

Enquiry draft

Requirements for Certification Bodies operating Certification against the PEFC Project Sourcing standard



PEFC Council

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The official version of the document is in English. Translations of the document can be obtained from the PEFC Council or PEFC National Governing Bodies. When there is doubt in regard to language interpretation, the English version is the reference.

Document name: Requirements for Certification Bodies operating Certification against the PEFC Project Sourcing Standards – Enquiry Draft (ED)

Document title: PEFC ST XXXX

Approved by: PEFC Chain of Custody Working Group **Date:** XXXX-XX-XX

Issue date: XX-XX-XXXX

Date of entry into force: XX-XX-XXXX

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Foreword

PEFC, the Programme for the Endorsement of Forest Certification, is a worldwide organisation promoting sustainable forest management through forest certification and labelling of forest-based products.

PEFC certified sustainable forest management works through the PEFC endorsement of national and regional forest certification systems, which were independently assessed to be in compliance with PEFC's sustainability benchmarks for forest management certification standards. For further information on PEFC's sustainability benchmarks, please see the PEFC website at www.pefc.org.

The text of the document has been developed by a multi-stakeholder working group coordinated by the PEFC Council.

The PEFC Council provides mutual recognition of national and regional forest certification systems and defines an international Chain of Custody standard (PEFC ST 2002) and rules for the usage of the PEFC trademarks (PEFC ST 2001). The PEFC Council requires that Chain of Custody and Project Sourcing certification shall be carried out by certification bodies who are accredited by accreditation bodies that are signatories of the Multilateral Recognition Arrangement (MLA) for product certification of IAF.

Accreditation reduces the risk for businesses and their customers by assuring that accredited certification bodies are competent to carry out the work they undertake. Accreditation bodies that are members of IAF are required to operate to the highest standard and to require the certification bodies they accredit to comply with appropriate international standards and IAF Guidance to the application of those standards.

Accreditations granted by IAF accreditation body members, based on regular peer evaluations to assure the equivalence of their accreditation programmes, allow companies with an accredited conformity assessment certificate in one part of the world to have that certificate recognised everywhere else in the world.

This document complements PEFC ST 2003:2020, *Requirements for Certification Bodies providing certification against the PEFC International Chain of Custody standard*.

Introduction

The PEFC Council requires that certification bodies operating PEFC Project Sourcing certification meet the requirements of ISO/IEC 17065, PEFC documentation, and the relevant provisions of ISO 19011 specified in this document.

ISO/IEC 17065 is an International Standard that sets out criteria for bodies operating certification of products, services, and processes. PEFC Project Sourcing certification is considered as a process certification whereby the project is a set of interrelated or interacting activities that transforms input information on the origin of procured raw material into output information on the origin of products included in the project.

The requirements for PEFC Project Sourcing certification are described in PEFC ST XXXX, *PEFC Project Sourcing standard*. The rules for the usage of the PEFC trademarks are described in this standard and shall follow PEFC ST 2001, *PEFC Trademarks Rules – Requirements*. In addition, certification bodies shall follow the relevant requirements in PEFC ST 2003, *Requirements for Certification Bodies providing certification against the PEFC International Chain of Custody standard*, specified in this document.

The term “shall” is used throughout this document to indicate those provisions that, reflecting the requirements of ISO/IEC 17065 and requirements specific for PEFC chain of custody certification, are mandatory. The term “should” is used to indicate guidance that, although not mandatory, is provided by IAF and the PEFC Council as a recognised means of meeting the requirements.

Normative guidance to this document shall only be provided by the PEFC Council.

This document does not include the text of ISO/IEC 17065 and ISO 19011. These documents can be obtained from ISO or national standard organisations.

1. Scope

This document provides scheme specific requirements for certification bodies operating PEFC Project Sourcing certification against PEFC ST 20XX, *PEFC Project Sourcing standard*.

The client organisation may apply to get certified against the PEFC Project Sourcing standard with a single project, or with multiple projects (multi-project certification). Moreover, the client organisation may be an individual organisation, a multi-site organisation, or a SME group. The body text of the standard provides specification for single and multi-project certification (where applicable). Appendix 3 (normative) of the document covers additional requirements for multi-site and SME groups.

2. Normative references

For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.

PEFC standards are available from the [PEFC website](#).

IAF MD 2, *Mandatory Document for the Transfer of Accredited Certification of Management Systems*

IAF MD 4, *Mandatory Document for the use of Information and Communication Technology (ICT) for auditing/assessment purposes*

ISO/IEC 17000, *Conformity assessment – Vocabulary and general principles*

ISO/IEC 17065, *Conformity assessment – Requirements for bodies certifying products, processes and services*

ISO 19011, *Guidelines for auditing management systems*

ISO/IEC Guide 2:2004, *Standardization and related activities – General vocabulary*

PEFC ST 2002, *Chain of Custody of Forest and Tree Based Products – Requirements* (hereinafter the Chain of Custody standard)

PEFC ST 2002-1, *Requirements for the Implementation of PEFC EUDR Due Diligence System* (PEFC EUDR DDS)

