

ANNEX 8

PG 02.03. Procedure to be implemented by certification bodies to carry out forest management audits and certifications

cerfoar Sistema Argentino de Certificación Forestal	Code	PG 02.03
	Date of approval	2014 04 07
	Pages	2 de 31
GENERAL PROCEDURE cerfoar requirements for SFM audits and certifications		

PROCEDURE TO BE IMPLEMENTED BY CERTIFICATION BODIES TO CARRY OUT FOREST MANAGEMENT AUDITS AND CERTIFICATIONS.

CONTENTS

1 OBJECTIVE	4
2 SCOPE	4
3 GENERAL REQUIREMENTS.....	4
4. DOCUMENTED PROCEDURES	5
5. STRUCTURAL REQUIREMENTS	5
5.1 Committee for safeguarding impartiality.....	5
6. RESOURCE REQUIREMENTS	5
6.1 Competence of management and personnel	5
6.2 Competence of personnel involved in the certification activities	5
6.2.1 Forest Auditors.....	5
7. INFORMATION REQUIREMENTS	8
7.1 Publicly accessible information.....	8
7.2 Certification Documents.....	8
7.3 Confidentiality	9
8. PROCESS REQUIREMENTS	10
8.1 General requirements.....	10
8.1.1 Audit Programme.....	10
8.1.2 Audit plan.....	10
8.1.3 Audit team selection and assignment.....	10
8.1.4 Determination of the audit time	12
8.1.5 Multi-site sampling.....	12
8.1.6 Audit report	12
8.2 Initial audit and certification	13
8.2.1 Application	13
8.2.2 Initial certification audit.....	13
8.2.3 Initial certification audit conclusions	16
8.2.4 Information for granting initial certification.....	18
8.3 Surveillance Activities.....	19
8.4 Recertification	21



 Sistema Argentino de Certificación Forestal	Code	PG 02.03
GENERAL PROCEDURE cerfoar requirements for SFM audits and certifications	Date of approval	2014 04 07
	Pages	3 de 31

TABLE OF ANNEXES

- ANNEX 1: SUMMARY OF THE REQUIREMENTS OF COMPETENCE OF PERSONNEL INVOLVED IN CERTIFICATION ACTIVITIES.
- ANNEX 2: METHODOLOGY TO ASSIGN AUDIT TIME
- ANNEX 3: ADDITIONAL REQUIREMENTS FOR GROUP CERTIFICATION OF SUSTAINABLE FOREST MANAGEMENT

 Sistema Argentino de Certificación Forestal	Code	PG 02.03
	Date of approval	2014 04 07
	Pages	4 de 31

GENERAL PROCEDURE

cerfoar requirements for SFM audits and certifications

1 OBJECTIVE

This procedure describes cerfoar specific requirements, additional to the requirements established by ISO/IEC 17021: in force, to be fulfilled by the Certification Bodies to perform audits and cerfoar certification in Sustainable Forest Management of a management unit or group of management units administered according to group certification guidelines.

NOTE: Standard ISO/IEC 17021:2011 Conformity assessment. Requirements for bodies carrying out audits and certifications of management systems. It includes principles and requirements related to audit competence, coherence and impartiality and management system certification of all kind (e.g. quality management systems or environmental management systems) and related to bodies providing these activities.

2 SCOPE

This General Procedure has been approved by the Board of Directors of cerfoar Association and it is applied for all authorised cerfoar's Certification Bodies that carry out sustainable forest management audits and Sustainable Forest Management certification as established by the Argentine Forest Certification System in IRAM standards 39801 and 39805 in force.

3 GENERAL REQUIREMENTS

The Certification Body shall meet the requirements of the International Standard ISO/IEC 17021 in force, and cerfoar General Procedure PG 02 in force, to carry out Sustainable Forest Management audits and cerfoar certifications.

The Certification Body shall implement audit procedures in conformity with the guidelines established in the standard ISO / IEC 19011: in force


To carry out the forest management audits of the entity applying for certification (here forth "the client"), the Certification Body shall use the criteria established in the standards IRAM 39801, *Sustainable Forest Management. Principles, criteria and indicators of the management unit* and IRAM 39805 *Sustainable Forest Management. Group Certification* and other specific criterion established by cerfoar.

NOTE: We consider certification client to that organization which management system is audited for certification purposes. In individual certification the client is the forest producer and in the case of group certification the client is the group entity.

The Certification Body shall limit the assessment of compliance to the requirements, audits and certification decisions to the specific forest management issues covered in the scope of the certification.

The Certification Body shall establish its policy and procedures related to cerfoar certification and PEFC certification so that these are not discriminatory. Any producer or forest organization shall have access to Certification Body services; they should not prevent any forest organization from applying for a certification and it shall not condition the application in any possible way (economic or any other).

A forest management certificate issued by an authorised cerfoar Certification Body shall provide trustworthy guarantee that there is no important failure in fulfilling the requirements of IRAM 39801 and 39805 Standards, both in force, in any forest management unit within the scope of the certificate.

 Sistema Argentino de Certificación Forestal	Code	PG 02.03
	Date of approval	2014 04 07
	Pages	5 de 31

To provide such guarantees the Certification Body shall:

- a) Analyse and describe the forest area to be assessed in terms of one or more forest management units;
- b) Confirm that there is a management system implemented able to ensure that all the requirements in the IRAM 39801 and/or IRAM 39805 standards, in force, are fulfilled in all the forest management units included in the scope of the certification;
- c) Carry out the sites sample, documents revision and management register; develop interviews, consultations with interested parties and in situ observations so that the information obtain is enough to verify that there are not major nonconformities with the requirements specified in IRAM standard 39801 and/or IRAM 39805 in force, or with any forest management unit within the scope of the certificate.

4. DOCUMENTED PROCEDURES

The Certification Body shall develop, document and implement its procedures to carry out forest management audits and certification, in conformity with the established requirements by this general procedure.

5. STRUCTURAL REQUIREMENTS

5.1 Committee for safeguarding impartiality

The organizational structure of the Certification Body shall preserve the impartiality of its activities. To such end, the Certification Body shall establish a Committee to ensure the impartiality in its audit and certification processes and in decision taking.

The committee shall safeguard impartiality as established by the Certification Body including a cerfoar representative and cerfoar Association shall be informed about this option.

6. RESOURCE REQUIREMENTS

6.1 Competence of management and personnel


The Certification Body shall ensure that all the personnel performing key activities in its organization such as contract revision, certification issuance, auditors surveillance, among others, have the adequate competence for these activities.

6.2 Competence of personnel involved in the certification activities

6.2.1 Forest Auditors

Education

The Certification Body shall ensure that forest auditors have a tertiary or higher degree in the specific forest area.

 Sistema Argentino de Certificación Forestal	Code	PG 02.03
GENERAL PROCEDURE cerfoar requirements for SFM audits and certifications	Date of approval	2014 04 07
	Pages	6 de 31

NOTE: Forest auditor is the person having the necessary competence to carry out a forest management audit. The forest auditor is under the direction of a responsible forest auditor or leader.

