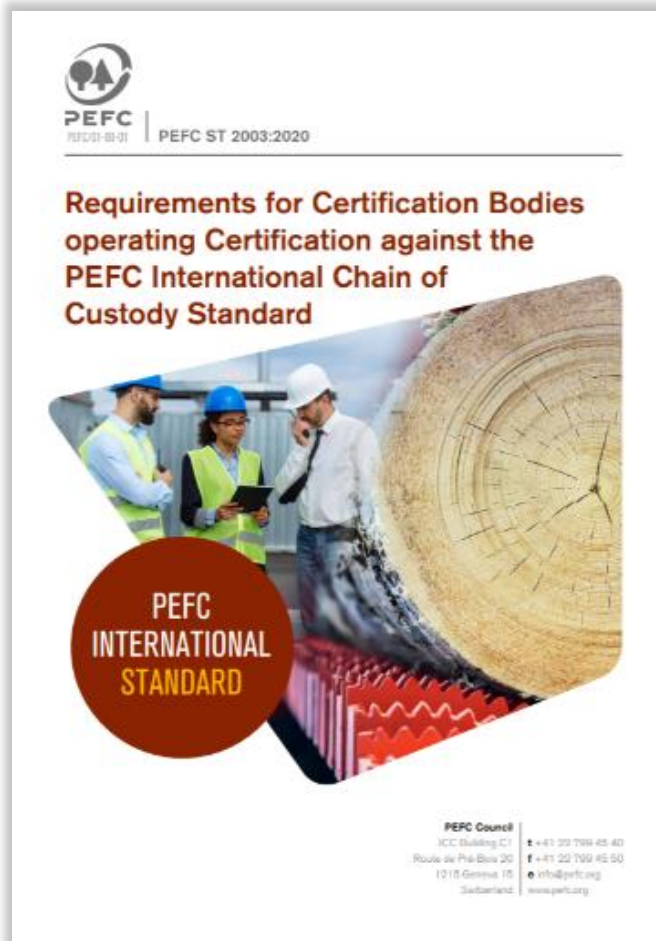




Module 07

Requirements for Certification Bodies

PEFC ST 2002:2020



1. Scope
2. Normative references
3. Terms and definitions
4. General requirements
5. Structural requirements
6. Resources requirements
7. Process requirements
8. Management system requirements

Appendix 1: PEFC notification of certification bodies

Appendix 2: Accreditation accepted by the PEFC Council

Appendix 3: Multi-site chain of custody certification

Appendix 4: Minimum content of the audit report

PEFC ST 2002:2020

- Mandatory requirements for all CBs certifying against PEFC ST 2002:2020
- CBs carrying out PEFC CoC certification shall be accredited by accreditation bodies who are signatories of the Multilateral Recognition Arrangement (MLA) for product certification of IAF
- The CB requires to be notified by PEFC Council or other PEFC authorised body
- Requirements above ISO 17065
- CBs to meet:
 - **ISO 17065**
 - **ISO 19011**



General requirements (4)

General requirements

Legal and contractual matters

- Usage of the logo on certificates by CB
- Clarifying usage of the logo by certified organisations

Confidentiality

- CB shall inform client organisation that it is obliged to provide information to the PEFC, **and the range and usage of information to be provided**
- CB shall have the written consent, **in compliance with applicable data protection legislation**



General Requirements: 4.5 Confidentiality

- In the case where the certification body and the certified company are based in different countries then both legislations are applicable. The requirement aims at considering any applicable legislation.

E.g., GDPR applies whenever an organisation is collecting personal information of European citizens, independently on where the organisation is based. If the accreditation body and the certification body are based in two different and non-EU countries, but are collecting information about EU citizens, GDPR also applies.





Structural requirements (5)

Structural requirements

- According to ISO/IEC 17065:
 - Organisational structure and top management
 - Mechanism for safeguarding impartiality



Resource requirements (6)

Resource requirements (6)

Certification body personnel (6.1)

1. Personnel involved in the certification activities

- relevant and appropriate knowledge and competencies corresponding to these activities
- **gender equality should be promoted**

2. Auditors

- education
- working experience
- CoC training **recognised by PEFC Council**
- audit training
- audit experience
- **competencies**

NOTE

Requirements for qualified auditors are defined in a separate section

Certification body personnel (6.1)

3. Audit team

- **Gender balance considered**
- Technical experts independent from auditee, **names and affiliations in audit report**

4. Reviewers and certification decision makers

- education
- working experience
- CoC training recognised by PEFC Council
- audit training
- audit experience
- competencies

6. Resource Requirements: Gender Equality



There are different ways to promote gender equality. Each certification body should document how they are going to do it. An index can be an option to measure progress.

Education (6.1.1.2.1)

	Auditor	Reviewer and certification decision maker
Education	<ul style="list-style-type: none">• Secondary education as a minimum• Including courses or supplemented with courses on forest and tree based industries<ul style="list-style-type: none">➤ Can be substituted by working experience	



6. Education- Secondary Education



Secondary education is the second stage traditionally found in formal education, beginning about age 11 to 13 and ending usually at age 15 to 18 e.g. high school

Working experience (6.1.1.2.2)



	Auditor	Reviewer and certification decision maker
Working experience	<ul style="list-style-type: none"> 3 years full time experience in forest and tree based and related industries Reduced by 1 year with relevant tertiary education in forest and tree based industries Reduced by 1 year if performance of 4 CoC audits as auditor-in-training 	<ul style="list-style-type: none"> 3 years of full time related working experience in conformity assessment Reduced by 1 year, if with tertiary education in forest and tree based industries A qualified PEFC Chain of custody auditor considered as meeting the minimum working experience required

Clarification provided in GD 2001:2025

- Due to scarcity of the auditor, and similar audit skill sets that auditors acquire from other third-party land based sectors,
- GD 2001:2025 Opens up for auditors:
 - Working experience
 - Audit experience
- Counting working experiences and audit experiences in **other land-based sectors, besides forest and tree relate sector**, where possible, for initial qualification to become PEFC reconigsed auditor, and for maintenance their qualification.

6.1.1.2.2.1: Working experiences for initial qualification for Auditor

- Working experiences for initial qualification

6.1.1.2.2 Working experience

6.1.1.2.2.1 For a first qualification of an auditor, the certification body shall ensure that the auditor has a minimum of three years of full-time related working experience in the forest and/or tree based and related industries.

6.1.1.2.2.3 The number of years of total work experience may be reduced by one year if the auditor has performed, as auditor-in-training, four chain of custody **audits** under the leadership of a qualified auditor, in addition to the chain of custody **audits** required as audit experience under 6.1.1.2.5.1.

EXTENDING WORKING EXPERIENCE TO COVER CERTIFICATION RELATED WORK EXPERIENCE IN ISO 9001, 14001 OR EQUIVALENT SCHEMES IN THE FOREST AND OTHER LAND-BASED INDUSTRIES

6.1.1.2.2.1: Working experiences for initial qualification- for Auditor

6.1.1.2.2.1

- Guidance: Working experience as a qualified auditor and/or certification professional under chain of custody and/or ISO 9001 or ISO 14001, or equivalent schemes in forest and tree-based or land-based commodities and related industries can also be accounted as part of the three years of full-time related working experience, as long as the certification body can demonstrate that the working experience provides a good basis for the auditing.
- The requirement 6.1.1.2.2.1 can be read as 'For a first qualification of an auditor, the certification body shall ensure that the auditor has a minimum of three years of full-time related working experience in the forest and/or tree based and related industries, and/or working experience as a qualified auditor and/or certification professional under chain of custody and/or ISO 9001 or ISO 14001, or equivalent schemes in forest and tree-based or land-based commodities and related industries.'

