



PEFC DK 005-2
English version

PEFC Denmark's **Guidelines for auditors and certification bodies**

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1. Introduction

These guidelines are a part of the Danish PEFC certification system for sustainable forest management (in the following mentioned as "the Danish scheme").

The guidelines are normative for auditors and certification bodies, which are operating PEFC certification of sustainable forest management and chain of custody under the Danish scheme.

The guidelines have been developed by PEFC Denmark and approved by PEFC Denmark's Board of directors on 14th March 2007 with amendments approved 18th October 2007 and the 16th November 2007

2. Scope

These guidelines specify requirements for external auditors and certification bodies, which carries PEFC certification under the Danish scheme and defines certification procedures.

This standard is applied in accordance with the Danish scheme covering:

- Certification of forest management
- Certification of umbrella organisations, and
- Certification of the chain of custody of wood.

3. References

PEFC Denmark's forestry standard – PEFC DK 001-2

Annex 4 of the PEFC Council TD - Chain of Custody of Forest Based Products - Requirements

PEFC Denmark's Guidelines for certification of umbrella organisations – PEFC DK 003-3

Annex 5 of the PEFC Council TD – PEFC Logo Usage Rules

PEFC Denmark's guidelines for PEFC notification of certification bodies PEFC DK 006-1

List of words and definitions for the Danish PEFC certification scheme for sustainable forest management PEFC DK 007-1

DS/EN ISO/IEC 17011:2004 Conformity assessment - General requirements for accreditation bodies accrediting conformity assessment bodies

DS/EN ISO 19011:2002 Guidelines for quality and/or environmental management systems auditing

DS/EN 45011 General criteria for certification bodies operating product certification (ISO Guide 65)

4. Definitions

For the purposes of the Danish scheme, the relevant definitions given in "*List of words and definitions for the Danish PEFC certification scheme for sustainable forest management PEFC DK 007-1*" apply.

5. Requirements for auditors

5.1 CERTIFICATION OF SUSTAINABLE FOREST MANAGEMENT AND UMBRELLA ORGANISATIONS

The requirements for auditors used in certification audits of sustainable forest management and umbrella organisations are based on the general auditing guidelines for quality and/or environmental management systems and complemented with sectoral expertise.

The auditors must:

1. Fulfil the general criteria, as appropriate, for environmental auditors defined in DS/EN ISO 19011:2002 Guidelines for Quality and Environmental Management System Auditing,
2. Have a good knowledge on the Danish scheme with regard to forest management, and
3. Have in-depth knowledge on forest management and administration and its environmental impacts.

At audits the certification body shall use a person with an education in forestry¹ and four years of practical experience of forest management and a person with experience of certification procedure. The same person can handle both tasks.

5.2 CERTIFICATION OF CHAIN OF CUSTODY OF WOOD

The requirements for auditors used in certification audits of chain of custody of wood are based on the general auditing guidelines for quality and/or environmental management systems complemented with sectoral expertise.

The auditor must:

1. Fulfil the criteria, as appropriate, defined in DS/EN ISO 19011:2002 Guidelines for Quality and Environmental Management System Auditing
2. Have a good knowledge on the Danish scheme with regard to the certification of chain of custody of wood, and
3. Have in-depth knowledge on wood procurement and material flows in forest industries.

At audits the certification body must use a person with at least four years of practical experience of the wood industry and a person with experience of certification procedure. The same person can handle both tasks.

6. Requirements for certification bodies

6.1 ACCREDITATION

Certification bodies carrying out forest management certification and/or certification of umbrella organisations and/or chain of custody certification shall be accredited by a national accreditation body.

6.2 PEFC NOTIFICATION

Certification bodies carrying out forest management certification and/or certification of umbrella organisations and/or chain of custody certification under the Danish scheme shall be PEFC notified by PEFC Denmark according to *"PEFC Denmark's guidance for notification of certification bodies PEFC DK 006-1"*

6.3 CERTIFICATION OF SUSTAINABLE FOREST MANAGEMENT AND UMBRELLA ORGANISATIONS

The qualification criteria for the certification bodies used in certification audits of sustainable forest management and umbrella organisations are based on the general criteria for certification bodies operating product certification (ISO guide 65), complemented with specified requirements from PEFC Denmark and sectoral expertise.

The certification body must:

1. Fulfil the general criteria, as appropriate, for certification bodies defined in standard DS/EN 45011 (ISO Guide 65) and supplementary requirements defined in this standard,
2. Use a documented method, according to which the forest management and umbrella organisations may be audited and certified, and
3. Have a good knowledge of the Danish scheme, with regard to forest management.