The Certification Body shall ensure that leader forest auditors have a grade or post graduate degree related to forest issues.

NOTE: The leader forest auditor is a forest auditor with sufficient qualification to lead the auditor team and to be responsible for the elaboration of the audit plan and to conduct the forest management audit.

Forest Management training

The Certification Body shall ensure that forest auditors, in the last two years, have participated in a training programme in forest management recognized by cerfoar.

Working experience

The Certification Body shall ensure that the forest auditor has a minimum of 3 (three) years experience full time in the forestry sector.

The number of years of experience can be reduced to (1) one if the auditor has a grade or post graduate degree related to forest issues.

The Certification Body shall ensure that the leader forest auditor has a minimum of 2 (two) years experience full time in the forestry sector.

Training and experience in audits

For the first qualification of an auditor, the Certification Body shall ensure that the auditor within the last three years has performed forest management audits for at least (4) four forest organizations under the direction of a qualified auditor.

The Certification Body shall ensure that forest auditors have received the education and theoretical and practice training about forest management audits within cerfoar framework allowing them to guarantee their qualifications in the knowledge areas required to perform and manage cerfoar audits of forest management.


This training can be given by the entity the auditor belongs to or an external organization. The organization providing the training certifies the qualifications of the forest auditor in the education received.

Before assuming responsibilities as qualified auditor in the performance of cerfoar's audits of forest management, the candidate for forest auditor shall have acquired field experience in full audit processes.

This field experience shall be acquire participating in at least (4) four forest management systems or environment management audits, with special dedication to documentation examination, auditing activities and its reporting for at least (15) fifteen days. This experience shall be obtained under the direction and orientation of a forest auditor with competence as responsible or leader of the auditor team.

The number of forest management training audits can be reduced to (2) two for auditors qualified to carry out ISO/IEC 14001 and/or ISO/IEC 9001 audits in the forestry sector. This field training shall be developed in a period no greater than (3) years.

NOTE 1: ISO/IEC 14001: 2004. *Environmental Management Systems. Requirements for its correct usage*, specifies the requirements for an environment management system aim at allowing an organization to develop and implement a policy and objectives having the legal requirements and other requirements specified by the organization and also, the information regarding significant environment aspects. It applies to those environmental aspects the

 Sistema Argentino de Certificación Forestal	Code	PG 02.03
GENERAL PROCEDURE cerfoar requirements for SFM audits and certifications	Date of approval	2014 04 07
	Pages	7 de 31

organization is able to control and those over which the organization can influence. It does not establish specific environmental performance criteria.

NOTE 2: ISO/IEC 9001:2011. *Quality Management Systems – Requirements*, specifies the requirements for a quality management system when an organization:

- a) it needs to demonstrate its capacity to regularly provide products which satisfy the client's requirements and the legal and regulatory ones as well, and
- b) it wants to increase the client's satisfaction through the applicability of an efficient system including processes for the continuous improvement of the system and ensuring conformity with the client's requirements and the legal and regulatory ones as well.

The Certification Body shall ensure that the responsible forest auditor or leader is a qualified forest auditor with great understanding of forest management and also, he shall have performed, at least, a minimum of (3) complete audits and shall have participated in one of them as responsible forest auditor or leader under the direction or orientation of a responsible forest auditor or a qualified leader.


This field training shall be developed in a period no greater than (2) years.

For maintaining the qualification of the forest auditor, the certification body shall ensure that the forest auditors have performed a minimum of (4) four external audits including, at least, (2) two forest management audits where the sum of these audits shall cover at least (6) six man-day audit work.

Competence

The Certification Body shall ensure that auditors demonstrate ability to apply knowledge and skills in the following areas:

- a) Principles and requirements in IRAM 39801 and IRAM 39805 in force;
- b) Knowledge of the socio-cultural issues in the region of application of the forest management standard;
- c) Audit principles, procedures and techniques: To enable the auditor to apply them correctly in the different audits and ensure that audits are conducted in a consistent and systematic manner.
- d) Organization situations including organizational size, structure, functions and relationships with other organizations and the community, general forest business aspects, terminology, socio-cultural customs, working language: To enable the auditor to comprehend the organization;
- e) Legislation, regulations or other relevant requirements – enabling the auditor to operate in the right legal framework and to be aware of the legislative requirements applicable to the entity which is the subject of the audit,
- f) The principles of forest management based on techniques involving planning of forest management, inventories, forest cropping, protection and management of forest ecosystems: To enable the auditor to evaluate the forest management system and to decide whether it is being adequately applied;
- g) Environment science and techniques and the economic principles applicable to forest management: To enable the auditor to understand the fundamental relations between human activities and sustainable forest management;
- h) Technical aspects of forestry operations: To enable the auditor to understand the activities of the audited entities and their effects in the management of its forestry resources and the territory.

 <small>Sistema Argentino de Certificación Forestal</small>	Code	PG 02.03
	Date of approval	2014 04 07
	Pages	8 de 31

GENERAL PROCEDURE

cerfoar requirements for SFM audits and certifications

At the same time, the Certification Body shall ensure that responsible forest auditors or leaders have additional knowledge and skills in audit leadership to ease their effective and efficient performance.

The Certification Body shall ensure that the responsible or leader of the audit team is able to:

- plan the audit and use effectively the resources during the audit;
- represent the audit team in the communication with the client;
- organize and conduct the member of the audit team;
- provide direction and orientation to the audits still inn training;
- conduct the audit team to reach the conclusions of the audit;
- prevent and solve conflicts;
- prepare and complete the audit report.

The Certification Body shall provide evidence of annual monitoring of forest management audits applying methods such as audit witnessing, reviewing audit reports or client organization' feedback, etc based on the frequency of their usage and the level of risk linked to their activities. In particular, the certification body shall review the competence of its personnel in the light of their performance in order to indentify training needs.

Annex 1 presents a summary of the competence requirements establish by cerfoar for the personnel intervening in the certification activities and who shall be fulfilled by the authorised Certification Body to work with cerfoar forest management certification.

7. INFORMATION REQUIREMENTS

7.1 Publicly accessible information

The certification body shall develop reports of forest management audits for each client in accordance with the requirements specified in cerfoar General Procedure PG05: in force.


The certification, surveillance and recertification audits reports shall include a public part available to interested parties which content is specified in cerfoar General Procedure PG 05: in force; and attached confidential documentation with specific characteristics and contents also specified in the same General Procedure.

The Certification Body shall send a copy of the forest management audit public reports to cerfoar Association who will make them available to the public.

The Certification Body shall have written documented authorization from the certificate holder (certified client) to communicate reference data to cerfoar Association and PEFC Council.

