



PEFC

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**PEFC
IMPLEMENTATION
DOCUMENT**

Additional Requirements for Certification Bodies Operating Certification against the PEFC Project Sourcing Standard

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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. In case of any doubt in regard to language interpretation, the English version is the reference.

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Foreword

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

PEFC-certified sustainable forest and TOF 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 and TOF management certification standards. For further information on PEFC's sustainability benchmarks, please see the PEFC website at www.pefc.org.

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 PEFC Project Sourcing certification shall be carried out by certification bodies who are accredited by accreditation bodies that are signatories of the Multilateral Recognition Arrangement (MRA) for product certification of GACI.

The document was developed by a multi-stakeholder Working Group coordinated by the PEFC Council Secretariat and approved by the PEFC General Assembly. The development was undertaken in an open, transparent, consultative, and consensus-driven process covering a broad range of stakeholders, following PEFC's procedures for the development of technical documentation outlined in PEFC GD 1003:2009.

The text of this document complements PEFC ST 2003:2020, *Requirements for Certification Bodies operating Certification against the PEFC International Chain of Custody Standard*. This implementation document shall be used together with PEFC ST 2003 whenever audits are conducted against the 2026 version of PEFC ST 2102, *PEFC Project Sourcing - Requirements*.

Introduction

The PEFC Council requires certification bodies operating PEFC Project Sourcing certification to 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 product certification whereby a project is a set of interrelated or interacting activities that transform 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 2102:2026, *PEFC Project Sourcing - Requirements*. 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 operating 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 mandatory requirements for certification bodies operating PEFC Project Sourcing certification against PEFC ST 2102:2026, *PEFC Project Sourcing - Requirements*.

Certification bodies shall use these requirements in addition to those in PEFC ST 2003 when providing audits against the PEFC Project Sourcing standard. When PEFC ST 2003 refers to PEFC ST 2002, Chain of Custody, it is to be understood as referring to the PEFC Project Sourcing standard.

2. Terms and definitions

2.1. Client organisation

An organisation, including a multi-site or SME group organisation, that is applying for PEFC Project Sourcing certification, or that 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.

2.2. Green building assessor

A person with a recognised qualification from a green building rating organisation, authorised to evaluate and verify a building’s conformance 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.

2.3. PEFC Project Sourcing certificate

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

3. Resource requirements

3.1. General

- 3.1.1.** For an auditor to be qualified to provide certification services against the PEFC Project Sourcing standard, the certification body shall ensure that the auditor is:
- a) A valid PEFC Chain of Custody qualified auditor who has successfully completed the PEFC Council recognised initial training and knowledge test on the PEFC Project Sourcing standard, or
 - b) A green building qualified assessor who has successfully completed the PEFC Council recognised initial training and the knowledge test on the PEFC Project Sourcing standard; has successfully completed training in audit techniques based on ISO 19011; and demonstrates knowledge and skills equal to the competencies of a PEFC Chain of Custody qualified auditor (see 6.1.1.2.7 of PEFC ST 2003).
- 3.1.2.** Auditors, reviewers, and certification decision makers shall take PEFC recognised project sourcing training:
- a) before involvement in audits against the PEFC Project Sourcing standard
 - b) every two years
 - c) whenever there is a new issuance of the PEFC Project Sourcing standard

4. Process requirements

4.1. Application

4.1.1. In addition to the information required under PEFC ST 2003, the certification body shall obtain the following information and documentation from the **client organisation** as part of the application for PEFC Project Sourcing certification:

- a) A specific geographic location, or a coordinated set of locations for the project.
- b) In cases where the **client organisation** applies, or has applied, for PEFC Chain of Custody certification or PEFC Project Sourcing certification with another certification body or bodies and the application was or is rejected, information on the reasons for the application rejection.
- c) 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.

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

- a) Approximate project duration.
- b) A list of PEFC project members including their corporate name, contact details, address, PEFC certification status (if applicable), project roles and responsibilities.
- c) Project scope (in the case of a multi-project certificate, a separate project scope for each project shall be obtained).
- d) Intended application of the PEFC trademarks.

Note: The information required in this clause does not have to be obtained at the moment of first contact with the **client organisation**.

4.2. Application review

4.2.1. The certification body shall have a documented procedure for the review of applications that includes criteria to assess the eligibility of the **client organisation** and their proposed project scope.

