

Svenska PEFC ek för
TD IV



PEFC Sweden Requirements for Certification Bodies

PEFC SWE 005:4



Främjande av
uthålligt skogsbruk

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PEFC works for sustainable forest management where consideration is shown for environment, production, and social requirements.

The PEFC-logotype is found on products which derive from forestry that complies with PEFC requirements.

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1 Introduction

PEFC is based on independent systems for accreditation and certification. Concerning forest-and forestry contractor certification in accordance with the Swedish PEFC certification system for sustainable forest management, the applicable documents are PEFC SWE 001-004. Concerning chain of custody certification, the applicable standard is PEFC ST 2002:2013: Chain of custody of forest based products, as laid down by PEFC International. Usage of the PEFC logotype shall meet the requirements of the standard PEFC ST 2001:2008: PEFC Logo usage rules – requirements, as laid down by PEFC International.

The Swedish PEFC economic association is, as owner of the system, responsible for development and running of the certification system.

2 Scope

The Swedish PEFC-standard (TD IV) consists of six different standards which describe the system for PEFC-certification of forestry, forestry contractors and timber flows in Sweden:

- PEFC SWE 001 – Swedish PEFC certification system for sustainable forest management
- PEFC SWE 002 – Swedish PEFC forest standard
- PEFC SWE 003 – Swedish PEFC forestry contractor standard
- PEFC SWE 004 – Swedish PEFC requirements for direct certification and group certification
- PEFC SWE 005 – Swedish PEFC requirements for certification bodies
- PEFC SWE 006 – Instructions for notification of certification bodies

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

3 Certification bodies - requirements

3.1 Accreditation

The certification body carrying out forest-, forestry contractor-, or chain of custody certification shall be accredited by an internationally approved accreditation body to conduct certification according to PEFC SWE TD IV. 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 carrying out forest-, forestry contractor-, or chain of custody certification in Sweden shall be notified by the Swedish PEFC in accordance with PEFC SWE 006.

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 are a complement to, 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 forest management and contractor operations may be examined and certified in such a way that a uniform judgement is guaranteed.
2. Have a good knowledge of forest management and forestry contracts and its economic, social, and environmental effects.
3. Have a good knowledge of the Swedish PEFC certification system for sustainable forest management.
4. Have special competence as regards laws and other requirements critical to activities practiced in forestry.
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 of the certified entity and not involved in the forest management

4 Chain of custody certification

The criteria that qualify certification bodies to carry out chain of custody certification are laid down in PEFC ST 2003:2012 Requirements for Certification Bodies operating Certification against the PEFC International Chain of Custody Standard.

5 Auditors - requirements

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, 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 documented knowledge about forest management and forestry contracts and its economic, social, and environmental effects.
4. Have special competence as regards laws and other requirements critical to operations practiced in forestry.
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 procedures for forestry- and contractor certification (direct and in group) and/or chain of custody certification.

6.1 Audit

The objective of the audit is to assess, on the basis of evidence, whether the business in question is complying with:

- Forestry- and contractor certification according to the Swedish PEFC certification system for sustainable forest management, encompassing the documents PEFC SWE 001-004.
- Chain of custody certification according to the standard PEFC ST 2002:2013: Chain of custody of forest based products, laid down by PEFC International.
- In the case of logo usage, the standard PEFC ST 2001:2008: PEFC Logo usage 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 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
- persons noticed, and
- other information that might take preparations from the person whose business is subject to audit.

The audit is carried out 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 evidence for the audit. For forestry and contractors, criteria for the audit are specified in the documents PEFC SWE 001-004 and for Chain of custody in ST 2002:2013. Results from completed internal audits shall in particular be taken into consideration.
 - Audits of umbrella organizations shall comprise the group-members. The number of controls of group-members shall, as a minimum, be equivalent to the square root of the number being subject to internal audit, according to instructions for internal audits specified in document PEFC SWE 004.
 - The audit shall comprise the competence of internal auditors and the implementation of internal audits of the group-members.
 - If the umbrella organization affiliates several different categories, each category shall be subject to control according to the above.
 - The objects subjected to audit shall be randomly selected.
- Assessment of evidence for the audit
- Closing meeting
- Report on how standard requirements have been met in the business in question.

