## PEFC Checklist - Certification and Accreditation Procedures (Annex 6)

### 1 Scope

This document covers requirements for certification and accreditation procedures for PEFC forest management certification outlined in Annex 6 of the PEFC Council Technical Document (*Certification and accreditation procedures*).

The requirements of Annex 6 stipulated for chain of custody certification are not reflected in this checklist, as these requirements have been replaced by PEFC ST 2003, *Requirements for Certification Bodies operating Certification against the PEFC International Chain of Custody Standard.*

References to ISO Guide 65 in Annex 6 have been removed from this checklist, as PEFC forest management certification is expected to be carried out as management certification under ISO 17021 since 2018.

### 2 Checklist

| **No.** | **PEFC benchmark requirement** | | **YES / NO** | **Reference to system documentation (including quotation of relevant text)** |
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| **Certification Bodies** | | | | |
| 1. | Does the scheme documentation require that certification shall be carried out by impartial, independent third parties that cannot be involved in the standard setting process as governing or decision making body, or in the forest management and are independent of the certified entity? | Annex 6, 3.1 | YES | PEFC Brazil written procedure SG 02.01 Requirements for certifying bodies auditing forest management and chain of custody states:  "6.Terms and Definitions"  **PEFC Accredited and Notified Certification Body**  An independent, third-party certification body accredited by official agencies for forest management or chain of custody according to PEFC technical documentation that carries out conformity evaluations in an impartial manner, which is also notified by PEFC Brazil to carry out these activities. |
| 2. | Does the scheme documentation require that certification body for forest management certification shall fulfil requirements defined in ISO 17021? | Annex 6, 3.1 | YES | PEFC Brazil SG 02.01:  7. General Requirements  7.1.The certification body shall:  c) Implement a management system that meets the applicable requirements of ABNT NBR ISO/IEC 17021-1, suited to the type, extent, and volume of work carried out.  10.Compliance evaluation (audit)  The certification body shall ensure that conformity will be evaluated according to the requirements of ABNT NBR ISO/IEC 17021-1(…)  17. Internal audit  17.1The certification body shall establish procedures for internal audits, which shall be conducted at least once every 12 months, and may be defined for take place at different intervals in order to verify compliance with the requirements of ABNT NBR ISO/IEC 17021 (…). |
| 3. | Does the scheme documentation require that certification bodies 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? | Annex 6, 3.1 | YES | 7. General Requirements  …  7.2The certification body, as part of its management system, shall:  a)Have technically competent staff, keeping records of qualifications and training activities in order to carry out the entire certification process described in this document in a competent manner.  10.1.7 Critical Analysis and the Certification Decision  …  10.1.7.2 The certification decision shall be made by a person or group of people not involved in the evaluation process (certification committee, for example, and with adequate knowledge).  15. Qualifications of the certification team  15.1 Auditor qualifications  15.1.1 Qualification and maintenance of competencies by the certification body's auditors, reviewers, and specialists shall meet the requirements of ABNT NBR 14793 and ABNT NBR 19011.  15.1.2 The certification body shall comply with the directives contained in the following standards documents, according to its scope:  a) For chain of custody, PEFC ST 2003 shall also be considered.  b) For forest management:  i.ABNT NBR 16789 Manejo florestal – Diretrizes para implementação da ABNT NBR 14789 (plantações florestais) [Forest management – Guidelines for implementing ABNT NBR 14789 (forest plantations)].  ii.ABNT NBR 15753 Manejo florestal – Diretrizes para implementação da ABNT NBR 15789 (nativas) [Forest management – Guidelines for implementing ABNT NBR 14789 (native forests)].  15.1.3 The certification body shall have a documented process to ensure that the auditors, reviewers, and specialists have the personal attributes, knowledge, and skills appropriate to the activities they will carry out.  15.1.4 Technical specialists and reviewers shall be independent of the auditing.  15.1.5 The certification body should promote gender equality. |
