

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Annex 6 stipulated for chain of custody certification are not reflected in this checklist, as these requirements have been replaced by PEFC ST 2003, *Requirements for Certification Bodies operating Certification against the PEFC International Chain of Custody Standard*.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)
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	<p>Document 001</p> <p>“8.1.3 Certification bodies</p> <p>PEFC is based on independent systems for accreditation and certification. Compliance with the PEFC-standard shall be audited by a third party, i.e., an independent, accredited certification body. At group certification, the certification body audits both the umbrella organization’s own work and the implementation of the standard by the members. Certification bodies shall be accredited by an acknowledged accreditation body and notified by the Swedish PEFC in accordance with <i>PEFC SWE 006 Notification of Certification Bodies</i>. Certification bodies issue certificates. The requirements that apply to certification bodies are described in <i>PEFC SWE 005 Certification Bodies</i>. Certification bodies may not participate in</p>

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			<p>development of the PEFC-standard.”</p> <p>PEFC SWE 004:</p> <p>“3.1.1 Concluding an agreement with accredited certification body on certification and on continuing to maintain the certification.”</p> <p>“4.2.1.4 Agreement with accredited and notified certification body regarding certification and maintenance of the certification.”</p> <p>Document 005:</p> <p>“3.1 Accreditation</p> <p>The certification body operating forestry-, contractor-, or chain of custody certification shall be accredited by an internationally approved accreditation body in order 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.”</p>
2.	Does the scheme documentation require that	Annex 6, 3.1	Document 005:

No.	PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
	certification body for forest management certification shall fulfil requirements defined in ISO 17021?		<p>“3.3 Forestry- and contractor certification</p> <p>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. “</p>
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	<p>Document 005</p> <p>“3.3 Forestry- and contractor certification</p> <p>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:</p> <ol style="list-style-type: none"> 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 of forest management and forestry contracts and its economic, social, and environmental effects. 3. Have good knowledge of the Swedish PEFC certification system for sustainable forest management. 4. Have special competence as regards laws and other

No.	PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
			<p>requirements critical to activities practiced in forestry.</p> <ol style="list-style-type: none"> 5. Have documented experience within the field of expertise. 6. Have auditors which are adequately trained and that that possess 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.	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	<p>Document 005</p> <p>"3.3 Forestry- and contractor certification</p> <p>---</p> <ol style="list-style-type: none"> 3. Have good knowledge of the Swedish PEFC certification system for sustainable forest management. <p>---</p>
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	<p>Document 005</p> <p>"3.3 Forestry- and contractor certification</p> <ol style="list-style-type: none"> 6. Have auditors which are adequately trained and that that possess practical experience within the field of expertise. 7. Be able to demonstrate the auditors' qualifications for work within the field of expertise"

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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	<p>Document 005</p> <p>“5.1 Forestry- and contractor certification</p> <p>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, complemented by expert knowledge within the business area. The auditors shall:</p> <ol style="list-style-type: none"> 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 <u>SS-EN ISO 19011</u> 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.

No.	PEFC benchmark requirement		YES / NO	Reference to system documentation (including quotation of relevant text)
				“
7.	Does the scheme documentation include additional qualification requirements for auditors carrying out forest management audits? [*1]	Annex 6, 3.2		Document 005 “5.1 Forestry- and contractor certification
Certification procedures				
8.	Does the scheme documentation require that certification bodies shall have established internal procedures for forest management certification?	Annex 6, 4		Document 005 “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.”
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		Document 005 “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. “
10.	Does the scheme documentation require that applied auditing procedures shall fulfil or be compatible with the requirements of ISO 19011?	Annex 6, 4		Document 005

No.	PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
			<p>“5.1 Forestry- and contractor certification</p> <p>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, complemented by expert knowledge within the business area. The auditors shall:</p> <ol style="list-style-type: none"> 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 <u>SS-EN ISO 19011</u>
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	<p>Document 005</p> <p>“7.1.4 Information about issued certificate</p> <p>The certification body shall, without delay and in accordance with instructions from the Swedish PEFC, report information on new, as well as changes in, issued certificates. “</p>
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	<p>Document 005</p> <p>“6.1 Audit</p> <p>The objective of the audit is to determine, on the basis of evidence, whether the business in question is conforming with the requirements for:</p>

No.	PEFC benchmark requirement		YES / NO	Reference to system documentation (including quotation of relevant text)
				<ul style="list-style-type: none"> Forestry- and contractor certification according to the Swedish PEFC certification system for sustainable forest management, encompassing the documents PEFC SWE 001-004. <p>Logo usage (if applicable), in accordance with current edition of the standard <i>PEFC ST 2001 PEFC Trademark rules – requirements</i>, laid down by PEFC International</p>
13.	Does a maximum period for surveillance audits defined by the scheme documentation not exceed more than one year?	Annex 6, 4		<p>Document 005</p> <p>“6.4 Surveillance audits</p> <p>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 time period between audits shall not exceed one year.”</p>
14.	Does a maximum period for assessment audit not exceed five years for forest management certifications?	Annex 6, 4		<p>Document 005</p> <p>“7. Certificate</p> <p>A certificate for forestry- and contractor certification in group (umbrella organizations) is valid for five years at the most. Direct forestry- and contractor certificates are 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.”</p>
15.	Does the scheme documentation include requirements for public availability of certification report summaries?	Annex 6, 4		<p>Document 005</p> <p>“6.2 Audit report</p> <p>From the report shall be clear the scope of the audit, positive</p>

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				and negative observations as well as what is needed in other respects in order 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."
16.	Does the scheme documentation include requirements for usage of information from external parties as the audit evidence?	Annex 6, 4		Document 005 "6.1.1. 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. "
17.	Does the scheme documentation include additional requirements for certification procedures? ^[1]	Annex 6, 4		Document 005 6.1.2
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		3.1 Accreditation The certification body operating forestry-, contractor-, or chain of custody certification shall be accredited by an internationally

No.	PEFC benchmark requirement		YES / NO	Reference to system documentation (including quotation of relevant text)
				approved accreditation body in order 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
19.	Does the scheme documentation require that an accredited certificate shall bear an accreditation symbol of the relevant accreditation body?	Annex 6, 5		1. Name, accreditation reference and number of the certification body
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		3.1 Accreditation The certification body operating forestry-, contractor-, or chain of custody certification shall be accredited by an internationally approved accreditation body in order 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
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		3.1 Accreditation The certification body operating forestry-, contractor-, or chain of custody certification shall be accredited by an internationally approved accreditation body in order to perform certification against PEFC SWE TD V.

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				3.3 Forestry- 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:
22.	Does the scheme documentation include a mechanism for PEFC notification of certification bodies?	Annex 6, 6		3.2 Notification The certification body operating forestry-, contractor-, or chain of custody certification in Sweden shall be notified by the Swedish PEFC in accordance with <i>PEFC SWE 006 – Notification of Certification Bodies</i> .
23.	Are the procedures for PEFC notification of certification bodies non-discriminatory?	Annex 6, 6		PEFC SWE 006

* 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