PEFC ST 2001, *PEFC Trademarks Rules – Requirements* (hereinafter PEFC Trademarks standard),

PEFC ST 2003, *Requirements for Certification Bodies providing certification against the PEFC International Chain of Custody standard*

PEFC ST XXXX, *Sustainable Sourcing and Traceability of Forest- and Tree-Based Materials for Projects – Requirements* (PEFC Project Sourcing standard)

3. Terms and definitions

For the purposes of this standard, the relevant definitions given in ISO/IEC 17000, ISO/IEC 17065, ISO 19011, ISO/IEC Guide 2, PEFC ST 2002, PEFC ST 2003, and PEFC Project Sourcing standard apply, together with the following definitions:

3.1 Client organisation

Organisation, including a multi-site and SME group organisation, that is applying for Project Sourcing certification, or who holds a **PEFC Project Sourcing certificate**.

Note: The term “client organisation” used in this document is equivalent to the term “supplier” used in ISO/IEC 17065.

3.2 Green building assessor

A person with a recognised qualification from a green building rating organisation, authorised to evaluate and verify a building’s compliance with the criteria of the applicable green building framework.

Note: Green building assessors are typically qualified under recognised national or international frameworks that evaluate the environmental performance of buildings. Prominent examples include the German Sustainable Building Council (DGNB), Building Research Establishment Environmental Assessment Method (BREEAM), Leadership in Energy and Environmental Design (LEED), Green Star (Green Building Council of Australia and New Zealand), Comprehensive Assessment System for Built Environment Efficiency (CASBEE), Haute Qualité Environnementale (HQE), the Nordic Swan Ecolabel, the WELL Building Standard (WELL), and EDGE (Excellence in Design for Greater Efficiencies). This list is not exhaustive.

3.3 PEFC Project Sourcing certificate

A certificate is issued to a **client organisation** managing a project or projects according to the requirements of this standard. A Project Sourcing certificate can be issued for a single project (single project certification) or for multiple projects (multi-project certification).

4. General requirements

All the requirements in clause 4 of ISO and section 4 of PEFC ST 2003 applied.

5. Structural requirements

All the requirements given in clause 5 of ISO/IEC 17065:2012(E) apply.

6. Resource requirements

6.1 Certification body personnel

6.1.1 General

All the requirements given in clause 6.1.1 of ISO/IEC 17065:2012(E).

6.1.1.1 Personnel involved in the certification activities

6.1.1.1.1 All requirements in PEFC ST 2003, 6.1.1.1 apply.

6.1.1.2 Auditors

6.1.1.2.1 General

6.1.1.2.1.1 For an auditor to qualify to provide certification services against the PEFC Project Sourcing standard, the certification body shall ensure that the auditor is:

- a) A PEFC Chain of Custody qualified auditor who has received and passed PEFC Council recognised initial training on the PEFC Project Sourcing standard, or,
- b) A green building qualified assessor who has received and passed PEFC Council recognised initial training on the PEFC Project Sourcing standard, has successfully completed training in audit techniques based on ISO 19011, and demonstrates knowledge and skill equal to the competencies of a PEFC Chain of Custody qualified auditor (see 6.1.1.2.7), or,
- c) Qualified according to PEFC ST 2003 requirements for the first qualification of an auditor and who has received and passed PEFC Council recognised initial training on the PEFC Project Sourcing standard.

6.1.1.3 Audit team

All the requirements in PEFC ST 2003, 6.1.1.3, apply.

6.1.1.4 Reviewer and certification decision maker

6.1.1.4.1 PEFC Project Sourcing certification training

The certification body shall ensure that the reviewer and certification decision maker are qualified for PEFC Chain of Custody certification and have received and passed PEFC Council recognised initial training on the PEFC Project Sourcing standard.

Note: The PEFC website www.pefc.org provides further information on training options.

6.1.2 Management of competence for personnel involved in the certification process

6.1.2.1 The certification body shall ensure that qualified auditors, reviewers, and certification decision makers have passed a PEFC Council recognised refresher training on PEFC Project Sourcing certification every two calendar years.

Note: The PEFC website www.pefc.org provides further information on training options.

6.1.2.2 When there is a new issuance of the PEFC Project Sourcing standard, the certification body shall ensure that qualified auditors, reviewers, and certification decision makers pass a PEFC Council recognised refresher training covering the updated requirements before conducting any activities against the revised standard.

Note: The PEFC website www.pefc.org provides further information on training options.

6.1.2.3 To maintain their qualification to provide PEFC Project Sourcing audits, an auditor shall either:

- a) Maintain their qualification for PEFC Chain of Custody certification. PEFC Project Sourcing audits shall be counted as PEFC Chain of Custody audits for the purpose of meeting the requirements to perform at least two PEFC Chain of Custody audits per year; or
- b) Perform a minimum of five external audits in chain of custody standards, ISO 9001, or ISO 14001 in the project related sectors or green building external assessments per year, where the sum of these audits and assessments shall cover at least seven days of audit work, including at least two PEFC Chain of Custody audits or PEFC Project Sourcing audits.

