

# *SFM and SPM Accreditation*

PEFC ITALY



PEFC/18-01-01

## *Annex 6 ITA 1003-1 SFM and SPM Accreditation Minimum requirements*

REV	DATE	MOTIVATION	Validation	Adoption
20	28 10 2015	Document approved by the BoD		

# *SFM and SPM Accreditation*

## **Contents**

1 INTRODUCTION .....	3
Purpose and Application field.....	3
Legislative and Regulatory References .....	3
1.3 Definitions and Abbreviations.....	3
2 CB ACCREDITATION .....	4
3 SFM, SPM CERTIFICATION .....	4
3.1 SFM and SPM Certification.....	4
3.2 On-site certification audit: sampling methods .....	4
3.4 Decision .....	7
3.5 Usage of the PEFC Italy Logo.....	7
3.6 Maintenance and Renewal of the Certification.....	7
3.7 Suspension and Revocation of Certification .....	8
4 BASIC QUALIFICATION REQUIREMENTS FOR AUDITORS .....	9
4.1 Basic requirements/General information for SFM and SPM .....	9
4.2 Technical Experts.....	10
APPENDIX 1 .....	11
Sample distribution over time and space .....	11
APPENDIX 2.....	15
Minimum Contents of the Audit summary report .....	15

# *SFM and SPM Accreditation*

## **1 INTRODUCTION**

This document defines the additional requirements to accompany the rules in force for CB's (Certification Bodies) intending to operate with the certification scheme established by PEFC Italy and within the pertinent certification schemes (ITA 1000, 2.1).

### **Purpose and Application field**

This document defines the general requirements that PEFC Italy intends to use for training:

- a) SFM and SPM CB's in accordance with the standards defined by PEFC Italy (ITA 1000; ITA 1001-1 and ITA 1001-2; ITA 1003; ITA 1004 and ITA 1004-1); and
- b) the personnel, used by CB's, for the evaluation of the certification plans for SFM, SPM audits.

The certification body requirements for Chain of Custody follow the PEFC ST 2003:2012 (Second edition) document, therefore are not described in this document. It is available in Italian in document PEFC ITA 1003-2.

### **Legislative and Regulatory References**

- PEFC Technical Document and Annexes and relevant documentation
- ITA 1000 Description of PEFC Italy's Scheme - Certification of SFM
- ITA 1001-1 Criteria and Indicators for SFM Certification on an individual and group scale
- ITA 1001-2 Complementary Criteria and Indicators for SFM on a regional scale
- ITA 1004 Description of the PEFC Italy's certification scheme for the Sustainable Management of tree plantations
- ITA 1004-1: Criteria and indicators for the Individual Certification and for the Management Group for Sustainable tree plantations
- ISO/IEC 17000:2004, Conformity assessment – Vocabulary and general principles
- ISO/IEC 17065, Conformity assessment — Requirements for bodies certifying products, processes and services
- UNI CEI EN ISO/IEC 17021:2011 Conformity assessment - Requirements for bodies providing audit and certification of management systems
- ISO 19011:2011, Guidelines for auditing management systems
- ISO/IEC 17011:2004 Conformity assessment - general requirements for accreditation bodies accrediting conformity assessment bodies
- ACCREDIA RG 01 – Rev 00 - Regulation for the accreditation of Certification Bodies

## **1.3 Definitions and Abbreviations**

### **1.3.1 Definitions**

The definitions given in ITA 1000, ISO 19011 and ISO/IEC 17000 shall apply.

### **1.3.2 Abbreviations**

**AB:** Accreditation Body

**AG:** Audit Group

**AO:** Accreditation organisation

**AU:** Auditor

**CA:** Corrective action(s)

# *SFM and SPM Accreditation*

**CB:** Certification Body  
**CO:** Certification Organisation  
**CoC:** Chain of Custody  
**EXP:** Technical Experts  
**GR:** Association applying for group certification  
**IAF:** International Accreditation Forum  
**IN:** Single company (owner or manager) applying for individual certification  
**MS:** Management system  
**RA:** Regional Association applying for the Territorial certification  
**RAG:** Responsible for Audit Group  
**SFM:** Sustainable Forest Management  
**SPM:** Sustainable Plantation Management

## **2 CB ACCREDITATION**

Only CBs accredited by a national accreditation organisation that is a member of the IAF (e.g. ACCREDIA in Italy) in conformity with the norm EN 45011, ISO/IEC 17065 and PEFC (and/or SFM – including SPM) may deliver PEFC certification, with subsequent notification by PEFC Italy.