| 4. | Does the scheme documentation require that certification bodies shall have a good understanding of the national PEFC system against which they carry out forest management certification? | Annex 6, 3.1 | YES | 7. General Requirements  7.1 The certification body shall:  a) Be a legally constituted entity accredited by INMETRO, or in the case of chain of custody, other accreditation bodies recognized by the International Accreditation Forum (IAF).  b) Ensure compliance with applicable PEFC standards, including the norms/standards applicable to forest management and/or chain of custody (ABNT NBR 14789, ABNT NBR 15789, or PEFC ST 2002) and documents from PEFC Brazil and the PEFC Council.  9. Process of PEFC notification for the certification body  include (see model in Annex D):  …  b) The need to comply with the requirements for certification bodies with valid accreditation, in accordance with Annex 6 - Certification and Accreditation Procedures and ABNT NBR 14793 Diretrizes para auditoria florestal – Procedimentos de auditoria – Critérios de qualificação para auditores florestais [Guidelines for forest auditing - Auditing procedures - Qualification criteria for forest auditors].  …  Annex D: sample contract CB and PEFC Brazil  11.b)Recognize, agree with, and comply with all the directives contained in the normative documents of the PEFC Council, ABNT, and PEFC Brazil's procedures, including requirements for auditor qualifications. |
| 5. | Does the scheme documentation require that certification bodies have the responsibility to use competent auditors and who have adequate technical know-how on the certification process and issues related to forest management certification? | Annex 6, 3.2 | YES | 7. General Requirements  7.2 The certification body, as part of its management system, shall:  a) Have technically competent staff, keeping records of qualifications and training activities in order to carry out the entire certification process described in this document in a competent manner.  …  15. Qualifications of the certification team  15.1 Auditor qualifications  15.1.1 Qualification and maintenance of competencies by the certification body's auditors, reviewers, and specialists shall meet the requirements of ABNT NBR 14793 and ABNT NBR 19011.  …  **ABNT NBR 14793**  4.3 Education and professional experience  Auditors shall have at least completed high school and training in areas related to forest management or processing of forest-based products, in the case of forest management or chain of custody audits, respectively.  NOTE 1 Secondary education is the part of the national education system that comes after primary education, but which has already been completed before entry into higher education, i.e. university or similar educational institution.  Specific training related to forestry or forest-based industries and related industries may be replaced by work experience in these sectors, if the certification body can demonstrate that this is equivalent to the necessary education.  Auditors should have appropriate professional experience that contributes to the development of skills and knowledge in one or more of the following subject matters:  a) forest science and technology;  b) technical, environmental, social and economic aspects of forest management;  c) aspects related to the acquisition of forest-based products and processing, material flow in different stages of processing and commercialization;  d) risk management;  e) applicable requirements of laws, regulations and related documents;  f) forest management standards, chain of custody of forest-based products and standards against which audits can be conducted for conducting audits;  g) audit procedures, processes and techniques. |
| 6. | Does the scheme documentation require that the auditors must fulfil the general criteria of ISO 19011 for Quality Management Systems auditors or for Environmental Management Systems auditors? | Annex 6, 3.2 | YES | 10.1.4 Initial audit  10.1.4.3 The certification body shall follow the guidelines in ABNT NBR ISO 19011 to carry out the audits.  ….  15. Qualifications of the certification team  15.1 Auditor qualifications  15.1.1 Qualification and maintenance of competencies by the certification body's auditors, reviewers, and specialists shall meet the requirements of ABNT NBR 14793 and ABNT NBR 19011..  …  17. Internal audit  17.2ABNT NBR ISO 19011 provides guidelines about conducting internal audits. |
| 7. | Does the scheme documentation include additional qualification requirements for auditors carrying out forest management audits? **[\*1]** | Annex 6, 3.2 | YES | 15. Qualifications of the certification team  15.1 Auditor qualifications  15.1.1 Qualification and maintenance of competencies by the certification body's auditors, reviewers, and specialists shall meet the requirements of ABNT NBR 14793 and ABNT NBR 19011.  …  15.2 General conditions related to ethics and behavior that the certification body shall follow:  a) Act professionally, precisely, and free of bias.  b) Strive to expand the competency and prestige of forest auditing as a profession.  c) Support work colleagues or subordinates in developing skills related to sustainable forest management, the environment, and auditing.  d) Not represent conflicting interests, or make any statements to clients or employers regarding relationships that might influence decisions.  e) Not divulge any information related to the audit except for that authorized in writing by the audited party and the certification body.  f) Not accept any incentives, commission, gifts, or any other benefits from audited organizations, their staff, or any interest groups, or allow colleagues to accept the same.  g) Not intentionally communicate any false or misleading information that might compromise the integrity of any audit or the certification process.  h) Not act in a manner that might damage the reputation of the certification body or the certification process. |