7.2 Certification Documents

The Certification Body shall provide the certification documents (certificate) to the certified client:

 Sistema Argentino de Certificación Forestal	Code	PG 02.03
GENERAL PROCEDURE cerfoar requirements for SFM audits and certifications	Date of approval	2014 04 07
	Pages	9 de 31

The Certification Body shall include in the certificate, at least, the following information:

- Identification data of the certificate holder (certified client), including trade name or registered name and address;
- IRAM 39801 and/or 39805 standards in force, used to audit the certified client;
- Scope of the certificate;
- Accreditation mark and number as prescribed by the Argentine Accreditation Body (or equivalent accreditation body);
- Date of granting, extension or renewal of the certification;
- Expiration date or recertification due date (expiry date);
- Unique registration number of the certificate;
- Identification data of the Certification Body;
- A mechanism to distinguish between revised documents and previous out-dated ones, in case it is necessary to issue a revised certificate (certification document).

The effective date on a certificate document (certificate) shall not be the before the date of the certificate decision.

In the case of group certification, the Certification Body shall issue only one certificate with the name and address of the group entity. Together with this, the Certification Body shall issue a list of the members of the certification group within the scope of the certificate or in an annex or mentioning it in some other manner in the certificate. The scope or other reference of the certificate shall make it clear that the certified activities are developed by the sites in the list.


NOTE: Group entity is the legally constituted organization applying for the certificate in the name of a group of forest owners who agree to participate in the group. The *group certification*, as legally constituted entity, is the owner of the certificate.

In the case of group certification, the Certification Body can issue a sub-certificate for each member of the group certification covered by the certification only if it contains the same scope or sub-scope and if it includes a clear reference to the main certificate.

7.3 Confidentiality

The Certification Body shall give prior notification to the client that it must provide information to cerfoar Association.

The Certification Body shall have written authorization from the client to provide that information to cerfoar Association.

 Sistema Argentino de Certificación Forestal	Code	PG 02.03
	Date of approval	2014 04 07
	Pages	10 de 31

GENERAL PROCEDURE

cerfoar requirements for SFM audits and certifications

8. PROCESS REQUIREMENTS

8.1 General requirements

8.1.1 Audit Programme

The Certification Body shall develop an audit programme for the complete cycle of the forest management certification with aiming to identify the audit activities needed to verify that the client fulfils the certification requirements as established by IRAM 39801 and 39805 standards, in force, and any other specific criteria established by cerfoar to such end.

The audit programme shall include an initial certification audit in two stages, follow-up annual audits and a certificate renewal audit within the last year of the certification cycle, before the certificate expires.

The certification cycle of three years starts with the decision of certification or renewal of the certification.

The audit programme and any other subsequent modification has to take in consideration the size of the client organization, the scope and complexity of the management system, the products and processes and the efficiency level showed by the forest management system and the results of prior audits.

In the case of group certification, the audit programme and any other subsequent modification has to take in consideration the size and structure of the certification group, the scope and complexity of the group forest management, the products and process and the efficiency level showed by the forest management system, the members of the certification group and the results of previous audits.

8.1.2 Audit plan

The Certification Body shall ensure that a plan is establish for each audit, identified in the audit programme, which provides basis for agreement regarding the conduct and scheduling of the audit activities. The audit plan elaboration shall be based on documented procedure of the Certification Body.

The Certification Body shall communicate the audit plan to the client and shall agree in advance the audit dates.


In the case of multiple management units certification (group certification or certification of a forest owner having a set of management units) the audit plan shall identify the sites to be sampled.

8.1.3 Audit team selection and assignment

The Certification Body shall have documented procedures for selecting and appointing the audit team, including audit team leader.

The audit team shall have competence in the following areas which apply to the forestry sector:

- forest planning and forest management practice
- forestry systems and practice;
- forest ecology;
- soil and water conservation;

 Sistema Argentino de Certificación Forestal	Code	PG 02.03
GENERAL PROCEDURE cerfoar requirements for SFM audits and certifications	Date of approval	2014 04 07
	Pages	11 de 31

- social and cultural aspects of the local community including native communities;
- legal and economic aspects of the forest activity;

The Certification Body shall evaluate the composition of the audit team in relation to: The characteristic of the forest management to be assessed, competence required define for auditors in ISO/IEC 19011 standard in force; and the other criteria for cerfoar accreditation.

NOTE: ISO/IEC standard 19011: 2011. Guidelines for management systems audit provides guidelines about audits to management systems including audit principles, how to handle an audit programme and how to conduct audits to a management system. Also it provides guidelines about competence assessment to the individuals involved in the audit process, including the personnel using the audit programme, the auditors and the team auditors.

To define the composition of the audit team, the Certification Body shall consider the following specific aspects:

- a) objectives, scope, criteria and estimated audit time;
- b) global competence of the audit team needed to accomplish the objectives of the audit;
- c) specific characteristics (locals) of the forest resources to be audited (native or implanted forest or mixed)
- d) the specific environmental characteristics (locals) of the forest management to be audited;
- e) the legal, regulatory and contractual requirements and of accreditation as applicable;
- f) ensure the independency of the auditor team as regards the activities to audit and avoid interests conflicts;
- g) the capacity of the members of the audit team to work effectively with the audited client and to work together.
- h) the language of the audit and the understanding of the particular social and cultural characteristics of the audited client.

The Certification Body shall designate a forest auditor, with the necessary competence, as responsible or leader of the audit team.


Inn the case of only one auditor, he shall perform all the activities applicable to the responsible auditor or the leader of the audit team.

NOTE: The audit team can include auditors still training.

If the necessary competence to accomplish the objectives of the audit is not completely covered by the team auditors, the Certification Body shall include technical experts in the auditor team. The technical experts shall act under the direction of the leader auditor or responsible in charge of the team.

NOTE 1: The selection criteria of the technical experts is determined case by case in accordance with the needs of the auditor team and the scope of the audit. The technical expert provides the experience or specific knowledge of the audit team. The specific experience and knowledge are the ones related to the organization, the process or the activity to be audited, the language or the cultural orientation.

NOTE 2: A technical expert does not act as a forest auditor.

 Sistema Argentino de Certificación Forestal	Code	PG 02.03
GENERAL PROCEDURE cerfoar requirements for SFM audits and certifications	Date of approval	2014 04 07
	Pages	12 de 31

Previous to the audit activity the Certification Body shall communicate the composition of the team audit to the forest owner, client of the audit, to control that there are no interests conflict.

In the case of group certification and if there is more than one audit team involved in the assessment/surveillance of the certification group or the multisite organization, the Certification Body shall designate only one leader auditor whose responsibility will be to produce only one report of all the findings from all the audit teams.

8.1.4 Determination of the audit time

The Certification Body shall have documented procedures to determine the audit time. For each client the Certification Body shall determine, helped by the team auditor, the necessary time to plan and conduct an efficient audit of the client's forest management unit(s).

The Certification Body shall assign enough time to the auditors in the forest management audits to fulfil in a fully manner the requirements as they are specified in the Certification Body procedures.

