

ACCREDITATION RULE 27

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SUBJECT: Accreditation Program for American Tree Farm System (ATFS)

APPLIES TO: ATFS ANAB-Accredited and Applicant Certification Bodies

PREFACE

This Accreditation Rule is to inform certification bodies (CBs) of ANAB requirements for accreditation to certify organizations for management systems conforming with the American Tree Farm System.

There are three types of ATFS certification:

- Regional Groups are group certifications made up of state programs (see www.treefarmssystem.org for region delineations).
- Independent Managed Groups (IMGs) are sub-components within ATFS's certification program. Managed and maintained by private organizations and public agencies, these groups are independent of ATFS's certified Regional Groups.
- Individual Certified Properties are those properties whose landowners have decided that they wish to have their forested ownership independently certified by an ANAB-accredited CB.

All three types of properties are audited by ANAB-accredited CBs and have their own ATFS Standard Operating Procedures for certification (see www.treefarmssystem.org).

In addition, the American Forest Foundation (AFF) and Sustainable Forestry Initiative (SFI) collaboratively developed the SFI Small Lands Group Certification Module based on the foundation of the SFI Fiber Sourcing Standard and incorporating the AFF Standards of Sustainability for forest management (see section 9 below). This module has been endorsed by the Programme for Forest Certification (PEFC).

ACCREDITATION RULE

1. Requirement Documents (current versions unless specified)
 - 1.1. American Forest Foundation (AFF) 2015-2020 Standards of Sustainability for Forest Certification
 - 1.2. 2015-2020 ATFS Eligibility Requirements and Guidance for Certification
 - 1.3. American Tree Farm System Sampling Procedures for Assessments
 - 1.4. PEFC ST 2001:2008, PEFC Logo Usage Rules - Requirements
 - 1.5. PEFC Annex 6, Certification and Accreditation Procedures
 - 1.6. American Tree Farm System Tree Farm Inspection Record (ATFS Form 004 Revised 01/15)
 - 1.7. 2015-2020 American Tree Farm System Independently Managed Group (IMG) Standards
 - 1.8. SFI Small Lands Group Certification Module (can be obtained from [Small Lands Group Certification Module](#))
 - 1.9. ISO/IEC 17021-1, Conformity assessment – Requirements for bodies providing audit and certification of management systems
 - 1.10. MA 5000, ANAB Accreditation Manual, and applicable ANAB Accreditation Rules
 - 1.11. IAF Mandatory Documents as applicable
2. Prerequisites
 - 2.1. The CB shall acquire and maintain ANAB accreditation for SFI as a condition of applying for ANAB accreditation for ATFS.

3. Application Process

- 3.1. CBs can obtain applications for informational use at www.anab.org.
- 3.2. The application process outlined at www.anab.org must be completed via ANAB's Enterprise Quality Manager (EQM) database when the CB is ready to apply for accreditation.
- 3.3. The application fee includes the cost of one assessor day for the off-site documentation review.

4. Initial Assessments for Accreditation

- 4.1. An ANAB accreditation assessor shall conduct a full documentation review.
- 4.2. After the documents are found acceptable, ANAB shall conduct an office assessment and required witnessed audits.
 - 4.2.1. The office assessment shall be conducted on site or remotely (at ANAB's discretion) and is conducted to ensure the CB's certification process for ATFS conforms with ISO/IEC 17021-1 and is effective.
 - 4.2.2. ANAB shall witness the CB conducting an ATFS two-stage audit process (stages 1 and 2) at an organization at which the CB fully evaluates all ATFS requirements.
 - 4.2.2.1. ANAB shall witness an initial audit for either a regional group or an independent managed group. Only one type of group needs to be witnessed for the CB to be accredited to offer certification to both types of groups.
 - 4.2.2.2. The ANAB assessment team shall have the same number of members as the CB audit team.
 - 4.2.2.3. Because of the level of expertise needed, ANAB may use technical experts for ATFS witnessed audits. ANAB will invoice the CB for the fees and expenses of the technical expert.

5. Surveillance Assessment

- 5.1. ANAB shall conduct an annual office assessment and witness a CB team conducting an ATFS audit for each type of group certified (that is, Regional Group and/or Independent Managed Group) at least once in each accreditation cycle.
 - 5.1.1. When possible, the office assessment shall be conducted concurrently with assessments for SFI and other ANAB accreditation programs for which the CB is accredited.
 - 5.1.2. The witnessed audits required during the accreditation cycle are for both regional groups and independent managed groups; however, if the CB has not certified any clients in one type of group, ANAB shall conduct one witnessed audit in the cycle for the type of group for which the CB has certification activity.

6. Reaccreditation Assessments

- 6.1. ANAB shall conduct a document review and on-site full system office assessment at approximately six months prior to the expiration of accreditation.

