

## PROJECT FOR THE DEVELOPMENT AND INSTITUTIONALISATION OF A PAFC CERTIFICATION SYSTEM FOR THE CONGO BASIN



### Notification of chain of custody certification bodies

PAFC/PROC-004-2020-1



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## Introduction

PAFC Congo Basin certification is a regional certification applicable at the national level in each country covered by the PAFC Congo Basin certification scheme.

PEFC chain of custody certification is issued by third party certification bodies, which are themselves accredited by an accreditation body in order to demonstrate their competence and independence. The requirements for these bodies and their accreditation are specified in the PEFC Council document entitled "Requirements for certification bodies carrying out certification according to the PEFC international chain of custody standard" PEFC ST 2003:2020.

The national PAFC Cameroon, PAFC Congo and PAFC Gabon organisations, referred to in the document as PAFC **COUNTRY**, are each responsible for the implementation of this procedure in their respective countries.

Notification establishes the necessary link between the accredited certification bodies and the owners of the system (the PAFC **COUNTRY** association), and enables the certification bodies to issue certificates recognised by PAFC **COUNTRY**.

### 1. Scope

This document (PAFC/PROC-004-2020) describes the procedure for the issuance of notifications by PAFC **COUNTRY** to certification bodies conducting PEFC chain of custody certification in the **COUNTRY's** territory.

The request for notification is a prior and compulsory procedure enabling certification bodies to issue a PEFC chain of custody certificate.

The notification, formalised in the form of a contract between PAFC **COUNTRY** and the certification body, authorises a certification body to issue PEFC chain of custody certificates within a **COUNTRY**.

### 2. Normative references

The documents referenced below are key for the implementation of this document. In any case, the latest versions of these references must be applied.

PEFC – ST 2002:2020 *Chain of custody of Forest and tree based products – Requirements*

PEFC ST 2003:2020 *Requirements for Certification Bodies operating Certification against the PEFC International Chain of Custody Standard*

ISO/IEC 17065 (current version) - *Conformity assessment - Requirements for bodies certifying products, processes and services.*

ISO/IEC 17011 (current version) - *Conformity assessment — Requirements for accreditation bodies accrediting conformity assessment bodies.*