6.4 CERTIFICATION OF CHAIN OF CUSTODY OF WOOD

The qualification criteria for the certification bodies used in certification audits for certification of chain of custody are based on the general criteria for certification bodies operating product certification, complemented with sectoral expertise.

¹ M.Sc. (forestry), Forest and landscape engineer or similar education

The certification body must:

1. Fulfil the general criteria, as appropriate, for certification bodies defined in standard DS/EN 45011 (ISO Guide 65) and supplementary requirements defined in this standard,
2. Use a documented method, according to which the chain of custody of wood may be verified and certified, and
3. Have a good knowledge of the Danish scheme, with regard to the certification of chain of custody of wood.

6.5 SUPPLEMENTARY REQUIREMENTS TO ISO GUIDE 65

PEFC Denmark's supplementary requirements to ISO guide 65 for certification bodies operating certification of sustainable forest management and umbrella organisations, and certification of chain of custody according to the Danish system are specified as follows.

6.5.1 Certification of sustainable forest management and umbrella organisations

Registration and information

The certification body shall provide PEFC Denmark with information about all issued certificates according to the Danish scheme and changes concerning the validity and scope of these certificates. The certification bodies shall in this connection maintain and update documented records of all forest properties and umbrella organisations certified by them under the Danish scheme.

The register shall as a minimum include the following information, which shall be sent to PEFC Denmark together with a copy of the certificate:

- **Individually certified forest properties:**
 - Owner information
 - Name of the organisation (Forest district)
 - Certified area (ha)
 - Address
 - Zip
 - City
 - Phone
 - Fax
 - First and last name of the contact person
 - Certificate number
 - Date of issue of certificate.
 - Date of expiry of certificate
- **Certified umbrella organisations:**
 - Name of the organisation
 - First and last name of the contact person
 - Address (Contact person)
 - Zip (Contact person)
 - City (Contact person)
 - Phone (Contact person)
 - Fax (Contact person)
 - Certificate number
 - Date of issue of certificate.
 - Date of expiry of certificate
 - Total certified area (ha)

Validity of certificates

The certification body can issue certificates for a maximum period of five years.

The certification body may withdraw a granted certificate permanently or suspend it for a specified time period. The withdrawal, or suspension, decision and its justification are communicated to the applicant in writing.

The applicant may surrender the certificate any time during its validity. The denouncement takes effect immediately after the certification body has received the notice in writing.

Control of the PEFC logo usage

The certification body shall carry out control of PEFC logo usage if the certified entity is a PEFC logo user.

6.5.2 Certification of chain of custody of wood

Registration and information

The certification body shall provide PEFC Denmark with information about all issued chain of custody certificates according to the Danish scheme and changes concerning the validity and scope of these certificates. The certification bodies shall in this connection maintain and update documented records of chain of custody units certified by them under the Danish scheme.

The register shall as a minimum include the following information, which shall be sent to PEFC Denmark together with a copy of the certificate:

- **Chain of custody certified organisations:**
 - Owner information
 - Name of the organisation
 - Address
 - Zip
 - City
 - Phone
 - Fax
 - First and last name of the contact person
 - Type of certification²
 - Certificate number
 - Scope of certification
 - Date of issue of certificate.
 - Date of expiry of certificate
 - Wood based turnover

Validity of certificates

The certification body can issue certificates for a maximum period of five years.

The certification body may withdraw a granted certificate permanently or suspend it for a specified time period. The withdrawal, or suspension, decision and its justification are communicated to the applicant in writing.

The applicant may surrender the certificate any time during its validity. The denouncement takes effect immediately after the certification body has received the notice in writing.

Control of the PEFC logo usage

The certification body shall carry out control of PEFC logo usage if the certified unit is a PEFC logo user.

² Individual or multi-site

6.6. CERTIFICATION AND AUDITING PROCEDURES FOR CERTIFICATION OF FOREST MANAGEMENT AND UMBRELLA ORGANISATIONS

The certification body shall establish internal procedures for forest management certification and certification of umbrella organisation according to the Danish scheme.

The procedures shall fulfil the requirements in ISO Guide 65

The applied auditing procedures shall fulfil or be compatible with the requirements of DS/EN ISO 19011:2002

The certification procedure described as follows is additional requirements to point 8-13 in ISO Guide 65.

