

## 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Annex 6 stipulated for chain of custody certification are not reflected in this checklist, as these requirements have been replaced by PEFC ST 2003, *Requirements for Certification Bodies operating Certification against the PEFC International Chain of Custody Standard*.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)
<b>Certification Bodies</b>			
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
2.	Does the scheme documentation require that certification body for forest management certification shall fulfil requirements defined in ISO 17021?		Annex 6, 3.1
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
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
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
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		Annex 6, 3.2

No.	PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
	Systems auditors?		
7.	Does the scheme documentation include additional qualification requirements for auditors carrying out forest management audits? <sup>[*1]</sup>		Annex 6, 3.2
<b>Certification procedures</b>			
8.	Does the scheme documentation require that certification bodies shall have established internal procedures for forest management certification?		Annex 6, 4
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
10.	Does the scheme documentation require that applied auditing procedures shall fulfil or be compatible with the requirements of ISO 19011?		Annex 6, 4
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
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
13.	Does a maximum period for surveillance audits defined by the scheme documentation not exceed more than one year?		Annex 6, 4
14.	Does a maximum period for assessment audit not exceed five years for forest management certifications?		Annex 6, 4
15.	Does the scheme documentation include requirements for public availability of certification report summaries?		Annex 6, 4
16.	Does the scheme documentation include requirements for usage of information from external parties as the audit evidence?		Annex 6, 4
17.	Does the scheme documentation include additional requirements for certification procedures? <sup>[*1]</sup>		Annex 6, 4
<b>Accreditation procedures</b>			
18.	Does the scheme documentation require that certification bodies carrying out forest management certification shall be accredited		Annex 6, 5

No.	PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
	by a national accreditation body?		
19.	Does the scheme documentation require that an accredited certificate shall bear an accreditation symbol of the relevant accreditation body?		Annex 6, 5
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
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
22.	Does the scheme documentation include a mechanism for PEFC notification of certification bodies?		Annex 6, 6
23.	Are the procedures for PEFC notification of certification bodies non-discriminatory?		Annex 6, 6

\* 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