6.1.1.2.2.1: Working experiences for initial qualification

Working experiences for initial qualification

	PEFC ST 2003	GD 2001:2025
WORKING EXPERIENCE	<ul style="list-style-type: none">• 3 years full-time working experience in the forest and/or tree based and related industries.• May be reduced by 1 year, if tertiary education appropriate and relevant to forest and/or tree based and related industries.• May be reduced by 1 year if the auditor has performed, as auditor-in-training, 4 CoC audits	<ul style="list-style-type: none">• 03 years of full-time working experience in the forest and/or tree based and related industries, and/or working experience as a qualified auditor and/or certification professional under chain of custody and/or ISO 9001 or ISO 14001, or equivalent schemes in forest and tree-based or land-based commodities and related industries.'

6. Working Experience: Tertiary Education



**Tertiary education is any level of education pursued beyond high school.
e.g. university, college**

Training (6.1.1.2.3. and 6.1.1.2.4)



	Auditor	Reviewer and certification decision maker
PEFC CoC Training	• Initial training recognised by PEFC Council	
Audit training	<ul style="list-style-type: none">• Responsibility of the CB• ISO/IEC 19011	

6. Recognized PEFC Chain of Custody Training



A recognised Chain of Custody training entails: completing the full initial training provided by a recognised trainer, passing the knowledge test (80% pass mark) and receiving a certificate from PEFC International/Council



Audit experience (6.1.1.2.5)

	Auditor	Reviewer and certification decision maker
Audit experience	<ul style="list-style-type: none">• 4 CoC audits within the last 3 years as auditor-in-training, including at least 2 PEFC CoC audits• Reduced to 2 PEFC CoC audits if qualified for chain of custody standards, ISO 9001 or ISO 14001 in related sectors	<ul style="list-style-type: none">• Observing 1 PEFC CoC audit within the last 3 years



6.1.1.2.5.1: Audit experiences for initial qualification for Auditor

- **Audit experience for initial qualification**

6.1.1.2.5 *Audit experience*

6.1.1.2.5.1 For a first qualification of an auditor, the certification body shall ensure that the auditor within the last three years has performed, as auditor-in-training, chain of custody **audits** for at least four organisations under the leadership of a qualified auditor, including at least two PEFC chain of custody **audits**. The number of chain of custody audits-in-training can be reduced to two PEFC chain of custody **audits** for auditors that are qualified for chain of custody standards, ISO 9001 or ISO 14001 in forest and/or tree related sectors.

EXTENDING AUDIT EXPERIENCE TO COVER EXPERIENCE IN EQUIVALENT SCHEMES AND NOT ONLY IN THE FOREST, BUT ALSO IN OTHER LAND-BASED CERTIFICATION SCHEMES

6.1.1.2.5.1: Audit experiences for initial qualification

6.1.1.2.5.1:

Guidance:

- Being qualified for equivalent schemes in forest and/or tree based and related sectors or land-based commodities and related sectors can also reduce the number of chain of custody audits-in-training to two PEFC chain of custody audits.
- The requirement 6.1.1.2.5.1 can be read as 'For a first qualification of an auditor, the certification body shall ensure that the auditor within the last three years has performed, as auditor-in-training, chain of custody audits for at least four organisations under the leadership of a qualified auditor, including at least two PEFC chain of custody audits. The number of chain of custody audits-in-training can be reduced to two PEFC chain of custody audits for auditors that are qualified for chain of custody standards, ISO 9001 or ISO 14001 in forest and/or tree related sectors, or equivalent schemes in forest and/or tree based and related sectors or land-based commodities and related sectors'.

6.1.1.2.5.1: Audit experiences for initial qualification

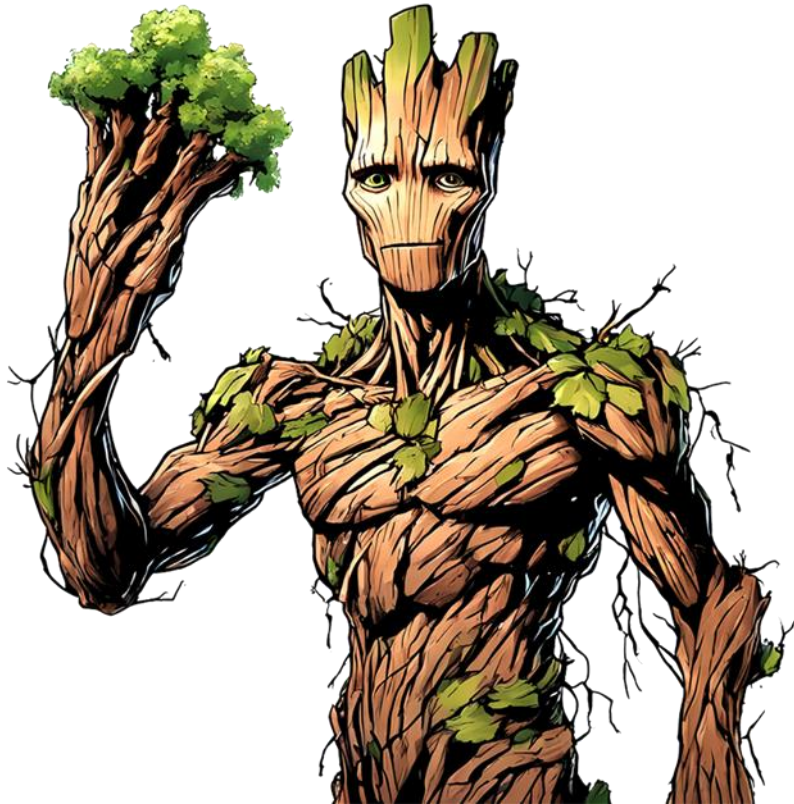
Audit experiences for initial qualification

	PEFC ST 2003	GD 2001:2025
AUDIT EXPERIENCE	<ul style="list-style-type: none">• Within the last 3 years, auditor-in-training in CoC audits for at least 4 organisations, including 2 PEFC CoC audits.• Number of CoC audits in- training reduced to 2 PEFC CoC audits for auditors that are qualified for CoC standards, ISO 9001 or ISO 14001 in forest and/or tree related sectors.	<ul style="list-style-type: none">• Number of CoC audits-in-training can be reduced to 02 PEFC chain of custody audits for auditors that are qualified for chain of custody standards, ISO 9001 or ISO 14001 in forest and/or tree related sectors, or equivalent schemes in forest and/or tree based and related sectors or land-based commodities and related sectors’.

