demonstrate a justification for the time required for the audits of regional certification as per the general policies for determining audit times.
- i) For each audit, the certification authority must issue a written report for the client. The certification authority should respect the requirements and recommendations of CSN P ISO/IEC TS 17022:2013 Requirements and recommendations on the contents of reports from third party audits of management systems.
- j) The certification authority must perform regular supervision to verify that the forest management system in the appropriate regions continuously complies with CFCS requirements. This regular supervision is carried out/implemented once per year.
- k) The certification authority carried out recertification audit within five years from the initial certification. The recertification audit can be carried out in a smaller scope than the initial certification audit and focuses mostly on the weak points of the system discovered during the certification audit and during supervision.
- l) The certification authority will prepare an audit report which must include recommendations of the audit team regarding certification for the certification authority as well as an additional description of discovered circumstances to support the decision of the certification authority, and must allow the monitoring of objective proof based on which it was either determined that the system complies or does not comply with the requirements of the forest management standards, and must include an overview of the most important positive and negative findings in relation to the implementation and efficiency of forest management system, and support conclusions achieved by the auditor team.
- m) Non-conformity with certification requirements (criteria and indicators) is classified as a less severe or severe defect. Less severe defects (errors and less severe or individual non-conformities) are not an obstruction for the issue of a certificate. Severe defects lead to non-issue of the certificate or interruption of the audit. Corrective measures need to be implemented/processed for all discovered non-conformities with CFCS requirements. The plan of corrective measures including the time schedule must be examined and approved by the certification authority. The time limit for implementing corrective measures for severe defects discovered during the audit and their examination by the certification authority must adhere to the rules of the certification authority, but in either case cannot exceed 3 months. Corrective measures for less severe defects must be examined at the latest during the subsequent audit. The certification authority can provide an exception if specific natural conditions do not allow the implementation of corrective measures in the specified time period. The justification must be documented.
- n) Corrective measures for all defects discovered during audits must be examined by the certification authority via an on-site visit or another suitable form
- o) Based on a positive decision of the certification authority, the applicant for regional certification shall receive a certificate confirming the conformity of their forest management system in the given region with CFCS requirements. The validity of the issued certificate is at most 5 years.
- p) The certification authority must carry out a special audit based on the extension of the scope of previously awarded certification if the size of the forest of the owners/authorized entities participating in regional certification grow by more than 25 %.
- q) The certification authority can stop the validity of certificates if they have serious reasons to assume that the certificate is being misused. In case of a confirmation of misuse of the certificate, the certification authority must remove the certification. The certification

authority must immediately inform the entity responsible for keeping records of license holders for use of the PEFC logo of this fact.

- r) The certification authority must notify the national controlling body of the Czech forests certification system of all appeals and complaints.
- s) The certification authority is obliged to immediately notify the national controlling body of an interruption or cancellation of a certification or of any changes in decisions related to the state of certification of an applicant, along with the reasons for such decisions.
- t) The certification authority shall carry out controls of PEFC logo usage if the certified entity is a PEFC logo user.

10 REQUIREMENTS ON THE MANAGEMENT SYSTEM OF THE CERTIFICATION AUTHORITY

The certification authority implementing certification of forest management must create, document, implement and maintain a management system in compliance with the requirements specified in article 10 of ISO/IEC 17021-1:2016.

APPENDIX 1 - ACCREDITATION REQUIREMENTS

Certification of forest management must be carried out by certification authorities which are accredited by accreditation authorities that are signatories of the multilateral IAF Multilateral Recognition Agreement (MLA) or IAF regional accreditation organizations such as the Association of the national European accreditation bodies (EA), Inter American Accreditation Cooperation (IAAC), Pacific Accreditation Cooperation (PAC). The accreditation body must be a signatory of the MLA within the scope specified in ISO/IEC 17021.

The scope of accreditation must explicitly cover the technical document TD CFCS 1003:2016 Criteria and indicators of sustainable forest management and TD CFCS 1002: 2016 Rules for certification of forests based on PEFC ST 1003: 2010 and PEFC ST 1002: 2010, as amended, and/or with reference to any future changes and amendments adopted by the PEFC Council and made public on the PEFC Council website.

The scope of accreditation must also explicitly list ISO/IEC 17021, this document as well as other requirements based on which the certification authority was evaluated.

APPENDIX 2 - PEFC NOTIFICATION OF CERTIFICATION AUTHORITIES

(Requirements do not apply to the accreditation of the certification authority)

The certification authority which implements a PEFC acknowledged certification for forest management as per the Czech forests certification system must be notified by the national controlling body of PEFC in the Czech Republic.

The PEFC notification requires the certification authority to have valid accreditation acknowledged by the PEFC Council (see Appendix 1 to this document). The certification authority must provide the national controlling body of PEFC with information on awarded certification as required by CFCS requirements.

The PEFC notification may require that the certification authority pays a notification fee to the PEFC as specified by the national controlling body of PEFC.

To ensure the independence of the certification authority, this authority can specify that PEFC notification can only cover:

- a) administrative conditions (e.g., communication between the certification authority and the national controlling body, transfer of information, etc.),
- b) financial conditions (contributions for certified entities),
- c) conformity with requirements on certification authorities verified via accreditation as per this document.

The conditions of PEFC notifications cannot discriminate the certification authority or create any business obstructions.

APPENDIX 3 - SAMPLING FOR ON-SITE AUDIT

1 Methodology

1.1 Sample size for initial, supervisory and recertification audits must be determined based on the total number of owners/managers of forests. To ensure a stratified sample, the following indicators must be used:

- a) type of forest ownership (e.g., state, municipal, private)
- b) size of forest property (different categories of acreages)
- c) biogeography of the region (e.g., lowlands, hills, mountains)

1.2 Other indicators can be used in addition; which represent the specific ways of forest management.

1.3 The sample must be partially selective, specifically based on the rules defined below, and partially non-selective, leading to the selection of a set of distinct owners/forest managers selected also based on a random sampling.

1.4 At least 25% of the sample should be selected randomly.

1.5 With respect to the criteria specified below, the rest of the sample should be selected so that the differences between owners/forest managers selected during the validity of certification are as large as possible.

1.6 Criteria for selection of owners/forest managers must, in addition to the criteria specified in 1.1, also take into account the following aspects:

- 1) results of internal audits or previous certification audits,
- b) records on complaints and other relevant aspects of corrective and preventive measures,
- c) significant differences in production processes of participants of regional certification,
- d) changes since the last certification audit,
- e) geographical positions.

1.7 Depending on the specific situation, the certification authority should implement procedures for determining the sample in groups/associations.

1.8 The applicant must be informed in time by the certification authority about the owners/forest managers who will be part of the sample.

1.9 The applicant must be approved during each introductory, supervisory and recertification audit.

2 Sample size

2.1 Procedures for determining the size of the sample must be documented.

2.2 In general, these procedures should monitor the following calculations:

- Introductory audit: the size of the sample should be the square root of the number of distant facilities ($y = \sqrt{x}$), rounded up.
- Supervisory/monitoring audit: the size of the sample should be the square root of the number of distant facilities with a coefficient of 0.6 ($y = 0.6 \sqrt{x}$), rounded up.
- Recertification audit: the size of the sample should be the same as for introductory audits. However, if the management system was shown to be efficient for a period of three years, the size of the sample can be reduced by a factor of 0.8, i.e. ($y = 0.8 \sqrt{x}$),