

**2012-11-27**

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**PEFC Notification of Certification Bodies operating Chain of Custody Certification in Countries without Authorised Bodies**



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**PEFC Council**

World Trade Center 1, 10 Route de l'Aéroport  
CH-1215 Genève, Switzerland  
Tel: +41 (0)22 799 45 40, Fax: +41 (0)22 799 45 50  
E-mail: [info@pefc.org](mailto:info@pefc.org), Web: [www.pefc.org](http://www.pefc.org)

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**Document name:** Notification of Certification Bodies operating Chain of Custody Certification in Countries without Authorised Bodies

**Document title:** PEFC GD 1006:2012

**Approved by:** PEFC Board of Directors      **Date:** 2012-11-13

**Issue date:** 2012-11-27

**Entry into force:** 2013-04-01

**Transition date:** 2014-01-01

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## **Foreword**

The PEFC Council (the Programme for the Endorsement of Forest Certification schemes) is a worldwide organisation promoting sustainable forest management through forest certification and labelling of forest based products. Products with a PEFC claim and / or label deliver confidence that the raw material originates in sustainably managed forest.

The PEFC Council provides endorsement of national forest certification systems which are required to comply with the PEFC Council requirements subject to regular evaluations.

This document alters and replaces Guide GD 1006:2010, Notification of Certification Bodies operating Chain of Custody Certification in Countries without Authorised Bodies.

This document enters into force on 1<sup>st</sup> April 2013. The transition date for notification fees charged for PEFC chain of custody certificates issued under the scope of PEFC Council notification before this date is 1<sup>st</sup> January 2014.

## **Introduction**

PEFC certification shall be carried out by third party certification bodies, which are accredited by a national accreditation body which is a member or a part of the International Accreditation Forum (IAF) in order to demonstrate its competence and independence. PEFC Notification establishes a necessary link between the accredited certification bodies and the scheme owner (PEFC) and allows certification bodies to issue PEFC recognised certificates.

## **1 Scope**

This document describes procedures for the issuance of PEFC notification to certification bodies operating PEFC chain of custody certification in countries without PEFC authorised bodies. In countries with authorised bodies notification will be obtained from the authorised body directly

Note: An updated list of countries with authorised bodies is available from the PEFC Council.

## **2 Normative references**

The following referenced documents are indispensable for the application of this document. For both dated and undated references, the latest edition of the referenced document (including any amendment) or the document which replaced the referred document applies.

PEFC ST 2002:2010, *Chain of Custody of Forest Based Products – Requirements*

PEFC ST 2003:2012, *Requirements for Certification Bodies operating Certification against the PEFC International Chain of Custody Standard* (Note: The transition period from the requirements for certification bodies operating PEFC chain of custody certification outline in Annex 6 of the PEFC Technical Document to the requirements of PEFC ST 2003:2012 ends on 2<sup>nd</sup> July 2013, except for chapter 5.2.2 of PEFC ST 2003:2012, which ends on 2<sup>nd</sup> July 2014)

PEFC GD 1004:2009, *Administration of PEFC scheme*

ISO/IEC 17065:2012, *Conformity assessment — Requirements for bodies certifying products, processes and services*. (Note: The end of the transition period from ISO/IEC Guide 65 to ISO/IEC 17065:2012 ends on 15<sup>th</sup> September 2012)

## **3 Terms and Definitions**

### **3.1 Accredited certificate**

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

### **3.2 Authorised body**

An entity authorised by the PEFC Council to administer the PEFC scheme on behalf of the PEFC Council

Note: The authorised body is either the PEFC National Governing Body operating within its country or another entity which has been authorised by the PEFC Council to administer the PEFC scheme.