Competencies (6.1.1.2.6)



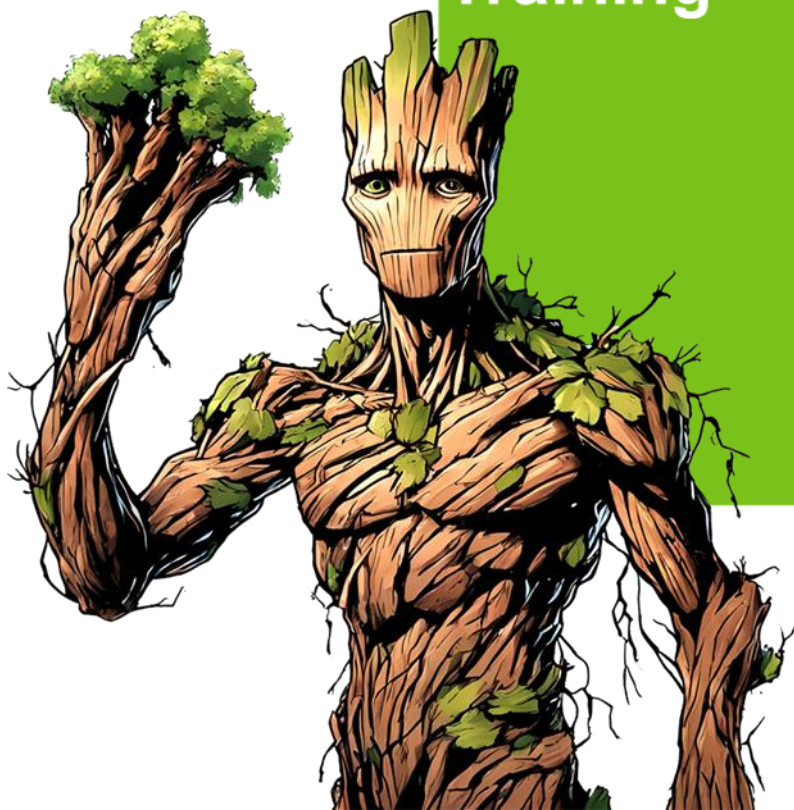
	Auditor	Reviewer and certification decision maker
Competencies	<ul style="list-style-type: none">• General knowledge and skills (audit, organisation, sector specific processes, etc.)• Chain of Custody specific knowledge and skills<ul style="list-style-type: none">➤ PEFC Chain of Custody Standard➤ Application of management systems➤ IT systems➤ Application of PEFC trademarks and claims➤ Application of PEFC DDS➤ Requirements from SFM ST covered under Controversial Sources definition➤ Social issues and health and safety	



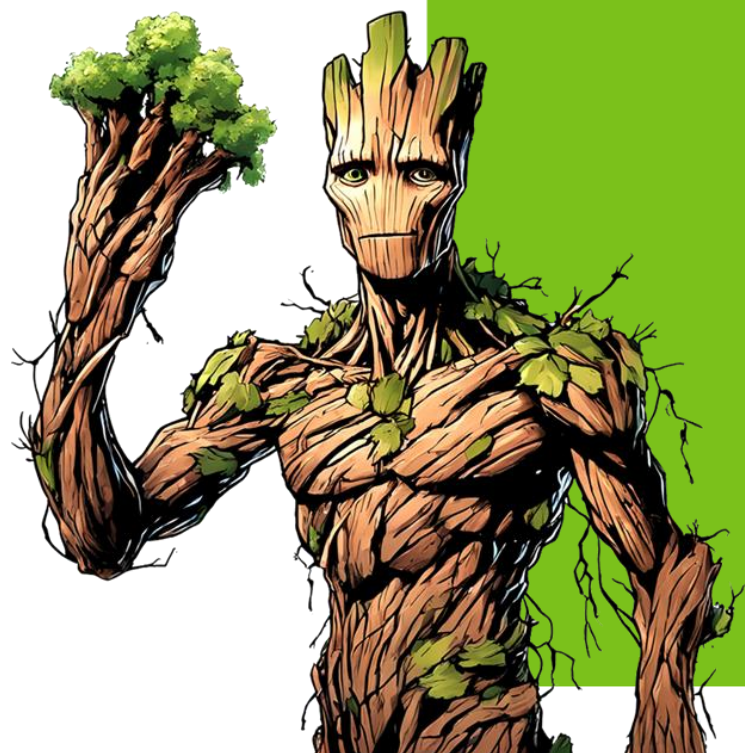
Requirements to maintain the qualification

CoC training (6.1.2)

	Auditor	Reviewer and certification decision maker
CoC Training	<ul style="list-style-type: none">• Initial training recognised by PEFC Council• Refresher training recognised by PEFC Council• Every 2 years; and• When new issuance of PEFC Chain of custody or Trademarks standards	



Audit experience (6.1.2)



	Auditor	Reviewer and certification decision maker
Audit experience	<ul style="list-style-type: none">• 5 audits per year on CoC standards, ISO 9001 or ISO 14001 in related sectors• At least 2 PEFC CoC audits• Covering at least 7 days of audit work• In exceptional circumstances such as statutory leave or long term illness, only 2 PEFC CoC audits	<ul style="list-style-type: none">• Observe at least 1 PEFC CoC audit per calendar year

6.1.2.3: Audit experiences for maintaining the qualification for auditors

- **Audit experience to maintain the qualification**

6.1.2.3 For maintaining the qualification of the auditor, the certification body shall ensure that the auditor has performed a minimum of five external **audits** in chain of custody standards, ISO 9001 or ISO 14001 in forest and/or tree based and related sectors per year, where the sum of these **audits** should cover at least seven days of audit work, including at least two PEFC chain of custody **audits**.

EXTENDING AUDIT EXPERIENCE TO COVER EXPERIENCE IN EQUIVALENT SCHEMES AND NOT ONLY IN THE FOREST, BUT ALSO IN OTHER LAND-BASED CERTIFICATION SCHEMES

