

Certification scheme

Product certification

acc. to PEFC™-CoC and ISO 38200:2018

supplement to the GTCs

1	<i>Introduction</i>	3
2	<i>Scope</i>	3
3	<i>Normative documents</i>	3
4	<i>qualityaustria policy on certification</i>	3
5	<i>Registration for Certification</i>	4
6	<i>Cost estimate and offer</i>	4
6.1	Time required for "standard" audits	4
6.2	Tasks of the certification body	4
7	<i>Appeals, complaints and disputes</i>	5
8	<i>Conducting the audit</i>	5
8.1	Preparation and informational talk	5
8.2	Organizational preliminary talk/ Stage 1 audit	6
8.3	Performing the audit	6
8.3.1	Certification and recertification audit	6
8.3.2	Transfer of certificates	6
8.4	Audit documentation and certification decision	7
8.5	Nonconformities	7
8.6	Follow-up audit	7
9	<i>Surveillance audit</i>	7
10	<i>Recertification</i>	8
11	<i>Multi-site CoC certification</i>	8
11.1	Additional sites	9
12	<i>Certificate and database registration</i>	9
12.1	Prerequisite for granting certification	9
12.2	Validity period of the certificate and prolongation	9
12.3	Certification document	10
12.4	Scope of certificate	10
13	<i>Use of the PEFC logo and notification fee</i>	10
13.1	Identification of products	10
13.2	Misuse of the PEFC logo	10
13.2.1	Examples of minor misuse	11
13.2.2	Examples of severe misuse	11
14	<i>Accreditation and notification</i>	11

1 Introduction

This document provides supplementary information on, and requirements for conducting PEFC-CoC and ISO 38200 audit and certification services by Quality Austria.

PEFC-CoC and ISO 38200 certificates are subject to a particular public interest. It is therefore of great importance to consider the claims of interested parties and to ensure the high reliability of the certification system at any time.

When conducting PEFC and ISO 38200 audits, Quality Austria is obliged to take account of all applicable PEFC-CoC requirements as published on the websites of PEFC Austria (www.pefc.at) and PEFC International (www.pefc.org) and ISO 38200 requirements to demonstrate compliance with the international standard.

Important note: Quality Austria is **not yet accredited** for ISO 38200.

2 Scope

This document defines system-specific requirements for conducting CoC certification against PEFC ST 2002:2013 and/or ISO 38200. Regulations from the quality management system of Quality Austria are listed as applicable documents in the topics.

3 Normative documents

Requirements for Certification Bodies operating certification against the PEFC International Chain of Custody Standard, PEFC ST 2003:2013, Appendix 16 as well as requirements for compliance with the International Standard ISO 38200:2018.

4 qualityaustria policy on certification

Upon request of the company, Quality Austria carries out the assessment, auditing and certification acc. to PEFC-CoC and/or ISO 38200.

The following requirements apply:

- PEFC Chain of Custody (International CoC Standard) Chain of Custody of forest based products - requirements (PEFC Austria Appendix 4, as amended)
- PEFC logo usage rules (Appendix 5)
- Requirements for Certification Bodies operating certification against the PEFC International Chain of Custody Standard (Appendix 16, as amended)
- ISO 38200:2018 (Chain of Custody of wood and wood-based products)

Quality Austria recognizes PEFC-CoC certificates and PEFC FM as well as ISO 38200 certificates, issued by other certification bodies, as evidence that the relevant products originate from forest management enterprises, managed acc. to the PEFC principles and criteria.

Quality Austria reviews in terms of a company's certification capability whether this company complies with the CoC Standards, continually improves its environmental performance and appropriately informs the public about its environmental situation.

Quality Austria supports the application of overall management systems, inter alia, for using synergies from quality management systems that have already been implemented and compliance with environmental management and occupational health and safety criteria. Accordingly, Quality Austria also offers its services combined in line with auditing, assessment and certification of integrated management systems.