| **Certification procedures** | | | | |
| 8. | Does the scheme documentation require that certification bodies shall have established internal procedures for forest management certification? | Annex 6, 4 | YES | 7. General Requirements  7.1 The certification body shall:  b) Ensure compliance with applicable PEFC standards, including the norms/standards applicable to forest management and/or chain of custody (ABNT NBR 14789, ABNT NBR 15789, or PEFC ST 2002) and documents from PEFC Brazil and the PEFC Council.  …  20. Documentation  20.1 The certification body shall establish and maintain procedures to monitor all documentation and information related to its certification activities.  …  20.5 The certification body shall provide, upon request, via publications, electronically, or by other means:  a) Information about the agency responsible for the certification body’s operations for forest management systems or chain of custody.  b) A description of its certification system, including its rules and procedures for granting, maintaining, extending, reducing, suspending, or withdrawing certification.  c) Information about the processes of evaluation and certification.  Yet, there are requirements that require the CB to comply with 17021 in relation to the development, implementation and control of schema-related documents. |
| 9. | Does the scheme documentation require that applied certification procedures for forest management certification shall fulfil or be compatible with the requirements defined in ISO 17021? | Annex 6, 4 | YES | 7. General Requirements  7.1 The certification body shall:  c)Implement a management system that meets the applicable requirements of ABNT NBR ISO/IEC 17021-1, suited to the type, extent, and volume of work carried out.  …  10. Compliance evaluation (audit)  The certification body shall ensure that conformity will be evaluated according to the requirements of ABNT NBR ISO/IEC 17021-1, and according to the requirements of the PEFC ST 2003 and ABNT NBR ISO/IEC 17065 standards for chain of custody.  ….  17. Internal audit  17.1 The certification body shall establish procedures for internal audits, which shall be conducted at least once every 12 months, and may be defined for take place at different intervals in order to verify compliance with the requirements of ABNT NBR ISO/IEC 17021 and ABNT NBR ISO/IEC 17065 for chain of custody and also to determine:  a) If the management system is implemented and maintained effectively.  b) If the staff authorized for forest chain of custody auditing are still competent to conduct audits.  c) If the staff responsible for the audited area are notified of the audit findings.  d) If corrective measures are taken within the appropriate time frame, and  e) If the audit findings are recorded in reports. |
| 10. | Does the scheme documentation require that applied auditing procedures shall fulfil or be compatible with the requirements of ISO 19011? | Annex 6, 4 | YES | 10.1.4 Initial audit  10.1.4.3The certification body shall follow the guidelines in ABNT NBR ISO 19011 to carry out the audits.  15. Qualifications of the certification team  15.1 Auditor qualifications  15.1.1 Qualification and maintenance of competencies by the certification body's auditors, reviewers, and specialists shall meet the requirements of ABNT NBR 14793 and ABNT NBR 19011.  17. Internal audit  17.2 ABNT NBR ISO 19011 provides guidelines about conducting internal audits. |
| 11. | Does the scheme documentation require that certification body shall inform the relevant PEFC National Governing Body about all issued forest management certificates and changes concerning the validity and scope of these certificates? | Annex 6, 4 | YES | 7.2 The certification body, as part of its management system, shall:  d) The certification body shall inform PEFC Brazil of any changes to the certification scope of a certified client organization or special audits, and provide annual reports on the certified client organizations. 10.1.8 Issuance of chain of custody certification and sustainable forest management certification 10.1.8.6 The certification body shall notify PEFC Brazil of any and all changes in the certificates of its clients (issuance, maintenance, extension, reduction, suspension, cancellation, closure, or recertification) by the 20th day of the month in which such changes occur, containing all the information listed in Item 10.1.8.2 as well as:  a) Name, telephone, and email of the contact person at the certified client organization.  b) Audit date.  c) List of species commercially utilized in the scope of certification, when applicable. d) Total area of the certified FMU (including productive area, conservation area, infrastructure, and other data related to the scope that were altered, when applicable).22.14 The PEFC certification fee charge process includes: 22.1.1 Initial and recertification audits  a) When certification is recommended, the certification body shall notify PEFC Brazil in writing, along with the report and corresponding documentation, along with area data for forest management or revenue for chain of custody, based on the information provided by the organization. |