PEFC GD 1004 (current version) *Administration of PEFC Scheme*



### 3. Terms and definitions

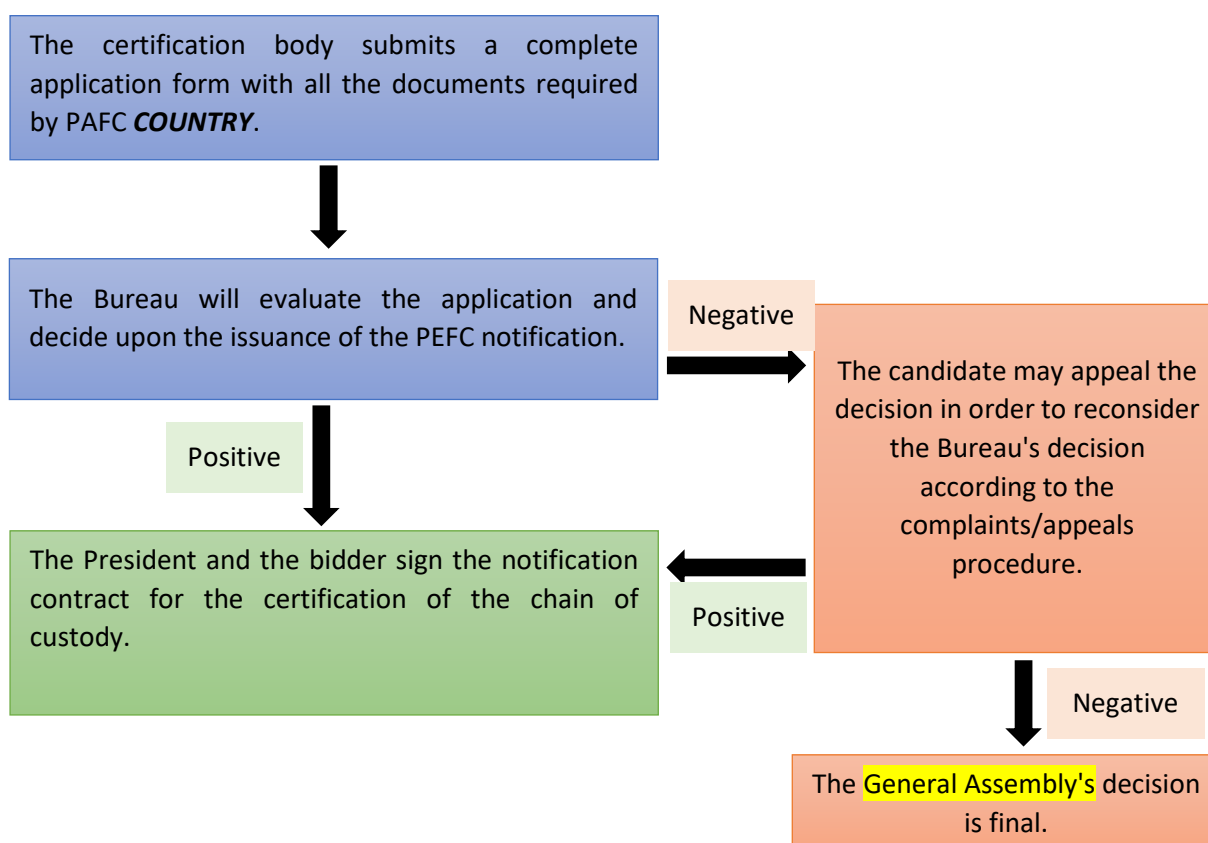
<b>Accredited certificate</b>	A certificate issued by a certification body as part of its accreditation, and which bears the symbol of the accreditation body.
<b>PAFC COUNTRY</b>	Refers (in this document) to the national PAFC organisations in the Congo Basin: PAFC Cameroon, PAFC Congo and PAFC Gabon.  When the term <b>COUNTRY</b> is capitalised in the text, it should be understood as a generic term to be replaced by the name of the relevant country.

### 4. Terms of the notification by PAFC COUNTRY

The certification body requesting the notification issued by PAFC **COUNTRY** must:

- be a legal entity;
- agree to be listed in the PEFC Council's publicly accessible internet database containing the certification body's identifying information and/or other information specified by PEFC Council;
- hold a valid accreditation for PEFC – ST 2002:2020 chain of custody certification, issued by an accreditation body that has signed the Multilateral Recognition Arrangement for the certification of products of the International Accreditation Forum (IAF). Note: Accreditation must be issued in accordance with ISO/IEC 17065 requirements (current version) for bodies certifying products, processes and services, and also be in accordance with the *Requirements for Certification Bodies operating Certification against the PEFC International Chain of Custody Standard* (PEFC ST 2003:2020).
- sign a notification contract with PAFC **COUNTRY** (Annex 1).

## 5. PEFC notification issuance procedures



The application for notification (Annex 3) must be signed by the Managing Director of the applicant certification body and be accompanied by a copy of the valid accreditation certificate issued by an accreditation body complying with the ISO/IEC 17065 standard (current version) for bodies certifying products, processes and services and in accordance with the *Requirements for Certification Bodies operating Certification against the PEFC International Chain of Custody Standard* (PEFC ST 2003:2020). The accreditation must explicitly refer to the PEFC ST-2002:2020 *Chain of custody of Forest and tree based products - Requirements*.

