



## PEFC ST 2003 Requirements for certification bodies operating chain of custody against PEFC ST 2002 – Introduction to changes

### 1. Scope

### 2. Normative references

### 3. Terms and definitions

This chapter has been updated including six new definitions: audit, certification decision maker, PEFC authorised body, PEFC National Governing Body, reviewer and technical expert.

### 4. General requirements

#### 4.1 Legal and contractual matters

#### 4.2 Management of impartiality

#### 4.3 Liability and financing

#### 4.4 Non-discriminatory conditions

#### 4.5 Confidentiality

Certification bodies shall inform client organisations of the information provided to PEFC and have their written consent, in compliance with applicable data protection legislation.

#### 4.6 Publicly available information

### 5. Structural requirements

### 6. Resource requirements

#### 6.1 Certification Body personnel

##### 6.1.1 General

##### 6.1.1.1 Personal involved in the certification activities

Gender equality should be promoted (6.1.1.1.2).

##### 6.1.1.2 Auditors

The clause has been reordered. The standard includes new requirements to become a qualified auditor:

- **Working experience (6.1.1.2.2)**, the 3 years required can be reduced by 1 year if the auditor has performed 4 chain of custody audits with a qualified auditor (6.1.1.2.2.3), in addition to the required **audit experience**.
- **Audit experience**, 2 of the 4 required audits must be PEFC chain of custody audits. And the 4 audits can be reduced to the 2 PEFC chain

of custody audits for auditors that are qualified for chain of custody standards, ISO 9001 or ISO 14001 in related sectors **(6.1.1.2.5)**.

- **Initial training** on PEFC chain of custody and PEFC system, recognised by PEFC Council **(6.1.1.2.2)**.
- **Competencies** further specified to include the new definition of control sources **(6.1.1.2.6.1.a)** of the PEFC Chain of custody standard, as well as specifications on social issues, such as international conventions on workers' rights and labour contracts and or collective bargaining agreements **(6.1.1.2.6.1.d)**.

#### **6.1.1.3 Audit team**

Gender balance should be considered.

##### **6.1.1.3.1 Technical experts**

Technical experts shall be independent from the auditee and their names and affiliations included in the audit report.

##### **6.1.1.3.2 Reviewers and certification decision maker**

New requirements for reviewers and certification decision makers, similar to the requirements to become a qualified auditor.

#### **6.1.2 Management of competence for personnel involved in the certification process**

Requirements for maintaining the qualification of auditor have been moved here. So in this version **6.1.1.2** defines the requirements to become a qualified auditor, and **6.1.2** the requirements to maintain the qualification of auditor. It includes also requirements for qualified a reviewer or certification decision maker.

Auditors, reviewer and certification decision maker are required to get a refresher training recognised by PEFC Council every 2 years **(6.1.2.1)**. And also whenever there is a new issuance of the PEFC Chain of custody or Trademarks standards **(6.1.2.2)**.

To maintain the qualification, auditors shall perform at least 5 external audits per year in chain of custody standards, ISO 9001 or ISO 14001 in related sectors, and 2 of them shall be PEFC chain of custody audits **(6.1.2.3)**. In exceptional circumstances, such as statutory leave or long term illness, auditors unable to comply shall perform at least 2 PEFC Chain of custody audits **(6.1.2.4)**.

To maintain the qualification as reviewer of certification decision maker, it is required to observe a PEFC CoC audit per year **(6.1.2.5)**.

A table summarising the resources requirements section has been added at the end.

## **7. Process requirements**

### **7.1 General**

The certification body may provide publicly available documents published by the PEFC.

### **7.2 Application**

The certification body shall obtain information from the certified organisation previous to the application review and audit **(7.2.1 and 7.2.2)**, but it does not have to happen at the first contact. The information shall be sufficient to assess if it is a new application or a transfer of certification instead **(7.2.3)**.

### **7.3 Application review**

This clause has been reordered and some requirements moved to 7.4.

#### **7.4 Audit**

This clause has been restructured and renamed to “Audit” instead of “Evaluation”.