The amount of time used by the Certification Body to audit conformity of the forest management with IRAM 39801 and/or 39805 standards in force will vary in each case in accordance to:

- The number of forest management units to be audited in situ;
- The complexity of the forest management and the social and environmental conditions;
- The complexity of the structure and system of the management system of the certification group, in the case of group certification;
- the records and documents audited, and
- the interviewed interested parties.

The methodology to assign time for the development of the audits is included in Annex 2 in this procedure.


8.1.5 Multi-site sampling

The Certification Body shall performed the audits of the management units group administered within the guidelines of the group certification (group certification) and the audits of a set of management units owned by a unique forest producer (multi-site organization) in conformity with the requirements of this general procedure and the additional requirements defined in Annex 3 in this cerfoar general procedure.

8.1.6 Audit report

The Certification Body shall provide the client with a written report of each audit.

A report on the Stage 1 shall be presented to the client organization prior to the Stage 2 including, at least, a summary of the conclusions of the audited documentation and if necessary a summary of the conclusions of the sites of the audited organizations.

 Sistema Argentino de Certificación Forestal	Code	PG 02.03
	Date of approval	2014 04 07
	Pages	13 de 31
GENERAL PROCEDURE cerfoar requirements for SFM audits and certifications		

The Certification Body shall elaborate the Stage 2 reports (certification audit) and the annual surveillance audit and recertification audit in conformity with the requirements established in cerfoar General Procedure PG 05: in force *Procedures to elaborate forest management audits reports that shall be implemented by the certification bodies*.

8.2 Initial audit and certification

8.2.1 Application

The client, as a minimum, shall provide the following information as a part of the application for sustainable forest management certification:


- a) identification data of the client, including trade name or registered name, legal status, address and person of contact (entity applying for certification);
- b) scope of certification;
- c) general information related to the scope of the applied certification: management unit or units to be included in the scope of the certification. In case of a group certification, the group entity shall present a description of the structure of the group certification, the managements units included in the group and the components of the group including responsibilities and obligations of each one. In case of a unique forest producer owner of a set of management units (multi-site organization) he shall present the description of the structure of his centralized management system and the list of the management units he owns and to be included in the scope of the certificate;
- d) a summary of the forest management plan(s);
- e) general information as regards the forest resources and the area of development of the forest activities;
- f) information about all the process externally hires used by the organization which can affect the conformity with the requirements.

8.2.2 Initial certification audit

Stage 1 Audit

The Stage 1 audit has the function of revision to prepare Stage 2 initial certification audit. The scope of this audit comprises:

- To confirm the scope and objective of the certification audit;
- To audit the client's forest management systems documentation;
- To audit the group certification management system documentation in the case of group certification;
- To evaluate follow-up and control procedures of the forest management system establish and implemented by the client;
- To evaluate the follow-up and control procedures of the group certification management system including the records of the programme of internal audits, in the case of group certification;
- To evaluate the integrity of the forest management systems;

 Sistema Argentino de Certificación Forestal	Code	PG 02.03
	Date of approval	2014 04 07
	Pages	14 de 31

GENERAL PROCEDURE

cerfoar requirements for SFM audits and certifications

- To evaluate the specific conditions in the forest management area (characteristics of the forest management unit(s))
- Determine the conformity of the client organization with PEFC logo usage rules and its effective implementation, including the use of sub-license in the case of group certification;
- To prepare and finish the audit plan for Stage 2 Audit

If necessary the Certification Body can include an on-site visit to the certification client's site to complete Stage 1 Audit.

The Certification Body has to make available a report of Stage 1 Audit to the certification client.

The following items shall be included by the Certification Body in the preparation of the Stage 2 audit:

1. Analysis of forest management units

The Certification Body shall conduct a comprehensive analysis of the area included in the audit scope considering the existence of separate units of forest management and the structures and systems for its management.

NOTE: The results of this analysis are necessary as a basis for further assessment of the management structure and for the sampling of forest management units within the scope of the audit.

2. Checklist

According to the information obtained in Stage 1 of the initial certification audit, the Certification Body shall revise his checklist so that it allows in situ unmistakable assessment of the fulfilment of each indicator in IRAM 39801 in force, and conformity with the criteria and principle it refers to. At the same time, the Certification Body shall develop a checklist that allows unambiguous assessment compliance with each requirement defined in IRAM 39805 standards, in force, for group certification.

NOTE: A checklist is the source of information for the indicator or for the referential value of the indicator.

3. Documents and records

The Certification Body shall have access to important documents or records that should be used in the preparation of the Stage 2 audit (certification audit), such as management plans, results of the inventory, documentation of the management system, maps, and legal documents, among others.


4. Applicable Law

The Certification Body shall identify and obtain copies of the national and local laws and of the legal requirements and administrative one of national provincial and local requirements in the assessment area.

5. Interested parties and applicable authorities

The Certification Body shall identify and make a list of individuals and organizations who can be contacted as interested parties during the certification audit. If possible, the Certification Body shall obtain the contact details of these interested parties and define the best mechanisms to contact them.

The Certification Body shall, in turn, identify all enforcement authorities, local and national, to be contacted during the certification audit.

 Sistema Argentino de Certificación Forestal	Code	PG 02.03
GENERAL PROCEDURE cerfoar requirements for SFM audits and certifications	Date of approval	2014 04 07
	Pages	15 de 31

The Certification Body shall start the consultation process to the interested parties during the preparation of the certification audit in conformity to *PG 03*. In force. *Consultation to parties interested in SFM assessment.*

6. Selection of forest management units to be audited *in situ*.

The Certification Body shall fulfil the requirements defined in Annex 3 in this document for selection of forest management units to be audited *in situ* each time (certification, follow-up and recertification audit).

These requirements apply to audits of multiple management units belonging to a single forest owner (multi-site organization) and audits of forest management units within the scope of a group certification. These requirements do not apply if the scope of the audit is a single management unit.

NOTE: The extent or scope of a forest certification group comprises all forest management units formally adhered to the group certification.

Stage 2 Audit

In the Stage 2 of the initial certification audit, the Certification Body shall assess then effectiveness on the implementation of the forest management standards on the defined forest management area.

The Certification Body shall perform then Stage 2 audit at the office and in the client's management unit(s). The audit plan for Stage 2 audit shall be based in the results of the Stage 1 audit.

The Certification Body shall include the following items in the Stage 2 audit:

1. Assessment of the management system(s)

The Certification Body shall conduct a complete and comprehensive analysis of the critical aspects of forest management, necessary to ensure that the requirements of the IRAM 39801 IRAM standard, in force, shall be implemented in:

- a) the total area included within the scope of the audit;
- b) in all the operations and activities included in the assessed forest management.


NOTE: The completeness with which the management system is documented will constitute an important part of the assessment. For large forest owners it is expected a fully documented management system. A system based on verbal descriptions and simple documentation can be enough to compliment the requirements for small producers or with low intensity of forest management.

In the event that the applicant for certification is a certification group, the Certification Body shall in turn assess the conformity of the forest certification management group with the IRAM 39805 standard, in force.