## 6. The notified certification body's obligations

The certification body notified by PAFC **COUNTRY** must:

1. Have and maintain valid accreditation for certification according to the PEFC ST 2002 standard (current version), issued in accordance with ISO/IEC 17065 requirements (current version) for bodies certifying products, processes and services and also in accordance with *Requirements for Certification Bodies operating Certification against the PEFC International Chain of Custody Standard* (PEFC ST 2003:2020);
2. Immediately inform PAFC **COUNTRY** of any changes to its accreditation. Upon request by PAFC **COUNTRY** and the PEFC Council, it must provide updated proof that it still meets the requirements for valid accreditation;
3. Certify chains of custody according to the PEFC ST 2002:2020 standard;
4. Immediately and accurately provide PAFC **COUNTRY** with information on any chain of custody certificate issued to a company headquartered in **COUNTRY** and/or inform it of any



changes to issued certificates. A copy of the issued or modified certificates will be systematically sent to PAFC **COUNTRY** as well as the "company file" containing information on the certified company (Annex 4);

5. Provide to PAFC **COUNTRY**, upon request, the list of issued chain of custody certificates, with the following information: certificate number, name of the certificate holder, country of the certificate holder, certificate status, the certificate's date of issuance, its expiry date and the dates that surveillance audits were carried out.
6. Pay to PAFC **COUNTRY**, when invoiced by PAFC **COUNTRY**, the annual notification fee for each certificate. The amount of the fee is indicated in Annex 2 and may be modified by the **General Assembly** of PAFC **COUNTRY** during the term of the contract. When these rates are modified, PAFC **COUNTRY** must inform the notified certification body by mail. The contract between PAFC **COUNTRY** and the notified certification body must then be modified. However, the modified rates go into effect the year following PAFC **COUNTRY**'s notification letter.
7. Agree to be listed in the PEFC Council's publicly accessible internet database containing the certification body's identification information and/or other information specified by the PEFC Council;
8. Inform PEFC Chain of Custody certificate holders in the **COUNTRY** of the information it communicates to the PEFC **COUNTRY** and that this information (except for certificate holders' turnover) will be made public in the PEFC Registration system as specified by the PEFC Council;

Note: Information about sites located in a country other than the country where the head office is registered must also be provided to the PEFC scheme governance entity in that country or to the PEFC Council if the latter does not exist.

9. Instruct certificate holders on how to obtain a license to use the trademark PEFC.

## 7. Validity period of the notification

The notification issued by PAFC **COUNTRY** is valid during the period of validity of the certification body's accreditation.

The notification can be terminated or suspended by PAFC **COUNTRY** if a breach of the notification contract is found.

Note: PAFC **COUNTRY** administers the PAFC Congo Basin scheme on the basis of a contract with the PEFC Council. A termination of the contract between PEFC Council and PAFC **COUNTRY** has the immediate and automatic consequence of rendering all notifications and licenses to use the PEFC trademark (issued by PAFC **COUNTRY**) null and void.



## Annex 1– Template of the notification contract for chain of custody certification

<p><b>BETWEEN:</b></p> <p>PAFC COUNTRY, ADDRESS, COUNTRY,</p> <p>Represented by .....Last name First name, title.</p> <p><b>AND</b></p> <p>➤ ..... (name of the certification body)</p> <p>Represented by..... Last name First name, title.</p> <p>➤</p>
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Whereas ..... (name of the certification body) is a certification body notified by PAFC COUNTRY which carries out chain of custody certification that is recognised by PAFC COUNTRY;

Whereas the PAFC COUNTRY is the body authorised to administer the PEFC system on behalf of the PEFC Council for the COUNTRY by an administration contract signed with the PEFC Council;

Whereas the certification body notified by PAFC COUNTRY shall be authorised to issue, within the COUNTRY, PEFC chain of custody certificates within the limits of accreditation that are valid to companies whose main office is located in the COUNTRY.

For these reasons, the parties agree to the following:

### **Article 1**

Definitions:

#### 1. Chain of custody of forest products - Requirements

This is the technical PEFC ST 2002:2020 document *Chain of custody of Forest and tree based products - Requirements* adopted by the PAFC COUNTRY General Assembly on DD/MM/YYYY, which is an integral part of the contractual documents and is annexed to this contract. The document is validated as it stands and may be modified by the PEFC Council.

#### 2. Requirements for PEFC chain of custody certification bodies

This is the technical PEFC ST 2003:2020 document entitled *Requirements for Certification Bodies operating Certification against the PEFC International Chain of Custody Standard* adopted by the PAFC COUNTRY General Assembly on DD/MM/YYYY, which forms an integral part of the contractual documents and is annexed to this contract. The document is validated in its current state and may be modified by the PEFC Council.