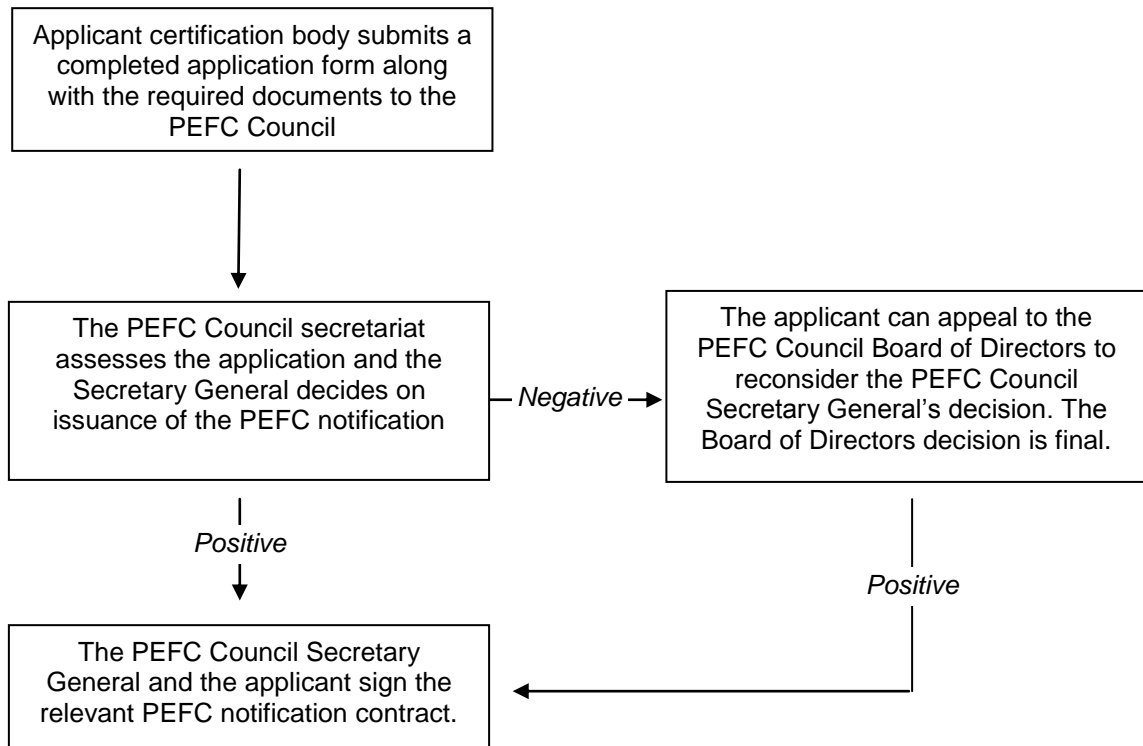
## **4 Conditions for PEFC notification**

The certification body applying for PEFC notification from the PEFC Council shall:

- be a legal entity;
- agree to be listed on the publicly available PEFC Council Internet database including the certification body's identification data and / or other data as specified by the PEFC Council;

- have valid accreditation, issued by an accreditation body that is signatory of the Multilateral Recognition Arrangement (MLA) for product certification of the International Accreditation Forum (IAF). The accreditation shall be issued against ISO/IEC 17065:2012 and the scope of the accreditation shall explicitly include PEFC 2002:2010;
- sign a PEFC notification contract with the PEFC Council (Appendix 1).

## 5 PEFC notification issuance procedures



## **6 Obligations of the PEFC notified certification body**

The PEFC notified certification body shall:

1. Have and keep valid accreditation issued in compliance with PEFC ST 2003:2012 and inform the PEFC Council immediately about any changes in the accreditation. Upon request it shall provide updated evidence that it still meets the requirements of valid accreditation.
2. Carry out PEFC chain of custody certification against PEFC ST 2002:2012 within the scope of the valid accreditation.
3. Provide the PEFC Council immediately and truthfully with a completed reporting form for each PEFC chain of custody certificate and every site covered by a multi-site certificate, issued within the scope of PEFC Council notification and on changes concerning reported certificates.
4. Provide the PEFC Council, upon request, with a list on its issued PEFC chain of custody certificates, including information on certificate number, name of the certificate holder, country of the certificate holder, certificate status, date of issuance, date of expiry and date of surveillance audits carried out.
5. Pay the PEFC Council the annual PEFC notification fee for every certificate when invoiced by the PEFC Council. The amount of the fees is specified in Appendix 3, *Tariffs of PEFC Notification Fee* and can be changed by the PEFC Council Board of Directors during the validity of the contract. Any change to the contract between PEFC Council and the PEFC Notified Certification Body resulting from a change in the rates will take effect the year following that in which the PEFC Council has informed the PEFC Notified Certification Body, in writing, of the change.
6. Agree to be listed on the publicly available PEFC Council internet database including the certification body's identification data and/or other data as may be specified by the PEFC Council.
7. Inform PEFC chain of custody certificate holders about the range of information it is reporting to the PEFC Council and that this information (except the certificate holders turnover) will be made publicly available on the PEFC Information Register.
8. Inform the certificate holder how to obtain a PEFC Logo use license.

## **7 Validity of the PEFC notification**

PEFC notification is valid for the period of the validity of the certification body's accreditation. The PEFC notification can be terminated or suspended immediately by the PEFC Council if the notification contract is violated.