| 12. | Does the scheme documentation require that certification body shall carry out controls of PEFC logo usage if the certified entity is a PEFC logo user? | Annex 6, 4 | YES | 13. Issuing licenses for use of the PEFC trademarks13.1 Organizations that wish to use the PEFC trademarks shall sign a trademark use contract and have a license issued by PEFC Brazil.13.2 The certification bodies are responsible for auditing the use of the PEFC trademarks by certified organizations in accordance with the terms and conditions for use of the PEFC trademarks established in SG 04 – Procedure for issuing licenses for use of the PEFC trademark. |
| 13. | Does a maximum period for surveillance audits defined by the scheme documentation not exceed more than one year? | Annex 6, 4 | YES | 10.2.2 Surveillance Audit for Forest Management  10.2.2.2 The certification body shall schedule periodic surveillance audits of forest management. Considering that the certification is valid for 5 (five) years, 4 (four) surveillance audits shall be carried out, or at least one each calendar year except for in recertification years. The date of the first surveillance audit after initial certification shall occur within 12 months from the date that the certificate was issued. |
| 14. | Does a maximum period for assessment audit not exceed five years for forest management certifications? | Annex 6, 4 | YES | 10.2.2.2 The certification body shall schedule periodic surveillance audits of forest management. Considering that the certification is valid for 5 (five) years, 4 (four) surveillance audits shall be carried out, or at least one each calendar year except for in recertification years. The date of the first surveillance audit after initial certification shall occur within 12 months from the date that the certificate was issued.  10.3.5 Confirmation of Recertification (assessment audit)  10.3.5.3. When the requirements in this document are met, the certification body emits the new conformity assessment certificate with validity extended for an additional five years. |
| 15. | Does the scheme documentation include requirements for public availability of certification report summaries? | Annex 6, 4 | YES | 10.2.2 Surveillance Audit for Forest Management  10.2.2.8 The certification body shall provide a public summary of the certification maintenance process, including confirmations that this document conforms to the ABNT NBR 14789 or ABNT NBR 15789 standards, in accordance with the model in Annex A of this document. The certification body shall critically analyze any comments that may be received to obtain feedback on the certification maintenance process.  20. Documentation  20.5 The certification body shall provide, upon request, via publications, electronically, or by other means:  g) Provide a public summary of certification reports.  Annex A: Minimum content for public summary of forest management  As one of the instruments to provide transparency in the process of certification and to society, the certification body shall provide the public with a summary of the process of the initial, maintenance, and recertification audits, which shall contain the following information at a minimum(…) |
| 16. | Does the scheme documentation include requirements for usage of information from external parties as the audit evidence? | Annex 6, 4 | YES | 10.1.5 Supplement for initial audit of forest management  …  10.1.5.3The certification body shall establish and implement mechanisms for prior consultation and dissemination to stakeholders about the certification process, which shall include:  a) drafting a list of regional, national, and when applicable, international stakeholders indicated by the client organization and by the certification body.  b) prior consultation with stakeholders about the certification process involving at least the parties on the list mentioned in the previous Item, which shall take place 30 days prior to the start of Phase II in order to receive commentary.  c) establish procedures to clarify the certification process and the handling of demands resulting from prior consultation.  10.1.5.5During Phase II auditing, the certification body shall organize public consultation sessions with stakeholders such involved local communities, non-governmental organizations, and/or government agencies that are related to the scope of certification. |
| 17. | Does the scheme documentation include additional requirements for certification procedures? **[\*1]** | Annex 6, 4 | YES | SG 02.01 and SG 04 – Procedure for issuing licenses for use of the PEFC trademark. Cover requirements for CB. |
| **Accreditation procedures** | | | | |
| 18. | Does the scheme documentation require that certification bodies carrying out forest management certification shall be accredited by a national accreditation body? | Annex 6, 5 | YES | 7. General Requirements  7.1 The certification body shall:  a) Be a legally constituted entity accredited by INMETRO, or in the case of chain of custody, other accreditation bodies recognized by the International Accreditation Forum (IAF).  Activities carried out by foreign certification bodies  19.1 Foreign certification bodies accredited by INMETRO or a body recognized by the International Accreditation Forum (IAF) in the specific scope may conduct PEFC certification processes as long as they are legally established in Brazil and have a signed contract with PEFC Brazil. In this case, all documentation for the certification process shall be made available in Brazil and in Portuguese. |