Quality Austria appoints appropriately qualified personnel for its activities and ensures the maintenance of the high-level professional competence of its auditors and CSC employees due to education and training.

Quality Austria promotes broad acceptance of its certificates among users and international certification partners.

Quality Austria informs the clients in the offer that – in case of certification against PEFC CoC – the information obtained will be passed on to the PEFC Council or the national PEFC Body and will be treated confidentially.

ISO 38200 currently does not provide any comparable information obligation to third parties.

5 Registration for Certification

Registration is done by means of the application form "CoC information for making offers (FO_25_03_10e)" and under consideration of the **qualityaustria** General Terms and Conditions. After successful registration, each client will receive a confirmation.

6 Cost estimate and offer

6.1 Time required for "standard" audits

Applicable internal **qualityaustria** documents:

- RE_27_01_092e Country-specific notification fees PEFC CoC
- RE_25_03_01e Minimum audit time

The hours for a PEFC CoC and/or ISO 38200 offer are based on the "Minimum time Guideline" (RE_25_03_01e). The auditor must adhere to the minimum audit times, but has to calculate time expenditure individually, depending on the complexity.

The auditor will consider the following factors:

- Complexity of the manufactured products (product groups)
- Complexity of the process flows
- Size of the company (number of sites, number of employees)
- Existence of a quality and/or environmental management system (ISO 9001:2015, 14001:2015, EMAS)

In the case of a multi-site audit, reduction of audit time at the central office is not permissible, see also chapter 11;

The notification fee is to be considered in a PEFC-CoC offer. The instruction sheet on country-specific notification fees PEFC CoC (RE_27_01_092e) defines in which countries the notification fee, as well as the amount thereof must be taken into account in the offer. For ISO 38200, such fee is currently not applicable.

Other costs (travel costs, expenses, mileage allowance etc.) are invoiced according to the effort or calculated and stated in the offer upon request. The overall costs for the validity period of PEFC-CoC certificates are accounted for 5 years, and for the validity period of ISO 38200 for three (3) years. It is possible to issue PEFC CoC certificates for less than 5 years.

6.2 Tasks of the certification body

Tasks are:

- Assessment of the company with regard to compliance with the requirements of the International PEFC Chain of Custody Standard (Annex 4, Chain of Custody of forest based products) as well as of ISO 38200, as amended.
- The verification of compliance with the logo usage rules (Annex 5, PEFC Logo Usage Rules – Requirements, as amended) by certificate users, in the course of the annual audits, and information to PEFC Austria in case of nonconformities.
- Information to the PEFC National Governing Body, e.g. PEFC Austria with regard to issuance of certificates, termination /suspension / withdrawal of certificates as well as its validity and scope.

7 Appeals, complaints and disputes

Complaints and appeals can be submitted online or via e-mail.

Links: <http://www.qualityaustria.com/index.php?id=534>

E-Mail: reklamationen@qualityaustria.com

Applicable documents:

RE_10_01_01e Appeals and complaints

RE_10_01_02e Suspension and withdrawal of certificates

8 Conducting the audit

8.1 Preparation and informational talk

During the informational talk, the following points are presented:

- Introduction of Quality Austria / Introduction of the company = employee
- The company's objective / motive for PEFC and / or ISO 38200
- Essence, significance of PEFC and / or ISO 38200
- What PEFC Standards are there? (PEFC FM, PEFC CoC)
- Requirements for PEFC CoC certification and / or ISO 38200 certification
- Certification against PEFC or ISO 38200 – why? (Benefits)
- The way to obtain certification
- Identification of following factors (information of making an offer): Complexity of the manufactured products, complexity of the process flows, size of the company (number of full-time employees), annual turnover of the entire timber sector (certified and un-certified wood / wood fiber), potential risk countries (countries of origin)
- Interface Quality Austria/PEFC (announcement of certification to the national body, logo license contract)
- Existence of a quality management system
- Expenditure / costs

8.2 Organizational preliminary talk/ Stage 1 audit

Quality Austria offers the organizational preliminary talk / Stage 1 audit to the client for preparation and estimation of the circumstances. Cancellation of the Stage 1 audit is only permitted with the approval of the product expert.

