

Description of the TÜV NORD CERT Certification Procedure PEFC CoC



Inhaltsverzeichnis

1	AUDIT PREPARATION	2
1.1	Preliminary audit	2
2.	EVALUATION OF PEFC DOCUMENTATION (PROCEDURES/ PEFC-MANUAL)	2
3.	CERTIFICATION AUDIT	3
4.	ISSUE OF THE CERTIFICATE AND SURVEILLANCE AUDITS	3
	Surveillance audit	3
	Recertificationaudit	4
	Short-term announced audits	4
5.	CERTIFICATION OF COMPANIES WITH MULTIPLE SITES	4
6.	EXPLANATIONS OF THE PEFC COC CERTIFICATION AUDIT (MAIN AUDIT).....	5
6.1	Proceeding.....	5
6.1.1	Methods of registration and calculation of the percentage rate of Certification concerning resources and products.....	5
6.1.2	Registration of the PEFC-CoC certificate leading organization for the issuing of a logo usage contract at PEFC (Germany respectively national offices or PEFC International)	7
7	LOGO USE	7
8	PEFC NOTIFICATION FEE.....	7

If you should require any further information then please do not hesitate to contact us. We will be please to help you.

Please contact us via mail to info.tncert@tuev-nord.de or by telephone 0800 245 74 57 (Free-phone from within Germany) or +49 511 9986-2532 from abroad.

TÜV NORD CERT GmbH
Langemarckstraße 20
45141 Essen
Germany
www.tuev-nord-cert.com

The certification procedure PEFC-CoC is divided into 4 phases. The auditors are selected by the head of the TÜV NORD CERT certification authority according to accreditation for the branch and qualification.

1 Audit preparation

The audit preparation phase serves to verify whether the certification at the client's is reasonable and practicable.

1.1 Preliminary audit

A company may request a preliminary audit to ensure the conformity requirements.

In this audit the grade of conformance to the requirements of PEFC CoC will be assessed prior to the performance of the actual certification audit.

The following documents have to be on hand at the client's when performing the preliminary audit:

- Information about the PEFC CoC responsibility (incl. Organigram)
- Process instruction/ PEFC manual (depending on the type of business and dimension)
- Declaration of Conformity (A62F019e)
- Product classification questionnaire (in case the national PEFC office requires it)
- Contract of Certification PEFC CoC
- Questionnaire regarding the PEFC notification fee

The purpose of the preliminary audit is to reveal weak points in the PEFC documentation and in the implementation of the PEFC system. The results of the preliminary audit will be elucidated to the client or, if desired, documented in a report. The extent of the audit will be settled in agreement with the client and, as a rule, is performed by one auditor (lead auditor). A preliminary audit can only be performed once.

2. Evaluation of PEFC documentation (procedures/ PEFC-manual)

Before carrying out the certification audit, the relevant procedures or the PEFC manual has to be sent to the auditor, so that the auditor can assess the complexity by evaluating the processes and procedures and use this information to create the audit plan. This review is usually done as a desk audit. At the request of the applicant, however, it is also possible to carry out a pre-audit on site, but this would entail additional costs.

3. Certification audit

The company's duty during the audit is to demonstrate the practical application of its documented procedures.

The following topics are subject of the certification audit:

- PEFC manual with all necessary procedures
- Implementation of physical separation or percentage based method
- Suppliers list and existing certificate copies of PEFC certified suppliers
- Due Diligence System (DDS)
- Documentation of internal audit
- Proof of PEFC training for relevant employees (list of participants)
- PEFC-complaint management

After completion of the audit, the client will be informed about the audit result in a final discussion. The result is documented in a report. Non conformities are documented in non conformity reports. The auditors decide on the classification into critical and non-critical non conformities. A critical deviation either leads to a follow up-audit, this means a follow up-on-site inspection or submission of new documents. The scope of the follow up-audit is decided by the lead auditor; however, only the points affected by the non conformities are audited. The follow up-audit takes place according to expenditure according to the price list. In the case of a non-critical deviation, corrective actions are defined and usually assessed by reviewing documents.

4. Issue of the certificate and surveillance audits

In the audit report, the auditor documents a recommendation for the granting of the PEFC certificate. A positive certification decision is done when the TÜV NORD CERT veto person has evaluated the report and the whole PEFC process positive. Compliance with four-eye principle ensures the independence and high quality of the audits. The certificate is issued only if all non conformities (critical and uncritical) are closed. The validity period of the TÜV NORD CERT certificate is five years, whereby annual surveillance audits have to be carried out in the company.

Surveillance audit

The surveillance audit always includes the evaluation of the requirements of the standard sections and corrective measures from the previous audit.

Generally, the surveillance audit is performed by one auditor. The date is agreed upon with the client. The surveillance audit is performed yearly -3/+2 months, based on the validity date of the certificate.

In case of non conformities, the procedure is the same as for the certification audit. In case of serious non conformities, the certificate can be revoked if they are not closed within 3 month. The client receives a report after the surveillance audit.

As a result of the auditor's recommendation and the documents submitted - as in the certification audit - the certificate is extended by the veto person during the approval process, extended, withdrawn or extended under conditions.

