



# Certification and Accreditation Procedures

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## Foreword

This is a normative document to be applied by CertforChile Corporation, Instituto Nacional de Normalización and the certification bodies.

This document has been developed based on normative document PEFC Annex 6 *Certification and Accreditation Procedures*.

This document replaces the requirements established in CERTFOR System's normative document DN-02-09 *Requirements for Certification Bodies*.

## 1. Objectives

PEFC Council and CertforChile Corporation recognised certifications for forest management and chain of custody, rely on international certification and accreditation procedures as defined in the documentation of the International Standardization Organisation (ISO) and European co-operation for Accreditation (EA) as well as in the International Accreditation Forum (IAF).

This document defines the certification and accreditation procedures for forest and chain of custody certifications adopted and considered credible and reliable by the PEFC Council and the CertforChile Corporation. The PEFC Council and the CertforChile Corporation is not involved in the certification process. Rather, it defines the requirements for certification bodies and certification processes for the purposes of PEFC endorsement of national and sub national schemes and recognition of certificates.

## 2. Scope of the Document

This document specifies the general competence requirements and tasks of certification bodies when applied to forest and chain of custody certification.

## 3. Certification Bodies

### 3.1 Competence of Certification Bodies

PEFC and CERTFOR certifications shall be carried out by impartial, independent third parties that cannot be involved in the standard setting process as governing or decision making bodies, or in the forest management and are independent of the certified entity. Certification bodies considered competent by the PEFC Council and the CertforChile Corporation to carry out forest and/or chain of custody verification, shall fulfil the following qualifications:

- 1) The certification body carrying out forest management certification or chain of custody certification against a scheme specific chain of custody standard, shall fulfil requirements defined in:
  - a) ISO/IEC 17021:2011 (NCh-ISO 17021:2011) if the certification is carried out as management system certification,
  - b) ISO/IEC 17065:2012 (NCh-ISO 17065:2013) if the certification is carried out as product certification (the term "product" is used in its widest sense and includes also processes and services)<sup>(2)</sup>,
  - c) Other requirements for certification bodies defined by the national accreditation body. In Chile, Instituto Nacional de Normalización (INN).

- 2) The certification body carrying out chain of custody certification against ST 2002:2013 (Chain of Custody of Forest Based Products - Requirements) or the CERTFOR standard DN-02-07 (Cadena de Custodia de Productos Forestales) shall fulfil requirements defined in ISO/IEC 17065:2012 (NCh-ISO 17065:2013).

The certification body carrying out forest management certification against the CERTFOR standard DN-02-05 (Manejo Forestal Sustentable para Plantaciones) shall fulfil requirements defined in ISO/IEC 17021:2011 (NCh-ISO 17021:2012).

- 3) The certification body carrying out forest certification shall have the technical competence in forest management, on its economic, social and environmental impacts, and on the forest certification criteria.

The certification body carrying out chain of custody certification shall have the technical competence in forest based product procurement and processing, material flows in different stages of processing and trading.

- 4) The certification body shall have a good understanding of the national PEFC system (in Chile, CERTFOR System) against which it carries out forest or chain of custody certification.

Compliance of the certification body with the above requirements shall be verified by an accreditation as described in chapter 5.

### 3.2 Auditors

Certification bodies have the responsibility to use competent auditors that have adequate technical know-how on the certification process and issues related to forest management or chain of custody certification respectively.

The auditors shall fulfil general criteria for quality and environmental management systems auditors as defined in ISO 19011:2002 (NCh-ISO 19011. Of 2003).

Additional qualification requirements for auditors carrying out forest management or chain of custody audits against a scheme specific standard should be defined by the respective national forest certification scheme (in Chile, CERTFOR System)

The certification body can fulfil the technical competence defined for auditors by the presence of a technical expert(s) in a group of auditors carrying out forest management or chain of custody audits.

The compliance of auditors with the above requirements is verified by an accreditation as described in chapter 5.

### 3.3 Requirements for auditing standards of the CERTFOR System

In addition to fulfilling the requirements established in clauses 3.1 and 3.2, to audit the standards of the CERTFOR system the certification bodies shall have auditors that meet at least one of the following requirements:

- 1) Professional with five or more years of relevant experience in the forestry sector, which as an internal auditor has participated in at least three audits of CERTFOR certification as an expert or assistant auditor,
- 2) Professional that without being an internal auditor, has participated in at least four audits of ISO certification as an assistant auditor, and has appropriate knowledge of the CERTFOR system and Forest Management and Chain of Custody standards.