#### 3. Rules for the use of the PEFC trademark

This is the technical PEFC ST 2001:2020 document entitled *PEFC Trademarks Rules – Requirements* which was adopted by the General Assembly of PAFC COUNTRY on DD/MM/YYYY, which is an integral part of the contractual documents and is attached to this contract. The document is validated in its present state and can be modified by the PEFC Council.





#### 4. Procedure for the notification of certification bodies in the chain of custody

This is procedure PAFC/PROC-004-2020 – *Notification of chain of custody certification bodies*, approved by the PAFC COUNTRY General Assembly on DD/MM/YYYY, which is part of the PAFC Congo Basin Scheme and an integral part of the contractual documents. It is annexed to this contract.

#### 5. Notification fee tariffs

Each notified certification body shall be required to pay a notification usage fee to PAFC COUNTRY per issued and valid chain of custody certificate.

The amounts of the fees related to the notification by PAFC COUNTRY and the methods of payment of these fees are listed in Annex 2 of the PAFC COUNTRY's notification procedure (PAFC/PROC-004-2020). It is an integral part of the contractual documents and is annexed to this contract.

#### 6. Company form

This is the company form, presented in Annex 4 – of the PAFC/PROC-004-2020 procedure. It is an integral part of the contractual documents and is attached to this contract.

#### 7. Geographical coverage

The geographical coverage of this contract is the COUNTRY.

### **Article 2: Responsibilities of the certification body notified by PAFC COUNTRY**

The PAFC COUNTRY notified certification body is required to:

1. Have and maintain accreditation that is valid for certification according to PEFC ST 2002:2020 *Chain of custody of Forest and tree based products – Requirements* issued in accordance with ISO/IEC 17065 requirements (current version) for bodies certifying products, processes and services and in accordance with the PEFC *Requirements for Certification Bodies operating Certification against the PEFC International Chain of Custody Standard* (PEFC ST 2003:2020);
2. Immediately inform PAFC COUNTRY of any changes to its accreditation. The PAFC COUNTRY notified certification body shall provide, at the beginning of each year and whenever requested, updated proof that it still meets the requirements for valid accreditation;
3. Carry out of PEFC chain of custody certification according to PEFC standard ST 2002:2020;
4. Immediately and accurately provide PAFC COUNTRY with information on any chain of custody certificate issued to a company headquartered in COUNTRY and/or to inform PAFC COUNTRY of any changes to issued certificates. A copy of the issued or modified certificates will be systematically sent to PAFC COUNTRY as well as the "company file" containing the information relating to the certified company (Annex 4 of the PAFC/PROC-004-2020 notification procedure);
5. Provide PAFC COUNTRY, upon request, with a list of issued chain of custody certificates, along with the following information: certificate number, name of the certificate holder, country of the certificate holder, certificate status, date the certificate was issued, its expiration date and the dates when surveillance audits were conducted, as specified by the PEFC registration system;
6. Pay to PAFC COUNTRY, when invoiced by it, the annual notification fee for each certificate. The amount of the fee is set out in Annex 2 of the notification procedure (PAFC/PROC-004-2020) and may be modified by the **General Assembly** of PAFC COUNTRY during the term of



the agreement. When these rates are modified, PAFC **COUNTRY** must inform the notified certification body by mail. The contract between PAFC **COUNTRY** and the notified certification body must then be modified. However, the modified rates go into effect in the calendar year following the issuance of the notification letter by PAFC **COUNTRY**;

7. Agree to be listed in the PEFC Council's publicly accessible database on the internet which contains the identification information of the certification body and/or other information specified by the PEFC Council;
8. Inform the holders of PEFC chain of custody certificates of the information it communicates to PAFC **COUNTRY** and that this information (with the exception of certificate holders' turnover) will be made public in the PEFC Registration System as specified by the PEFC Council;
9. Inform certificate holders on how to obtain a license to use the PEFC trademarks.