This notification is granted following presentation of the request using the specific and fully compiled form provided by PEFC Italy and a copy of a valid and updated accreditation certificate. PEFC Italy's notification process is non-discriminatory allowing all CBs access to the PEFC Italian certification scheme.

## **3 SFM, SPM CERTIFICATION**

### **3.1 SFM and SPM Certification**

The certification process is structured in three main stages, as summarized in Fig.1:

1. Initial enquiry, checking for the presence of the prerequisites
2. Audit;
3. Decision.

The audits are carried out in accordance with the Norm UNI EN ISO 19011.

The sampling methods for the SFM and SPM audits are described in Appendix 1.

### **3.2 On-site certification audit: sampling methods**

In the presence of the association applicants, the on-site audit is carried out on a sample basis.. The parameters considered are the forest areas which are the object of the certification and the number of associates. The sampling will consider the typology of all the association owners , as codified by the relevant ISTAT (National Statistics Office) statistics (for example dimension of productive unit area). The minimum sample for the forest area is obtained using the following formula:

$$x = \sqrt{n}$$

where:

- x indicates the minimum forest area, rounded off to the nearest upper value to be audited ;

# *SFM and SPM Accreditation*

- n indicates the forest area that is the candidate for SFM/SPM certification.

The sample must be distributed in time and space among the forest areas of companies (IN) who are participants in the GR-RA as described in Appendix 1. The minimum number of man/days necessary for the certification can be increased or decreased on the basis of criteria which are adequately supported by proven reasoning on behalf of the CB and in keeping with the voluntary regulatory documents in force for the CB.

The selection of the owners and forest areas to be audited must be carried out using a randomized method. The main office of the applicant is checked and is always included in the audit..

At the end of the audit, the representative of the audit team submits to the CB, a written report (audit report) detailing the results of the audit. The report must be signed by the representative for the audit team and by the applicant(s), to whom the representative also issues a copy of the report.

The report must also include the findings that support any NC's found and duly reported to the applicant(s), as well as any objections they may register. It must also include a table of contents listing the evaluation's key information and any NC's included in the report.

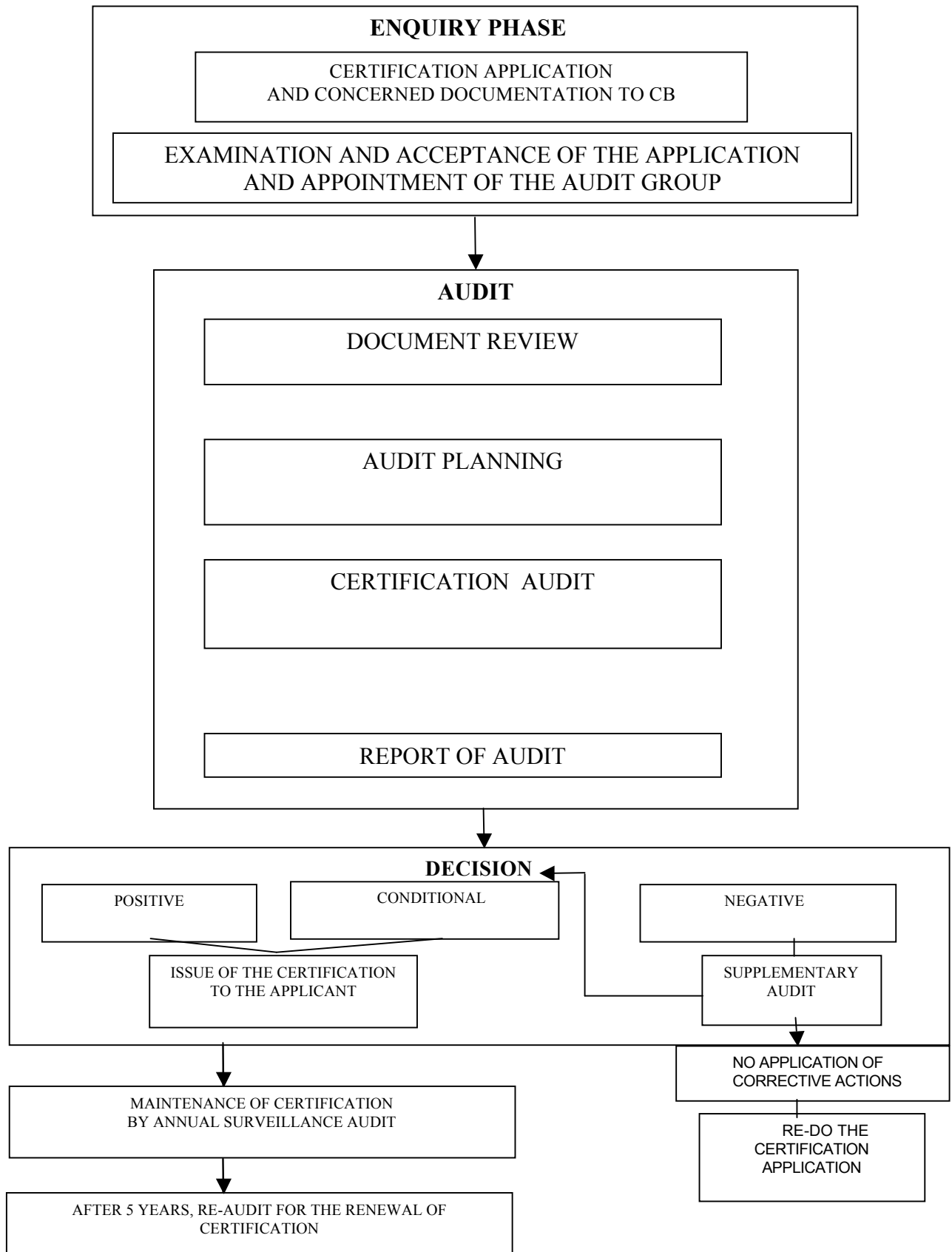
## **3.2.1 Publication of the auditing summary**

