



(PEFC FI 1005:2022)

Requirements for certification bodies operating PEFC forest management certification



**PEFC STANDARD
IN ENGLISH**

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Foreword

PEFC Council (Programme for the Endorsement of Forest Certification schemes) is an international forest certification system promoting ecologically, socially, economically and culturally sustainable forest management through forest management certification, chain of custody certification and labelling of forest-based products originating in certified forests.

Forest certification verifies the sustainable management and use of forests. PEFC certification supports society's goals for the sustainable use of forests and offers citizens a wide range of opportunities to enjoy forests. For companies and consumers PEFC assures the responsible origin of forest products.

PEFC Finland - Finnish Forest Certification Council promotes and governs PEFC certification in Finland and organises the standard setting of sustainable forest management in an open, transparent, consultative and consensus-based stakeholder process.

The Finnish PEFC system has been approved by the international PEFC since 2000.

Acceptance by the international PEFC requires that the national forest certification system meets the requirements of PEFC's international standards and governance.

This standard is part of the series of PEFC FI standards owned by PEFC Finland.

This document replaces any previous versions of PEFC FI 1005 standard.

The certification body shall comply with the requirements of this document when conducting certification / auditing against PEFC FI 1001:2022 and PEFC FI 1002:2022.

Introduction

Forest certification confirms that management on the defined forest area is in compliance with the requirements for sustainable forest management.

Together with certification of chain of custody of forest-based products the forest certification offers forest owners and other players of the supply chain opportunities to meet with the demands of the product markets.

This document specifies requirements for certification bodies. Compliance with these requirements is intended to ensure that certification bodies operate forest management certification in a competent, consistent and impartial manner, thereby enabling the acceptance of their certifications on a national and international basis.

Certification bodies' conformity with the requirements of this document is assessed and confirmed by an accreditation body that is a member of the International Accreditation Forum (IAF). Accreditation reduces risks for businesses and their customers by assuring that accredited certification bodies are competent to perform their work.

Accreditation bodies that are members of IAF are required to operate to the highest standards and require the certification bodies they accredit to comply with relevant international ISO standards and IAF documents for the application of those standards.

The forest certification in Finland is considered as management system certification. Therefore, this document is based on ISO/IEC 17021-1 and provides additional requirements necessary for certification and auditing of forest management according to the PEFC Finland's scheme.

This document does not include the text of ISO/IEC 17021-1 and other ISO or IAF documents which can be obtained from ISO, national standardisation organisations or the IAF.

The term "shall" is used throughout this document to indicate those provisions that, reflecting the requirements that are mandatory. The term "should" is used to indicate guidance that, although not mandatory, is provided as a recognised means of meeting the requirements.

1. Scope

1.1 This document provides requirements, additional ISO/IEC 17021-1 and relating IAF documents, for certification bodies operating forest management certification against the PEFC Finland's scheme.

2. Normative references

The following referenced documents are indispensable for the application of this document:

- ISO/IEC 17000, Conformity assessment — Vocabulary and general principles
- ISO/IEC 17011, Conformity assessment -- General requirements for accreditation bodies accrediting conformity assessment bodies
- ISO/IEC 17021-1, Conformity assessment — Requirements for bodies providing audit and certification of management systems – Part 1: Requirements
- ISO/IEC 19011, Guidelines for auditing management systems ISO/IEC 19011:2018
- PEFC FI 1000:2022, Forest Certification Vocabulary
- PEFC FI 1001:2022, Group forest management certification - Requirements
- PEFC FI 1002:2022, Sustainable forest management – Requirements
- PEFC ST 2001:2020, PEFC Trademarks Rules – Requirements

For both dated and undated references, the latest edition of the referenced document (including any amendment) applies.

3. Terms and Definitions

For the purposes of this document, the terms and definitions given in ISO/IEC 17000, ISO/IEC 17021-1, PEFC FI 1000 and the following apply.

Accredited certificate

A certificate issued by a certification body within the scope of its accreditation which bears the accreditation body's symbol.

4. General requirements

4.1 The certification body shall comply with ISO/IEC 17021-1.

4.2 The certification body shall have:

- a) a good knowledge of the PEFC Finland's scheme;
- b) technical competence in forest management and its economic, social and environmental impacts; and on PEFC Finland scheme's certification requirements (see PEFC FI 1001 and PEFC FI 1002). The professional expertise in forest management and its economic, social and environmental impacts shall be demonstrated based on the basis of certification experience in the field and/or appropriate education and professional experience of the staff;
- c) documented procedures and methods.