### **Article 3: PAFC **COUNTRY**'s responsibilities**

1. PAFC **COUNTRY** recognises the certificates issued by the notified certification body in accordance with this agreement and systematically provides certificate holders with free access to the PEFC trademark license under the conditions specified by PAFC **COUNTRY**.
2. PAFC **COUNTRY** is required to inform the notified certification body of any changes in its regulations and documentation that affect this contract.

### **Article 4: Termination of the contract**

1. PAFC **COUNTRY** and the notified certification body may terminate the contract by giving 3 months notice by letter with acknowledgement of receipt.
2. PAFC **COUNTRY** may suspend the contract with immediate effect if there is reason to believe that any provision of the notification contract is not being complied with.
3. The cancellation, suspension or end of the validity of the accreditation of the certification body notified by PAFC **COUNTRY** shall automatically result in the termination of the contract as of the date of cancellation, suspension or end of the validity of the accreditation.
4. No notification usage fee shall be refunded to the certification body notified by PAFC **COUNTRY** in the event of the temporary suspension or cancellation of the contract in accordance with article 4, sections 1, 2 and 3.
5. PAFC **COUNTRY** shall not be required to pay compensation for any costs or other damages that the temporary suspension or cancellation causes to the notified certification body.

### **Article 5: Contract validity period**

The contract goes into effect as soon as it is signed by both parties.



**Article 6: Jurisdiction in the event of a dispute**

This contract is governed by the laws of **COUNTRY**. Any dispute or lawsuit relating to this contract may be brought before the courts of the judicial district of **Capital**.

Signed in duplicate.

**Capital**, on .....

Done at ....., on .....

For the account and in the name of

For the account and in the name of

PAFC **COUNTRY**

the certification body notified by PAFC **COUNTRY**



## Annex 2 – Costs related to the notification of chain of custody certification bodies

**Valid as of DD/MM/YYYY**

### 1. Calculation of the usage fee linked to the notification of chain of custody certification bodies.

All PEFC chain of custody certification bodies operating in the **COUNTRY** must be **notified by PAFC COUNTRY**.

In order to be notified by PAFC **COUNTRY**, all certification bodies must pay an annual usage fee to **COUNTRY** per issued and valid PEFC chain of custody certificate.

The usage fee is calculated on the basis of the number of certificates issued by the organisation applying for certification (according to the below table):

Conditions	Amount of the fee, excluding VAT (euros)
First CoC certificate	1000
Second CoC certificate	1000
Third and additional CoC certificates	500

### 2. Special case for the calculation of the notification fee

In the case of multi-site certification, either of an organisation consisting of a set of sites, or of a group of companies, the calculation of the fee related to the notification of certification bodies is carried out as follows:

1. Calculate the fee linked to the notification for **each of the sites** (see point 1).
2. Add up each of these fees to obtain an overall fee for the multi-site certification.

Where the sites are located in more than one country, the national PAFC association of the country where the multi-site organisation's headquarters are located is the relevant one.

### 3. How does one pay this fee?

Once a year, PAFC **COUNTRY** sends an invoice to the certifying body for the certificates issued during the previous calendar year and collects all annual notification usage fees due by the companies certified by the certifying body.

The date of issuance of the valid chain of custody certificate is the sole element used as an annual reference to establish the notification invoices.

Invoices are to be paid to the bank account of PAFC **COUNTRY**, which will provide the certification body with its complete bank details.

The deadline for payment of invoices is within 60 days of the end of the month.



### Annex 3 – Notification request template

(to be completed by the certifying body)

#### I. Applicant identification data

<b>Name of organisation</b>			
<b>Registration number</b>			
<b>Organisation representative</b>			
<b>Address</b>	<b>No., Street</b>		
	<b>City</b>	<b>P.O. box</b>	
	<b>Country</b>		
<b>Contact person</b>			
<b>Telephone</b>		<b>Fax</b>	
<b>Email</b>		<b>Website</b>	

#### II. Information and Documents relating to the processing of the application

<b>Accreditation number / expiry date</b>	
<b>Name of the accreditation body</b>	
Documents required for processing of the application:	
<input type="checkbox"/> Copy of the accreditation certificate issued in accordance with the ISO/IEC 17065:2012 standard and whose scope explicitly covers the PEFC chain of custody certification.	