- Introduction of Quality Austria / Introduction of the company = employee
- Presentation PEFC CoC and / or ISO 38200
- Presentation of checklist and PEFC Standard
- Clarification of important PEFC and/or ISO 38200 requirements
- On-site inspection tour
- Competence check
- Planning the date
- Preparation of the audit plan, incl. coordination with client (schedule, standard requirements, contact person, ...).

Misc.: necessary translations, documents, transportation, overnight stay, etc.
Further procedure (appointment audit, ...)

8.3 Performing the audit

8.3.1 Certification and recertification audit

A certification or recertification audit is carried out on-site in accordance with the PEFC Chain of Custody (International CoC Standard) Chain of Custody of forest-based products – requirements (PEFC Austria Appendix 4, as amended) or ISO 38200, in order to

- ascertain conformity of the client's CoC procedure and the relevant site with the CoC Standard requirements, which includes the **definition of the origin of raw material**, and their effective implementation;
- ascertain conformity of the client's **management system** with the CoC Standard requirements and their effective implementation;
- ascertain conformity of the client's CoC procedure with the requirements of the **Due Diligence System for avoiding raw materials from controversial sources**, where applicable (Appendix 2 of the CoC-Standards), and their effective implementation;
- ascertain the client's conformity with the requirements of the **PEFC Logo usage rules** and their effective implementation;
- identify areas of the CoC client which might be **improved**.

In case of **PEFC CoC multi-site certification**, the additional Appendix 2 "Implementation of the CoC Standard for multi-site organizations" has to be considered. The Lead Auditor identifies the organization's central office, which is also the contractual partner when conducting the certification.

Quality Austria is obliged to submit a list of all participating sites to the PEFC National Governing Body. In the case of multi-site certifications with sites located in more than one country, the relevant PEFC National Governing Body (for notification) is the PEFC National Governing Body in the country where the head-office of the multi-site organization is registered.

For ISO 38200 multi-site certification, the internal **qualityaustria** regulation RE_27_01_074e (matrix regulation) applies.

8.3.2 Transfer of certificates

When transferring certificates, the client has to sign document FO 27_01_162e "**Self-declaration – transfer of certificates**" and the previous CB shall send a **confirmation of termination** to Quality Austria.

8.4 Audit documentation and certification decision

The audit report is prepared acc. to the audit report template FO_27_01_062e_PEFC audit report or FO_27_01_160e_ISO 38200_Audit report. For PEFC CoC multi-site certification, chapter 9 of the report must be documented in accordance with specifications.

The audit report, the checklist, the customer master data sheet, the print order, the audit confirmation and other verification documents are uploaded in WIS. The review of documents is done in a two-step procedure. The formal review (Business case review → completeness of documents, formal aspects) is done by the CSC person of contact and the technical review by the veto representative (audit report, possible counter-check with the checklist, release of certificate). The certificate will be issued after the positive veto release.

8.5 Nonconformities

The audit findings should be classified in major nonconformities, minor nonconformities and opportunities for improvements (potentials).

Major and minor nonconformities shall be corrected and the corrective action should be verified by lead auditor / veto examiner prior to issuance of certificate or recertification.

The client should take action(s) to correct major and minor nonconformities identified in the course of surveillance audits, in order to close these deviations. The action plan, including a schedule, must be reviewed and accepted by the lead auditor. The timeline within which the action(s) to correct major nonconformities identified in the course of surveillance audits have to be closed, and within which the review has to be carried out by the lead auditor, should be based on the **qualityaustria** regulations but may not exceed 3 months. Corrective actions for minor nonconformities should be verified at the following audit (not later than twelve (12) months).

