

Certification Bodies



**SWEDISH
PEFC STANDARD
IN ENGLISH**

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1. Introduction

PEFC is based on independent systems for accreditation and certification. For forest- and contractor certification in accordance with the Swedish PEFC certification system for sustainable forest management, the applicable documents are PEFC SWE 001-004. For chain of custody certification, the current edition of the standard *PEFC ST 2002 Chain of Custody of Forest Based Products*, laid down by PEFC International, applies. Logo usage shall be made in accordance with the current edition of the standard *PEFC ST 2001 PEFC Trademark rules – requirements*, laid down by PEFC International.

PEFC Sweden economic association is, as owner of the system, responsible for development and operation of the certification system.

2. Scope

The Swedish PEFC-system (TD V) concerns forest land, forestry business, and forestry contract in Sweden. The standard consists of six parts which describe the system for PEFC-certification of forestry:

- PEFC SWE 001 – PEFC’s Certification System for Sustainable Forest Management in Sweden
- PEFC SWE 002 – Forestry Standard
- PEFC SWE 003 – Forestry Contractor Standard
- PEFC SWE 004 – Direct Certification and Group Certification
- PEFC SWE 005 – Certification Bodies
- PEFC SWE 006 – Notification of Certification Bodies

Terms and definitions are available in Appendix B in *PEFC SWE 001 PEFC’s Certification System for Sustainable Forest Management in Sweden*.

The present document, *PEFC SWE 005 Certification Bodies*, defines the qualification criteria that must be met by certification bodies and auditors, as well as procedures connected with certification, and is applicable to forest certification, contractor certification, and chain of custody certification in accordance with the Swedish PEFC certification system for sustainable forest management.

3. Requirements for certification bodies

3.1 Accreditation

The certification body operating forest-, contractor-, or chain of custody certification shall be accredited by an internationally approved accreditation body to perform certification against PEFC SWE TD V. This means that the accreditation body shall have an agreement with the International Accreditation Forum (IAF) and/or the European cooperation for Accreditation (EA). The accreditation body shall conform to the procedures described in document SS-EN 17011 and other documents acknowledged by IAF/EA. Swedac is the official accreditation body in Sweden.

3.2 Notification

The certification body operating forest-, contractor-, or chain of custody certification in Sweden shall be notified by PEFC Sweden in accordance with *PEFC SWE 006 – Notification of Certification Bodies*.

3.3 Forest- and contractor certification

At direct certification, the certification body shall meet the general criteria for certification bodies as defined in SS-EN ISO/IEC 17065 and at group certification meet the general criteria for certification bodies as defined in SS-EN ISO/IEC 17021. The instructions in this document complement, but do not replace, the instructions given in SS-EN ISO/IEC 17065 and SS-EN ISO/IEC 17021. The certification body shall:

1. use a documented method by which the forestry business and contractor business may be examined and certified in such a way that a uniform assessment is guaranteed
2. have good knowledge regarding forest management and forestry contracts and its economic, social, and environmental effects
3. have good knowledge regarding the Swedish PEFC certification system for sustainable forest management
4. have special competence regarding laws and other requirements critical to activities practiced in the forestry sector
5. have documented experience within the field of expertise
6. have auditors which are adequately trained and that that have practical experience within the field of expertise
7. be able to demonstrate the auditors' qualifications for work within the field of expertise
8. be independent from the certified organization and not be part of its forestry business.

4. Chain of custody certification

The criteria that qualify certification bodies to operate chain of custody certification are laid down in current edition of *PEFC ST 2003 Requirements for Certification Bodies operating Certification against the PEFC International Chain of Custody Standard*.

5. Requirements for auditors

5.1 Forest- and contractor certification

Qualification criteria for auditors that are used for evaluation of certification are based on methods for product certification at direct certification, and on auditing methods for certification of environmental management systems at group certification, complemented by expert knowledge within the business area. The auditors shall:

1. meet the requirements as stipulated within the framework of accredited certification of management systems under SS-EN ISO/IEC 17021 and/or general requirements at product certification SS-EN/ISO/IEC 17065, including the general requirements as defined in the standard SS-EN ISO 19011
2. master the contents of the Swedish PEFC certification system for sustainable forest management encompassing the documents PEFC SWE 001-006
3. have adequate training and documented experience of forest management and forestry contracts and its economic, social, and environmental effects
4. have special competence regarding laws and other requirements critical to operations practiced in the forestry sector
5. have adequate training and documented experience from auditing work within the field being subject to audit.