Where the minimum of two PEFC Chain of Custody audits or PEFC Project Sourcing audits per year cannot be achieved, the auditor may replace those audits by specific PEFC recognised training.

6.1.2.4 In exceptional circumstances, such as statutory leave or long-term illness, auditors who are unable to comply with 6.1.2.3 shall perform at least two PEFC Chain of Custody or PEFC Project Sourcing audits under the leadership of a qualified auditor to maintain the qualification.

6.1.2.5 Reviewers and certification decision makers shall observe at least one PEFC Chain of Custody or PEFC Project Sourcing audit per calendar year.

7. Process requirements

7.1 General

All the requirements given in clause 7.1 of PEFC ST 2003 apply.

7.2 Application

7.2.1 The certification body shall obtain from the **client organisation**, as a minimum, the following information and documentation as a part of the application for PEFC Project Sourcing certification:

- a) Corporate entity, name, address, and legal status.
- b) The location(s) where the project(s) will take place, with clear physical boundaries, a specific geographic location, or coordinated set of locations.
- c) Documented procedures of the **client organisation** as defined in the PEFC Project Sourcing standard.
- d) Sites covered by the PEFC Project Sourcing certification in the case of multi-site or SME certification, and information demonstrating that the **client organisation** and associated sites are eligible for that type of certification.
- e) In cases where the **client organisation** applies, or has applied, for PEFC Project Sourcing certification with another certification body/ies and the application was or is rejected, information on the reasons for the application rejection.
- f) If the **client organisation** participated in PEFC, or another certification system, prior to this application and the certification was suspended, withdrawn, or terminated, information on the reasons why the certification was suspended, withdrawn, or terminated.

Note 1: Specific requirements for multi-site and SME groups are covered in Appendix 3.

Note 2: The information does not have to be obtained at the moment of first contact with the **client organisation**, but at least before activities under requirements 7.3 and 7.4 are carried out.

7.2.2 The certification body shall obtain from the **client organisation**, as a minimum, the following information for each project, as applicable:

- a) Approximate project duration, for single project certification.
- b) List of PEFC project members, corporate name, contact details, address, legal status, PEFC certification status (if applicable), defined roles and responsibilities, and whether they conduct off-site work.
- c) Descriptive identification of the Project Sourcing certification scope.

Note: The information does not have to be obtained at the moment of first contact with the **client organisation**, but at least before activities under requirements 7.3 and 7.4 are carried out.

7.2.3 The certification body shall obtain from the **client organisation** sufficient information to assess if the application is to be treated as a transfer of certification instead of a new application. See also requirement 7.4.10.

7.3 Application review

- 7.3.1 The certification body shall have a documented procedure for the review of applications.
- 7.3.2 The certification body shall ensure that the application review identifies and assesses the complexity and scale of the activities to be covered by the PEFC Project Sourcing certification.
- 7.3.3 The certification body shall have a documented procedure to ensure that it has the competence and capability to provide certification services to the **client organisation**.
- 7.3.4 The certification body shall refuse to provide certification services if it lacks the competence or capability to do so.
- 7.3.5 The certification body shall define criteria for the acceptance of a **client organisation**.
- 7.3.6 The criteria for acceptance shall include criteria to identify any current or historical engagement in corrupt practices of the **client organisation**, or any legal predecessor.
- 7.3.7 The certification body shall evaluate the **client organisation** against the criteria, including, when relevant, any legal predecessors, and keep records of the evaluation. The evaluation shall determine the suitability of the **client organisation** for certification prior to acceptance.
- 7.3.8 The certification body shall maintain a record of the decision to accept or reject an application.
- 7.3.9 The certification body shall reject applications where there is evidence of current engagement in corrupt practices.
- 7.3.10 In the case of historical engagement in corrupt practices, the certification body shall not accept the application unless there is evidence that the engagement in corrupt practices has stopped and that the **client organisation** or its legal predecessor is not subject to any ongoing public investigation and/or sanctions.
- 7.3.11 The certification body shall assess the information provided by the **client organisation** on its participation, or its legal predecessor's participation, in PEFC or in another certification system for the purpose of Forest Management, Chain of Custody, or Project Sourcing certification. If participation in PEFC or another certification system was suspended, withdrawn, or terminated, the certification body shall investigate the commitment and capacity of the **client organisation** to comply with PEFC certification requirements. If the investigation shows an inability or significant likelihood of failure to comply, the application shall not be further processed until the **client organisation** has demonstrated that it has the ability and commitment to comply.
- 7.3.12 When the certification body determines that the application is to be treated as a transfer of an existing certificate issued by another accredited certification body, the certification body shall operate according to IAF MD2.
- 7.3.13 In the case of transfer of certification, the certification body shall ensure that any open major nonconformities are closed prior to accepting the transfer of the certificate.
- 7.3.14 Transfer of certification is only possible if the accepting certification body is recognised by PEFC for the same system and according to the same accreditation standard.
- 7.3.15 The certification body shall communicate to the **client organisation** the result of the application review in writing. If the application is rejected, the certification body shall provide the justification to the **client organisation** in writing.