7. Criteria for Certification Process

- 7.1. Public Consultation: The audit evidence to determine the conformity with the forest management standard shall include relevant information from external parties (for example, governmental agencies, community groups, and conservation organizations) as appropriate.
- 7.2. Public Access of Certification Reports: A summary of the certification report, including a summary of findings on the auditee's conformity with the forest management standard, shall be made available to the public by the auditee or in accordance with any applicable requirements defined by the respective forest certification scheme.
- 7.3. Certification Body Information Sharing and Transfer to ATFS and PEFC: The CB shall inform AFF (the ATFS governing body) and SFI Inc. (the PEFC National Governing Body for the United States) about all issued certificates and the validity and scope of these certificates. The CB shall inform the client organization about information provided to AFF and SFI Inc.

- 7.4. Assessment of ATFS and PEFC Logo Usage Compliance: The CB will ensure appropriate control of the PEFC and/or ATFS logo if the certified entity is a PEFC and/or ATFS logo user.
8. Additional ATFS Requirements (not documented elsewhere)
 - 8.1. ATFS audit time
 - 8.1.1. The CB shall have a process to determine ATFS audit time.
 - 8.1.2. ANAB shall review the CB's audit-time process during the application process and refer to it throughout the oversight of the ATFS program.
 - 8.2. ATFS certification cycles may be up to five years.
9. SFI Small Lands Group Certification Module Accreditation
 - 9.1. The CB must be initially accredited and maintain its accreditation for the SFI program (see Accreditation Rule 26).
 - 9.1.1. Lands in the United States certified through this module will be certified under ATFS with resultant "certified forest content" under SFI's Chain of Custody Standard and the PEFC Chain of Custody Standard.
 - 9.1.2. Lands in Canada certified through this module will be "SFI certified" and the resultant fiber "certified forest content" under SFI's Chain of Custody Standard and the PEFC Chain of Custody Standard.
 - 9.2. Accredited certificates for this module shall specifically indicate the certification is to:
"The Sustainable Forestry Initiative (SFI) and American Forest Foundation (AFF) SFI Small Lands Group Certification Module".
 - 9.3. Use of symbols and marks for this module is limited based on where the certification is located.
 - 9.3.1. For certifications issued for locations in the United States, the SFI, ANAB, PEFC, and ATFS symbols and/or marks shall be included on certificates.
 - 9.3.2. For certifications issued for locations in Canada, the SFI, ANAB, and PEFC symbols and/or marks shall be included on certificates.

ACCREDITATION SERVICES

**SCC Requirements and Guidance
for the Management Systems
Accreditation Program:
Sustainable Forest Management
Sector Schemes**

2021-03-07

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Introduction

SCC assesses and accredits management systems certification bodies (CBs) that demonstrate competence to audit and certify organizations conforming to management systems standards. The purpose of this document is to provide additional requirements and guidance for the management of sustainable forestry sector schemes.

1. Scope

This document serves as a companion to ISO/IEC 17021-1 in specifying particular and unique Canadian requirements for certification bodies accredited by SCC that certify land management and/or wood procurement to SFI Standards and Rules, ATFS, PEFC ST, and CAN/CSA-Z809. The criteria in this document will be applied in conjunction with the criteria in ISO/IEC 17021-1 when conducting accreditation or reaccreditation assessment activities. SCC accreditation programs are open to any applicant in countries that are members of the World Trade Organization (WTO), as mandated by Government Orders-in-Council to the SCC Act.

2. Normative References

The following referenced documents are essential for the application of this document. The latest edition of the referenced document (including any amendments) applies.

- ISO/IEC 17021-1 Conformity assessment -- Requirements for bodies providing audit and certification of management systems -- Part 1: Requirements
- SFI Standards and Rules
- CAN/CSA-Z804 for Sustainable Forest Management for woodlots and other small area forests
- CAN/CSA-Z809 - Sustainable forest management

3. Definitions

Unless specifically listed here, the definitions in ISO 9000 and ISO/IEC 17000, as well as ISO/IEC 17021-1 and its referenced documents, apply. The following definitions also apply.

EMS	Environmental Management Systems
SFI	Sustainable Forestry Initiative
SFM	Sustainable Forest Management

4. Additional Requirements

The following additional requirements are intended to be applied over and above the main conformance standard, *ISO/IEC 17021-1:2015 Conformity assessment -- Requirements for bodies providing audit and certification of management systems -- Part 1: Requirements*. The clause references of these requirements are aligned to the clauses within the main conformance standard.