If the company where the audit is performed does not meet the requirements of the PEFC-CoC or the relevant agreements, the TÜV NORD CERT will, after prior notification of the reasons to the organization leading to withdrawal of the certificate, and written reminder of the certificate withdrawal - with the possibility of rectification - withdraw the PEFC-CoC certificate.

Recertification audit

Before the end of the period of validity, a repeat audit for the renewal of the certificate for another five years is to be carried out in the company. The audit process is carried out according to phase 3 of this description.

Short-term announced audits

Normally, the surveillance and recertification audits will be announced well in advance and the audit scheduling will be done in consultation with the PEFC representative. In justified cases, e.g. if there are clear indications of fraud or serious violations of the PEFC standard, unannounced or early announced audits may also be conducted. This would be possible, for example, if TÜV NORD CERT has clear indications that illegally logged timber has been purchased or processed.

5. Certification of companies with multiple sites

If a company that maintains several sites is PEFC certified, then these locations should also be audited, as the environmental impact assessment for each site may vary, even for the same activity. Basically, the following cases are to be distinguished:

- A multi-site site where only one site sells the products and the other sites are pure factories
- Multi-site operations with multiple locations that fall under a common ownership structure
- Group certification

Contrary to the general rule that all locations have to be audited every year, the participating locations may be randomly audited for multi-site and group certifications.

Group certification is possible for small companies with fewer than 50 employees and annual turnover of max. EUR 8.2 million (CHF 9.0 million). Sampling within a group is possible if:

- same site conditions,
- the same (comparable) product, the same (comparable) service
- same technologies
- a central body assumes responsibilities for compliance with the PEFC CoC

In principle, the organization of the group shall be managed centrally, whereby this body responsible for complying with the CoC requirements is subjected to a central office audit each year. The central office should be able to prove that it collects the data regarding the PEFC-CoC certification of the participating companies and carries out the internal audits. Responsibilities of the central office shall be demonstrated to TÜV NORD CERT.

Other examples of multisite organizations include:

- Organization with franchisees
- companies with multiple operations

6. Explanations of the PEFC COC certification audit (main audit)

6.1 Proceeding

The certification audit starts with an introduction of the participants. Afterwards, the proceedings will be defined. The audit will be performed according to the TÜV NORD CERT audit protocol. The results and the documents provided by the company will be documented in a report. Non conformities will be documented in non conformity reports. The auditor will now evaluate the results and make a recommendation concerning the PEFC CoC Certification of the audited company. The aim of the audit is the verification of the practical application of the documented procedures following the requirements of PEFC CoC.

On the basis of the registration of their resources and commodity flow (input resources – output product) the company making the application for certification should verify the origin and destination of their certified resources and products.

6.1.1 Methods of registration and calculation of the percentage rate of Certification concerning resources and products

There are two methods of certification:

Physical separation method

⇒ Preconditions for the company in order to apply this method:

- Physical separation of the certified resources during the whole process of production and trade – a clear identification has to be ensured.

a) Identification and verification of provides resources

- Provider
- delivery quantity, delivery date, delivery period, calculation period
- Category of origin incl. Percentage of certification, if the provider applies the „method of percentage“

b) Separation of the certified resource concerning:

- Location of production and stock
- Time

The documentation for securing the separation of the resources while transportation must be ensured. A permanent Identification is very important.

Percentage based method

a) Definition of the lot

The demands on the Company refer to a lot, if the location of production is distinctly restricted. The lot is differed by the following criteria:

- resource
- Location of production
- Period of time, max. 12 months dated back

in connection with

- a single product or group of products made of similar resources

b) Calculation of the certificated PEFC percentage (input resources of raw material output resources and sale of certified products)

The calculation is carried out according to a standardized measure for the total of resources, using official conversion factors and methods.

- Input resources :

The calculation of the percentage of the certified input resources will be carried out by the company in one of the following ways:

- simple percentage (applying to max 3 month)
- rolling average percentage (applying to 12 month past)

- Output resources:

Transfer of the certified input percentage to the output

- Method of medium percentage (no lower limit)

⇒ The certified percentage of one lot can be transferred to all products, which arise from this lot, in maximum same height.

- Volume credit method

⇒ The company can transfer the percentage of certification to a volume deposit (max volume 12 months in case of accumulation of credit account), whenever the certified products have to be certified and named per 100%.

6.1.2 Registration of the PEFC-CoC certificate leading organization for the issuing of a logo usage contract at PEFC (Germany respectively national offices or PEFC International)

If an organization that has been granted a PEFC-CoC certificate by TÜV NORD CERT, wants to use the PEFC logo, an employee of TÜV NORD CERT will notify the organization in writing the secretariat of PEFC.

7 Logo use

If a company having a PEFC-CoC certificate uses the PEFC logo, the use of the logo will be reviewed during the surveillance audit.

The TN Cert Auditor documents the check in the audit report.

8 PEFC notification fee

The TÜV NORD CERT GmbH is obliged to collect the PEFC fee and transmit the whole amount to the PEFC company (national / international).

The PEFC fees are charged annually together with the current audit costs. The PEFC fee will rise in response to the annual turnover of the company: i.g. Germany, other see national PEFC or PEFC international rules:

In the case of Multi-Site Certifications, the annual amount is charged per location (this depends on the national PEFC office).