6. Certification and audit

The certification body shall have established routines for forest- and contractor certification (direct and in group) and/or chain of custody certification.

6.1 Audit

The objective of the audit is to determine, based on evidence, whether the business in question is conforming with the requirements for:

- forest- and contractor certification according to the Swedish PEFC certification system for sustainable forest management, encompassing the documents PEFC SWE 001-004
- logo usage (if applicable), in accordance with current edition of the standard *PEFC ST 2001 PEFC Trademark rules – requirements*, laid down by PEFC International.

In addition, the person whose business is subject to audit may by him/herself establish other auditing criteria such as policy, legislation, instructions, practice, and procedures, provided that these are relevant to the certification.

The audit shall, by means of a risk-based approach, assess how control and monitoring ensure compliance with the standard.

6.1.1 Audit plan

The scope of the audit, as well as the audit requirements, is noted in an audit plan, which guides the implementation of the audit. The plan shall also provide information on:

- schedule
- sites
- functions called, and
- other information that might take preparations from the person whose business is subject to audit.

The audit is conducted by one or several auditors. In the case several auditors are used, a lead auditor shall be appointed. The auditors' business expert knowledge may, if needed, be complemented by technical experts that are not auditors. The audit team is put together by the certification body, which shall see to it that members of the team are impartial and qualified to do the job.

The audit consists of the following activities:

- opening meeting
- collection of audit evidence. For forestry and contractors, criteria for the audit are specified in the documents PEFC SWE 001-004. The outcome of completed internal audits shall be given special consideration.
- assessment of audit evidence
- closing meeting
- report on how standard requirements have been met in the business in question.

The audit team collects a sufficient amount of audit evidence in order to assess whether the business of the person subject to audit meets the requirements. Relevant external information from authorities and stakeholders concerned shall thereby be taken into consideration.

The outcome (in particular any nonconformities) is shared at a concluding meeting with the person whose business is subject to audit.

If, in connection with the audit, information emerges on presumed major nonconformity on the part of another PEFC-certified actor, or other issued forest- or chain of custody certificate according to PEFC, the certification body shall notify the certification body concerned.

6.1.2 Implementation at group certification

Collection of audit evidence shall aim at collecting a basis for assessing the organization's control and monitoring of the group.

The following shall be included in the audit:

- Review of the umbrella's activities and audit work since the previous external audit
 - Follow-up of how the umbrella has addressed nonconformities among participants
 - Follow-up of the umbrella's audit report from the previous year.
 - How does the umbrella work for improved compliance with the standard: e.g., through corrective actions?
 - Review of a sample of the internal auditors' documentation on completed audits (issued nonconformities to individual participants and associated addressing of nonconformities).
 - Based on a risk-assessment, perform a review of a sample of standard- requirements regarding the umbrella's instructions for audit and criteria for issuing of nonconformity/observation.

The review of the audit work shall provide guidance for auditing of the participants and form the basis for a risk-based sample of these, according to the below:

- Review of participants (sample checking)
 - The number of samples shall at least correspond to the square root of the number that has been subject to internal audit in accordance with instructions for internal audit in *PEFC SWE 004 Direct certification and Group Certification*.
 - If the umbrella affiliates several different categories, each category shall be subject to control.
 - The samples shall aim at an efficient review of the umbrella's management and follow-up of the group.
 - The samples shall, considering the above and considering risk, be randomly chosen.

6.2 Audit report

From the report shall be clear the scope of the audit, positive and negative observations as well as what is needed in other respects to handle requirements on necessary information for a decision on certification and to prove accreditation requirements. Audit observations which do not comply with requirements are always noted in the audit report. As to the other parts of the report, the person whose business is subject to audit and the auditor agrees on the contents of the report. A public summary shall be demonstrated after every completed certification audit that leads to a decision on forestry certification according to PEFC, as well as after every recertification when the period of validity of the issued certificate is pro-longed.