7.4 Evaluation

7.4.1 General

7.4.1.1 The certification body shall conduct its evaluation based on a risk-based approach.

7.4.1.2 The certification body shall have a documented procedure to ensure that a risk-based audit plan is established for each audit, to provide a basis for agreement regarding the conducting and scheduling of the audit activities.

7.4.1.3 The audit plan shall be communicated, and the dates of the audit shall be agreed upon in advance with the **client organisation**.

Note: Guidance for preparing the audit plan is provided by ISO 19011:2018, clause 6.3.2.

7.4.1.4 The certification body shall have a documented procedure for selecting and appointing the audit team, including the audit team leader.

Note: Guidance for selecting the audit team and audit team leader is provided by ISO 19011:2018, clauses 5.5.4.

7.4.1.5 The purpose of the audit is to:

- a) Determine the conformity of the **client organisation** with all the applicable requirements of the PEFC Project Sourcing standard.
- b) Determine the conformity of the **client organisation** with all the applicable requirements of PEFC Trademarks standard.
- c) From the first surveillance audit onwards, verify that the **client organisation** has a valid PEFC trademarks licence contract in place.

Note: The usage of the PEFC trademarks and PEFC claims is to be evaluated at the time of the surveillance and recertification audits. At initial audits, any proposed or intended use of the PEFC trademarks and PEFC claims is to be evaluated.

- d) Determine the conformity of non-PEFC project members with the applicable Project Sourcing certification requirements.

Note: PEFC Chain of Custody certified project members are considered as compliant with the applicable Project Sourcing certification requirements through their Chain of Custody certificate if they hold a valid PEFC Chain of Custody certificate that covers their activity under the Project Sourcing certification.

- e) Collect data as required by the PEFC Council and the PEFC National Governing Bodies.

7.4.1.6 The audit plan shall include a document and “readiness” review. The scope of this review shall comprise, at least:

- a) confirming the scope and objective of the certification audit
- b) confirming the sites, locations, and activities covered by the Project Sourcing certification
- c) auditing the client organisation’s project sourcing management documentation
- d) evaluating any specific conditions, as applicable
- e) evaluating the client organisation’s procedures for internal audits and management system integrity and the effectiveness of their implementation
- f) determining the conformity of the client organisation’s procedures for using the PEFC trademarks, and
- g) determining risks to be considered during the on-site audit

7.4.1.7 The document and readiness review may be conducted remotely using ICT, according to 7.5.

Note: Information and communication technologies (ICT), is the use of technology for gathering, storing, retrieving, processing, analysing, and transmitting information. It includes software and hardware such as smartphones, handheld devices, laptop computers, desktop computers, drones, video cameras, wearable technology, artificial intelligence, and others. The use of ICT may be appropriate for auditing/assessment both locally and remotely (Source: IAF MD4:2023).

7.4.1.8 To conduct the audit review, the certification body shall receive from the **client organisation**, in addition to the documents provided as part of the application review, the following documentation:

- a) project owner and project manager, if applicable
- b) if outsourced services providers are engaged, details on which ones, and who engages them (whether project members or the organisation) and for what activities
- c) non-PEFC certified project members operating off-site
- d) description of the supply chain sufficient to identify the complexity of the supply chain
- e) a complete list of all forest and tree-based products used, and whether non-certified material will be used

7.4.1.9 The certification body shall determine whether an on-site audit of non-PEFC certified project members conducting activities off-site is necessary, according to a risk-based approach.

7.4.1.10 The certification body shall conduct the audit following the relevant guidance provided in ISO 19011:2018, clause 6.4.

7.4.1.11 In the case of transfer of certification, the certification body shall operate according to ISO/IEC 17065 clause 7.4.5 and IAF MD2:2017.

7.4.2 Audit duration

7.4.2.1 The certification body shall have a documented procedure for determining audit time, and for each **client organisation** the certification body shall determine, with input from the audit team, the time needed to plan and accomplish a complete and effective audit of the **client organisation**.

7.4.2.2 The audit time determined by the certification body, and the justification for the determination, shall be recorded.

7.4.2.3 The minimum time for the on-site audit is four hours. This shall not include reporting activities, unless under specific conditions where it can be justified and documented.

7.4.2.4 When determining the audit time, the certification body shall, as a minimum, consider the following aspects:

- a) the requirements of the PEFC Project Sourcing standard
- b) size and complexity of the client organisation's operations within the scope of the PEFC Project Sourcing certification
- c) the results of any prior audits
- d) substantiated concerns, complaints, or claims of non-conformances from stakeholders, if any
- e) translation needs, and
- f) at project level:
 - i. the applied control method(s) and their level of implementation
 - ii. the extent of supplies that could create a significant risk of procuring material from controversial sources

- iii. the extent of PEFC trademarks usage activities
- iv. the number, roles and PEFC certification status of project members
- v. any outsourced services providers included in the scope of the client organisation's project certification
- vi. project duration, and stage of the project within its defined duration
- vii. off-site non-PEFC certified project members and/or non-PEFC certified outsourced services provides

7.4.2.5 For multi-project certification, the certification body shall consider the number of projects and their complexity, taking into account the factors at project level mentioned on 7.4.2.3 within the different projects.