The certification body shall assess the applicant's ability to implement a coherent and effective management. This assessment shall include explicit consideration of:

- a) the technical resources (type and number of machines and tools, communication equipments and support, among others);
- b) human resources available (people involved in the management, training and experience level, existence of external consultants, service providers, among others).

The audit shall include an analysis of the documentation and applicable records to each management level, sufficient to confirm that the management is working effectively and as described in the system documentation.

 Sistema Argentino de Certificación Forestal	Code	PG 02.03
	Date of approval	2014 04 07
	Pages	16 de 31

GENERAL PROCEDURE

cerfoar requirements for SFM audits and certifications

2. Forest management unit audit (*in situ*)

The management unit audit shall include the following elements:

a) Documents and records

In each selected management unit to be audited (*in situ*) the team auditor shall identify and assess the management documentation and a sufficient number and variety of records to verify its conformity with the applicable requirements.

NOTE: Documents and management records are conformity checklists with the respective requirements as defined in the IRAM 39801 standard.

b) Sites

Within each management unit selected for the *in situ* audit, the audit team shall visit the variety and sufficient number of sites necessary to make direct and objective observations in compliance with all the requirements of the *IRAM 39801* standard being assessed in that management unit, and for which that observation is a necessary means of verification in the range of specific management conditions of the forest owner applying for certification.

It is recommended that the audit team selects the sites for observation on the basis of an assessment of the critical and at risk aspects in the management system.

c) Interested parties

The audit team shall interview a sufficient variety and number of people affected and involved in the forest management assessed, in order to make direct and objective observations, in compliance with all the requirements of the *IRAM 39801* standard which are applicable and for which such consultation is a necessary means to verify conformity in the range of specific management conditions of the forest owner applying for forest certification.

The Certification Body shall carry out the consultation to all the interested parties in conformity with the General Procedure PG 03: in force. *Consultation to parties interested in SFM assessment.*

8.2.3 Initial certification audit conclusions

The Certification Body shall analyze all the information and evidence obtained during Stage 1 and 2 audits to revise the findings of the audits and agree the audit conclusions.

Audit findings shall be classified as major nonconformities, minor nonconformities and observations.

The Certification Body shall analyze each identified nonconformity with the requirements of *IRAM 39801*, in force, to determine if it is a minor or major non-compliance at the level of the associated *IRAM 39801* Criteria.

The Certification Body shall analyze each nonconformity with the requirements of *IRAM 39805* in force, to determine if it is a minor or serious breach of the individual level.

The Certification Body can identify a minor problem or the initial stage of a problem, which does not constitute a minor nonconformity, but which from its assessment is consider a future nonconformity if not corrected by the client. These observations shall be written in the assessment report as "Observations" for the client's benefit.

A nonconformity shall be considered minor if:

cerfoar Sistema Argentino de Certificación Forestal	Code	PG 02.03
GENERAL PROCEDURE cerfoar requirements for SFM audits and certifications	Date of approval	2014 04 07
	Pages	17 de 31

- It is temporary, or
- of unusual occurrence (non-systematic), or
- nonconformity impacts are limited in their temporal and spatial scale, and
- does not result in a critical failure to achieve the related objective of IRAM 39801 Criteria or other applicable certification requirements, including those identified in IRAM 39805.

A nonconformity shall be considered major if (either alone or in combination with other nonconformities) it results in, or is likely to result in a critical failure:

- to achieve the objectives of the related IRAM 39801 Criteria or other applicable certification requirements, including those identified in IRAM 39805, or
- in a significant part of the implemented forest management system.

NOTE 1: the cumulative impact of a number of minor nonconformities may represent a critical or total failure of a system and therefore constitute a major nonconformity.

Note 2: A fault is considered critical and constitutes a nonconformity if:

- It continues for a long period of time, or
- It is repeated or systematic, or
- affects a wide area and/or causes a serious damage, or
- is determined by the absence or total failure of the forest management system, or
- It is not corrected or adequately answered by the applicant for certification once identified.
- Affects the credibility and trust of the sustainable forest management certification obtained by the client organization.

The Certification Body shall consider the impact of a nonconformity taking into consideration the fragility and singularity of the assessed forest resources and the strengthin of the group management system in the case of group certification.

Each nonconformity identified by the Certification Body shall give rise to a request for Corrective Action, Suspension Action or Revocation of the Certificate.

The Certification Body shall set the following deadlines for corrective action requests:


- Minor nonconformities shall be fully corrected within a maximum period of one year;

NOTE: The deadline for the correction of a minor nonconformity may be extended once for a maximum period of one year, if the full implementation of corrective measures was not possible due to circumstances beyond the control of the forest owner applying for the certification.

- Major nonconformities shall be fully corrected within three (3) months of been identified.

NOTE 1: The deadline for the correction of a major nonconformity may be extended once for a maximum three months, if full implementation of corrective measures was not possible due to circumstances beyond the control of forest owner applying for the certification.

NOTE 2: A mayor nonconformity may require immediate action to be taken by the forest owner, such as immediate cessation of the use of banned agrochemical, the

 Sistema Argentino de Certificación Forestal	Code	PG 02.03
GENERAL PROCEDURE cerfoar requirements for SFM audits and certifications	Date of approval	2014 04 07
	Pages	18 de 31

immediate cessation of dangerous activities or activities that cause serious environmental damage.

In the case of group certification, when the Certification Body finds a nonconformity in any individual site either through internal audits of the client organization or its own audits, an investigation shall be carried out to determine if other sites were affected. The Certification Body shall ask the client to revise nonconformities to determine if they indicate a general deficiency in forest management which affects all the sites. If it affected the other sites, a corrective action shall be carried out in individual and group sites. If it did not affect the other sites, the client organization shall be able to demonstrate to the certification body the justification to limit the surveillance actions. The certification body shall require evidence of such actions and increase the sampling frequency until it is sufficient and control is re established.

The Certification Body shall determine whether the corrective action taken has been appropriate and implemented within the designated time. If the implemented corrective action is not considered appropriate or it was implemented outside the set out deadline:

- a major nonconformity gives rise to the suspension of the certificate, and
- a minor nonconformity becomes a major nonconformity that shall be corrected within a maximum period of three months,

Requests for corrective action shall not be closed if no corrective action has been fully implemented to what was requested.

The Certification Body shall not issue the certificate to the client if there is any major nonconformity with the requirements of the applicable forest management standards.

The Certification Body shall not issue the certificate to the client if there is a large number of minor nonconformities, or the cumulative effects of these nonconformities represent a critical failure, or total breakdown of a system and therefore constitute a major nonconformity

In the case of group certification, the Certification Body shall not issue a certificate to the client (group entity) when there are nonconformities which show a general deficiency in the forest management applicable to the management group certification.


It is not allowed that, to solve an obstacle caused by a nonconformity in a site, the client excludes from the scope the "problematic" site during the certification process.