The certification body is responsible for the contents and elaboration of the summary in accordance with the following general guidelines. The summary shall not include information of internal nature or of significance for the commercial activities of the certified organization. The public summary shall be made available to the certified organization and include the following information:

1. contact details of the certification body as well as specification of relevant accreditations
2. description of the organization and the kind of business that have been certified
3. date of the current and for the next planned audit
4. an account of important observations, strong and weak points, certification decision, any provisions and recommendations.

6.3 Certification decision

A certification decision is taken by the certification body based on the audit report. The decision may be affirmative or negative.

6.4 Surveillance audits

Surveillance audits are conducted at least once a year during the certificate's period of validity. Surveillance audits may be of a more limited scope than certification audits. The period between audits shall not exceed one year. All PEFC-requirements shall however have been audited during the certificate's period of validity.

6.5 Nonconformities and corrective action

Nonconformities with certification requirements always result in corrective action and possibly to the certificate not being granted, it being withdrawn temporarily or permanently. Nonconformities are categorized into minor nonconformities and major nonconformities. Observations do not constitute any hindrance for certification. Nonconformities shall have been corrected, in accordance with what applies for the relevant accreditation before a certificate is issued.

7. Certificate

A certificate for forest- and contractor certification in group (umbrella organizations) is valid for five years at the most. Direct forestry- and contractor certificate is valid for five years at the most. The certification body may withdraw a granted certificate permanently or temporarily. The decision to withdraw a certificate, including justifications for doing so, shall be sent in written form to the person whose business is subject to audit.

Termination of certificate by the person whose business is subject to audit shall be made in accordance with what have been agreed with the certification body concerned.

The kind of certificates that may be issued in accordance with Swedish PEFC's certification system are listed in table 1.

Table 1. Certificates that may be issued in the Swedish PEFC-system

Type of certificate	Issued to
PEFC Forestry certificate – forest owners	Forest owners
PEFC Forestry certificate – wood procurement organization*	Wood procurement organizations
PEFC Contractor certificate	Contractors
PEFC Group certificate – forest owners	Umbrella organizations that affiliate forest owners
PEFC Group certificate – wood procurement organizations*	Umbrella organizations that affiliate wood procurement organizations
PEFC Group certificate – contractors	Umbrella organizations that affiliate contractors

** For wood procurement organizations, chain-of-custody certification according to PEFC is also required.*

7.1 Information in issued certificates

Issued certificates shall include the following information on the certified business:

7.1.1 At direct certification for forestry- and contractor certificates

1. name and address of forest owner/wood procurement organization/contractor
2. identification of the certified business in accordance with table 1.

For contractor, the main category is specified:

- i. felling operations contractor
 - ii. silvicultural contractor
 - iii. forest management planning contractor
3. reference to the standard, see 7.1.3
 4. identification of the certification body's certification system
 5. the above shall be specified as:
 - a. for forestry certificate; a process certification
 - b. for contractor certificate; a service certification
 6. date of issuance
 7. expiration date
 8. certificate number
 9. name, accreditation reference, and number of the certification body.

7.1.2 At group certification for group certificates (umbrella organizations)

1. name and address of the umbrella organization
2. identification of the group-certified business in accordance with table 1
3. reference to the standard, 7.1.3
4. date of issuance
5. expiration date
6. certificate number
7. name, accreditation reference, and number of the certification body

7.1.3 Reference to the standard

The following references to the respective standard shall be used:

PEFC Forestry certificate

- *PEFC SWE 002:5 Forestry Standard*
- *PEFC SWE 003:5 Forestry Contractor Standard (if applicable)*
- *PEFC SWE 004:5 Direct Certification and Group Certification*

PEFC Contractor certificate

- *PEFC SWE 003:5 Forestry Contractor Standard*
- *PEFC SWE 004:5 Direct Certification and Group Certification*

7.1.4 Information about issued certificate

The certification body shall, without delay and in accordance with instructions from PEFC Sweden, report information on new, as well as changes in, issued certificates.

8. Disputes

Complaints and disputes that cannot be settled through the procedures of the certification body, and that concern interpretation of the PEFC requirements' relevance, clarity, and objectivity, shall be transferred to PEFC Sweden, see *PEFC SWE 001 PEFC's Certification System for Sustainable Forest Management in Sweden*.