The certification procedure includes the following phases:

1. Application for certification
2. Review of the application and preparation of the certification audit
3. Certification audit
4. Certification report
5. Decision on certification
6. Information to PEFC Denmark
7. Surveillance
8. Recertification

6.6.1 Application for certification

A written application for certification together with relevant documentation has to be sent to the certification body.

6.6.2 Review of the application and preparation of the certification audit

The certification body analyses the application and evaluates whether the applicant fulfils the requirements for documentation or not.

The certification body prepares a plan for its further assessment activities. The certification body presents the plan for the applicant, who decides whether the process shall continue or not.

After this the certification body nominates a qualified audit team to assess the compliance with the certification criteria.

6.6.3 Certification audit

The certification audit shall include the following phases:

1. Public consultation. Before the conformity assessment with *“PEFC Denmark’s forestry standard – PEFC DK 001-2”* relevant external parties shall be consulted, with a time limit of at least 14 days. The public consultation shall at least be announced at the certification body’s homepage. Relevant information from external parties shall subsequently be included in the assessment as appropriate.
2. The applicants forest management / activities shall be evaluated according to current standard(s). The compliance to *“PEFC Denmark’s forestry standard – PEFC DK 001-2”* for participants in a group certification shall be based on sampling. The certification body evaluates the conformity with the certification requirements and evaluates whether the applicant fulfils the requirements or which nonconformities that have to be discharged in order to comply with all the certification requirements. Guidance for handling of observations and deviations from *“PEFC Denmark’s forestry standard – PEFC DK 001-2”* can be found in annex 1.
3. The audit team gives an oral and written summary of their observations to the applicant after the evaluation.
4. The audit team gives the certification body a report of the findings. The applicant shall be given an opportunity to comment on the report and to describe the specific actions to be taken

or is planned to be taken within a defined period of time to remedy any nonconformity with the certification requirements.

6.6.4. Certification report

The certification report shall as a minimum include the following elements:

- Identification of the audit team
- The scope of the certification
- The applicant's conformity with the certification requirements. Observations and deviations shall always be documented in the report.
- A summary of the public consultation
- A executive summary of the report containing:
 - o Main data
 - o Policy and objectives for the property (Only individually certified forest)
 - o Any deviations

The applicant and the lead auditor can agree on additional content of the report

The summary of the certification report shall be made available to the public by the certification body.

6.6.5 Decision on certification

The decision whether or not to issue a certificate to the applicant will be taken by the certification body. Those who make the certification decision are not allowed to participate in the audit within the certification body.

A certificate is issued to the applicant when a positive decision on certification has been made.

6.6.6 Information to PEFC Denmark

The certification body shall inform PEFC Denmark about all issued forest management and group certificates and changes concerning validity and scope of these certificates

6.6.7 Surveillance audit

The certification body shall carry out surveillance audits of certified forest properties and umbrella organisations at least one a year during the validity of the certificates to verify continued compliance with the requirements in the Danish scheme. The surveillance audit has to be carried out in accordance with point 6.6.3 – 6.6.4 with the exception of the public consultation.

The certification body shall require the certified entity to inform it about any changes in the management, procedures relating to documentations or registrations of data, which affect the conformity with the standards. A plan for corrective actions is drawn up.

The plan for corrective actions is evaluated. If the plan for corrective actions is approved the certificate can be maintained. If the plan can't be approved no certificate can be issued and the applicant need to apply again.

6.6.8 Recertification

Recertification shall be carried out following point 6.6.1 – 6.6.5

6.7 CERTIFICATION AND AUDITING PROCEDURES FOR CERTIFICATION OF CHAIN OF CUSTODY

The certification body shall establish internal procedures for certification of chain of custody according to the Danish scheme.

The procedures shall fulfil the requirements in ISO Guide 65

The applied auditing procedures shall fulfil or be compatible with the requirements of DS/EN ISO 19011:2002

6.8 INFORMATION ON THE CERTIFICATES

The certificates shall as a minimum contain information about:

- Name and address of the Forest proprietie/umbrella organisation/company
- Reference to the standard
- Scope
- Date of issue
- Date of expiry
- Certificate number
- Name and accreditation number of the certification body

6.8.1 Reference to the standard

The following reference to the standards shall be applied:

Certification of forest management:

Individual certification of forest management:

"PEFC Denmark's forestry standard – PEFC DK 001-2"

Group certification of forest management – certification of umbrella organisations:

"PEFC Denmark's Guidelines for certification of umbrella organisations – PEFC DK 003-3" and "PEFC Denmark's forestry standard – PEFC DK 001-2"