Corrective action(s) for all nonconformities identified in the course of initial, surveillance or recertification audits, should be reviewed by the certification body in the context of site visits or in any other appropriate form of verification.

The action protocol is to be uploaded into WIS. In case of major nonconformities, a follow-up audit order is automatically placed in the WIS with the agreed period for tracking.

8.6 Follow-up audit

The follow-up audit is commissioned separately and will be invoiced by Quality Austria.

The Lead Auditor must evaluate the effectiveness of the corrective action within the agreed timeframe. Verification documents are to be attached as a supplement to the action protocol. The follow-up audit may be carried out on site or, where necessary, in any other appropriate form of verification.

In case of initial certification or recertification, the veto examiner may only grant a positive certificate decision and issue the certificate after successful completion of a follow-up audit.

9 Surveillance audit

The surveillance audit is carried out by a PEFC-CoC auditor **not later than one (1) year** after the latest audit.

However, the surveillance should take place at the site of the client.

For PEFC CoC, the annual on-site surveillance at the client's premises might be replaced by other audit techniques, such as document review; the period between the on-site surveillance audits should not exceed two (2) years. Other audit techniques might be used if:

- Quality Austria can prove that the applied audit techniques are sufficiently reliable to ensure compliance with the certification criteria by the certificate holder;
- the client's company is a micro enterprise;
- there were no nonconformities in the previous initial, surveillance or recertification audit;
- the client's procurement doesn't include high-risk supplies;
- the client submits to Quality Austria: all records provided by the CoC Standard, or a list of records that enables Quality Austria to draw an independent sample.

The minimum audit time for the surveillance and recertification audit corresponds to the minimum audit times for certification audits as described in chapter 4 "Cost estimate".

Any deviation from the Chain of Custody Standard identified during the annual surveillance audit shall be explicitly mentioned in the audit report and the nonconformity must be documented in the action protocol.

10 Recertification

Recertification or renewal of the **qualityaustria** PEFC CoC or ISO 38200 certificate takes place prior to the end of certificate validity. Recertification has to be carried out in good time prior to expiration of the validity date, in order to allow the client to correct possible nonconformities in time.

11 Multi-site CoC certification

The multi-site CoC audit will be conducted acc. to PEFC Chain of Custody (PEFC Austria Appendix 4, as amended), incl. Annex 3, on-site. Conduct of the audit is described in chapter 9.

An additional requirement for PEFC CoC multi-site CoC certifications is the **selection of samples** for on-site audits:

- The **central office** is audited in every audit (IA, SA, RA). Reduction of the audit time at the central site is **not permissible**.
- **Initial audit:** The sample should be the square root of the number of remote sites ($y=\sqrt{x}$), **rounded up** to the nearest whole number.
- **Surveillance audit:** The size of the annual sample should be the square root of the number of remote sites multiplied by 0.6 ($y=0.6 \sqrt{x}$), **rounded up** to the nearest whole number.
- **Recertification audit:** The size of sample should correspond to that of the initial audit. If, however, it can be evidenced over a period of three years that the CoC system has been effective, the size of sample may be reduced by a factor of 0.8 ($y=0.8 \sqrt{x}$), **rounded up** to the nearest whole number.

The size of sample should be **increased**, if the implemented risk assessment of activities indicates the following factors:

- The **size** of the sites and **their number of employees**;
- **Complexity and variability** of raw material flows and **CoC methods**;
- Differences in the application of CoC methods and definition of the origin of raw materials;
- **Level of risk** in terms of purchasing raw materials from controversial sources;
- **Records on complaints** and other relevant **aspects concerning corrective and preventive actions**;

- Any **multinational** aspects;
- **Results of internal audits.**

The same approach will be adopted for ISO 38200:2018.

11.1 Additional sites

When a new group of sites applies to be included in an already certified multi-site network, each new group of sites should be considered as an independent set in determining the size of sample. After integrating the new group into the certificate, the new sites should be combined with the previous ones in order to determine the size of sample for future surveillance and recertification audits.