- 3) Professional without being an internal auditor, has participated in Chile at least two audits of ISO certification as lead auditor, and has appropriate knowledge of the CERTFOR system and Forest Management and Chain of Custody standards.

#### 4. Certification Procedures

The certification body shall have established internal procedures for forest management certification against CERTFOR System of forest certification and for chain of custody certification against PEFC ST 2002:2013 (Chain of Custody of Forest Based Products - Requirements) or against CERTFOR DN-02-07 (Cadena de Custodia de Productos Forestales).

The applied certification procedures for forest management certification or chain of custody certification against CERTFOR System chain of custody standard shall fulfil or be compatible with the requirements defined in any of the following documents:

- a) ISO/IEC 17021:2011 (NCh-ISO 17021:2011) if the certification is carried out as management system certification,
- b) ISO/IEC 17065:2012 (NCh-ISO 17065:2013) if the certification is carried out as product certification (the term "product" is used in its widest sense and includes also processes and services),

The applied certification procedures for chain of custody certification against the standard PEFC ST 2002:2013 (Chain of Custody of Forest Products - Requirements) or against the standard CERTFOR DN-02-07 (Cadena de Custodia de Productos Forestales), shall fulfil requirements defined in ISO/IEC 17065:2012 (NCh-ISO 17065:2013).

The applied auditing procedures shall fulfil or be compatible with the requirements of ISO 19011:2002 (NCh-ISO 19011. Of 2003).

In addition to above requirements the certification body:

- a) informs the relevant PEFC National Governing Bodies (in Chile, the CertforChile Corporation) about all issued forest management and chain of custody certificates and changes concerning validity and scope of these certificates,

In the case of a multi-site chain of custody certification the certification body shall provide the relevant PEFC National Governing Body (in Chile, the CertforChile Corporation) with a list of all sites covered by the multi-site organisation.

In the case of a multi-site chain of custody certification covering sites located in more than one country, the relevant PEFC National Governing Body is the PEFC National Governing Body in the country where the head-office of the multi-site organisation is registered (in Chile, the CertforChile Corporation). Information about the sites located in countries other than where the head office is registered shall also be provided to the PEFC National Governing Body of that country (in Chile, the CertforChile Corporation).

If the chain of custody certification has been carried out in a country without a PEFC National Governing Body, the information shall be provided directly to the PEFC Council.

- b) carries out control of PEFC (CERTFOR) logo usage if the certified entity is a PEFC (CERTFOR) logo user.

The maximum period for surveillance audits is one year and maximum period for re-assessment audit is five years for both forest management and chain of custody certifications.

The audit evidence to determine the conformity with the forest management standard shall include relevant information from external parties (e.g. government agencies, community groups, conservations organizations, etc.) as appropriate.

A summary of the certification report, including a summary of findings on the auditee's conformity with the forest management standard, written by the certification body, shall be made available to the public by the auditee or in accordance with any applicable requirements defined by the respective forest certification scheme.

The CERTFOR System will make available the summary of the certification report on the official website of the CertforChile Corporation ([www.certfor.org](http://www.certfor.org)).

Additional specific requirements for certification procedures over and above the ones listed above might be defined by the respective forest certification scheme (i.e. forest management certification and chain of custody certification).

Compliance of the certification body's procedures with the above requirements shall be verified by accreditation according to chapter 5.

## 5. Accreditation

Certification bodies carrying out forest management or chain of custody certification, shall be accredited by a national accreditation body so as to ensure the credibility of the certification work and to facilitate mutual recognition. An accredited certificate shall bear an accreditation symbol of the relevant accreditation body.

Accreditation bodies shall be a member of the International Accreditation Forum (IAF) or a member of IAF's special recognition regional groups and implement procedures described in ISO/IEC 17011:2004 (NCh-ISO 17011) and other documents recognised by the above organisations.

The certification body shall undertake forest management or/and chain of custody certification as "accredited certifications".

The certification body carrying out forest management certification or chain of custody certification against a scheme specific chain of custody standard (in Chile CERTFOR System) shall be accredited based on ISO/IEC 17021:2011 (NCh-ISO 17021:2011) or ISO/IEC 17065:2012 (NCh-ISO 17065:2013), and the relevant forest management or chain of custody standard(s) / scheme shall be covered by the accreditation scope.

The certification body carrying out chain of custody certification against PEFC ST 2002:2013 (Chain of Custody of Forest Based Products - Requirements) or against CERTFOR DN-02-07 (Cadena de Custodia de Productos Forestales), shall be accredited based on ISO/IEC 17065:2012 (NCh-ISO 17065:2013).