**PEFC Notification Contract**

Between

- (1) The Programme for the Endorsement of Forest Certification schemes**, hereafter the “PEFC Council”, having its registered office at World Trade Center 1, 10, Route de l’Aéroport, CH-1215 Geneva, Switzerland

And

- (2) Name of the certification body**, hereafter the “PEFC Notified Certification Body”, having its registered office at *address*

Whereas the PEFC Notified Certification Body is operating PEFC chain of custody certification recognised by the PEFC Council;

Whereas the PEFC Council is the governing body of the Programme for the Endorsement of Forest Certification schemes and is the owner of the PEFC logo and PEFC claims;

Whereas the PEFC Notified Certification Body is to be granted PEFC notification, and the PEFC Council recognises PEFC chain of custody certificates issued by the PEFC Notified Certification Body within the scope of valid accreditation to organisations which are registered in countries covered by the geographical scope of this contract.

Now, therefore the above said parties agree to the following:

**Article 1**

Definitions:

1. Chain of Custody of Forest Based Products – Requirements -

This is PEFC ST 2002:2010, *Chain of Custody of Forest Based Products – Requirements*, , which forms part of the contractual documentation and is found in the annex of this contract. PEFC ST 2002:2010 can be altered or replaced with another document by the PEFC Council.

2. Certification and Accreditation Procedures

This is PFC ST 2003:2012, *Requirements for Certification Bodies operating Certification against the PEFC International Chain of Custody Standard*, which forms part of the contractual documentation and is found in the annex of this contract. PEFC 2003:2012 can be altered or replaced with another document by the PEFC Council.

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3. Tariffs of PEFC Notification Fee -

These are the tariffs defined in Appendix 3 to the PEFC Council Guide PEFC GD1006:2012 *Notification of Certification Bodies for operating chain of custody certification in countries without authorised bodies*, which forms part of the contractual documentation and is found in the annex of this contract.

4. PEFC Council Certificate Reporting Form

This is Appendix 4 to the PEFC Council Guide PEFC GD1006:2012 *Notification of Certification Bodies for operating chain of custody certification in countries without authorised bodies*, which forms part of the contractual documentation and is found in the annex of this contract.

5. Geographical scope of PEFC notification –

This is an annex to this contract, which forms a part of the contractual documentation and which can be amended by the PEFC Council. Any amendment to the geographical scope comes into effect by the end of the month following the date the PEFC Council informs the PEFC Notified Certification Body in writing.

**Article 2: Responsibilities of the PEFC Notified Certification Body**

The PEFC Notified Certification Body is obliged to:

1. Have and keep valid accreditation issued in compliance with PEFC ST 2003:2012 and inform the PEFC Council immediately about any changes in the accreditation. Upon request it shall provide updated evidence that it still meets the requirements of valid accreditation.
2. Carry out PEFC chain of custody certification against PEFC ST 2002:2012 within the scope of the valid accreditation.
3. Provide the PEFC Council immediately and truthfully with a completed reporting form for each PEFC chain of custody certificate and every site covered by a multi-site certificate, issued within the scope of PEFC Council notification and on changes concerning reported certificates.
4. Provide the PEFC Council, upon request, with a list on its issued PEFC chain of custody certificates, including information on certificate number, name of the certificate holder, country of the certificate holder, certificate status, date of issuance, date of expiry and date of surveillance audits carried out.
5. Pay the PEFC Council the annual PEFC notification fee for every certificate when invoiced by the PEFC Council. The amount of the fees is specified in Appendix 3, *Tariffs of PEFC Notification Fee* and can be changed by the PEFC Council Board of Directors during the validity of the contract. Any change to the contract between PEFC Council and the PEFC Notified Certification Body resulting from a change in the rates will take effect the year following that in which the PEFC Council has informed the PEFC Notified Certification Body, in writing, of the change.

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6. Agree to be listed on the publicly available PEFC Council internet database including the certification body's identification data and/or other data as may be specified by the PEFC Council.
7. Inform PEFC chain of custody certificate holders about the range of information it is reporting to the PEFC Council and that this information (except the certificate holders turnover) will be made publicly available on the PEFC Information Register.
8. Inform the certificate holder how to obtain a PEFC Logo use license.

### **Article 3: Responsibilities of the PEFC Council**

1. The PEFC Council recognises the certificates issued by the PEFC Notified Certification Body in compliance with this contract and provides holders of the certificates with access to the PEFC Logo usage license under the conditions specified by the PEFC Council.
2. The PEFC Council is obliged to inform the PEFC Notified Certification Body of any changes to the PEFC Council regulations and documentation which affect this contract.

