CertiSource

Certification Body Audit Resources

Policy 13 v3.02

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Original Issue	20 May 2012
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Policy Applicable To	All CertiSource Staff and Certification Body Staff
Policy Managed By	The CertiSource Programme Director owns this policy and can be approached in relation to this policy:

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1. Policy Background

1.1. Introduction

Auditing of compliance against the CertiSource Legality Assessment Scheme (CLAS) is carried out by an independent third party Certification Body.

This policy outlines the minimum audit resources, and resource arrangements needed by any Certification Body auditing against CLAS.

1.2. Scope

All CertiSource employees and existing Certification Bodies and relevant employees and potential Certification Bodies.

1.3. Definitions

For purposes of this policy, unless otherwise stated, the following definitions shall apply:

CertiSource Legality Assessment Scheme (CLAS)	CLAS is contained in a range of documents including CertiSource policies, Standard Operating Procedures, checklists and the CertiSource Legality Assessment Criteria. Herein is the range of elements that need to be complied with to achieve Verified Legal Timber certification.
Chain of Custody *(CoC)*	Chain of custody is the path taken by raw materials from the forest to the consumer, including all successive stages of processing, transformation, manufacturing and distribution.
Lead Auditor	Lead Auditor is used in this policy. However, CertiSource recognises that a Certification Body may choose different job titles. A Lead Auditor will take the lead in the audit planning and execution and in many cases manage, train and lead supporting audit staff.
NCO	Non-conformance and observations
Technical Audit Evaluator	Technical Audit Evaluator is used in this policy. However, CertiSource recognises that a Certification Body may choose different job titles. A Technical Audit Evaluator will carry out tasks such as shadow auditing, and evaluating auditor (lead and support) performance.

Trainee/Assist ant Auditor Trainee/Assistant Auditor is used in this policy. However, CertiSource recognises that a Certification Body may choose different job titles. This position is a Certification Body employee involved in supporting the auditing process under the Lead Auditor.

Shadow Audit Shadow Audits are on site inspections of the audit process and related supporting documentation. Shadow Audits are also designed to evaluate the quality of audits conducted by Certification Bodies and are typically carried out by external consultants.

2. Policy Standards

2.1 Introduction

It is critical that Certification Bodies auditing CLAS have sufficient auditing resources and associated arrangements in place, and competent auditors in order to:

• Maintain a service of the highest international standards;
• Achieve increased efficiency;
• Achieve greater competitiveness;
• Enhance credibility;
• Ensure there is minimum disruption to demand for auditing services;
• Ensure a Certification Body delegate is sufficiently positioned to make an informed decision certification.

2.2 Accreditation

Any Certification Body auditing against CLAS must be accredited with ISO/IEC 17065: 2012: Conformity Assessment - Requirements for Bodies Certifying Product, Processes and Services.

Whilst it is acceptable for CertiSource System documentation to add to the requirements of ISO/IEC 17065: 2012, it can never remove or diminish ISO/IEC Guide 17065: 2012 requirements.

Moreover, whilst key requirements are conveyed in CertiSource documentation, there may be additional requirements in ISO/IEC 17065:2012. Certification Bodies must adhere to all applicable requirements of ISO/IEC 17065:2012.

To ensure compliance to this policy can be audited and monitored by the ISO17065:2012 Accreditation Body, the Certification Body will include all requirements of this CertiSource policy in their own internal documentation (such as policies and Standard Operating Procedures).

2.3 Auditing Team

Further than the need for compliance to ISO accreditation demands, CertiSource can not be overly prescriptive of the constitution of an auditing team, nor of work and affiliation arrangements (such as part-time or full-time employees of the Certification Body and/or external consultants).

The Certification Body will arrange its own auditing resources based upon:

• ISO requirements;
• CertiSource minimum requirements as outlined in this policy;
• Auditing demand;
• Contingency planning;
• Any other factors deemed necessary by the Certification Body in their particular work environment.