12 Certificate and database registration

12.1 Prerequisite for granting certification

Major and minor nonconformities should be corrected and the effectiveness of corrective actions should be verified by the lead auditor and the veto examiner prior to granting certification and recertification.

12.2 Validity period of the certificate and prolongation

The PEFC CoC certificate may not be issued for a period longer than **five (5) years**. The certificate can be granted for another period after successful completion of a recertification audit.

Quality Austria shall immediately inform the national PEFC Body or, if there is no national PEFC Body, the PEFC Council about issuing certification, suspension or withdrawal of certification or any changes in the scope of certification.

The ISO 38200:2018 certificate is issued for **three years**.

12.3 Certification document

The certificate should include at least the following information:

- Identification of the certification body;
- Name and address of the client and its organizational units, which are subject to CoC certification;
- Scope of the certificate issued;
- Accreditation logo as requested by the accreditation body (including accreditation number, if available), date of issuance or prolongation as well as expiry date resp. due date of recertification. The effective date of the certification document should not be earlier than the date of the certification decision.

Important note: Currently, ISO 38200 certificates are not yet accredited. The application for accreditation will be submitted as soon as practical experience can be demonstrated. This procedure is coordinated with the Accreditation Austria.

12.4 Scope of certificate

The scope of certificate includes the following information:

- Identification of the CoC-Standard;
- Applied CoC method;
- Used definition of origin of the raw material (Appendix 1 of the CoC Standard) and
- Products, included in the CoC.

Quality Austria publishes the information about any PEFC CoC or ISO 38200 certificate issued on www.qualityaustria.com. Further information, such as expiry date, product groups etc. will be presented on the PEFC database. You can find a direct link to the PEFC database on the **qualityaustria** intranet.

13 Use of the PEFC logo and notification fee

Prerequisite for the use of the PEFC logo is a valid PEFC certificate. The CoC organization must pay a CoC certificate notification fee according to the national or international contribution scheme of the PEFC organization. The notification fee is payable annually.

13.1 Identification of products

The products are marked with PEFC logo. The use of the PEFC logo is stated in Appendix 5 of the Standard «PEFC logo usage rules», as amended.

13.2 Misuse of the PEFC logo

A misuse of the PEFC logo eventuates if the conditions of the normative document "logo rules" are not met. In case of a one-time misuse of the trademark, the logo representative of PEFC Austria will issue a written warning. He/she decides whether or not the already used material must be withdrawn by the client.

Severe misuse or several minor misuses will be sent as a written complaint to the CEO. This triggers the internal **qualityaustria** complaints handling procedure. This might lead to withdrawal of the certificate. The **qualityaustria** Management Board decides about the withdrawal in consultation with the logo representative. PEFC has to be informed.

In case of certificate withdrawal, the already printed material must either be completely destroyed by the client or, due to redesign, changed in such way that the information related to PEFC certification is no longer available.

13.2.1 Examples of minor misuse

The following examples can be rated as minor logo misuse:

- The trademark is used correctly, but without being verified by Quality Austria.
- The trademark was verified, but an incorrect registration number has been used.

13.2.2 Examples of severe misuse

The following examples can be rated as severe logo misuse:

- Products or forests, which are not certified against PEFC, are advertised by using the certification logo.
- The certification logo is passed on to be used by other organizations.

14 Accreditation and notification

PEFC CoC: Accreditation is carried out by Accreditation Austria / BMDW. Quality Austria has a valid accreditation for PEFC CoC.

Quality Austria must be notified by a PEFC-authorized Body for the respective country in which it operates. PEFC-notification may include the requirement that Quality Austria has to pay a notification fee according to the PEFC Council or the respective PEFC-authorized Body.

Important note: Quality Austria is not currently accredited for ISO 38200. However, this is planned. In the case of successful accreditation, an accredited certificate can be issued in the course of the following audit.