The CB must provide an audit summary (whose minimum contents are included in Appendix 2), which must be validated by the certifying organisation and sent to PEFC Italy within a month of the communication on the certification/surveillance; this audit summary must be made available to the public by the certified entity, and must be easily available and traceable (via PEFC Italy web site or in any other manner decided by the certified entity).

In the absence of the publication of the audit summary, PEFC Italy, after at least two reminders, can decide, in agreement with the CB, for the CB to temporarily suspend the certified entity, until its definitive publication.

# *SFM and SPM Accreditation*

Fig.1: Certification process and the maintaining of certification.



# *SFM and SPM Accreditation*

## **3.4 Decision**

The efficient implementation of these measures, which must be approved by the CB, will be verified during the next surveillance audit (which could also happen in the very near future).

The decision, on whether or not to grant the certification/renewal, is made by the CB on the basis of the typology of the NC it is gathered during the audit and any other related information collected. Certificates cannot be issued unless all of the NC's are satisfied as defined in the Guide EA 6/01.

The outcome of the decision shall be communicated to both the applicant and PEFC Italy as the certificate is issued, through the sending of the certificate (for PEFC Italy, it is sufficient to send the identifying data of the certificate holder).

The certificate is valid for five years and must include, in Italian and in English (and if required in another language), the following:

*In the case of SFM/SPM at least the following elements of information:*

Business name,

Legal representative of the applicant organisation,

Any members of the GR or RA,

The field of application (in the case of integration activity to the SFM, the typologies of forest products which are manufactured/transformed, both woody and non-woody),

The relevant norms with their in force revisions (ITA 1000, ITA 1001-1, ITA 1001 – 2 (in the case of RA),

The level of certification,

The number of the certificate,

The date of issue,

The expiry date,

The certified forest surface (in hectares)

Moreover, every issued certificate must include information on the national accreditation body (including the accreditation number for the CB and the accreditation symbol of the AB and of the CB).

## **3.5 Usage of the PEFC Italy Logo**

The applicant (certificate holder) may use the PEFC Logo together with any individual or collective trademarks.

For the PEFC Logo Usage Rules, refer to PEFC ST 2001:2008

PEFC Italy manages – through a written contract with the PEFCC – PEFC Logo Usage Rights: PEFC Italy provides the IN or GR or RA, as duly certified members and upon their appropriate request, a logo usage sub-licence; the GR or RA may allow the Logo to be used by any of their members, included in its certification, who apply for usage based on a written contract.

The CB must monitor the usage of the Logo issued to a CB, GR and RA. The control of the proper usage of the sub-licences issued by the GR and RA is a duty of licence holders themselves, who must verify that the Logo usage rules included in the contract are observed.