The Certification Body shall investigate all reports of noncompliance with the requirements of the applicable forest management standards, assess the validity of the report and received information, if this is a major or minor nonconformity and the Certification Body shall then act accordingly.

8.2.4 Information for granting initial certification

The Certification Body shall make the certification decision based on its assessment of the forest management conformity of the certification applicant with the requirements specified in the applicable forest management standards (IRAM 39.801 and / or IRAM 39.805, in force) and the other requirements set out in the audit criteria

The certification body shall take its decision to certify on the basis of the available reports and all relevant information.

 Sistema Argentino de Certificación Forestal	Code	PG 02.03
	Date of approval	2014 04 07
	Pages	19 de 31

GENERAL PROCEDURE

cerfoar requirements for SFM audits and certifications

The Certification Body shall state in the certification audit report and the associated checklist all nonconformities identified during audits.

The Certification Body shall communicate cerfoar Association its initial decision of certification or recertification in no more than 10 days from the decision taking. Attached to the communication the Certification Body shall send a copy of the certificate issued .

8.3 Surveillance Activities

The Certification Body shall develop its surveillance activities so that a regular follow up of the representative areas and functions is performed covered by the scope of the forest management system and so that changes in the client and its forest management system is taken into consideration. Surveillance activities shall include in situ surveillance audits.

In the case of group certification, the Certification Body shall develop its surveillance activities so that it can confirm the continuous fulfilment of the group management system with IRAM 39805 standard and the continuous fulfilment of the forest management system(s) of the members of the group with IRAM 39801 requirements.

The Certification Body shall perform within a maximum time of one year, surveillance audits to verify continued compliance of the certificate holder's with the specified certification requirements.

The Certification Body shall develop and implement procedures for conducting surveillance audits which shall include at least include the following items:


1. Review of documentation and records

During each surveillance audit the Certification Body shall at least check the following documents and records:

- changes in the forest area included in the scope of the certificate (including additions, exclusions and changes in the limits of the forest management unit(s);
- fulfilment of the relevant legislations and regulations;
- changes in the forest management system of the certificate holder;

NOTE: The Certification Body assesses the management system of the certificate holder to manage any changes in the scope of the certificate, including increases in the number, size or complexity of the management units covered by the certificate, or an increase in the number of members in a group certification.

- received complaints;
- accident records;
- training records;
- the operational plan for the next 12 months;
- inventory records;
- harvest records;
- chemical products usage records;
- sales records of cerfoar and PEFC certified products (copies of bills, invoices, shipping documents, delivery notes);

 Sistema Argentino de Certificación Forestal	Code	PG 02.03
GENERAL PROCEDURE cerfoar requirements for SFM audits and certifications	Date of approval	2014 04 07
	Pages	20 de 31

- the procedures and records of PEFC brand/logo usage and the declarations including sub-licenses in the case of group certification.

For group certifications the Certification Body shall check at least the following documents and records:

- group management system;
- the updated list of members of the group including contact details, forest property identification and its size,
- documents sent (formal communication) to members of the group by the entity of the group and/or the manager of the certification group from the previous surveillance assessment;
- records of internal audits carried out by the group entity and/or the manager of the certification group;
- records of corrective actions issued by the group entity and/or the manager of the certification group.

2. Surveillance audit in the forest management unit

The Certification Body shall perform within a maximum time of one year *in-situ audits* to the management unit(s) covered in the scope of the certificate. The date of the first surveillance audit after the initial certification will not be more than 12 months from the last day of Stage 2 audit. The date of the first surveillance audit after the recertification will not be more than 12 months from the last day of the recertification audit.

The number of forest management units to be audited *in situ* by the Certification Body in a surveillance audit is presented in Annex 3.


The surveillance audits of the certification group shall include in every case an *in situ* assessment of the group certification entity.

The *in situ* audits shall include:

- the conformity assessment of the certificate holder, with all the conditions (corrective actions) in which the certification is based (certification audit findings);
- progress of the planned activities aimed at a continuous improvement;
- fulfilment of the relevant regulations and legislation in the selected areas and functions for follow up audit;
- assessment of complaints and nonconformity reports with any aspect of the applicable forest management standards;
- assessment of a sample of the sites and documents, and interviews with the affected interested parties, sufficient to verify that the management system continues operating effectively.

NOTE: The Certification Body can focus their verifications, during the annual follow-up audits, on specific elements of the applicable standard, taking into account that all the aspects of the standard are assessed during the period of validity of the certificate. The Certification Body can, in this manner, focus on particular aspects of forest management system reducing the time and costs of follow-up activities

In the surveillance audits the Certification Body shall base its conformity assessment of forest management certification of the client with the requirements

 Sistema Argentino de Certificación Forestal	Code	PG 02.03
	Date of approval	2014 04 07
	Pages	21 de 31

GENERAL PROCEDURE

cerfoar requirements for SFM audits and certifications

of the applicable forest management standards, taking into account previous assessments and observations made by the interested parties.

In the surveillance the Certification Body shall suspend the certificate in the presence of multiple mayor nonconformities involving the collapse of the implemented forest management system carried out by the forest owner responsible of the certificate.

The Certification Body shall withdraw the certificate to the certification group if the group entity or a significant number of members of the group do not fulfil the necessary requirements to maintain the certificate.

8.4 Recertification

Before the end date of the certification cycle the Certification Body shall plan and carry out a recertification audit to assess the continuous fulfilment of the requirements in IRAM 39801 standard: in force and/or IRAM 39805 in force.

NOTE: The date of the recertification audit shall not be more than 12 months from the last day of the last surveillance audit of the certification cycle.

The purpose of the recertification audit is to confirm the continuous conformity and efficiency of the complete forest management system and of the group management system in the case of group certification as well as its continual improvement and applicability of the certificate scope.


The Certification Body shall perform an in situ recertification audit including the following items:

- a) the continuous fulfilment of the valid requirements in IRAM 39801 and/or IRAM 39805 standards and with the other accreditation criteria;
- b) the efficiency of the complete forest management system(s), in view of internal and external changes, and its relevance and continuous applicability for the scope of the certification;
- c) the efficiency of the group certification forest management system;
- d) the compromise showed by the certificate holder to maintain the efficiency and the continuous improvement of the forest management system to reinforce the global performance;
- e) if the operation of the certified forest management system contributes to the achievement of the policy and objectives of the organization.


When nonconformities or lack of evidence are identified, in a recertification audit, the Certification Body shall set deadlines for the implementation of corrective actions before the expiration of the certificate.

The Certification Body shall not re-issue a certificate to the client for re-certification if there are any major nonconformities with the requirements of the applicable forest management standards.

The Certification Body shall make a report of the recertification audit of forest management that presents the same characteristics as the report of the certification audit, including the public and available part for interested parties and the confidential attached documents in accordance with *PG 05. In force*. It is not a requirement for the Certification Body to issue the Forest Management recertification to an external peer revision.