6.1.2.3: Audit experiences for maintaining the qualification for auditors

- 6.1.2.3: Maintaining the qualification of the auditor

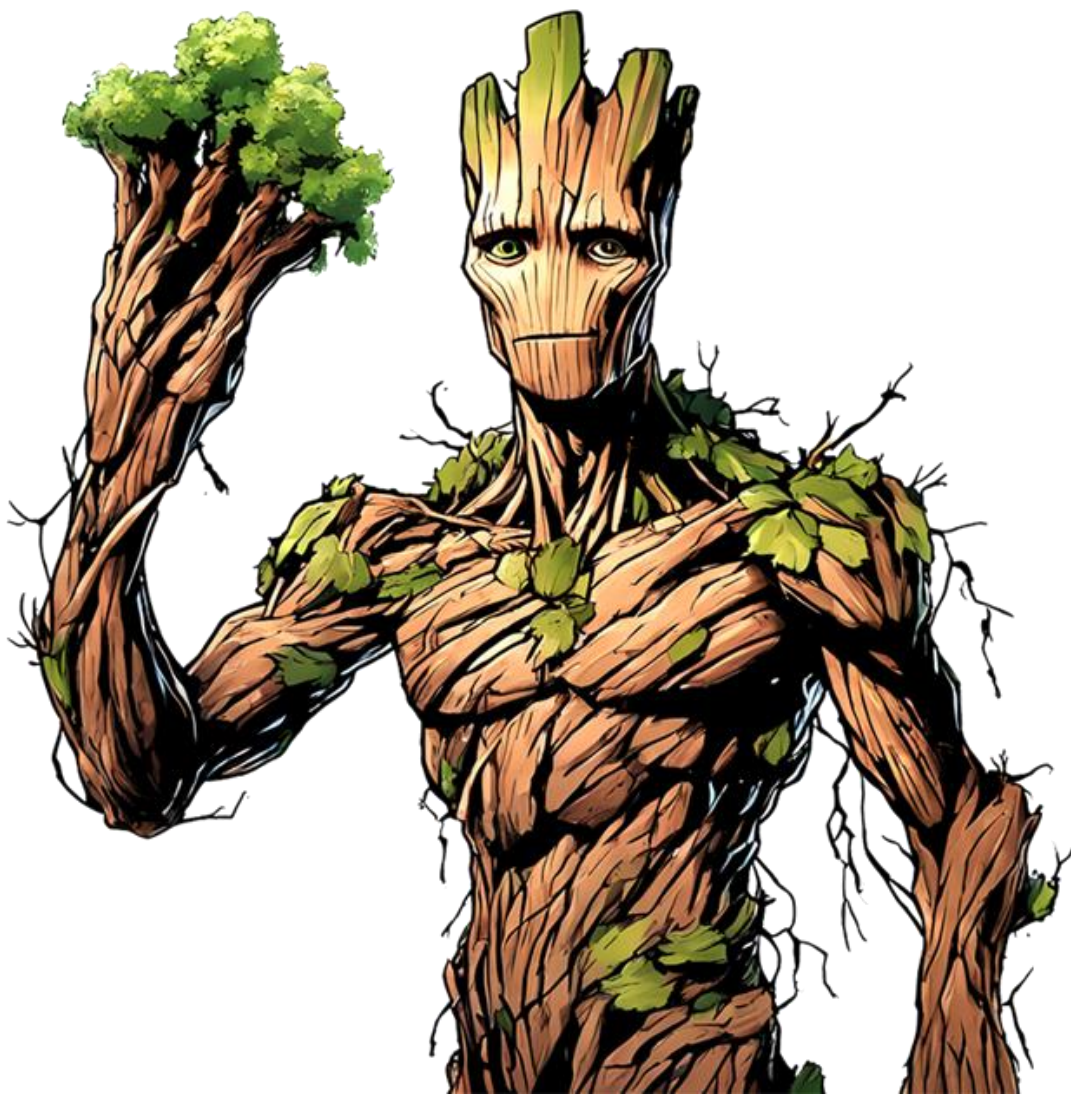
Guidance:

- In addition to the external audits in chain of custody standards, ISO 9001, or ISO 14001 in forest and/or tree based and related sectors, auditors can count the external audits that they conducted against equivalent schemes in forest and/or tree based and related sectors or land based commodities and related sectors.
- The requirement 6.1.2.3 can be read as ‘For maintaining the qualification of the auditor, the certification body shall ensure that the auditor has performed a minimum of five external audits in chain of custody standards, ISO 9001 or ISO 14001, or equivalent schemes in forest and/or tree based and related sectors or land-based commodities and related sectors per year, where the sum of these audits should cover at least seven days of audit work, including at least two PEFC chain of custody audits.’

6.1.2.3: Audit experiences for maintaining the qualification for auditors

	PEFC ST 2003	GD 2001:2025
AUDIT EXPERIENCE	<ul style="list-style-type: none">• Minimum of 5 external audits in CoC, ISO 9001 or ISO 14001 in forest and/or tree based and related sectors per year, where the sum of these audits should cover at least 7 days of audit work, including at least 2 PEFC CoC audits.• In exceptional circumstances, such as statutory leave or long term illness, auditors unable to comply with 6.1.2.3 shall perform at least 2 PEFC chain of custody audits under the leadership of a qualified auditor.	<ul style="list-style-type: none">• Minimum of 5 external audits in CoC, ISO 9001 or ISO 14001 or equivalent schemes in forest and/or tree based and related sectors or in land-based commodities and related sectors per year

6.1.2.3 Qualification Maintenance of an Auditor



Performed a minimum of five external audits in chain of custody standards, ISO 9001 or ISO 14001 in forest and/or tree based and related sectors per year, where the sum of these audits should cover at least seven days of audit work, including at least **two PEFC chain of custody audits**.

GD 2001: The two PEFC chain of custody audits can be audits against a system specific Chain of custody standard endorsed by PEFC against the PEFC ST 2002:2020. **The list of standards endorsed by PEFC against this version can be found in this document, as part of the guidance provided to definition 3.26, PEFC Chain of custody**

And specific for auditors (6.1.1.2.6.3)

Annual monitoring of auditors by CB

- Audit report review
- Client organisations' feedback
- Periodic witness audits
- Identifying training needs



Certification Process

Process requirements – General (7.1)

- CBs may provide **publicly available documents** (i.e. guidance, clarification...) published by PEFC



7. Process Requirements: General

GD 2001:2025: Certification bodies should have feedback mechanisms available for affected stakeholders and rightsholders relevant for the certified organisation as part of the certification process.

PEFC ST 1003:2024 defines Affected stakeholder (3.1): A stakeholder who might experience a direct change in living and/or working conditions caused by implementation of a standard, or a stakeholder who might be a user of a standard and therefore is subject to the requirements of the standard’.

Note 1: Affected stakeholders include neighbouring communities, indigenous people, workers, etc. However, having an interest in the subject matter of the standard (e.g., NGOs, scientific community, civil society) is not equal to being affected.

Note 2: A stakeholder who might be a user of the standard is likely to become a certified entity, e.g., a forest manager in the case of a forest management standard, or a wood processing enterprise in the case of a chain of custody standard.



Process requirements (7) - steps



1. Application
2. Application review
3. Audit
4. Review
5. Certification decision
6. Certification documentation
7. Surveillance
8. Changes affecting certification
9. Termination, reduction, suspension or withdrawal
10. Records
11. Complaints and appeals

Process requirements (7)

Application

- **CBs must obtain information from client organisation**
 - Corporate entity, name, address and legal status
 - Documented procedures
 - Description of products, and for each site/product group:
 - CoC method
 - **Intended application of trademarks**
 - **Not necessary at first contact, but prior to application review and audit**
 - **Sufficient to assess whether transfer** of certification or new application



7.2 Application & application review of the client organisation



The certification body should have in place mechanisms to identify companies (including the client organisation) sanctioned for engagement in corrupt practices relevant to the forest sector

Process requirements (7)

Application review

- Determine conformity of documentation with certification criteria

Process requirements (7)

Audit

- Document procedures to establish an **audit plan**.
- The audit plan is a basis for agreement regarding the conduct and the scheduling of the training activities.
- The audit plan shall be communicated and the dates of the audit shall be agreed upon with the client organisation.
- For multi-site certification the audit plan shall list the sites to be visited as part of the sample. Refer to appendix 3.
- The CB shall have documented procedures for selecting and appointing the audit team, including the audit team leader. (ISO 19011:2018 clauses 5.5.4)



7. Process Requirements: 7.4.5 Audit

GD 2001:2025: The presence of PEFC certified raw material is not mandatory when audits take place. There are PEFC certificate holders who are traders, and they do not have the physical possession of PEFC certified raw material, or there is the case that the organisation only uses PEFC controlled sources material.