Usages of non official claims, other than those described in the PEFC document ST 2001:2008: "Rules of use of the PEFC logo", must be approved by PEFC Italy.

## **3.6 Maintenance and Renewal of the Certification**

### **3.6.1 Surveillance Audits**

# *SFM and SPM Accreditation*

The CB must conduct surveillance audits in order to verify that the SFM/SPM system remain in conformity with the requirements of the Italian PEFC certification scheme. These surveillance audits occur at least once a year from the date of certification.

The surveillance audits are focused mainly on any NC's found during the original certification audit, the subsequently required CA(s) which must be the object of verification and the sampling of the forest areas and/or properties not previously sampled. The audits are carried out in accordance with the norm UNI EN ISO 19011.

The sampling methods are described in Appendix 1.

The costs of audits are charged to the applicant.

## **3.6.2 Certification Renewal Audit**

Prior to the end of the certificate's five (5) year validity period, a certification renewal audit is carried out. The sampling methods are described in Appendix 1.

The audits are carried out in accordance with norm UNI EN ISO 19011.

The costs of renewal audits are charged to the applicant.

## **3.7 Suspension and Revocation of Certification**

After the issuance of the certification and during the certification's maintenance period, the CB may suspend any organisation's certificate:

- a) when the organisation uses or advertises improperly or deceptively the certification obtained;
- b) if the organisation opposes or interferes with the execution of audit activities;
- c) when the organisation does not respect the financial responsibilities it has undertaken when contracting with the CB (payment for the certification and surveillance activities fixed in the estimated cost and in the certification and surveillance contract);
- d) if the audit discovers particularly serious NC's;
- e) if an organisation has not carried out a required CA following a serious NC found by the CB;
- f) for failure to consult with the interested parties and/or the failed publication of the results of the certification audit in the summary report of the audit; and
- g) for the use of the PEFC logo without having received a licence to use it from PEFC Italy or for failing to pay the annual fee for the use of the logo (if required).

The CB notifies the organisation as to the period of time within which any CA must be undertaken, and PEFC Italy is notified of the suspension. The suspension may be subsequently revoked after a Supplementary Audit. Petitions for revocation of the suspension must be made within 90 days of the notice of suspension, otherwise the certification and its usage will be revoked.

The cost of the supplementary audit is charged to the applicant. In the period between the suspension of the certificate and the revoking of the suspension, the products obtained cannot be declared to be in conformity with the norms.

Revocation of the certification entails the immediate prohibition of certification usage by the organisation and/or the withdrawal of all participation in the certification, in the case of RA's and GR's. The decision to revoke and reasons for revocation must be submitted to the organisation and to PEFC Italy.



# *SFM and SPM Accreditation*

## **4 BASIC QUALIFICATION REQUIREMENTS FOR AUDITORS**

### **4.1 Basic requirements/General information for SFM and SPM**

In order to guarantee a reliable, accurate and efficient way to carry out the audits to evaluate the SFM and SPM, the audit personnel must possess at least the following fundamental skills:

- a) knowledge of PEFC-Italy documents on the certification scheme to be evaluated
- b) knowledge of the UNI EN ISO 19011 standard and thorough knowledge of the corresponding evaluation techniques and methods; and
- c) specific technical knowledge of the processes implemented in the field of the certification scheme being evaluated and sufficient knowledge of the relative products/services, including the applicable legislative provisions regarding the applicable sectors (qualification, e.g. diploma, degree etc.)

These skills may be possessed by a single auditor or divided among the personnel constituting the Audit Team. If reference is made to the Audit Team, this includes:

- a) the Audit Team Head (ATH);
- b) one or more auditors (AU); and
- c) if necessary, one or more Technical Experts (Exp) in specific subjects. In this case, they must be members of the relevant Professional Order or College.

In the Audit Group (composed of AU and ATH), the Group Head must have a degree in Forestry or a high school diploma in forestry (in the case of the SPM, a Degree in Agrarian Sciences is considered equivalent for the qualification of Auditor). If the certification is carried out by a single Auditor (AU), they must have a Degree in Forestry.