Non-conformance with the accreditation requirements, results in the certification bodies not being regarded as having met PEFC Council and the CertforChile Corporation requirements and their certifications not be considered as certified for PEFC and CERTFOR purposes.

In exceptional circumstances, the PEFC Council General Assembly can approve a time limited exemption from the above requirements based on a written application from the PEFC National Governing Body (in Chile, the CertforChile Corporation). The application shall state (i) reasons for requesting the exemption, (ii) description of how the credibility of the certification process will be assured including a list of measures currently undertaken to ensure the credibility.

## 5.1 Accreditation process by the Instituto Nacional de Normalización (INN)

In Chile, the Instituto Nacional de Normalización (INN), member of the International Accreditation Forum (IAF) is the accreditation body. The Accreditation Division of INN has the role of assessing the capabilities of certification bodies that apply to be accredited, based on criteria and requirements internationally accepted. The accreditation for certifying CERTFOR System standards is granted by this accreditation body, according to the procedures defined by INN.

Accreditation is a continuous process in which accredited certification bodies shall demonstrate continued compliance with the requirements, which is evaluated by monitoring assessments and witnessing visits periodically made by the accreditation body.

The accreditation of a certification body is granted for a period of three years, after which they can apply for renovation.

## 6. CERTFOR/PEFC Notification of Certification Bodies

Certification bodies operating forest management and/or chain of custody certification against the PEFC endorsed national schemes/standards (in Chile, the CERTFOR System) or the PEFC international chain of custody standard (PEFC ST 2002:2013 Chain of Custody of Forest Based Products - Requirements) shall be notified by the PEFC National Governing Body of the relevant country (in Chile, the CertforChile Corporation).

Certification bodies operating chain of custody certification against the PEFC international chain of custody standard (PEFC ST 2002:2013 Chain of Custody of Forest Based Products - Requirements) in countries without a PEFC National Governing Body shall be notified by the PEFC Council. The PEFC Council can also decide to notify certification body operating chain of custody certification against the PEFC international chain of custody standard (PEFC ST 2002:2013 Chain of Custody of Forest Based Products - Requirements) in countries with a PEFC National Governing Body if the notification cannot be issued by the relevant PEFC National Governing Body.

In order to ensure the independence of certification bodies the CERTFOR/PEFC notification conditions decided by the CertforChile Corporation or by the PEFC Council shall only cover:

- (a) administrative conditions (e.g. communication of the certification body with the CertforChile Corporation or the PEFC Council, transfer of information, etc.),
- (b) financial conditions (fees imposed on certified entities),
- (c) compliance with requirements for certification bodies verified through accreditation as described in chapter 5.

The CERTFOR/PEFC notification conditions shall not discriminate against certification bodies or create trade obstacles.

For purposes of Notification of Certification Bodies for Chain of Custody and Forest Management Certification in Chile against the requirements of the CERTFOR System, the certification bodies, shall comply with the requirements defined in document PS-02-21 *Notificación de organismos certificadores para la certificación de Manejo Forestal y Cadena de Custodia en Chile bajo los requisitos del Sistema CERTFOR*, and sign a contract with the CertforChile Corporation.

## 7. Normative References

- For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.
- ISO/IEC 17011:2004, Conformity assessment - General requirements for accreditation bodies accrediting conformity assessment bodies
- ISO/IEC 17021:2011, Conformity assessment - Requirements for bodies providing audit and certification of management systems
- ISO/IEC 17065, Conformity assessment - Requirements for bodies certifying products, processes and services
- ISO 19011:2011, Guidelines for auditing management systems
- NCh ISO 17011:2005, Evaluación de la conformidad - Requisitos generales para los organismos de acreditación que realizan la acreditación de organismos de evaluación de la conformidad
- NCh ISO 17021:2011 Evaluación de la conformidad - Requisitos para los organismos que realizan la auditoría y la certificación de sistemas de gestión
- NCh-ISO 17065:2013, Evaluación de la conformidad - Requisitos para organismos que certifican productos, procesos y servicios
- NCh-ISO 19011. Of 2003, Directrices para la auditoría de los sistemas de gestión de la calidad y/o ambiental
- PEFC ST 2002:2013, Chain of custody of forest based products - Requirements
- PEFC: Annex 6, Certification and accreditation procedures
- DN-02-05, Estándar CERTFOR de manejo forestal sustentable para plantaciones
- DN-02-07, Estándar CERTFOR de cadena de custodia de productos forestales
- PS-02-21, Notificación de organismos certificadores para la certificación de Manejo Forestal y Cadena de Custodia en Chile bajo los requisitos del Sistema CERTFOR