

1. Objective.

To establish the criteria of qualifications of auditors for the certification organisms according to the PEFC Uruguay Scheme.

2. Scope.

All organisms that certify by the PEFC Uruguay Scheme.

3. Description

The present document has the objective to establish the criteria for qualifications and competences that the auditors that evaluate the national Forest Certification System must meet according to the requirements of the **UNIT 1152 Norm** (Sustainable Forestry Management Criteria. Criteria and Indicator) and the **PEFC ST 2002:2013**.

Each certification organism must establish its own criteria of qualification for the forestry auditors. Nevertheless, to certify the Sustainable Forestry Management systems recognized by PEFC URUGUAY, the criteria here establish in this document must be met.

4. Criteria for auditor qualifications of the Forestry Management under the UNIT 1152 Norm.

The criteria for qualification of auditors in the Sustainable Forestry Management systems must be based in the requirements for the qualifications of auditors in Environmental and Quality Management systems, established in the **ISO/IEC 19011:2002 Norm**– *Directives for the audit of management systems of environmental and quality systems*, complemented with knowledge and experiences from the uruguayan forestry sector.

The audits must take place by an audit team formed by one or more members (see **DG 03 – Organisms of Forest Certification**). One of the members of the audit team must be designated as auditor leader and must comply with the levels of qualification higher than the rest of the team.

5. Requirements of competences for the auditor of Forestry:**5.1 Education**

The auditor must have a university degree of Agronomy Engineer, Forestry Technician or Forestry Idoneous, endorsed by an institution recognized by the Ministry of Culture and Education.

As auditor leader, it will only be considered the professionals with a degree of Agronomy Engineer, granted by the Faculty of Agronomy of the University of the Republic (UDELAR) or other institutions of tertiary level whose degree is revalidated by the Faculty of Agronomy of UDELAR.

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Equivalent degrees of Agronomy Engineer from other countries will be recognized.

To be auditor in the Sustainable Forestry Management system, the auditor must comply with the academic requirements and those requirements established in item 5.2.

5.2 Work Experience

A. - The auditor, Agronomy Engineer, of Forestry orientation, must have verifiable experience as forestry professional of at least **two years** in one of the following areas:

- a) Systems and norms of Sustainable Forestry Management the audits might be based on.
- b) Procedures, processes and audit techniques.
- c) Requirements relevant in legal, regulatory, environmental, forestry or other aspects related to the Forestry Management (Nacional Code of Good Forestry Practices)
- d) Work performance in the area of Plannification of Forestry Management.

B. - Agronomy Engineer with orientations other than forestry; Forestry technicians and idoneous must have work experience verifiable as professionals in the forestry sector of at least **four years** in the following areas:

- a) Sustainable Forestry Management Systems and Norms, the audits might be based on.
- b) Procedures, processes and audit techniques.
- c) Requirements relevant in legal, regulatory, environmental, forestry or other aspects related to the Forestry Management (Nacional Code of Good Forestry Practices)
- d) Work performance in the area of Planification of Forestry Management.

5.3 Training

For the qualification of forestry auditors at least **20 hours** of training in planification, execution and audit technics are required.

Training can be by a certifying organism or an external organization recognized by PEFC URUGUAY.

The training organization must credited the aptitud of the forestry auditor candidate in the training received.

The requirements for the training of forestry auditors must be defined by each certifying organism, including at least the requirements established in the **ISO 19011: 2002 Norm**.

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It is advisable that the practical training takes place in a period of less than two consecutive years.

Those who have qualifications as auditors in other Forestry Management systems, qualify without having to comply with the work experience detailed in item 5.2.

5.4 Competence

The auditors in Forestry Management must be competent in the following areas:

- a) procedures, methodologies and audit techniques – it is required the capability to apply them to the process to ensure that the audits take place in a coherent and systematic way;
- b) management systems and referente documents – to allow the auditor to understand the scope of the audit and apply the criteria;
- c) organizative situations – to allow the auditor to understand the operative environment of the entity, for example the size, estructure and functions of the organization, business processes and terminology associated;
- d) laws, regulations, other relevant requirements – to be able to work in the right framework, and be aware of the legal requirements that apply to the entity object of the certification;
- e) principles of the Forestry Management based in techniques of inventory, silviculture, forestry management and protection– to allow the auditor to examine the Management Forestry system and determine if it is being properly applied;
- f) solid knowledge of Forestry Management and economical principles applicable to the forestry management – to allow the auditor to understand the fundamental relationships between human activities and the sustainable forestry management;
- g) technical aspects of the forestry operations related to harvesting, use and technology of products – to allow the auditor to understand the activities that the audited entity develops and its consequences on the management itself and the area.