7. Process requirements

Audit

- Purpose of the audit:
 - Determine conformity of the clients' organisation:
 - chain of custody process
 - management system
 - chain of custody process with avoidance of procuring raw material from controversial sources (PEFC DDS requirements)
 - PEFC Trademarks usage and **Trademarks licence contract**
 - identify areas for improvement
 - And also data collection as required by PEFC



7.4 Purpose of the Audit

Important that auditor checks the balance between the material received and the material sold by the client



Example of data that is required to be collected:

- company name
- contact point
- email address
- company turnover
- Chain of custody method
- products covered by the certificate, according to PEFC product categories
- when the species defined the product, also the species or potential species that the product may include
- if more than one site, address and contact point for each site, and chain of custody methods and product groups specified by site

7. Process requirements

Audit

- In general: audit on-site
- **Remote auditing** for organisations **without physical possession**
- Remote audit available for surveillance audits, under certain circumstances



Process requirements (7)

Audit

- **Duration: 4 hours** minimum time for on-site audit, **NOT** including **reporting activities**, unless specific conditions
- **No exception for micro enterprises**
- Duration depends on size, complexity, products, supply complexity, PEFC trademarks usage, outsourcing, multi-site.
- **Annex 4** specifies minimum content for audit report
- **On request**, audit report and other records, in English, may be sent to **PEFC**



7.4.5 & 7.4.6: Types of Audits



- The certification body should also consider stakeholder consultation to collect information relevant to the audit objectives, scope and criteria as required by ISO 19011:2018, clause 6.4.6.
- **Clients operating without physical possession:**

When conducting audits against more than one certification system in one go, the minimum four hours audit for PEFC purposes remains in place, increasing those four hours accordingly to cover the additional systems.

Note 1: regardless whether the organisation sold any material under claims, there are other aspects that still need to be audited.

Process requirements (7)

Certification decision – non-conformities

- Audit finding classification: observation, minor non-conformities, major non-conformities
- Non-conformities shall result in corrective actions
 - Corrective action plan and timeframe reviewed by CB
- In case of surveillance:
 - Major non-conformity within 3 months
 - Minor non-conformity before next audit
- In case of initial ➔ **Major and minor solved**
- In case of recertification ➔ **Major solved before**

7.6 Certification Decision

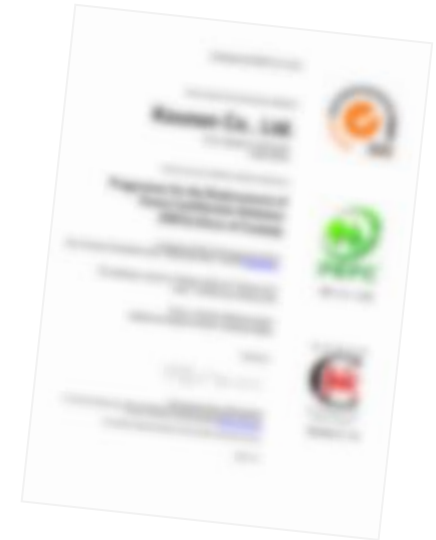
- Non-conformities that relates to an infringement of legislation should be classified as a **major non-conformity**.



Process requirements (7)

Certification documentation

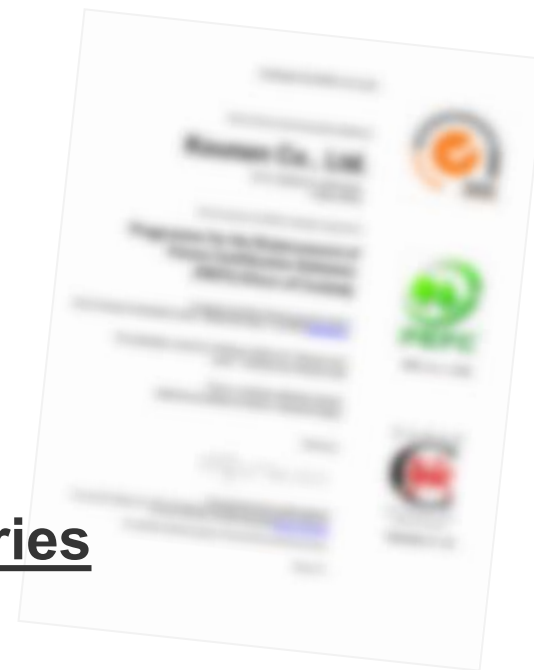
- Identification of CB and client
- Client identification may be name and address of a legal entity where no CoC activities take place, and then:
individual certificate
- **Clarification for project certificates:**
 - “name and address” refers to controlling entity
 - name of the project included as product in the scope of the certificate



Process requirements (7)

Certification documentation

- Type of certificate (individual, multi-site or producer group)
- PEFC logo with CB's licence number
- **Consistent scope:**
 - PEFC ST 2002 CoC
 - PEFC ST 2001 Trademarks rules
 - Applied CoC method
 - **Products according to the PEFC Product Categories**
- Accreditation mark
- **In English, and any other language**, as appropriate



7. Process Requirements: Certification documentation

GD 2001:2025:

- The organisation needs to identify the product groups they want to cover by the PEFC chain of custody prior to the audit, considering the PEFC product categories list.
- The certification body and the organisation will discuss the list of product groups identified by the organisation and agree on the list of PEFC product categories that will go to the certificate.
- The certification body is responsible for reflecting the product categories and the corresponding codes on the certificate documentation.

Structure of the product list categories

PEFC Product Categories

Level 1	Level 2	Level 3	Examples
010000 Roundwood	010100 Sawlogs and veneer logs		
	010200 Pulpwood		
	010300 Chips and particles		Sawdust, sanding dust
	010400 Wood residues		Twigs, branches, tree tops, similars
	010500 Bark		
	010600 Other roundwood		
020000 Fuelwood and energy	020100 Fuelwood		Firewood, chips, sawdust, wood residues
	020200 Charcoal		

Relationship between PEFC product groups, PEFC product categories and the scope of the certificate

PEFC product group:

The **organisation** shall define the **PEFC product groups** of its chain of custody (**PEFC ST 2002:2020** requirement 4.1.2)

3.30 PEFC product group:

Product or set of products with equivalent input material, defined by product name/type and category, type(s) of species, chain of custody method, material category, PEFC claim(s), for which an organisation applies its chain of custody.

Example of product list categories, product groups and scope

Certification body – Notification reporting form / PEFC database

Product group	Equivalent input material			(Input) Material category	Chain of custody method	(Output) PEFC claim (s)	Output product or set of products (Product category)
	Product category	Type(s) of species	Origin				
1	010100 Sawlogs and veneer logs	Beech	Germany	PEFC certified material	Physical separation	100% PEFC Origin	030202 Solid wood boards 010300 Chips and particles
2	010100 Sawlogs and veneer logs	Pinus sylvestris	France, Belgium Ukraine	PEFC certified material/ Other material / PEFC controlled sources	Credit method	X% PEFC certificate / PEFC controlled sources	030202 Solid wood boards / 010300 Chips and particles

Process requirements (7)

Certification documentation

- Certification granted for 5 years
- CB shall inform PEFC automatically if changes on certification
- **Certification number composed by CB name abbreviation-PEFC-COC-number, i.e:**

TZQ-PEFC-COC-454582



7. Process Requirements: Certification documentation

Certification number composed by CB name abbreviation-PEFC-COC-number, i.e:

TZQ-PEFC-COC-454582

GD 2001:2025 provides:

- The dash (-) between these elements is required. In case the certification body and certificate holders are still using the slash (/) between these elements, they should change to be in accordance with this requirement within a specific timeframe.
- COC should be written in all upper case.