#### **4.1.1 Training qualifications of auditors and maintaining of the qualification**

Auditors must satisfy the requirements described in points 7.2, 7.3, 7.4, 7.5 and 7.6 of ISO 19011:2003. In addition to the above (5.1), the qualified AU must satisfy the following requirements:

- Basic work experience: the auditor must have worked at least three years in a technical capacity, either as an employee or freelance. This work must be connected with Forest Management (for example forestry, forest settlement, forestry pathologies and entomology, forestry economics and legislation, the uses of woodland, hydraulic-forest systems, forest systems planning, etc.); and
- Specific training for the SFM/SPM PEFC scheme of at least 16 hours, as recognized by PEFC Italy.

To maintain the qualification of auditor, the CB must ensure that auditors have worked in a continuous manner by carrying out at least three audits in schemes covering certification of a product or a system, of which at least one is in the Italian PEFC scheme, over a period of 12 months.

That being said, the sole entity responsible for the qualification of the personnel used for the evaluation is the CB.

The certifications issued by CB's using accredited personnel in this specific scheme of the AB guarantees conformity with the provisions contained in this document.

# *SFM and SPM Accreditation*

## **4.2 Technical Experts**

Within the AG, there must always be specific technical skills regarding the specific processes/activities and products/services within the sphere of the SFM/SPM to be audited.

To this end, in addition to the AU, Technical Experts in specific fields (e.g. hunting, park and nature reserve management, biotype management, particular manufacturing of “timber” and “non-timber” products etc.) may be used in the conduct of audits.

The following provisions apply to the EXP's:

- a) previous work experience of at least 3 years, in duties connected with SFM or SPM; and
- b) demonstrated evidence that the EXP is still active or, in any event, is capable as regards the above duties;

# SFM and SPM Accreditation

## APPENDIX 1

### Sample distribution over time and space

#### 1. Certification of SFM and SPM

The number of man/days required for the certification is proportional to the forest area requiring certification and the number of owners in the certification applicant's organisation and must take into consideration the degree of complexity of the management aspects of the forest area.

The first element to consider is the size of the area which is the object of certification, on which will depend the number of man/days for the Certification Audit. For this purpose, Table 1 has been elaborated.

Table 1: Relation between forest area size and man/days

Property categories	Area to be certified (ha)		Audit Time (man/days)		
	Individual property (IN)	GR or RA	IN	GR*	RA**
1	Up to a 100	---	1	2	3
2	101 – 500	---	2	3	4
3	501 – 5.000	Up to a 500	3	4	5
4	5.001 – 10.000	501-10.000	4	5	6
5	10.001 – 15.000		6	6	7,5
6	15.001 – 20.000		7	7	9
7	20.001 – 35.000		8	9	11
8	35.001 – 50.000		9	9	11
9	50.001 – 75.000		9	10	11
10	75.001 – 125.000		10	11	12
11	125.000 – 200.000		10	11	13
12	Over 200.000		11	13	15

\* In GR, the greater management complexity of the system compared with IN is taken into account.

\*\* Apart from the management complexity, the ITA 1001-2 indicators must be checked in RA.

The activity carried out on the applicant's property must count for at least 80% of the audit time. A day of auditing work is made up of 8 hours, excluding travel time.

Differences, either higher or lower (to a maximum of 30%), which involve audit times different to those determined according to the methods defined in Table 1, must be registered and justified by the AG.

These differences can depend on various factors, such as:

- Possible integration with ISO 9001 and/or ISO 14001 certification;
- The management complexity which can be deduced from the forms the CB uses to gather information about the company;

## *SFM and SPM Accreditation*

- c) The quantity and complexity of the legislation and of the environmental regulations (for example: simplifications due to very restrictive legislation, with very strict checking of single properties; complications due to weak legislation and rare checks of the territory);
- d) The organisational complexity (for example simplifications due to the presence of documentary evidence and a check which is already being made by the Public Administration – the application of the principle of subsidiarity; complications of the checks due to the organisational complexity of the RA or GR); and
- e) Other peculiarities (for example the presence of protected woodland with very low or zero gathering intensity -recovery-, high levels of fragmentation of the property, extreme seasonal conditions etc.).

Once the minimum forest area to be audited has been identified (as detailed in ITA 1003, 3.2 in hectares and rounded up to the upper value), it must be ensured that all the forest properties and, also if necessary, the types of management and forest typologies, (according to the categories of properties, defined by National Statistics Office - ISTAT *note 2-*) are the object of checks in the five year period during the validity of the certification. The area to be audited will therefore be divided in percentages according to the importance of the above-mentioned categories, with first priority being given to the types of forest property and subsequently to the types of management.