7.4.3 Sampling

7.4.3.1 The certification body shall have a documented procedure for sampling within the audit, in accordance with the guidance provided in ISO 19011:2018, A.6.

7.4.3.2 When determining the sampling within the audit, the certification body shall, as a minimum, consider the following aspects:

- a) the requirements of the PEFC Project Sourcing standard
- b) size and complexity of the client organisation's operations within the scope of the PEFC Project Sourcing certification
- c) the results of any prior audits
- d) substantiated concerns, complaints, or claims of non-conformances from stakeholders, if any,
- e) modifications since the last certification audit, if any, and
- f) at project level:
 - i. the applied control method(s) and their level of implementation
 - ii. the extent of supplies that could create a significant risk of procuring material from controversial sources
 - iii. the extent of PEFC trademarks usage activities
 - iv. any outsourced services providers included in the scope of the client organisation's PEFC Project Sourcing certification
 - v. project duration, and stage of the project within its defined duration
 - vi. user of recycled materials
 - vii. at project member level:
 - a. the number, roles and PEFC certification status of project members
 - b. any outsourced services providers by non-PEFC certified project members
 - c. offsite non-PEFC certified project members and/or non-PEFC certified outsourced services provides

Note: Specific requirements for sampling while conducting audits of multi-project are found in Appendix 3 of this document.

7.5 Remote audits

7.5.1 The certification body may use, where appropriate, ICT methods to conduct remote audits for:

- a) confirming the scope and objective of the certification audit
- b) confirming the projects, locations, and activities covered by the **PEFC Project Sourcing certificate**
- c) auditing the client organisation's documentation
- d) evaluating the client organisation's procedures for internal audits and management system integrity and the effectiveness of their implementation
- e) determining the conformity of the client organisation's procedures for using the PEFC trademarks and using the PEFC endorsed certification system trademarks, if applicable
- f) determining risks to be considered during the audit
- g) finalising the audit plan
- h) special audits

Note: Special audits are unplanned, or otherwise outside the audit programme, and may be done on short notice.

7.5.2 Audits may include ICT methods beyond requirement 7.5.1 when exceptional circumstances do not allow the auditors to conduct an in-field visit of the **client organisation**.

Note: Exceptional circumstances include restrictions because of national or local rules, conflicts or health risks.

7.5.3 The certification body shall have a documented procedure for conducting remote audits or parts of audits remotely using ICT, which includes, as a minimum:

- a) criteria and indicators to assess the appropriateness of the use of ICT
- b) risks associated with its use and how they may impact audit effectiveness
- c) available technology and how it will be used
- d) eligibility of the **client organisation** (e.g., accessibility of digital files, access to documented management system)
- e) client organisation capacities

7.6 Review

All the requirements given in clause 7.5 of ISO/IEC 17065:2012 apply.

7.7 Certification decision

7.7.1 Audit findings shall be classified as major nonconformities and minor nonconformities.

7.7.2 Before granting initial certification, as a minimum, major and minor nonconformities shall be corrected, and the corrective action(s) verified by the certification body.

7.7.3 For multi-project certification, before granting recertification, as a minimum, major nonconformities shall be corrected, and the corrective action(s) verified by the certification body.

7.7.4 Major and minor nonconformities identified in the audits shall result in corrective action(s) by the **client organisation** to resolve the nonconformities. The corrective action plan, including a timeframe, shall be reviewed, and accepted by the certification body.

- 7.7.5** The time period for completion of the corrective action(s) for major nonconformities identified in surveillance audits and their verification by the certification body shall follow the rules of the certification body but not exceed three months.
- 7.7.6** Corrective action(s) for minor nonconformities identified during recertification and surveillance audits shall be verified no later than during the next audit.
- 7.7.7** For multi-project certificates, if the certification body identifies a nonconformity, the certification body shall identify the impact of the nonconformity, whether it is specific to a project, or whether it is a fundamental nonconformity at organisation management level. If the nonconformity affects the client organisations' overall management system, the certification body shall raise the nonconformity at organisation level, and the corrective actions shall be taken appropriately.
- 7.7.8** If a nonconformity affects only a specific project, and the nonconformity is not addressed in the appropriate timeframe, the specific project shall be removed from the scope of the certificate.

7.8 Certification documentation

7.8.1 The certificate shall include at least the following information:

- a) identification of the certification body
- b) name, address, and description of the **client organisation** whose project(s) is subject to certification, and, where applicable, its sites/legal entities
- c) type of certificate (individual, multi-site, or SME project group)
- d) the PEFC logo with the certification body's PEFC trademarks licence number
- e) accreditation mark of the accreditation body (including accreditation number where applicable)
- f) the date of granting, extending or renewing certification
- g) scope of the certification granted (see 7.8.4)
- h) for multi-project certification, the expiry date or recertification due date. The effective date on a certification document shall not be before the date of the certification decision

7.8.2 The name and address of the **client organisation** may be the name and address of a legal entity where no PEFC Project Sourcing certification activities are taking place (e.g., a mailbox address).