4.3 The certification body shall be accredited based on ISO/IEC 17021-1 by a national accreditation body that is a member of the International Accreditation Forum (IAF) umbrella and that complies with the requirements of ISO/IEC 17011 and other documents approved by the IAF. The scope of the accreditation shall include references to the PEFC Finland's scheme and its documentation relating to forest management certification (PEFC FI 1001 and PEFC FI 1002).

4.4 The certification body shall conduct the forest management certification as "accredited certification" within a scope of its valid accreditation. An accreditation mark / symbol shall be included in any issued forest management certificate.

4.5 The certification body shall be PEFC notified by PEFC Finland. The criteria of the PEFC notification shall only cover administrative conditions such as communication or information transfer, financial conditions and compliance with this document verified through accreditation (see 4.3 and 4.4).

4.6 The certification body shall provide PEFC Finland with consent to make information about the PEFC notification, its contact details and scope of valid accreditation publicly available and transfer the information for further publishing to PEFC Finland.

4.7 The certification body shall inform its clients about payment practices set by PEFC Finland for the certificate holders.

5. Qualification Criteria for Auditors

- 5.1** Auditors shall fulfil the general criteria for management system auditors defined in ISO 19011.
- 5.2** Auditors shall have a good knowledge on the PEFC Finland's standards with regard to forest management.
- 5.3** Auditors shall have general knowledge on forest management and its economic, social and environmental impacts. The professional expertise in forest management and its environmental impacts shall be demonstrated on the basis of appropriate education and/or professional experience.
- 5.4** Auditors shall have adequate technical know-how on the certification and auditing process.

6. Certification procedures

6.1 Phases of Certifying Process

- 6.1.1** The certification process shall consist of temporally and functionally consecutive actions:
- a) application of the auditee to the certification body,
 - b) review of the application and currently available material by the certification body,
 - c) voluntary pre-audit,
 - d) first phase of the certification audit (focus on assessing the documents) and second phase of the certification audit (in the certification area) carried out separately, or the certification audit carried out in one entity,
 - e) assessment/decision by the certification body, and
 - f) surveillance audits.
- 6.1.2** The certification body shall inform the client that before sending the application to the certification body, it shall comply in its operations with certification requirements defined in PEFC FI 1001 and PEFC FI 1002.
- 6.1.3** The certification body shall review of the application and documentation submitted by the client, and conduct the first phase audit to ensure that the certification requirements (PEFC FI 1001 and PEFC FI 1002) are well understood, adequately taken into account and appropriately applied by the client and its units.

6.2 Auditing

6.2.1 General Principles

6.2.1.1 The applied auditing procedures shall fulfil the requirements of ISO/IEC 19011.

6.2.1.2 The auditing criteria shall include PEFC FI 1001, PEFC FI 1002 and where the client also uses PEFC trademarks also PEFC ST 2001.

6.2.1.3 The audit team shall include at least one auditor qualified in forest management and one auditor qualified in environmental issues. Technical experts may complement the forest management and environmental competence of the auditors.

6.2.1.4 The audit shall include the following phases:

- a) Initial meeting,
- b) Collection of audit evidence,
- c) Evaluation of audit evidence,
- d) Final meeting and
- e) Audit report on the conformance to the audit criteria.

6.2.1.5 The audit team shall collect audit evidence that is adequate to evaluate the conformity of client's operations to the certification requirements. In the final meeting, the audit results of all the audited units are collectively presented to the client. The evaluation results based on the audit evidence (especially those relating to non-conformities) shall be reviewed with the auditee.

6.2.1.6 The audit results, which are not in conformity to audit criteria, are always documented in the audit report. Otherwise, the auditee and the lead auditor agree upon the content of the audit report.

6.2.1.7 The audit evidence to determine the conformity to the forest management standard shall include relevant information from external parties (e.g. government agencies, community groups and other organisations, etc.) as appropriate.

The audit shall, amongst other relevant information, include sufficient consultation with external stakeholders to ensure that all relevant issues are identified relating to compliance with the requirements of the standard.

6.2.1.8 The certification body shall provide PEFC Finland with a summary of the forest certification audit report, including a summary of findings on the conformity to the forest management standard (PEFC FI 1002).

NOTE 1. The summary audit report is made available to the public by PEFC Finland at the PEFC Finland's official website or upon request within 14 days.

6.3 Changes in certification requirements

If the content of the certification requirements (PEFC FI 1001, PEFC FI 1002) is revised, the certification body shall conduct audits against the revised certification requirements according to a transition schedule specified by PEFC Finland.