 Sistema Argentino de Certificación Forestal	Code	PG 02.03
GENERAL PROCEDURE cerfoar requirements for SFM audits and certifications	Date of approval	2014 04 07
	Pages	22 de 31

The number of forest management units to be visited *in situ* by the Certification Body in the recertification audit is presented in Annex 3.

 Sistema Argentino de Certificación Forestal	Code	PG 02.03
	Date of approval	2014 04 07
	Pages	23 de 31

GENERAL PROCEDURE

cerfoar requirements for SFM audits and certifications

ANNEX 1: SUMMARY OF THE COMPETENCE REQUIREMENTS OF THE PERSONNEL INVOLVED IN CERTIFICATION ACTIVITIES

Qualification requirements for members of the audit team				
Parameter	Technical Expert	Auditor	Forest Auditor	Audit team leader
Education	University degree or enough working experience to compensate the level required.	Tertiary degree or more in the specific forest area.	Tertiary degree or superior in the specific forest area.	University degree or post-graduate degree on forest area.
Forest Management training	Does not apply	Does not apply	20 hours course on sustainable forest management training related to cerfoar (cerfoar training course on forest management shall be performed within the last 2 consecutive years).	
Total working experience	5 years			
Specific working experience	4 years in the specific area to which he applies for.	2 years in Quality Management and/or Environmental Management	3 years experience in Forest Management field (exclusive) and Quality and/or environmental Management. With a university degree this experience can be reduced to 1 year.	2 years experience in Forest Management field (exclusive) and Quality and/or environmental Management
Training as auditor	Does not apply	16 hours course in IRAM/ISO 19011 in force	40 hours course in audit training (including IRAM-ISO 19011 in force) Theoretical and practice training in Forest Management audits. Training taught in cerfoar certification system by the Certification Body or an external organization	

GENERAL PROCEDURE

cerfoar requirements for SFM audits and certifications

Date of approval

2014 04 07

Pages

24 de 31

Parameter	Technical Expert	Auditor	Forest Auditor	Audit team leader
Auditing Experience	Does not apply	4 complete audits with a minimum of 20 days experience in audits as auditor in training under direction and orientation of a leader auditor (audits shall be performed within the last 3 consecutives years)	4 complete audits of experience in audits as auditor in training under direction and orientation of a leader auditor (audits shall be performed within the last 3 consecutives years) A minimum of 15 days of experience in auditing Forest Management or Environmental Management in forest companies as auditor in training under direction and orientation of a leader auditor (Practice training in a period no longer than 2 years)	3 complete audits with a minimum of 15 days of experience in audits acting as leader under direction and orientation of a leader auditor. (audits shall be performed within the last 2 consecutive years) 3 complete audits as forest auditor 1 audit as responsible forest auditor o leader under the direction and orientation of a responsible forest auditor or leader

cerfoar Sistema Argentino de Certificación Forestal	Code	PG 02.03
GENERAL PROCEDURE cerfoar requirements for SFM audits and certifications	Date of approval	2014 04 07
	Pages	25 de 31

ANNEX 2: METHODOLOGY TO ASSIGN AUDIT TIME

1 OBJECTIVE

This Annex describes the methodology to assign time duration of audits that shall be implemented by the Certification Body to develop audits for cerfoar certification of Sustainable Forest Management

2 SCOPE

The methodology described is applied to the assignment of time to carry out the initial certification audit, surveillance audits and recertification audits of a management unit or group of management units administered under the group certification guidelines.

3. GENERAL REQUIREMENTS

The Certification Body shall prepare an audit plan of the forest management taking into consideration the following characteristics of the management unit(s) that impact in a direct manner in the assignment of audit time :

- the requirements defined in IRAM 39801 and/or 39805 in force;
- the total area defined in the scope of the certificate;
- the distribution of the defined area in the scope of the certificate (concentrated in a single management unit or broken into multiple management units);
- the number of members in group certification ;
- the complexity of the forest management, and
- any outsourcing of any activity within the scope of the standard of forest management and;
- the complexity of the forest resources to assess (native or implanted forest, among others).

The Certification Body shall also consider, when preparing the audit plan, the time needed to:

- carry out the consultation to the interested parties;
- in situ assessments of the management units;
- travel time (both to reach the area of evaluation and to travel between sites).

cerfoar Sistema Argentino de Certificación Forestal	Code	PG 02.03
GENERAL PROCEDURE cerfoar requirements for SFM audits and certifications	Date of approval	2014 04 07
	Pages	26 de 31

4. TIME ASSIGNMENT FOR *IN SITU* ASSESSMENTS

The following table provides a general guide to be followed by the Certification Body assign the total time of the audit team to develop *in situ* audits (field audit activities):

GUIDE TO ASSIGN DAYS OF <i>IN SITU</i> AUDIT				
Total Area	Initial Audit		Follow-up audit	Recertification Audit
	Stage 1	Stage 2		
0-1000	1	1	1	1 ½
1.000-5.000	1	1 - 2	1-2	1 - 2
5,001-10,000	1	2	2	2
10,001-25,000	2	2 - 3	2	2 - 3
25001 - 50000	2	3	2 - 3	3
50.001 – 100.000	2	3 - 4	3	3 - 4
100,001 +	3	4* ² -	3* ³ -	4* ² -

* 1: Add ½ day in the case of group certification

* 2: Add 3 days per 100,000 hs, over 100,000 hs

* 3: Add 1.5 days per 100,000 hs, over 100,000 hs

The Certification Body shall consider the following aspects to increase the number of days needed to be taken into account when assigning time of audits:

a) Access difficulties

Additional travel time may be necessary in areas where infrastructure is limited. The Certification Body shall justify this increase over the time recommended by the chart.

b) Spatial breakup of the management units

Additional travel time may be necessary for the audit of management units (group certification or certification of a single forest owner with multiple forest management units) breakup over a large geographical area and distant from each other. The Certification Body shall justify this increase over the time recommended by the chart.

c) Complex context of the interested parties

Additional audit days shall be considered in a very difficult social context, or when the interested parties shall be visited individually. The Certification Body shall justify this increase over the time recommended by the chart.

d) Significant number of complaints

Every complaint must be investigated in depth. Appropriate additional time may be assigned to investigate all relevant complaints received. The Certification Body shall justify this increase over the time recommended by the chart.

cerfoar Sistema Argentino de Certificación Forestal	Code	PG 02.03
GENERAL PROCEDURE cerfoar requirements for SFM audits and certifications	Date of approval	2014 04 07
	Pages	27 de 31

e) Number of major nonconformities


Any corrective action of a major nonconformity identified should be assessed in terms of the documented plan, and may also require an assessment of performance in the field. The Certification Body shall justify this increase over the time recommended by the chart.

d) Expanding the scope of the certificate

Adding new members to a certification group or adding certified forest area in a single certification may require additional audit days. The Certification Body shall justify this increase over the time recommended by the chart.