7.8.3 For **PEFC Project Sourcing certificates** issued without accreditation during the transition period, the accreditation mark shall not appear on the project certificate.

7.8.4 The scope of certification shall include the following information:

- a) Whether the certification covers a single project (single project certification) or multi-project (multi-project certification).

Note: SME project sourcing certification is always multi-project certification

- b) Reference to PEFC ST XXXX, Project Sourcing certification – Requirements.
- c) Reference to PEFC ST 2001, PEFC Trademarks Rules – Requirements, and where relevant the national identification of this standard as adopted by a PEFC endorsed national forest certification system.

7.8.5 The identification of the PEFC Project Sourcing standard and the PEFC Trademarks standard shall refer to the versions of the standards against which the audit was carried out and that were valid at the time when the certification was granted.

7.8.6 In addition, the certification documentation shall include the following information for each project covered by the certification:

- a) name and address(es) of the project(s) and description
- b) whether the project is an applicant project or a finished project

Note: An applicant project is a project covered by the **PEFC Project Sourcing certificate** that is not yet finished. The applicant project could have not yet started or be underway.

- c) project completion date of each project

Note: For applicant projects, the date is the expected completion date.

- d) installed components covered by the certification using the PEFC Product Categories and applied project certificate method for each installed component and at project level

Note: This information can be part of an appendix to the certificate or separate from the certificate. This information can also be directly provided through the PEFC database.

7.8.7 The certification body shall indicate on the certificate where the information on projects covered by the certificate as per 7.8.6 is available.

7.8.8 The number of the certificate shall be comprised, in this order, by the abbreviation of the certification body name (the same abbreviation shall be used for any PEFC certificates issued), followed by a dash (-), the abbreviation of the Project Sourcing certification standard: PEFC-PRJ, followed by another dash (-), and the corresponding numeric identification given by the certification body to the certificate.

Note: Two certification bodies cannot have the same abbreviation. The current abbreviations can be found on the PEFC website in the certification body search engine, under the certification body corresponding section.

7.8.9 The certification body shall not alter any of the elements of 7.8.9, including the dash or PRJ in upper cases.

7.8.10 The numeric identification of the certificate may include the identification of the site for multi-site and SME group project certificates. The brackets () shall not be included in the certificate number, they are for indication only. For example: AAAAACC-PEFC-PRJ-1111-01

Note: It is the decision of the certification body to specify the numeric identification, in terms of length and digits, of the certified entity and of the optional numeric identification of the site for multi-site and SME group project certificates. For an SME group, it is highly recommended to issue sub certificate numbers for each participant.

7.8.11 The certification body shall issue the certification documentation in English, and in any other language as appropriate and agreed upon working languages.

7.8.12 For multi-project certification, the certification shall be granted for a maximum of five years. To maintain the certification, the certification body shall conduct a re-certification audit and re-issue a new certificate.

7.8.13 For single project certification issued to an individual certificate holder, the certificate documentation shall have a duration of one year, and be renewed on an annual basis, until the project is completed.

Note: For single project certification, the certificate usually terminates at the time when the project is finished. The certification terminates, but the projects remains certified, until it is demolished or dismantled.

- 7.8.14** Certification bodies shall immediately notify the relevant PEFC National Governing Body, or the PEFC Council where the PEFC National Governing Body does not exist, when certification is granted, suspended, terminated, withdrawn, its scope is changed or any other changes affecting the certification or the information that certification bodies shall report to PEFC.
- 7.8.15** Under multi-project certification, new projects may be added to the certification scope between audits if the **client organisation** can prove that there is no risk of mixing of materials, and that they have complete records back to the beginning of the project. The certification body shall request the **client organisation** provides the project scope and the adapted management process, analyse the information provided and confirm whether the projects can be added.
- 7.8.16** The audit report shall include at least the information specified in Appendix 4 of this document.
- 7.8.17** On request, the certification body shall send a copy of the audit report and other necessary audit records requested by PEFC, in English language, to the PEFC Council and/or a PEFC National Governing Body, in accordance with 4.5.

7.9 Surveillance

- 7.9.1** The surveillance audits shall be carried out annually.
- 7.9.2** For individual certification of single projects that last less than fifteen months, the certification body shall carry out, as a minimum, one audit when the **client organisation** applies for certification, and a final audit of the finished project.
- 7.9.3** For multi-project certification, the certification body shall carry out at least four surveillance audits before the expiry date of the certificate.

Note 1: Annually means once every twelve months, plus or minus three months.

Note 2: If the certificate is valid for less than five years, the number of surveillance audits can be reduced accordingly.

7.10 Termination, reduction, suspension, or withdrawal of certification

- 7.10.1** If certification is suspended or withdrawn, the certification body shall inform the **client organisation** that any further use of PEFC trademarks and claims is not allowed. In case of suspension, the certification body shall monitor whether the client is in compliance.
- 7.10.2** If the **client organisation** does not manage to correct nonconformities within the timeline described under 7.7, the certification body shall suspend the certificate.
- 7.10.3** In case of substantiated concerns or complaints are investigated and confirm, the certification body shall inform the **client organisation** that any further use of the PEFC trademarks is not allowed.