The audit team shall collect a sufficient amount of evidence for the audit 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 result (in particular any non-compliances) is shared at a concluding meeting with the person whose business is subject to audit.

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 in order to handle requirements on necessary information for a decision on certification and to prove accreditation requirements. 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 re-certification 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 the next planned audit.
4. An account of important observations, strong and weak points, decision on certification, any provisions and recommendations.

6.3 Decision on certification

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

6.4 Follow-up audits

Follow-up audits are carried out at least once a year during the certificate's period of validity. The maximum period between audits must not exceed one year. Follow-up audits may be of a more limited scope than audits that are to form the basis for a decision regarding certification. All PEFC-requirements shall however have been audited during the certificate's period of validity.

6.5 Non-compliances and corrective action

Non-compliances with certification requirements always result in corrective action and possibly to the certificate not being granted, it being withdrawn temporarily or permanently. Non-compliances are categorized into minor non-compliances and major non-compliances. Observations do not constitute any hindrance for certification. Non-compliances shall have been taken care of, 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. A direct forestry- and contractor certificate, as well as chain of custody certificate, is valid for five years at the most. The certification body may withdraw a granted certificate permanently or temporarily. A decision to withdraw a certificate, including a

justification for doing so, shall be sent in written form to the person whose business is subject to audit.

Cancellation of the 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 following types of certificates may be issued according to the Swedish PEFC certification system for sustainable forest management:

Type of certificate	Issued to
PEFC Forestry certificate	Forest owners and wood procurement organizations
PEFC Contractor certificate	Contractors
PEFC Group certificate – in combination with SS-EN ISO 14001:2004	Umbrella organizations

Chain of custody certificates are issued in accordance with the requirements laid down in PEFC ST 2002:2013: Chain of custody of forest based products.

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
 - a. Forestry
 - b. Type of contractor, specified as belonging to any of the main categories:
 - i. Felling operations contractor
 - ii. Silvicultural contractor
 - iii. Forest management planning contractor
3. Reference to the standard, see 7.1.4
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
10. Identification of all sites of operation that are encompassed by the certificate, as well as the kind of operation certified at each site.

7.1.2 At group certification for group certificates (umbrella organizations)

1. Name and address of the umbrella organization
2. Reference to SS-EN ISO 14001:2004
3. Identification of the group-certified business with reference to the standard, see 7.1.4
 - a. Forestry for forest owners
 - b. Forestry for wood procurement organizations
 - c. Contractors
4. Date of issuance
5. Expiration date
6. Certificate number
7. Name, accreditation reference and number of the certification body

7.1.3 At Chain of custody certification (direct or in business group)

1. Name and address of company/business group
2. Identification of the product/products
3. Identification of the company's/ business groups activities
4. Reference to the standard
5. Chosen method for determination of/calculation of certified percentage
6. Identification of the certification body's certification system
7. Specification that this concerns a process certification
8. Date of issuance
9. Expiration date
10. Certificate number
11. Name, accreditation reference and number of the certification body
12. Identification of all sites of operation that are encompassed by the certificate, as well as the kind of operation certified at each site.

7.1.4 Reference to the standard

The following references to the respective standard shall be used:

PEFC Forestry certificate

- "Swedish PEFC forest standard PEFC SWE 002:4"
- "Swedish PEFC requirements for direct certification and group certification PEFC SWE 004:4"

PEFC Contractor certificate

- "Swedish PEFC forestry contractor standard - PEFC SWE 003:4"
- "Swedish PEFC requirements for direct certification and group certification PEFC SWE 004:4"

PEFC Group certificate – forestry and/or contractor

- "Swedish PEFC requirements for direct certification and group certification PEFC SWE 004:4"

For **Chain of custody certificate**: “PEFC ST 2002:2013: Chain of custody of forest based products” and “PEFC ST 2001:2008: PEFC Logo usage rules – requirements”.

7.1.5 Information about issued certificate

The certification body shall without delay register information on issued certificates, as well as any changes in existing certificates, in the database shown by the Swedish PEFC.

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 the Swedish PEFC, see PEFC SWE 001.