4.2.2. The certification body shall not accept applications where there is evidence of current engagement in corrupt practices or illegal sourcing of forest and tree-based materials by the **client organisation**. If evidence of such practices is found, the certification body shall provide the information to the PEFC Council and the PEFC authorised body. Evidence could include ongoing public investigations.

4.2.3. In the case of historic engagement in corrupt practices or illegal sourcing of forest and tree-based materials, the certification body shall not accept the application unless there is evidence that the engagement has stopped and that the **client organisation**, or its legal predecessor/s, is not subject to any ongoing legal investigation and/or sanctions. The information shall be provided to the PEFC Council and the PEFC authorised body.

4.2.4. The certification body shall assess if the **client organisation**, or its legal predecessor/s, has previously been certified under PEFC or another certification system for the purpose of Forest Management, Chain of Custody, or Project Sourcing certification. If such certification 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 a 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. The information shall be provided to the PEFC Council and the PEFC authorised body.

4.3. Audit

4.3.1. General

4.3.1.1. The certification body shall conduct its evaluation using a risk-based approach.

Examples: Examples of risk criteria are geographical origin of the materials and risks of originating in controversial sources; regulatory and legal compliance; complexity of DDS implementation; history of non-conformities and substantiated concerns; complexity of the supply chain; number of project members, activities conducted by project members and certified status of project members; type of material/product; complaints received, or results from previous audits.

4.3.1.2. The purpose of the audit is to:

- a) Determine the conformity of the **client organisation** and project members with all the applicable requirements of the PEFC Project Sourcing standard.
- b) Determine the conformity of the **client organisation** with all applicable requirements of the PEFC Trademarks Rules.
- c) From the first surveillance audit onwards, verify that the **client organisation** has a valid PEFC trademarks usage contract in place.
- d) Collect data as required by the PEFC Council and the PEFC National Governing Bodies.

Note: Generally, in the case of single project certification, the initial audit should happen before the project starts.

4.3.2. Audit duration

4.3.2.1. In addition to the requirements of PEFC ST 2003, when determining the audit time, the certification body shall also consider the following aspects:

- a) client organisation's operations within the scope of the PEFC Project Sourcing certification
- b) substantiated concerns or complaints, if any
- c) translation needs

d) for each project:

- i. project scope
- ii. the extent of supplies that could create a significant risk of procuring material from controversial sources
- iii. the actual or intended PEFC trademarks usage activities
- iv. stage of the project.

4.3.2.2 For multi-project certification, the certification body shall also consider the number of projects and their complexity.

4.3.3. Certification decision

4.3.3.1. 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 an individual project, or whether it is a fundamental nonconformity at the level of the client organisation's management system. If the nonconformity affects the client organisation's overall management system, the certification body shall raise the nonconformity at organisation level, and the corrective actions shall be taken appropriately. The certification body shall verify the client organisation's capacity to implement corrective and preventive actions.

4.3.3.2. If a major nonconformity affects only a specific project, and the nonconformity is not addressed in the appropriate timeframe set by the certification body, the specific project shall be removed from the scope of the certificate.

4.3.4. Certification documentation

4.3.4.1. The certificate shall include the following information:

- a) Identification of the certification body.
- b) Name, address, and description of the **client organisation** whose project or projects are subject to certification, and, where applicable, its sites/legal entities, and sites covered.

Note: If, in addition to the construction site, the **client organisation** uses a separate storage yard for forest and tree-based materials that will be used in a project included within the scope of the certificate, this additional site is considered part of the project scope.

- c) 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.

4.3.4.2. If the certification body is not accredited, the certificate shall not include the accreditation mark.

4.3.4.3. The scope of certification shall include the following information:

- a) Type of certification (single project or multi-project)
- b) Reference to PEFC ST 2102, PEFC Project Sourcing - Requirements
- c) Reference to PEFC ST 2001, PEFC Trademarks Rules - Requirements
- d) Reference to the PEFC website for the individual project/projects covered by the certificate and their scope.