7.11 Complaints and appeals

All the requirements given in chapter 13 of PEFC ST 2003 apply.

8. Management system requirements

All the requirements given in chapter 8 of PEFC ST 2003, *Requirements for Certification Bodies providing certification against the PEFC International Chain of Custody standard*, apply.

Appendix 1 (normative): PEFC notification of certification bodies

All the requirements in Appendix 1 of PEFC ST 2003, *Requirements for Certification Bodies providing certification against the PEFC International Chain of Custody standard*, apply.

Appendix 2 (normative): Accreditations accepted by the PEFC Council for PEFC notification

All the requirements in Appendix 2 of PEFC ST 2003, *Requirements for Certification Bodies providing certification against the PEFC International Chain of Custody standard*, apply.

In addition, the scope of accreditation shall also explicitly state PEFC ST XXXX *Sustainable Sourcing and Traceability of Forest and Tree Based Materials for Projects – Requirements*, PEFC ST XXX, *Requirements for Certification Bodies operating Certification against the PEFC Project Sourcing standard*, and other requirements against which the certification body has been assessed.

Appendix 3 (normative): Specific requirements for conducting sampling for audits covering multi-project certification

1. General

1.1 For multi-project certification, the certification body can apply sampling among projects, where the project sampling is appropriate to gain sufficient confidence in the compliance of the **client organisation** with the Project Sourcing certification requirements for each project.

1.2 The certification body shall be able to demonstrate its justification for the selection of projects for the audit to ensure that all differences across the projects, their complexity according to the aspects at project level defined on 7.4.2.4, and implementation of Project Sourcing certification have been assessed.

1.3 The sample shall be representative concerning differences in project processes, project status within the project duration, and activities that are subject to the Project Sourcing certification.

1.4 For initial audits, the minimum number of projects to be visited per audit shall be the square root of the total number of projects, rounded up to the next whole number:

$$y = \sqrt{x}$$

y = number of projects to be visited; x = total number of projects

1.5 For surveillance and recertification audits, the sample shall be determined separately for:

- a) on-going projects, and,
- b) projects that have finished since the last audit which were not subject to a previous external audit from the certification body

Note 1: “Determined separately” means that the sample is determined after the projects are separated.

Note 2: Projects that were added following an initial audit conducted by the certification body, are classified under a) during sampling.

1.6 For surveillance audits, the minimum number of on-going projects to be visited per audit shall be the square root of the total number of on-going projects, reduced by a factor 0.6, rounded up to the next whole number:

$$y = 0.6 \sqrt{x}$$

y = number of projects to be visited x = total number of projects

1.7 For re-certification audits, the size of the sample shall be the same as for an initial audit ($\sqrt{x}$). Nevertheless, where the management system has proved to be effective over the certification cycle, the size of the sample could be reduced to, $y = 0.8 \sqrt{x}$, rounded up to the next whole number.

$$y = 0.8 \sqrt{x}$$

y = number of on-going projects to be visited; x = total number of projects

1.8 For surveillance and recertification audits, the minimum number of projects that have finished since the last audit, which were not subject to a previous external audit from the certification body, to be visited per audit shall be the square root of the total number of finished projects, reduced by a factor 0.6, rounded up to the next whole number.

$$y = \sqrt{x}$$

y = number of finished projects to be visited; x = total number of projects

Table: Overview of sampling

	Type of projects	Sample size
Initial audit	Not applicable	$y = \sqrt{x}$
Surveillance audit	On-going projects	$y = 0.6 \sqrt{x}$
	Projects finished since the last audit that did not get an external audit	$y = \sqrt{x}$
Recertification audit	On-going projects	$y = \sqrt{x}$ $y = 0.8 \sqrt{x}$ if management system has proven to be effective over the certification cycle
	Projects finished since the last audit that did not get an external audit	$y = \sqrt{x}$

1.9 The sample should be partly selective based on the factors set out below and partly nonselective and should result in a range of different projects being selected, without excluding the random element of sampling.

1.10 At least 25% of the sample should be selected at random.

Note: In the context of risk-based auditing, the selection of projects should avoid visiting projects from the previous sample, unless it is justified by the identified risk. This may lead to sampling where less than 25% of the sample could be selected at random.

1.11 Taking into account the criteria mentioned hereafter, the remainder of the sample should be selected so that the differences among the projects selected over the period of validity of the certificate is as large as possible.

1.12 In addition to the selection criteria mentioned on 7.4.3.2, the project selection criteria shall include among others the following aspects:

a) member geographical dispersion

Note: geographical dispersion can be reflected on the sampling within the certification cycle

b) stage of the projects within the project duration

c) any other aspect considered to be important by the certification body

1.13 The size of sample shall be increased where the certification body's risk analysis of the activities covered by the **client organisation** subject to certification indicates increased risk due to factors like:

a) size of the projects and number of non-PEFC certified project members and outsourced service providers

b) complexity and variations of raw material flow and control methods

c) level of risk of procurement of raw material from controversial sources

d) records of complaints and other relevant aspects of corrective and preventive action

e) any multinational aspects

f) results of internal and external audits

Appendix 4 (normative): Multi-site and SME project group certification

1. General

This appendix is for the PEFC Project Sourcing certification and auditing of **client organisations** with a network of sites. The aim is to ensure audits provide adequate confidence in the conformity of the client organisation's project with the PEFC Project Sourcing certification standard across all sites listed in the scope of the certificate and that the audit is practical and feasible in both economic and operative terms.