As part of the purpose of the audit, certification bodies shall collect data as required by the PEFC notification contract (7.4.4.a).

In general, audits shall be conducted on-site. However, the standard opens the possibility to remote auditing with the use of ICT tools for organisations without physical possession

(7.4.6).

On request, certification bodies may have to provide a summary of the audit report and other necessary audit records in English to PEFC (7.4.11.2).

#### **7.5 Review**

##### **7.6 Certification decision**

Before granting initial certification, as a minimum major and minor nonconformities shall be solved (7.6.2). Before recertification, major nonconformities shall be solved (7.6.3).

##### **7.7 Certification documentation**

Certificates shall include the PEFC logo with the licence number of the certification body (7.7.1.e) and indicate whether it is an individual or a multisite certificate (7.7.1.c).

The scope of the certificate shall include: PEFC Chain of Custody standard, PEFC Trademarks standard, chain of custody method and the products covered by the certificate, following the PEFC Council product categories (7.7.2). The standard includes now specific requirements for issuing certificate numbers (7.7.4). The certificate shall be issued in English, and any other language, as appropriate (7.7.5). Regarding project certification, the standard clarifies how certificates should be issued: “name and address” refers to the name and address of the controlling entity. The name of the project can be included as a product under the scope of the certificate (notes to 7.7.1.b and 7.7.2.d).

##### **7.8 Directory of certified products**

##### **7.9 Surveillance**

The certification body shall carry out at least 4 surveillance audits before expiration of the certificate.

##### **7.10 Changes affecting certification**

##### **7.11 Termination, reduction, suspension or withdrawal of certification**

If a certificate is terminated, suspended or withdrawn, certification bodies shall inform organisations that they are not allowed to make PEFC claims or use the trademarks.

##### **7.12 Records**

##### **7.13 Complaints and appeals**

Two new requirements have been added to this clause. The first one seeks to ensure that PEFC Council gets informed within 30 days of any substantiated claims of non-compliance with certification requirements by client organizations (7.13.1). The second requires certification bodies to provide PEFC with summary reports for resolved complaints and appeals, and it details the minimum content for these reports (7.13.2).

### **8. Management system requirements**

#### **8.1 Internal audits of the certification body**

On request, certification bodies shall provide to PEFC Council or the PEFC Authorised Body the results of annual internal audits, limited to the performance of PEFC CoC activities.

## **Appendix 1. PEFC notification of certification bodies**

## **Appendix 2. Accreditations accepted by the PEFC Council**

The IAF regional groups have been updated.

Accreditation certificates shall also cover the Trademarks standard and being issued in English and any other additional languages, as applicable.

## **Appendix 3. Multi-site chain of custody certification**

### **1. Introduction**

### **2. Eligibility criteria for the multi-site client organisation**

### **3. Eligibility criteria for the certification body**

#### **3.1 General**

#### **3.2 Contract review**

#### **3.3 Audit**

#### **3.4 Nonconformities**

#### **3.5 Certificates**

If sites are cited in an appendix to the contract or other document, they are an integral part of the certificate and shall not be separated **(3.5.1)**. In case the certification body issues sub-certificates, they shall include a statement saying “the validity of this certificate depends on the validity of the main certificate”. Where the sub-certificate includes a sub-certificate number, it shall be linked to the certificate number and included in the certificate **(3.5.3)**. To finish with, the clause includes a new requirement with details on how certification bodies shall proceed when adding sites to an existing multisite certificate **(3.5.6)**.

### **4. Sampling for on-site audits**

#### **4.1 Methodology**

In line with the new requirement on how to add sites to existing multi-sites, new requirements on how to consider the new sites when calculating the sampling have been included **(4.1.3)**.

#### **4.2 Size of sample**

And also new requirements further detailing how to proceed when adding sites to an existing multi-site in terms of size of the sample **(4.2.3)**.

#### **4.3 Audit times**

## **Appendix 4. Minimum content of audit reports**

This Appendix establishes the minimum content an audit report shall include.

## **Bibliography**

A final section dedicated to the bibliography has been added. It includes a reference to IAF MD1 document.