| 19. | Does the scheme documentation require that an accredited certificate shall bear an accreditation symbol of the relevant accreditation body? | Annex 6, 5 | YES | 10.1.8 Issuance of chain of custody certification and sustainable forest management certification  10.1.8.2 The certification shall include at least the following information:  k) Accreditation mark (symbol) of the accreditation body (including accreditation number, where applicable). |
| 20. | Does the scheme documentation require that the accreditation shall be issued by an accreditation body which is a part of the International Accreditation Forum (IAF) umbrella or a member of IAF’s special recognition regional groups and which implement procedures described in ISO 17011 and other documents recognised by the above mentioned organisations? | Annex 6, 5 | YES | 19Activities carried out by foreign certification bodies  19.1 Foreign certification bodies accredited by INMETRO or a body recognized by the International Accreditation Forum (IAF) in the specific scope may conduct PEFC certification processes as long as they are legally established in Brazil and have a signed contract with PEFC Brazil. In this case, all documentation for the certification process shall be made available in Brazil and in Portuguese.  19.2 Activities carried out by the accredited certification body by MLA members of IAF: (…) |
| 21. | Does the scheme documentation require that certification body undertake forest management certification as “accredited certification” based on ISO 17021 and the relevant forest management standard(s) shall be covered by the accreditation scope? | Annex 6, 5 | YES | 7. General Requirements  7.1 The certification body shall:  a) Be a legally constituted entity accredited by INMETRO, or in the case of chain of custody, other accreditation bodies recognized by the International Accreditation Forum (IAF).  b) Ensure compliance with applicable PEFC standards, including the norms/standards applicable to forest management and/or chain of custody (ABNT NBR 14789, ABNT NBR 15789, or PEFC ST 2002) and documents from PEFC Brazil and the PEFC Council.  c) Implement a management system that meets the applicable requirements of ABNT NBR ISO/IEC 17021-1, suited to the type, extent, and volume of work carried out.  d) For chain of custody certifiers, implement a management system that meets the applicable requirements of PEFC ST 2003 and ABNT NBR ISO/IEC 17065, suited to the type, extent, and volume of work carried out.  e) Sign a notification contract with PEFC Brazil. |
| 22. | Does the scheme documentation include a mechanism for PEFC notification of certification bodies? | Annex 6, 6 | YES | 9. Process of PEFC notification for the certification body9.1 The certification body sends a request for notification to PEFC Brazil.9.2 PEFC Brazil shall evaluate the request and the documentation and make a decision.9.3 If the request is rejected, the certification body may appeal the PEFC Brazil's decision to the PEFC Council, whose decision is final.9.4 If the request is granted, PEFC Brazil and the certification body sign the notification contract for certification of forest management and/or chain of custody.9.5 The contract shall include (see template in Annex D):a) Administrative conditions (such as transfer of information and communications between PEFC Brazil and the certification body, etc.)b) The need to comply with the requirements for certification bodies with valid accreditation, in accordance with Annex 6 - Certification and Accreditation Procedures and ABNT NBR 14793 Diretrizes para auditoria florestal – Procedimentos de auditoria – Critérios de qualificação para auditores florestais [Guidelines for forest auditing - Auditing procedures - Qualification criteria for forest auditors].c) General terms related to finances, deadlines, and rescission.9.6 PEFC Brazil and the certification body sign an independent contract with each of the organizations to be certified. This applies to forest management and to chain of custody.9.7 The notification procedure utilizes non-discriminatory conditions to issue PEFC notification to certification bodies.9.8 PEFC Brazil shall address complaints according to SG 04, Procedures for addressing disputes and complaints.9.9 PEFC notification is valid for the period accreditation of the certification body is valid, according to its scope.9.10 PEFC notification may be suspended or terminated by PEFC Brazil if the notification contract is violated. |
| 23. | Are the procedures for PEFC notification of certification bodies non-discriminatory? | Annex 6, 6 | YES | 9.7 The notification procedure utilizes non-discriminatory conditions to issue PEFC notification to certification bodies. |

**\*** If the answer to any question is no, the application documentation shall indicate for each element why and what alternative measures have been taken to address the element in question.

**[\*1]** This is not an obligatory requirement