Note 2: Categories of ISTAT properties: State and Regions, Communes, Other companies, Private Companies

**The number of companies** which will have to be visited will be calculated according to categories in Table 2. The number of companies will be divided into percentages depending on the importance of the various typologies of properties present in the GR or in the RA.

Table 2: Calculation of the number of companies to be visited as a function of the number of companies participating in the GR and RA

Number of owners	Sample
Up to 30	<b><math>x = \text{Square root (n. companies)}</math></b>
31-300	<b><math>x = 0.8 * \text{Square root (n. companies)}</math></b>
301-3.000	<b><math>x = 0.6 * \text{Square root (n. companies)}</math></b>
3.001-10.000	<b><math>x = 0.4 * \text{Square root (n. companies)}</math></b>
Above 10.001	<b><math>x = 0.2 * \text{Square root (n. companies)}</math></b>

where:

x indicates the minimum number, rounded up to the nearest whole value, to be audited

n. indicates the number of companies which are part of the GR or RA which are the object of the certification.

### **Surveillance audit**

## *SFM and SPM Accreditation*

The time devoted to the surveillance audit must be proportional to the time dedicated to the evaluation for initial certification. The surveillance audit must occupy 1/3 of the audit time. The time planned for the surveillance audit must however be re-examined annually to take into consideration any changes which have occurred in the Management System (MS) of the organisation, the maturity of the MS and any other requirements. The minimum forest area to be checked is obtained according to the following formula:

$X = 0.6 \sqrt{\text{total forest area (N)}}$ , where:

X indicates the minimum forest area, in hectares and rounded up to the upper whole value, to be audited; and

N indicates the forest area which is the object of the certification.

The number of companies to be audited, in the case of GR or RA, is elaborated in Table 3

Table 3 Calculation of the number of companies in GR or RA for surveillance audits

Number of owners	Sample
Up to 30	<b><math>x = 0,6 * (\text{n. audited companies in certification})</math></b>
31-300	
301-3000	
Above 3.000	

where:

x indicates the minimum number, rounded up to the upper value, to be audited,

n. indicates the number of companies which are part of the GR or RA which is the object of the certification.

The main office of the applicant is also checked and is always audited.

### **Renewal audit**

The time dedicated to the renewal audit of the certification must be proportional to the time dedicated to the evaluation for the initial certification. The renewal audit must occupy 2/3 of the certification audit; in the case of variations of the area which occur during the certification audit, the minimum forest area to be checked is obtained according to the following formula:

$X = 0.8 * \sqrt{\text{total forest area}}$ , where:

X indicates the minimum forest surface, in hectares and rounded up to the upper value, to be audited; and

N indicates the forest area which is the object of the certification.

The number of companies to be audited, in the case of GR or RA, is elaborated in Table 4.

Table 4 Calculation of the number of companies in GR or RA for renewal audits

Number of owners	Sample
Up to 30	<b><math>x = 0,8 * (\text{n. audited companies in certification})</math></b>
31-300	
301-3.000	
Above 3.000	

Where:

## *SFM and SPM Accreditation*

x indicates the minimum number of companies to be audited, rounded up to the upper value  
n indicates the number of companies which are part of the GR or RA which are the object of certification.

The main office of the applicant is also checked and is always audited.

### **Un-programmed Audit**

Un-programmed audits (supplementary audits due for example to very serious NC) can last less than a day e.g. a fraction of a day. In any case, the audit is based on values which are proportional to the seriousness of the NC or to the specific case or as justified by the CB.

# *SFM and SPM Accreditation*

## **APPENDIX 2**

### **Minimum Contents of the Audit summary report**

The Audit summary report, which must be made publicly available, must be published in hard copy. Its organization is that of a schematic document, published following the date of the decision of certification or the maintenance of certification in accordance with ITA 1003. It must at least include the following minimum requirements:

- Organisation data;
- Reference to the version in force of the Standard for Sustainable Forest Management;
- General characteristics of the forest/ tree plantation which is the object of certification;
- Size of the area which is the object of certification (in hectares);
- Level of certification (single, group, regional) and the number of associates participating in the certification of GR or RA;
- Information on the audit;
- Information about the audit (date, length, area and forest typologies visited, indicators evaluated);
- Contacts with the “interested parties (stakeholders), dates and main findings; and
- Result of the audit (certificate issued, renewed or suspended).