



PEFC ST 2003 Requirements for certification bodies operating chain of custody against PEFC ST 2002 – Introduction to changes

1. Scope

2. Normative references

3. Terms and definitions

This chapter has been updated including three new definitions: audit, certification decision maker and technical expert.

4. General requirements

4.1 Legal and contractual matters

4.2 Management of impartiality

4.3 Liability and financing

4.4 Non-discriminatory conditions

4.5 Confidentiality

As currently the ST requires to provide PEFC Council or PEFC Authorised Bodies with the audit report on request (7.4.11.2), certification bodies are required to inform their client organisations that they may share the audit report.

4.6 Publicly available information

5. Structural requirements

6. Resource requirements

6.1 Certification Body personnel

6.1.1 General

6.1.1.1 Personal involved in the certification activities

Gender equality should be promoted (6.1.1.1.2).

6.1.1.2 Auditors

The standard includes new requirements in order to become a qualified auditor: shall receive initial PEFC training on PEFC CoC and PEFC system, approved by PEFC Council (6.1.1.2.2); the required 3 years of full time working experience in the forest and tree or related industries can be reduced by 1 year if the auditor has performed 4 additional CoC audits with a qualified auditor (6.1.1.2.4). At least 2 of these audits shall be PEFC CoC audits (6.1.1.2.5). To finish with, under competencies the general knowledge of PEFC which qualified auditors are required to have includes now a reference to the new definition of control sources (6.1.1.2.6.1.a), as well as

specifications on social issues, such as international conventions on workers rights and labour contracts and or collective bargaining agreements **(6.1.1.2.6.1.d)**.

6.1.1.3 Audit team

Gender balance should be considered.

6.1.1.3.1 Technical experts

Technical experts shall be independent from the auditee and their names and affiliations included in the audit report.

6.1.1.3.2 Certification decision maker

New requirements, similar to the requirements to become a qualified auditor, have been included for certification decision maker. As certification decision maker may consist on a committee or group of people, at least one of the members shall comply with these requirements out.

6.1.2 Management of competence for personnel involved in the certification process

Some of the requirements that were under *6.1.1.2 Auditors* have been moved here. So in this version 6.1.1.2 defines the requirements to become a qualified auditor, and 6.1.2 the requirements for already qualified auditors. To maintain the qualification, auditors shall perform at least 5 external audits per year and 2 of them shall be PEFC CoC audits.

7. Process requirements

7.1 General

The certification body may provide publicly available documents published by the PEFC Council or a PEFC National Governing Body.

7.2 Application

The information the certification body shall obtain from the certified companies does not need to be at the first contact, but should take place before the application review and the audit.

7.3 Application review

This clause has been reordered and some requirements moved to 7.4.

7.4 Audit

This clause has been restructured and rename to “Audit” instead of “Evaluation”.

As part of the purpose of the audit, certification bodies shall collect data as required by the PEFC notification contract **(7.4.4.a)**.

In general, audits shall be conducted on-site. However, the standard opens the possibility to remote auditing with the use of ICT tools for organisations without physical handling of finished and labelled products **(7.4.6)**.

As already mentioned, on request, certification bodies may have to provide a summary of the audit report to PEFC **(7.4.11.2)**.

7.5 Review

7.6 Certification decision

Before granting initial certification, as a minimum major and minor nonconformities shall be solved **(7.6.2)**. Before recertification, major nonconformities shall be solved **(7.6.3)**.

7.7 Certification documentation

Certificates shall include the PEFC logo with the licence number of the certification body (7.7.1.e) and indicate whether it is an individual or a multisite certificate (7.7.1.c).

The scope of the certificate shall include: the Chain of Custody standard, the PEFC Trademarks standard and the products covered by the certificate, following the PEFC Council product categories (7.7.2). The certificate shall be issued in English, and any other language, as appropriate (7.7.4). Regarding project certification, the standard clarifies how certificates should be issued: “name and address” refers to the name and address of the controlling entity. The name of the project can be included as a product in the scope of the certificate (notes to 7.7.1.b and 7.7.2.d).

7.8 Directory of certified products

7.9 Surveillance

The certification body shall carry out at least 4 surveillance audits before expiration of the certificate.

7.10 Changes affecting certification

7.11 Termination, reduction, suspension or withdrawal of certification

If a certificate is terminated, suspended or withdrawn, certification bodies shall inform organisations that they are not allowed to make PEFC claims or use the trademarks.

7.12 Records

7.13 Complaints and appeals

Two new requirements have been added to this clause. The first one seeks to ensure that PEFC Council gets informed within 30 days of any claims of non-compliance with certification requirements by client organizations (7.13.1). The second requires certification bodies to provide the PEFC Council with summary reports for resolved complaints and appeals, and details the minimum content for these reports (7.13.2).

8. Management system requirements

8.1 Internal audits of the certification body

On request, certification bodies shall provide to PEFC Council or the PEFC Authorised Body the results of annual internal audits, limited to the performance of PEFC Chain of Custody certification activities.

Appendix 1. PEFC notification of certification bodies

Appendix 2. Accreditations accepted by the PEFC Council

The IAF regional groups have been updated.

Accreditation certificate shall also cover the Trademarks standard and being issued in English and any other additional languages, as applicable.

Appendix 3. Multi-site chain of custody certification

1. Introduction

2. Eligibility criteria for the multi-site client organisation

3. Eligibility criteria for the certification body

3.1 General

3.2 Contract review

3.3 Audit

3.4 Nonconformities

3.5 Certificates

If sites are cited in an appendix to the contract or other document, they are an integral part of the certificate and shall not be separated **(3.5.1)**. In case the certification body issues sub-certificates, they shall include a statement saying “the validity of this certificate depends on the validity of the main certificate” **(3.5.3)**. To finish with, the clause includes a new requirement with details on how certification bodies shall proceed when adding sites to an existing multisite certificate **(3.5.6)**.

4. Sampling for on-site audits

4.1 Methodology

In line with the new requirement on how to add sites to existing multi-sites, new requirements on how to consider the new sites when calculating the sampling have been included **(4.1.3)**.

4.2 Size of sample

And also new requirements further detailing how to proceed when adding sites to an existing multi-site in terms of size of the sample **(4.2.3)**.

4.3 Audit times

Appendix 4. Minimum content of audit reports

This Appendix establishes the minimum content an audit report shall include.