#### III. Self-declaration

I hereby confirm that:

- I have read the PAFC **COUNTRY** and PEFC Council's regulations regarding certification and notification by PAFC **COUNTRY** and I accept them;
- The information provided in this application is complete and truthful.

Signature of the Managing Director of the applicant certifying body



## Annex 4 – CoC declaration form template

(to be completed by the certificate holder and sent to PAFC **COUNTRY**)

### I. Certificate holder data

<b>Name of organisation</b>			
<b>Registration number</b>			
<b>Organisation representative</b>			
<b>Address</b>	<b>No., Street</b>		
	<b>City</b>	<b>P.O. box</b>	
	<b>Country</b>		
<b>Contact person</b>			
<b>Telephone</b>		<b>Fax</b>	
<b>Email</b>		<b>Website</b>	

### II. Certification data

<b>Name of the certification body</b>	
<b>Certificate number</b>	
<b>Certificate sub-number (if applicable)</b>	
<b>Date of issuance of the certificate</b>	
<b>Certificate expiry date</b>	
<b>Name of the accreditation body</b>	
<b>Accreditation number</b>	
<b>Number of CoC certificates</b>	



**III. Data on the certified products**

Name of the product	Product category code	Description of the products	Species codes <sup>1</sup> and species (common name)

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<sup>1</sup> The code for species produced within the framework of PAFC Congo Basin certification is 2: non-coniferous tropical timber.



Code	Product categories	Code	Product categories
01000	Roundwood	07000	Paper and paper board
01010	Sawlogs and veneer logs	07012	Uncoated mechanical
01020	Pulpwood	07013	Uncoated woodfree
01030	Chips and particles	07014	Coated papers
01040	Wood residues	07020	Household and sanitary paper
01050	Other industrial roundwood	07030	Packaging materials
02000	Fuelwood and charcoal	07031	Case materials
02010	Fuelwood (incl chips, residues,	07032	Folding boxboards
02020	Charcoal	07033	Wrapping papers
03000	Sawnwood and sleepers	07034	Other papers mainly for
03010	Railway sleepers	07040	Other paper and paperboard
03020	Sawnwood	07050	Converted paper products
04000	Engineered wood products	07060	Printed matter
04010	Laminated Lumber Products	08000	Wood manufacturers
04020	Finger Jointed Lumber	08010	Packaging, cable drums, pallets
04030	Glue Laminated Products	08011	Packaging and crates
04040	Laminated Veneer Lumber (LVL)	08012	Cable drums
04050	Parallel Strand Lumber (PSL)	08013	Pallets
04060	I-Joists / I-Beams	08020	Furniture
04070	Trusses & Engineered Panels	08030	Builders carpentry
04080	Other	08031	Windows
05000	Wood based panels	08032	Doors
05010	Veneer sheets	08033	Shingles and shakes
05020	Plywood	08034	Floors
05030	Particle board	08035	Others
05031	OSB	08040	Decorative wood
05032	Other particle board	08050	Tools and turned wood
05040	Fibreboard	08051	Tools
05041	MDF	08052	Children toys
05042	HDF	08053	Sport goods
05043	Softboard	08054	Musical instruments
05043	Hardboard	08055	Other
05044	Insulating board	08060	Other
06000	Pulp	09000	Exterior products
06010	Mechanical	09010	Buildings and their parts
06020	Semichemical	09020	Garden Furniture/Outdoor
06030	Dissolving	09021	Garden furniture
06040	Chemical	09022	Playground equipment
06041	Unbleached sulphite pulp	09023	Decking
06042	Bleached sulphite pulp	09030	Other
06043	Unbleached sulphate (kraft)	11000	Cork and cork products
06044	Bleached sulphate (kraft) pulp	11010	Natural cork and cork waste
06050	Recovered paper	11020	Cork manufactures
07000	Paper and paper board	12000	Energy
07010	Graphic papers	13000	Non-wood products
07011	Newsprint	14000	Other