The Certification Body shall consider the following aspects that can reduce the number of days necessary to be taken into account when assigning audit time:

- large parts of the surface to be included or included in the scope of the certificate are not used or actively managed;
- low impact of the management;
- the forest owner or responsible entity of the implemented certification group management implements internal audits or has a well-defined follow-up and control system which regularly assess all management areas;
- geographic or management uniformity.

 Sistema Argentino de Certificación Forestal	Code	PG 02.03
	Date of approval	2014 04 07
	Pages	28 de 31

ANNEX 3: ADDITIONAL REQUIREMENTS FOR GROUP CERTIFICATION OF SUSTAINABLE FOREST MANAGEMENT

1 OBJECTIVE

This Annex establishes the additional requirements to be implemented by the Certification Body to develop the audits and cerfoar certification of Sustainable Forest Management of a group of management units administered under the guidelines of the certification group and a set of management units under the domain of a unique forest owner (here forth multi-site organization)

2 SCOPE

The additional requirements established in this Annex are applicable to the performance of the initial certification audit, surveillance audit and group management units audit under the group certification guidelines and a set of management units under the domain of a unique forest owner.

3. INTRODUCTION

This annex is for the audit and certification of forest management in client organisations with a network of sites to ensure that the audit provides adequate confidence in the conformity of the client organisation's forest management with the forest management standard across all sites listed and that the audit is both practical and feasible in both economic and operative terms.

4. ELIGIBILITY CRITERIA FOR THE GROUP CERTIFICATION OF A CLIENT ORGANIZATION

Eligibility criteria for the group certification organisation applying for the certification, including definitions, are included in IRAM 39805 standard-Sustainable Forest Management. Group certification


In addition to general eligibility criteria, IRAM 39805 standard, in force. *Sustainable Forest Management*. Group certification contains requirements concerning functions and responsibilities of the group entity and the participants of a group certification model.

3. ELIGIBILITY CRITERIA FOR CERTIFICATION OF MULTI-SITE ORGANIZATIONS

For the purpose of forest management certification in conformity with IRAM 39801 a multi-site organization is a set of forest management units under the domain and administration of a unique forest owner.

NOTE 1: A forest manager is a person or entity responsible for resource management operations and the forest company forest as well as the system and structure of management, planning and field work.

NOTE 2: The forest management unit is the surface object of sustainable forest management. The management unit is the area of land predominantly covered by forest and clearly demarcated, managed by a set of explicit objectives and according to a management plan.

 Sistema Argentino de Certificación Forestal	Code	PG 02.03
GENERAL PROCEDURE cerfoar requirements for SFM audits and certifications	Date of approval	2014 04 07
	Pages	29 de 31

The multi-site organization must have a registered office or head office where forest management activities are planned, managed and controlled, and can also have branches where certain activities properly identified and documented are planned, manage and control and documented, authorized by the central office.

The forest management system of the multi-site organization shall be centrally administered and it shall be subjected to a follow up and control centralization plan.

3. ELIGIBILITY CRITERIA FOR THE CERTIFICATION BODY

The certification body shall provide information to the client about the eligibility criteria laid down herein before starting the evaluation process, and should not proceed with the evaluation if any of the eligibility criteria for the group certification or the certification of multi-site organizations is not fulfilled.

Before starting the evaluation process, the certification body should inform the client that the certificate will not be issued if during the audit nonconformities in relation to these eligibility criteria are found.

4. SAMPLING FOR IN SITU AUDITS

4.1 Methodology

The Certification Body can apply sampling of sites for in situ audits where the site sampling is appropriate to gain sufficient confidence in the compliance of the group certification client or the multi-site organization with the IRAM 39801 and/or IRAM 39805. The Certification Body shall be able to demonstrate its justification for the selection of sites for the in situ audits to ensure that all differences across the sites have been assessed.

The Certification Body shall determine the sample for the initial, surveillance as well as recertification audits separately for representative categories of sites. The following indicators shall be used in order to ensure representativeness:

- a) type of managed forest resources (native and implanted forest, mixed);
- b) size of management units (different size classes);
- c) management objectives;
- c) bio geographic region.

Additionally, the Certification Body can use other indicators representing specific forest management practices.


The sample should be partly selective based on the factors set out below and partly non selective, and should result in a range of different sites being selected, without excluding the random element of sampling.

At least 25% of the sample shall be selected at random.

The Certification Body shall take into account the criteria mentioned hereafter, the remainder of the sample should be selected so that the differences among the sites selected over the period of validity of the certificate is as large as possible.

The site selection criteria to be audited in situ shall include the following aspects:

- a) Results of internal audits or previous certification audits,
- b) Records of complaints and other relevant aspects of corrective and relevant preventive action,

 Sistema Argentino de Certificación Forestal	Code	PG 02.03
	Date of approval	2014 04 07
	Pages	30 de 31

c) Significant variations in the productions processes of the sites,

d) Modifications since the last certificate audit,

e) Geographical dispersion.

Depending on the specific situation the certification body should implement a procedure for taking a sub-sample in cooperatives.

This selection does not have to be done at the start of the evaluation process. It can also be done once the audit in the group certification entity or the multi-site organization central office has been completed. In any case, the group entity or the central office shall be informed about the sites to be part of the sample. This can be done on relatively short notice but it should allow adequate time for preparation for the audit.

The Certification Body shall audit the group entity of the central office in situ during the whole initial, follow up and recertification audit.

4.2 Size of the sample

The Certification Body shall have documented procedures to determine the size of the sample. Generally these procedures shall follow the following calculation:

- Initial Audit: the size of the sample should be the square root of the number of remote sites (management units): $y = \sqrt{x}$, rounded to the upper whole number.
- Surveillance Audit: the size of the annual sample should be the square root of the number of remote sites with 0.6 as a coefficient ($y = 0.6 \sqrt{x}$), rounded to the upper whole number.
- Recertification Audit: the size of the sample should be the same as for an initial audit. Nevertheless, where the management system has proved to be effective over a period of three years, the size of the sample could be reduced by a factor 0.8, i.e.: $y = 0.8 \sqrt{x}$, rounded to the upper whole number.


The size of the sample can be different in the categories ensuring representativeness established according to the criteria mentioned above.

The calculation procedure for the size of the sample can be adapted by the certification body taking into account one or more of the following indicators:

- a) size and complexity of the client organization's operation, geographical and natural conditions
- b) the results of any prior audits including those of the management systems of the client organization,
- c) number of sites and characteristics of the participants of the certification and characteristics of the management units of the multi-site organization,
- d) quality/level of confidence of the internal monitoring programme.

4.3 Audit times

The Certification Body shall be able to demonstrate its justification for the time spent on group certification audits in terms of its overall policy for allocation of audit time.

 Sistema Argentino de Certificación Forestal	Code	PG 02.03
GENERAL PROCEDURE cerfoar requirements for SFM audits and certifications	Date of approval	2014 04 07
	Pages	31 de 31

The minimum audit time to spend for each individual site as a part of the initial surveillance and recertification audits is the same as for the initial audit defines in Annex 2 of this cerfoar General Procedure.