5. General Requirements

ISO/IEC 17021-1	Additional Requirement
5.1 Legal and contractual matters	
5.1.2	<p>The CB shall document the Branch, Regional and/or its Country offices, if any, that will be authorized to:</p> <ul style="list-style-type: none">a) conduct initial certification and maintenance audits to CAN/CSA-Z809 and/or SFI Standards and Rules; andb) issue certification certificates to the applicable CAN/CSA-Z809 and/or SFI Standards and Rules; <p>and provide evidence of the basis upon which such authorization is granted.</p>
5.1.3	<p>The CB shall maintain a list of members of its Governing Board or Committee(s) of Experts and Advisory Board(s), and their qualifications and competencies, responsible for granting the certification to CAN/CSA-Z809 and/or SFI Standards and Rules. The certification committee(s) is required to be competent for the functions performed.</p>

6. Structural Requirements

No additional requirements

7. Resource Requirements

ISO/IEC 17021-1	Additional Requirement
7.2 Personnel involved in the certification activities	
7.2.6	<p>If the CB uses technical expert(s) during SFM audits, the CB shall have a list of experts and documented competencies for each, which includes at least the following:</p> <ul style="list-style-type: none"> • education; • knowledge and skills; • total work experiences; • work experiences in the forest industry (minimum of 3 years); • specific SFM work experiences (e.g. woodlot operations); • industry related professional training and development; • professional designation and affiliation (e.g. certified Forester by the Province of Alberta); • EMS auditing experience and management systems training; and • conformity with ISO 19011 clause 7.2 auditor competence.
7.2.7	<p>The CB shall have a documented process and procedure for qualifying auditors (including technical experts) as competent to perform initial certification audit, surveillance audit, and re-certification audit to CAN/CSA-Z809. The minimum SFM auditor requirements are:</p>
	<p>Knowledge and skills:</p> <ul style="list-style-type: none"> • meet the requirements of ISO 19011 section 7.2.3 and, • demonstrate the personal attributes listed in ISO 19011 section 7.2.2.
	<p>Education, professional training and affiliations:</p> <ol style="list-style-type: none"> formal education – academic qualifications; professional designation and affiliation, if applicable (e.g. forester); certified as an EMS lead auditor by an accredited or recognized national or/and international personnel certification body (preferably meeting ISO/IEC 17024) of auditors; industry related professional training; current environmental legal and compliance training (e.g. laws, regulations, codes of practice) by environmental aspects and impacts in accordance with CAN/CSA-Z809: <ul style="list-style-type: none"> • Federal, • Provincial and territorial; • Municipal; • other legal jurisdictions (e.g. international);

	<ul style="list-style-type: none"> • national and international treaties and conventions (e.g. Montreal Protocol, CCFM Criteria and indicators, Helsinki Protocol); • Industry code of practice; and • Best management practice; <p>vi. environmental management systems audit training (e.g. ISO 19011 section A.3.)</p>
	<p>Work experience:</p> <p>i. total work experience (minimum of 5 years);</p> <p>ii. specific work experiences: national (federal, provincial, territorial, or municipal) and international, and years of experience, such as:</p> <ul style="list-style-type: none"> • Forestry operations audit work experiences (e.g. woodlot operations); • EMS audit work experiences; • Forestry industry sector work experiences; • Environmental compliance audit work experiences; • Other environmental work experiences; • Other management systems auditing experiences; • Other management systems work experiences; and, • Lead EMS auditor audit work experience (minimum of 40 audit days, seven complete audits, where 20 audit days as a Lead Auditor is required). Half the time is required for an EMS auditor.
	Maintaining a current audit log of CAN/CSA-Z809 audits.
7.2.8	The CB shall have a general description of the qualification and expertise of management personnel who administer and make decisions on the SFM certifications.

- End of Document -

ACCREDITATION RULE 16

Issue Date: 2018/07/09

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Supersedes: 2014/01/01

SUBJECT: Requirement for Certification Body Address on ANAB-Accredited Certification Documents

APPLIES TO: ANAB-Accredited and Applicant Certification Bodies

PREFACE

ISO/IEC 17021-1 states:

8.2.2 The certification document(s) shall identify the following:

g) the name, address and certification mark of the certification body; other marks (e.g. accreditation symbol, client's logo) may be used provided they are not misleading or ambiguous;

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1. The term "address" in ISO/IEC 17021-1, 8.2.2.g, refers to the CB's main accredited office and/or a critical location as identified on the ANAB accreditation certificate issued to the CB.
2. This address is the physical address and shall include at a minimum the street address, city, state, postal code, and country. Providing this detail will ensure clarity as to where the CB's certification documents are managed and controlled.
3. Any additional or more stringent industry requirements shall also be followed (e.g., per AS9104/1, the aerospace industry does not recognize critical locations and certificates must be issued from the AQMS lead office of the CB as identified on the ANAB-accredited certificate and in the OASIS database).