Each certification organism must register the competences of its auditors.

6. Criteria for the qualification of Forestry Leader Auditor

The Forestry Leader Auditor must have a degree of Agronomy Engineer or Forestry Engineer o similar from other countries.

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The Auditor Leader must be previously qualified as auditor and complete at least the requirements of auditor leader established in the **ISO/IEC 19011 Norm** as well as those established by the certification organism.

Those that are qualified as auditor leader for other forestry and environmental system qualify as auditor leader of the Uruguayan System of Sustainable Forestry Management certification under the **UNIT 1152 Norm**.

7. Maintenance of the auditor qualification

The auditors and forestry auditor leaders must review their general and specific competence, taking in consideration the nature of the audit, the norm and legal requirements at least **every 5 years**.

8. Criteria for the qualification of auditors for the Chain of Custody under Criteria PEFC ST 2002:2013.

8.1 Education

- A. The auditor must have a university degree of Agronomy Engineer, option Forestry, Industrial Engineer or Chemistry Engineer.
- B. Other University professionals or with Secondary complete and the qualifications in work experience, training and competence can also qualify as Chain of Custody auditors.

8.2 Work Experience

For the professions indicated in item 8.1 (Education), the auditor must have a work experience verifiable as professional in the industry or Chain of forest commercialization of at least **a year**.

Those without the professional background detailed in item 8.1 (Education), must have verifiable experience as professionals in the industrial forestry sector or Chain of forest commercialization of at least **3 years**.

The experience to take into consideration will cover the areas of:

- a) industries that process forestry products or chains of commercialization of forestry products, related to the audit.
- b) Procedures, processes and audit techniques.
- c) Work experience in the area of management of processed or quality management in industries that process forestry products or chains of commercialization of forestry products.

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8.3 Training

Forestry Auditor of Chain of Custody must receive training in planification, execution and audit techniques **of at least 10 hours**.

Forestry Auditor of Chain of Custody must receive training in the **PEFC ST 2002:2013** of **at least 15 hours**.

The training might be given by a certification organism or an external organization recognized by PEFC URUGUAY.

The training organization must certify the aptitud of the Chain of Custody auditor in the received training.

The requirements for the training of Chain of Custody auditors must be defined for each certification organism accredited. It is advisable that the practical training takes place in a period of under two consecutive years.

Those with auditor qualifications in Chain of Custody in other forestry systems, qualify without the requirement of work experience in item 2 (Work Experience).

8.4 Competence

The auditors of Chain of Custody must be competent in the following areas:

- a) procedures, methodologies and audit techniques – it is required the capability to apply them to the process to ensure that the audits take place in a coherent and systematic way;
- b) management systems and referente documents – to allow the auditor to understand the scope of the audit and apply the criteria;
- c) organizative situations – to allow the auditor to understand the operative environment of the entity, por example the size, estructura and functions of the organization, business processes and terminology associated;
- d) laws, regulations and other relevant requirements – to be able to work in the right framework, and be aware of the legal requirements that apply to the entity object of the;

Each certification organism must register the competences of its auditors.

9. Criteria for the qualification of Auditor Leader of Chain of Custody

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The Auditor Leader of Chain of Custody must be previously qualified as auditor and complete at least the requirements for auditor leader established in the **ISO/IEC 19011** Norm as well as those established by the certification organism.

Those with qualifications as leader auditors of Chain of custody in other forestry systems qualify as Auditor Leader of Chain of Custody under **PEFC ST 2002:2013**.

10- Maintenance of the auditor qualification

The auditors and leader auditors of Chain of Custody must show an actualization of their general and specific competences at least every 5 years, taking in consideration the nature of the audit, norms and legal requirements.

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