- 4.3.4.4.** The number of the certificate shall comprise, in this order, 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 PEFC Project Sourcing certification standard: PEFC-PRJ, followed by another dash (-), and the corresponding numeric identification given by the certification body to the certificate.
- 4.3.4.5.** For multi-project certification, new projects may be added to the PEFC Project Sourcing certification scope between audits, provided that the **client organisation** provides all the necessary information for the certification body to conduct a desk review and determine whether the information is sufficient for the project to be added.
- 4.3.4.6.** The certification shall be granted for a maximum of five years. To maintain the certification, the certification body shall conduct a recertification audit and re-issue a new certificate.
- 4.3.4.7.** If the project duration lasts less than five years, the certificate shall be issued for the approximate project duration.

Note: In the case where a project's duration runs longer than initially considered when the certificate was first issued, the certificate can be extended, up to a maximum of five years.

- 4.3.4.8.** The audit report shall include at least the information specified in Appendix 3 of this document.
- 4.3.4.9.** The certification body shall provide the following information to the PEFC Council or the PEFC authorised body after every audit:
- a) a copy of the certificate
 - b) a copy of the audit report to the PEFC Council in the language of the PEFC authorised body, or otherwise in English.
 - c) information on the scope of the project(s) covered by the certification, for each individual project, as follows:
 - i. whether the project is an applicant project or a finished project
 - ii. project name
 - iii. project address
 - iv. project completion date
 - v. a list of installed components included within the scope of the project
 - d) any other information required by PEFC.

4.4. Surveillance

For single project certification, if the project duration is less than eighteen months, the certification body shall carry out, as a minimum, an initial audit when the **client organisation** applies for certification, and a final audit of the finished project.

4.5. Termination, reduction, suspension, or withdrawal of certification

If the **client organisation** does not manage to correct major nonconformities within the timeframe established in the requirements, the certification body shall suspend the certificate.

Appendix 1 (normative): Accreditations accepted by the PEFC Council for PEFC notification

General

Accreditation certificate scope extension to cover the PEFC Project Sourcing standard is not mandatory.

Note: The PEFC Council will analyse the uptake and implementation of PEFC Project Sourcing certification, and extend the accreditation requirements, as needed.

Appendix 2 (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 a risk-based approach to sampling among projects, where the project sampling is appropriate to gain sufficient confidence in the compliance of the **client organisation** with the PEFC Project Sourcing certification requirements for each project.
- 1.2** 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. Sampling can happen only within projects managed by the same person responsible to manage projects.
- 1.3** 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:

$$y = \sqrt{x}$$

where:

y = number of projects to be visited

x = total number of projects

- 1.4** For surveillance and recertification audits, the sample shall be determined separately for:
- ongoing projects
 - 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.

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

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

where:

y = number of projects to be visited

x = total number of projects

- 1.6** For recertification 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.

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

where:

y = number of ongoing projects to be visited

x = total number of projects

- 1.7** 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.

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

where:

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	Ongoing projects	$y = 0.6\sqrt{x}$
	Projects finished since the last audit that did not get an external audit	$y = 0.6\sqrt{x}$
Recertification audit	Ongoing projects	$y = 0.6\sqrt{x}$ $y = 0.8\sqrt{x}$ 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	$y = 0.6\sqrt{x}$

- 1.8** 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.

- 1.9** At least 25% of the sample should be selected at random.

Note: 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.

1.10 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.

1.11 The project selection criteria shall include among others the following aspects:

a) geographical dispersion of projects

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

b) stage of a project within its anticipated project duration

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

1.12 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

b) complexity and variations of raw material flow

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

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

e) any multinational aspects

f) results of internal and external audits

Appendix 3 (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 project sourcing, including:
 - a) management system
 - b) organisation, addresses visited and geographical location or set of locations
 - c) multi-site and participants
 - d) number of projects, in case of multi-project
 - e) intended application of the PEFC trademarks.
4. Scope of the audit
 - a) applied certification criteria from PEFC Project Sourcing standard and PEFC Trademarks standard
 - i. the PEFC trademarks rules
 - ii. PEFC recognised Due Diligence System requirements.
 - b) Description of the project(s) visited (project scope, location, whether an applicant project or a finished project, and the project declaration for finished projects)
 - c) sites visited
 - d) for multi-project audits:
 - i. calculation of the sample size
 - ii. justification of the sampling.
5. Audit findings
 - a) any substantiated concerns the **client organisation** may have dealt with
 - b) presentation of findings demonstrating conformity or nonconformity to all the applicable requirements
 - c) issued corrective actions and time frames for reporting of corrective actions and closure
 - d) evaluation of previously issued corrective actions
 - e) recommended certification decision.

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