### **Article 4: Contract Termination**

1. Either party may terminate the contract with three-month prior notice provided in writing and by registered letter to the last known address.
2. The PEFC Council may suspend the contract with the immediate effect if there are reasons to believe that any provision of the PEFC notification contract is not being adhered to.
3. Withdrawal, suspension or the end of the validity of the PEFC Notified Certification Body's accreditation, will result in automatic termination of the contract with effect on the same date as the withdrawal, suspension or the end of the validity of the accreditation.
4. No PEFC notification fee is refunded to the PEFC Notified Certification Body in case of temporary suspension or termination of the contract according to the Article 4, bullet 1, 2 and 3.
5. The PEFC Council is not obliged to pay compensation for any costs or other damages which any temporary suspension or termination causes to the PEFC Notified Certification Body.

### **Article 5: Validity of the Contract**

The contract enters into force when it has been signed by both parties.

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**Article 6: Governing Law - Jurisdiction**

1. This contract is subject to Swiss law.
2. Any disputes arising out of this agreement shall be finally and exclusively settled by the courts of the Canton of Geneva, subject to a right of appeal to the Swiss Federal Supreme Court.

Signed in duplicate.

In Geneva on DD.MM.YYYY

In                      on DD.MM.YYYY

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For and on behalf of  
the PEFC Council

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For and on behalf of  
the PEFC Notified Certification Body

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**APPLICATION FORM FOR PEFC NOTIFICATION****I. Applicant's Identification Data**

<b>Organisation name</b>			
<b>Organisation's representative</b>			
<b>Addresses</b>	<b>Street, No.</b>		
	<b>City</b>	<b>Zip</b>	
	<b>Country</b>		
<b>Contact person</b>			
<b>Telephone</b>		<b>Fax</b>	
<b>E-mail</b>		<b>Http</b>	

**II. Information and Documents for Application Processing:**  
 (only if logo user group C)

<b>Accreditation number / expiry date of validity</b>	
<b>Accreditation Body Name</b>	
<b>Documents required to process the application:</b> <input type="checkbox"/> Copy of the accreditation attestation issued against ISO/IEC 17065:2012, with the scope explicitly covering certification against PEFC ST 2002:2010 .	

**IV. Self-Declaration:**

I hereby confirm that:

- I have read the PEFC Council's regulations concerning PEFC certification and notification and accept them,
- The data included in this application is complete and truthful.

 Signature of applicant's representative  
 (given in Section I)

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**APPLICATION PROCESSING FORM**  
*(Completed by the PEFC Council Secretariat)*

**I. Application Processing:**

		Date	Signature
Date application received	<input type="checkbox"/> Yes		
Fulfilment of the PEFC requirements	<input type="checkbox"/> Yes <input type="checkbox"/> No		
Contract sent to the applicant	<input type="checkbox"/> Yes		
Signed contract received	<input type="checkbox"/> Yes		
Contract signed by both parties returned	<input type="checkbox"/> Yes		

**II. PEFC Notification Fee Payment:**

Year	Amount	Paid on Date	Signature

**III. Application Appeal Process:**

		Date	Signature
Appeal received	<input type="checkbox"/> Yes		
Appeal processed with decision	<input type="checkbox"/> Positive <input type="checkbox"/> Negative		

**IV. Suspension and Termination of the PEFC notification:**

Statutes of Decision	Date	Penalty

## Appendix 3 : Tariffs of the PEFC Notification Fee

### Tariffs of PEFC Notification Fee

Turnover of the PEFC certified organisation (CHF)	PEFC notification fee (CHF)
under 150,000	50
150,000 to 750,000	150
750,000 to 1.5 million	300
1.5 million to 15 million	600
15 million to 45 million	1000
45 million to 150 million	2000
150 million to 450 million	3000
450 million to 1.5 billion	4000
Over 1,5 Billion	5000

In case of multi-site certifications, which are not producer groups, the multi-site organisation's turnover is calculated as a sum of turnovers of sites covered by the multisite organisation.

**PEFC Council Certificate Reporting Form**

(to be completed for every certificate and every site covered by a multi-site certificate)

**Contact details:**

<b>Organisation name</b>			
<b>Organisation's representative</b>			
<b>Address</b>	<b>Street, No.</b>		
	<b>City</b>	<b>Zip</b>	
	<b>Country</b>		
<b>Contact person</b>			
<b>Telephone</b>		<b>Fax</b>	
<b>E-mail</b>		<b>Http</b>	

**Certificate information:**

<b>Certification Body Name</b>	
<b>Certificate number</b>	
<b>Subcertificate number (if applicable)</b>	
<b>Certificate issuance date</b>	
<b>Certificate expiry date</b>	
<b>Accreditation Body Name</b>	
<b>Accreditation Number</b>	
<b>Certified entity turnover for the last year in CHF</b>	

**Certified product information:**

<b>Product name</b>	<b>Product category code*</b>	<b>Product description*</b>	<b>Species code (can include more than one)</b>

\* See the next page for codes of product categories and species. If the product includes species of more than one category (e.g. 1 - coniferous and 3 - non-coniferous), please type all the appropriate codes into the column.