This appendix complements the requirements in the body text of the standard and shall be implemented together with the body text of the standard.

2. Eligibility criteria for the multi-site or SME client organisation

All the requirements in Appendix 3, section 2 of PEFC ST 2003, *Requirements for Certification Bodies providing certification against the PEFC International Chain of Custody standard*, apply.

3. Process requirements

3.1 Application

The certification body shall obtain from the **client organisation**, as a minimum, the following information and documentation as a part of the application for certification:

- a) Participants' sites applying to be covered by the PEFC Project Sourcing certification, and the specific project/s per site, and the required information per project.

3.2 Application review

3.2.1 The certification body's procedures shall ensure that the initial application review identifies the complexity and scale of the activities covered by the project/s and project management system subject to certification and any differences between sites as the basis for determining the level of sampling.

3.2.2 The certification body shall identify the central function of the **client organisation** that is its contractual partner for the performance of the certification. The agreement shall allow the certification body to carry out the certification activities at all sites of the multi-site or SME group **client organisation**.

3.2.3 The certification body shall retain a record to demonstrate that the required activities in 3.2.1, 3.2.2 and 3.2.3 have been implemented.

3.3 Evaluation

3.3.1 The certification body shall have a documented procedure to deal with audits under its multi-site and SME project group procedure. Such audit procedures, including documentation and records review, on-site audits, etc., shall establish the way the certification body satisfies itself, inter alia, that the Project Sourcing certification requirements are applied to all the sites and that all the criteria in the PEFC Project Sourcing standard, including Appendix 2, are met.

3.3.2 The purpose of the audit is also to ensure that:

- a) all entities meet the eligibility requirements to be included within the scope of the certificate
- b) from the first surveillance audit onwards, every participant in a SME group has a valid PEFC trademarks licence contract in place

- 3.3.3** The certification body shall be able to demonstrate its justification for the time spent on multi-site audits in terms of its overall policy for allocation of audit time.
- 3.3.4** The minimum audit time to spend for each individual site as a part of the initial, surveillance, and recertification audits is the same as for the audit defined in clause 7.4.2.3. Reductions can be applied to take into account the clauses of the Chain of Custody standard that are not relevant to sites and are only examined at the central office. No reduction is permitted for the central office.
- 3.3.5** In determining the audit time within the audit, the certification body shall as a minimum, consider the number of sites, and multi-site or SME project group considerations.
- 3.3.6** The audit plan shall list the sites to be visited as part of the sample.
- 3.3.7** In determining the sampling, the certification body shall consider the number of sites and the differences between sites. For an SME project group, the certification body shall also consider whether the participants have single projects or multi-projects.
- 3.3.8** The central office shall always be audited.
- 3.3.9** The certification body shall analyse, in each individual case, to what extent sites of a **client organisation** have similar raw material flow that enables the project sourcing to be applied in a similar manner. The similarity of the sites included in the multi-site or SME group **client organisation** shall be taken into consideration when applying the sampling procedures.
- 3.3.10** If more than one audit team is involved in the audit of the network of sites, the certification body shall designate a unique audit leader whose responsibility is to consolidate the findings from all the audit teams and to produce a synthesis report.

3.4 Nonconformities

All the requirements in Appendix 4, section 3.4 of PEFC ST 2003, *Requirements for Certification Bodies providing certification against the PEFC International Chain of Custody standard*, apply.

3.5 Certification documentation

All the requirements in Appendix 4, section 3.5 of PEFC ST 2003, *Requirements for Certification Bodies providing certification against the PEFC International Chain of Custody standard*, apply.

Appendix 5 (normative): minimum content of audit reports

Audit reports shall include, as a minimum, the following content:

1. Front page
2. Description of client organisation
3. Description of client organisation's PEFC chain of custody, including:
 - a) management system
 - b) parts of the organisation and/or sites
 - i. description of the scope of the project
 - ii. intended application of the PEFC trademarks
4. Scope of the audit
 - a) applied certification criteria from Project Sourcing ST and ST 2001
 - i. control method
 - ii. the PEFC trademarks rules
 - iii. PEFC Due Diligence System requirements or PEFC EUDR DDS
 - b) sites visited
 - c) for remote audits:
 - i. justification for conducting audit remotely
 - ii. applied techniques and their justification
 - d) for multi-site audits:
 - i. calculation of the sample size according to clause Appendix 3, 3.2.3
 - ii. justification of the sampling
 - iii. audited sites
5. Audit findings
 - a) presentation of findings demonstrating conformity or nonconformity to all the applicable clauses of the certification requirements
 - b) issued corrective actions and time frames for reporting of corrective actions and close-out
 - c) evaluation of previously issued corrective actions
 - d) recommended certification decision