Product list categories, product groups and scope

Certification body – Certification document + PEFC database

PEFC ST 2003:2020

7.7.1 + 7.7.2 a), b and c) + 7.7.2 d)



* Updated list of **products categories** and **species** on the PEFC database

(<http://www.pefc.org/find-certified>)

PRINT

7.7.2 Scope of Certification



For producer groups certificates it is mandatory to **indicate the scope per participant, and date when the participants got certified**

When the species determined the product, e.g., if the scope of the certificate is oak furniture, pine furniture would not be under the scope, species should also be reported to PEFC and listed as part of the certificate

Process requirements (7)

Surveillance

- Surveillance audits shall be carried out **annually**.
- CB to carry out at least 4 surveillance audits before the expiry date of the certificate.
 - Annually means once every twelve months plus or minus three months
 - If the certificate is valid for less than 5 years, the number of surveillance audits can be reduced accordingly.

7. Process Requirements: Certification documentation

GD 2001:2025 provides:

- Note 1: the surveillance audit can be earlier than 9 months from the previous audit provided that:
 - the requirement of 4 surveillance audits between the initial certification and the re-certification audit is respected; and
 - any outstanding non-conformities from the previous audit, be addressed by the organisation before the surveillance audit takes place, and the corrective actions verified by the certification body before or during the surveillance audit.
 - if an early surveillance audit causes the recertification audit to take place earlier than planned, then the valid from and expiry dates of the re-issued certificate must be adjusted accordingly.

Process requirements (7)

Surveillance

- On-site can be replaced by other techniques if:
 - Alternative techniques deliver sufficient confidence
 - No non-conformities raised in previous audit
 - No significant risk material included in supplies
 - (A list of) all individual records provided
 - **All above conditions to be met**
- Or
 - No certified material was procured/processed
(= no material accounted in the chain of custody)
- At least 4 surveillance audits before the expiry date

Process requirements (7)

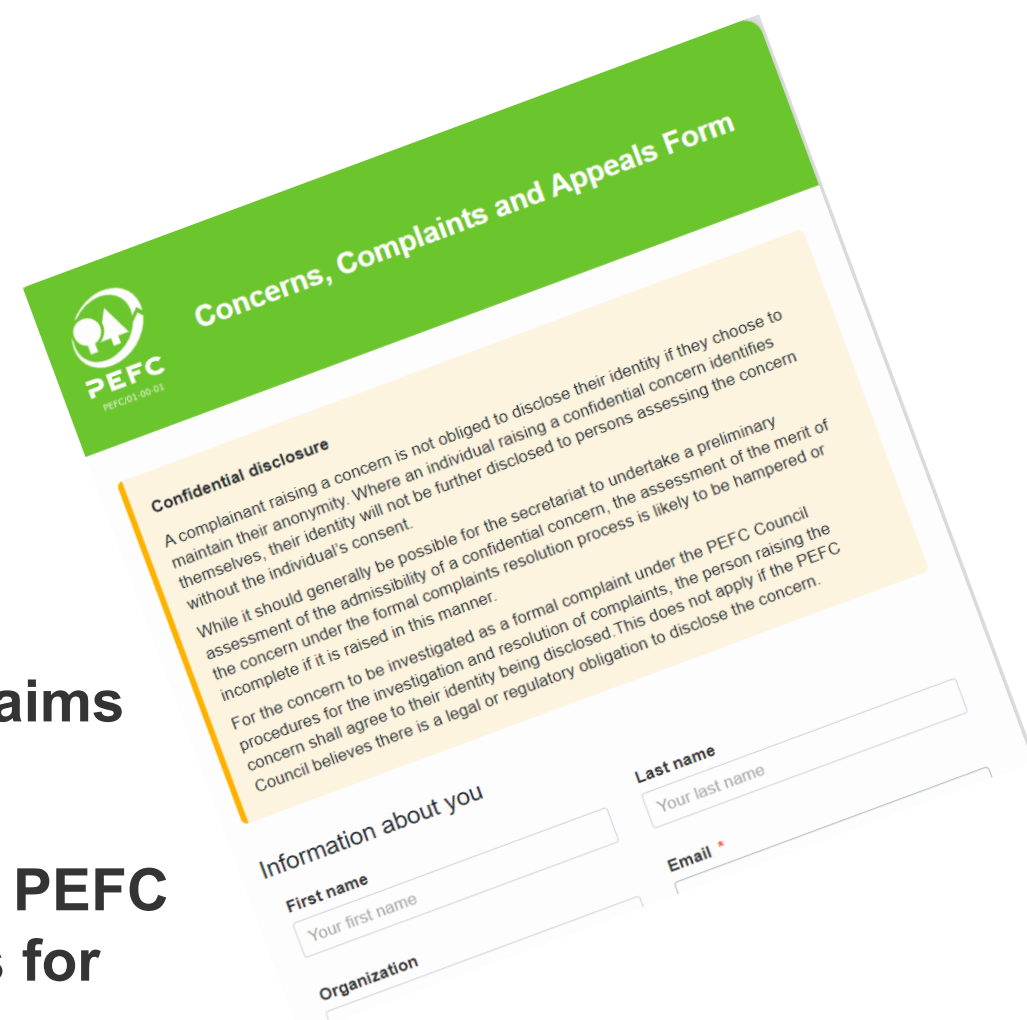
Termination, suspension, withdrawal

- CB shall inform that **usage of the trademarks is not allowed**
- In case of suspension the certification body shall monitor whether the client is in compliance

Process requirements (7)

Complaints and appeals

- CB shall keep PEFC Council informed:
 - notifying within 30 days of any substantiated claims of non-compliance or complaints
 - providing PEFC Council and the corresponding PEFC National Governing Body with summary reports for resolved complaints and appeals
 - Minimum content of report: identification of the complainant (subject to disclosure), identification of client organisation, subject of the complaint, summary of the complaint handling process, outcome/resolution of the complaint



The image shows a tilted document titled "Concerns, Complaints and Appeals Form" with the PEFC logo and code "PEFC/01-00-01". It contains a "Confidential disclosure" section with text explaining that complainants are not obliged to disclose their identity and that confidentiality is maintained. It also states that while it is possible for the secretariat to undertake a preliminary assessment, the assessment of the merit of the concern under the formal complaints resolution process is likely to be hampered or incomplete if the concern is not disclosed. A note mentions that for concerns investigated as formal complaints, the person raising the concern shall agree to their identity being disclosed, which does not apply if the PEFC Council believes there is a legal or regulatory obligation to disclose the concern. At the bottom, there is a section titled "Information about you" with input fields for "First name", "Last name", "Email", and "Organization".

Concerns, Complaints and Appeals Form
PEFC
PEFC/01-00-01

Confidential disclosure
A complainant raising a concern is not obliged to disclose their identity if they choose to maintain their anonymity. Where an individual raising a confidential concern identifies themselves, their identity will not be further disclosed to persons assessing the concern without the individual's consent.
While it should generally be possible for the secretariat to undertake a preliminary assessment of the admissibility of a confidential concern, the assessment of the merit of the concern under the formal complaints resolution process is likely to be hampered or incomplete if it is raised in this manner.
For the concern to be investigated as a formal complaint under the PEFC Council procedures for the investigation and resolution of complaints, the person raising the concern shall agree to their identity being disclosed. This does not apply if the PEFC Council believes there is a legal or regulatory obligation to disclose the concern.