Chain of custody certification:

Individual certification of chain of custody:

"Annex 4 of the PEFC Council Technical Document - Chain of Custody of Forest Based Products - Requirements (standard)"

Multi site certification of chain of custody:

" Annex 4 of the PEFC Council Technical Document - Chain of Custody of Forest Based Products - Requirements (standard) including appendix 4 Implementation of the chain of custody standard in multi-site organisations"

For chain of custody certification the following shall be specified on the certificate:

- Identification of the used definition of the origin (Either appendix 1 *"PEFC Council specification for the origin for the purposes of PEFC label and declarations"* or appendix 6 *"Specification of the origin for the purposes of PEFC label and declarations covering recycled raw material"*)
- Identification of chain of custody method (Either physical separation - Section 2, percentage based method - Section 3)
- Specification of Product / Product groups or processes

7. Requirements for accreditation bodies

The accreditation shall be issued by an accreditation body, which is a part of the European co-operation for Accreditation (EA) and/or the International Accreditation Forum (IAF) and have signed the agreement of mutual recognition.

The accreditation body shall implement procedures described in DS/EN ISO/IEC 17011:2004 and other documents recognised by IAF.

Information on accreditation shall accompany any issued forest certificate, group certificate and chain of custody certificate.

Annex 1- guidance for handling of observations and deviations from “PEFC Denmark’s forestry standard”

The intention of this instruction is to clarify which corrective actions could be taken towards group certified forest owners when deviations from PEFC Denmark's forestry standard are observed.

Assumptions:

Observation of deviations from the current PEFC Denmark forestry standard for certified forest owners can be noted by internal audit.

No adjusting actions can be demanded for deviations caused by circumstances not controlled by the forest owner e.g. actions from the umbrella organisation or from companies buying or processing the wood.

Guidance

It is generally necessary for certification bodies and umbrella organisations to keep in mind that forests are biological systems evolving only slowly and that forests are production sites being substituted only every 50-150 years. Furthermore, the site-specific soil conditions and climate conditions along with specific stand conditions are crucial to what actions may seem reasonable in silvicultural management.

The forest management shall be evaluated in the light of the following:

- The general declaration of intent as formulated in PEFC Denmark's forestry standard chapter 6
- The specific criteria as formulated in PEFC Denmark's forestry standard chapter 7
- The individual objectives defined for the individual forest property

In the cases where the property develops in a “wrong” direction in relation to one or several indicators, the consultant shall evaluate whether this development can be explained from the current circumstances on the property and whether the development is acceptable.

Observations and deviations should be handled as follows:

1. Observations

Observations are registered conditions at the property, which does not comply with the standard but does not deviate considerably. It should be evaluated whether the observed conditions is reasonably substantiated as special conditions on the property such as specific stand structures; soil conditions or climatic conditions.

If the observation cannot be substantiated as stated it is pointed out for the forest owner in written.

Observations can turn into deviations

2. Minor deviation

A minor deviation is a deviation, which imply that an indicator is evolving in a decidedly negative direction or that certain conditions in the management are in conflict with the forestry standard in general.

It should be evaluated whether the deviation is satisfactory substantiated by specific conditions on the property such as specific stand structures, soil conditions or climatic conditions.

If the deviation cannot be substantiated at states, this is pointed out for the forest owner in writing and the owner in question receives a written command about correcting the deviation.

The certification body can give a deadline for the corrective action depending on the nature of the deviation. The deadline can at latest be at the next surveillance audit and a maximum of 1 year.

3. Major deviation

A major deviation is a deviation where the certification body can point out a management of the forest that is in violence with the foundation and contents of PEFC Denmark's forestry standard or when earlier commands have not been followed up.

The certification body cannot issue a certificate if a major deviation is pointed out and the condition is not reasonably substantiated.

If the deviation is pointed out at a surveillance audit or in connection with re-certification the certification body gives the owner a written command about correcting the deviation within a 3-month period. The certification body can at repeated deviation suspend the certificate until the corrective action has been executed.

If the corrective action hasn't been executed or the deviation is directly inconsistent with PEFC Denmark's forestry standard conditions for cancellation of the certification agreement exist. The forest owner receives written communication about the presence of the conditions for cancellation of the forest certification agreement. The owner of the forest is requested to explain the criticised circumstances within two months. If the explanation is considered unsatisfactory, the agreement of certification is cancelled in a written communication to the forest owner.