# Appendix 4: PEFC Council Certificate Reporting Form

Code	Product categories		
<b>01000</b>	<b>Roundwood</b>		
01010		Sawlogs and veneer logs	
01020		Pulpwood	
01030		Chips and particles	
01040		Wood residues	
01050		Other industrial roundwood	
<b>02000</b>	<b>Fuelwood and charcoal</b>		
02010		Fuelwood (incl chips, residues, pellets, brickets, etc.)	
02020		Charcoal	
<b>03000</b>	<b>Sawnwood and sleepers</b>		
03010		Railway sleepers	
03020		Sawnwood	
<b>04000</b>	<b>Engineered wood products</b>		
04010		Laminated Lumber Products	
04020		Finger Jointed Lumber	
04030		Glue Laminated Products (Glulam)	
04040		Laminated Veneer Lumber (LVL)	
04050		Parallel Strand Lumber (PSL)	
04060		I-Joists / I-Beams	
04070		Trusses & Engineered Panels	
04080		Other	
<b>05000</b>	<b>Wood based panels</b>		
05010		Veneer sheets	
05020		Plywood	
05030		Particle board	
05031			OSB
05032			Other particle board
05040		Fibreboard	
05041			MDF
05042			HDF
05043			Softboard
05043			Hardboard
05044			Insulating board
<b>06000</b>	<b>Pulp</b>		
06010		Mechanical	
06020		Semichemical	
06030		Dissolving	
06040		Chemical	
06041			Unbleached sulphite pulp
06042			Bleached sulphite pulp
06043			Unbleached sulphate (kraft) pulp
06044			Bleached sulphate (kraft) pulp
06050		Recovered paper	
<b>07000</b>	<b>Paper and paper board</b>		
07010		Graphic papers	
07011			Newsprint
07012			Uncoated mechanical
07013			Uncoated woodfree
07014			Coated papers
07020		Household and sanitary paper	
07030		Packaging materials	

07031			Case materials
07032			Folding boxboards
07033			Wrapping papers
07034			Other papers mainly for packaging
07040		Other paper and paperboard	
07050		Converted paper products	
07060		Printed matter	
<b>08000</b>	<b>Wood manufacturers</b>		
08010		Packaging, cable drums, pallets	
08011			Packaging and crates
08012			Cable drums
08013			Pallets
08020		Furniture	
08030		Builders carpentry	
08031			Windows
08032			Doors
08033			Shingles and shakes
08034			Floors
08035			Others
08040		Decorative wood	
08050		Tools and turned wood	
08051			Tools
08052			Children toys
08053			Sport goods
08054			Musical instruments
08055			Other
08060		Other	
<b>09000</b>	<b>Exterior products</b>		
09010		Buildings and their parts	
09020		Garden Furniture/Outdoor Products	
09021			Garden furniture
09022			Playground equipment
09023			Decking
09030		Other	
<b>11000</b>	<b>Cork and cork products</b>		
11010		Natural cork and cork waste	
11020		Cork manufactures	
<b>12000</b>	<b>Energy</b>		
<b>13000</b>	<b>Non-wood products</b>		
<b>14000</b>	<b>Other</b>		

List of species			
1	Coniferous	All woods derived from trees classified botanically as Gymnospermae - e.g. fir (Abies), parana pine (Araucaria), deodar (Cedrus), ginkgo (Ginkgo), larch (Larix), spruce (Picea), pine, chir, kail (Pinus), etc. These are generally referred to as softwoods.	
2	Non-coniferous tropical	All woods derived from trees classified botanically as Angiospermae - e.g., maple (Acer), alder (Alnus), ebony (Diospyros), beech (Fagus), ligum vitae (Guiaicum), poplar (Populus), oak (Quercus), sal (Shorea), teak (Tectona), casuarina (Casuarina), etc. These are generally referred to as broadleaved or hardwoods.	Non-coniferous woods originating from tropical countries.
3	Non-coniferous other		Non-coniferous woods originating from countries other than tropical.
4	Not specified		