Information about you
First name
Your first name
Last name
Your last name
Email
Organization

7.13 Complaints and appeals

- In addition to surveillance audits, the certification body may conduct additional short-notice audits in cases of substantiated concerns.
- Definitions for complaints and appeals can be found on ISO/IEC 17000
- **Notify PEFC Intl within 30 days of any substantiated claims of non compliance with certification requirements by client organisation:**
As part of this notification, the certification body should provide information about the actions that it intends to undertake, timeline, and any other relevant information.
- **Summary reports of resolved complaints and appeals:** This report should be provided on an annual basis.



Management system requirements (8)

Management system requirements (8)



(limited to PEFC CoC certification activities)



PEFC Notification of CBs (Appendix 1)

PEFC Notification of CBs (Appendix 1)

- CBs operating PEFC recognised CoC certification shall be notified by the PEFC Council or other **PEFC authorised body** for the specific country it operates.
- Notification requires that the CB has a valid accreditation recognised by PEFC Council.
- CB shall provide PEFC Council or the PEFC authorised body with information on granted certifications as specified by the PEFC Council or the relevant PEFC authorised body.
- PEFC notification fee to be paid to PEFC council or the relevant PEFC authorised body.



Accreditations (Appendix 2)

Accreditations (Appendix 2)

- CoC certifications to be carried out by CBs accredited by ABs that are signatories of:
 - **the Multilateral Recognition Arrangement (MLA) for product certification of IAF**, or IAFs Regional Accreditation Groups such as **EA, IAAC, APAC, SADCA, AFRAC and ARAC**
- Scope of Accreditation shall cover: PEFC ST 2001, PEFC ST 2002, PEFC ST 2003 standards in their valid versions as presented on the PEFC website.
- Accreditation certificate shall be available in **English** and any other language.



Multisite certification (Appendix 3)

Process

- **Eligibility criteria for the multi-site client organisation**
 - Appendix 2 of the CoC standard
 - In addition to appendix 2 of the CoC standard, the multi-site organisation shall demonstrate its ability to collect and analyse the following data from all sites including the central office:
 - CoC documentation and CoC changes, management review, complaints, evaluation of corrective actions, internal audit planning and evaluation of results, different legal requirements.



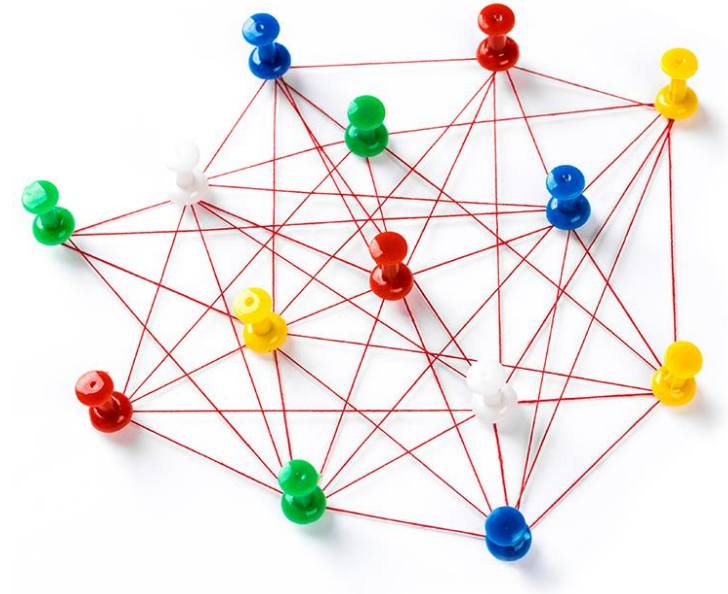
Process

- **Eligibility criteria for the certification body**
 - Multisite central office shall have:
 - Ability to collect information
 - Authority over sites
 - CBs informs company and checks prior to audit
- **Contract Review**
 - Identify multisite complexity (sampling)
- **Audit**
 - Specific multisite audit procedures
 - Describe how CB determines ALL sites apply the Chain of Custody requirements



Process

- **Eligibility criteria for the certification body**
 - Multisite central office shall have:
 - Ability to collect information
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 - CBs informs company and checks prior to audit
- **Contract Review**
 - Identify multisite complexity (sampling)
- **Audit**
 - Specific multisite audit procedures
 - Describe how CB determines ALL sites apply the Chain of Custody requirements



Process

- **Non-conformities (NC)**
 - NC at individual site: overall system failure or not? May affect central office, other sites
 - CBs requires evidence of actions and may change sample size
 - Not allowed to exclude "problematic" sites during certification process

Process

- **Non-conformities (NC)**

open non-conformities during recertification audits for multisite certificates:

- for initial audits, if any non-conformity, certification denied to all sites.
- For recertification audits, if major non-conformity, certification denied to all sites

Appendix 3: Multi-site CoC Certification



3.4.3

GD 2001:2025: Minor nonconformities in recertification for multi-sites do not stop the certificate from being issued but trusting the evaluation of the certification body and provided that this minor nonconformity is not a threat to the full multi-site exercise.

Certificate

- **One single main certificate issued**

- Name and address of the central office on certificate
- A list of all sites on certificate/appendix/other reference
- Clear scope

E.g. different chain of custody methods

- A sub certificate may be issued on condition that it contains the same scope and references the main certificate.
- If sub-certificate includes sub-certificate number:
linked to the certificate number
included in the certificate

Certificate

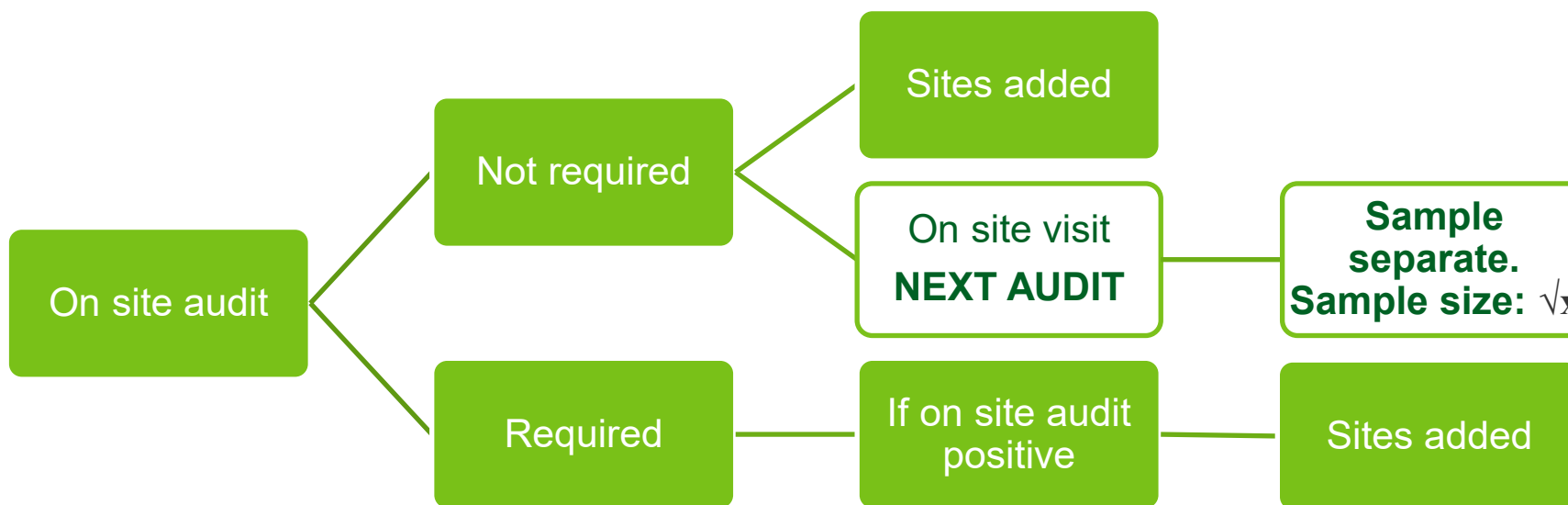
Adding sites to an existing certificate

- Client organisation informs CB in advanced, including number of sites to add (limited to 100% of n. existing sites); and
- Provides CB with:
 - **CoC procedures covering additional sites, CoC method and products**
 - **internal audit report for the site(s) considered**
- CB reviews internal audit and determines if additional information needed

Adding sites within audits

Adding sites to an existing certificate

- Based on review:



Note: where remote audits allowed, on-site audit replaced by remote audit

Adding sites to an existing multisite

- How to operate when there is a different certification scope?

PEFC's Approach: Leave it for the CBs and according to the CBs procedure

- Requiring indication of the starting date for any added sites

PEFC's Approach: It shall be reported to the corresponding authorised body

Sampling

Sampling for on-site audits - Methodology

- Sample determined **separately** for:
 - Sites using different CoC methods
 - If sites added between CoC audits and **NO ON-SITE visit was REQUIRED**

On site visit
NEXT AUDIT

Appendix 3: Multi-site CoC Certification



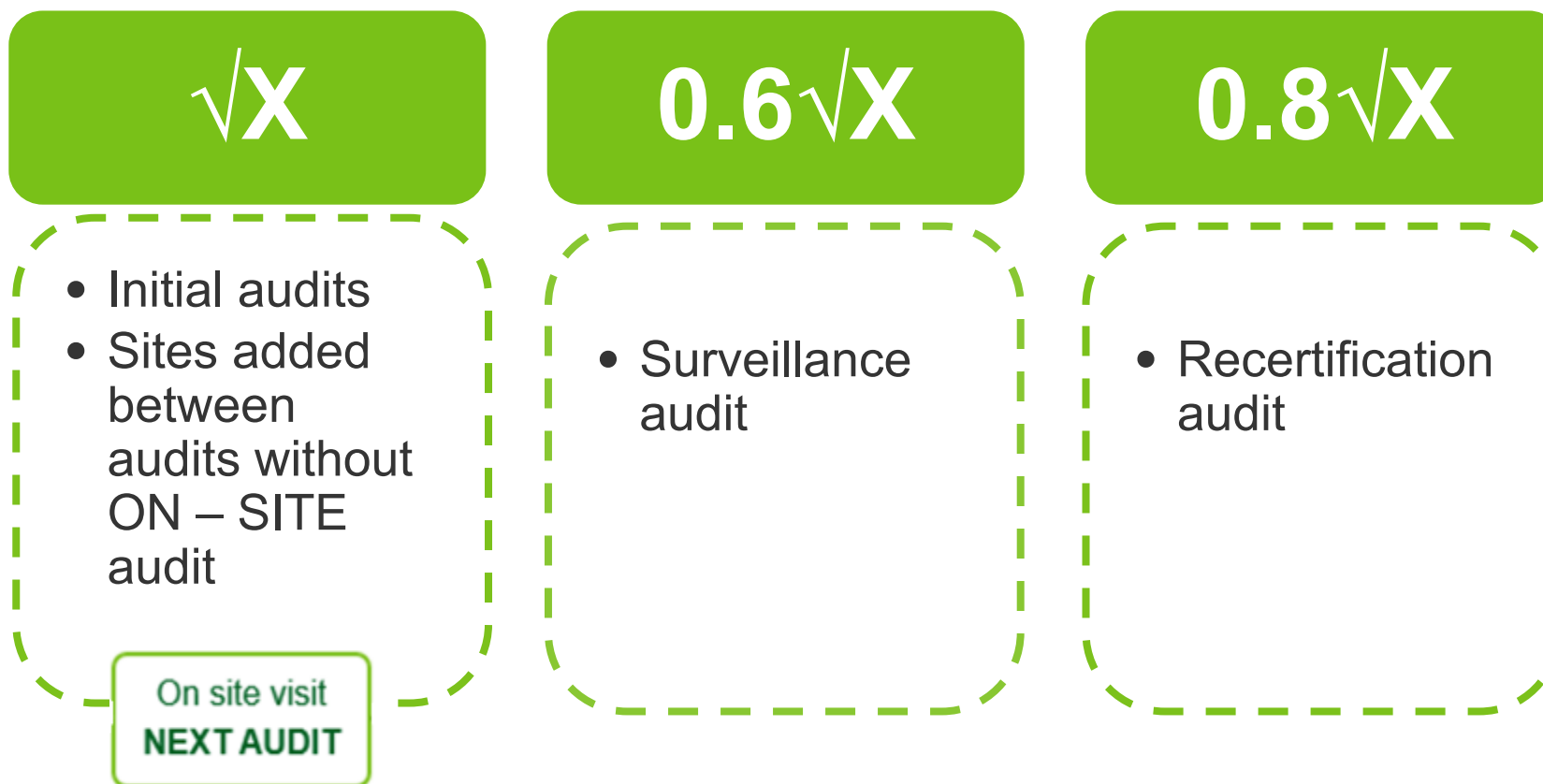
4. Sampling for on-site audits.

GD 2001:2025 provides: The central office function always needs to be audited, and is not subject to the sampling calculation. If the central office is, e.g., one of the production sites, the functions can be split for sampling purposes. In this case, the central office is always audited as indicated but the production part can be part of the sample

Sampling

Sampling for on-site audits – Methodology

- Sizes of the sample:



Sampling

Sampling for on-site audits - Methodology

Example A: Recertification of multi-site with 34 sites:

1. **9** physical separation method
2. **16** percentage method
3. **9** added since last audit. Same CoC method. ON-SITE audit NOT required

On site visit
NEXT AUDIT

$$\text{Sample} = 0,8\sqrt{9} + 0,8\sqrt{16} + \sqrt{9} = 3 + 4 + 3 = 10$$

So, 10 sites to be audited:

- **3** sites physical separation method
- **4** sites percentage method
- **3** sites added since last audit

Sampling

Sampling for on-site audits - Methodology

Example B: Surveillance audit multi-site with 33 sites:

1. **16** percentage **and credit** method
2. **4** credit method
3. **13** added since last audit. ON-SITE audit NOT required:
 - **9** percentage method & **4** credit method

On site visit
NEXT AUDIT

$$\text{Sample} = 0,6\sqrt{16} + 0,6\sqrt{4} + \sqrt{9} + \sqrt{4} = 3 + 2 + 3 + 2 = 10$$

So, 10 sites to be audited:

- **3** sites percentage **and credit** method
- **2** sites credit method
- **3** sites added since las audit – percentage method
- **2** sites added since last audit – credit method



Minimum content of audit reports

Minimum content of audit reports (Appendix 4.)

- Description of client organisation
- Description of client's CoC
- Scope of the audit
- **Audit findings:** The certification body is not obliged to include a “checklist” with all applicable requirements in the audit report, but the requirements where non-conformities were issued need to be identified. It is up to certification body to demonstrate how to comply with this normative appendix.





Questions, Comments, Feedback