With regards actual personnel, the minimum a Certification Body must have at their disposals:

• One qualified Lead Auditor;
• One qualified person to carry out technical audit evaluation responsibilities.

2.4 Lead Auditor

A Certification Body must have at least one Lead Auditor.

Lead Auditors at a minimum MUST:

- Be a University graduate and successfully completed an ISO Lead Auditor Course with at least 3 years experience working in the forestry industry, or;
- Have a Bachelors Degree in Forestry or related discipline with at least 5 years experience in forest management and sawmill Chain of Custody assessments;
- Completed at least 5 audits, 2 of which as Lead Auditor;
- (if not completed) Be in the process, at the start of his/her tenure, of completing shadow auditing requirements[1];
- Have completed at least 3 audits for a total duration of at least 20 days, as well as 2 audits as a lead auditor for a total duration of at least 15 days.

The Certification Body is at liberty to specify further essential and desired requirements in their recruitment process to ensure that a Lead Auditor is competent in a given work environment, and able to report and communicate precisely and effectively.

2.5 Trainee/Assistant Auditor

As stated in 2.2, a Certification Body is not compelled to have support auditing employees if the auditing demand can be sufficiently and professionally covered by a Lead Auditor.

However, where supporting auditing employees are used they must at a minimum:

- Have at least 3 years experience in the forestry sector (concession and/or sawmill operations);
- Have had previous experience of timber Chain-of-Custody systems;
- Be willing for further skills training.

The Certification Body is at liberty to specify further essential and desired requirements in their recruitment process to ensure that any support auditing employees are competent in a given work environment, and able to report and communicate precisely and effectively.

At the start of a new recruit's tenure a training and development plan must be in place to ensure auditors make progress towards ISO Auditor Certification and, if needed, beyond (Lead Auditor Certification).

2.6 Training and Development

Certification Bodies must have an agreed auditor training and development and monitoring and evaluation plan. The plan must be formalised with agreement from recruits and supporting documentation (such as induction plans and checklists, and training plans).

At a minimum plans will include:

- Shadow audit schedules;
- Formalised induction procedures;
- Formalised monitoring and evaluation procedures;
- Individualised training plans.

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[1] *A Certification Body may recruit someone not undergoing the process of shadow auditing. However, the Certification Body MUST ensure a shadowing process is in place upon commencement of employment.*

2.7 Resource Requirements

The Certification Body is responsible for ensuring there are always adequate auditing resources available for the continuation and potential expansion of services, and to ensure the requisite expertise in the certification decision process.

Auditing demand will potentially fluctuate.

Certification Bodies must formally incorporate audit resource planning (both financial and human) into strategic planning and management review processes.

Audit resource plans must contain elements of contingency planning to ensure as far as possible that auditing demand can be met in consideration of scenarios with any potential impediments to meet demand (such as unusually long term absence of auditing staff or immediate dismissal of staff).

Formal discussion and planning must take place at least once a year.

Further, audit resource requirements will at a minimum be formally incorporated in management review processes including:

• Employee appraisals (where relevant);
• Corrective and preventative action planning.

2.8 Auditing and Reporting Commitments

Auditing

Audits to extend certification will be finished at least one month prior to the expiration of certification.

Certification can not remain valid beyond the date of expiration. Once expired certification status will be suspended if renewal has not been granted in accordance with Policy 05: Certification.

Reporting

A Certification Body will aim to ensure that all reporting requirements and certification decision processes are completed prior to the expiration of an entity's certification.

Failure to do so will result in the ISO Accreditation Body (if and once informed) having the option to take action in accordance to the provisions provided in the relevant Accreditation Body policies and guidelines (e.g. Accreditation Deed and/or Accreditation Manual).

3. Related Information

3.1 Related Polices and Documents

This policy has connections to the following other CertiSource Policy Statements.

Policy 01: Policy Statement

Policy 05: Certification

3.2 Policy Review

To ensure that this policy statement remains relevant it will be reviewed regularly at a minimum frequency of every six months. Revisions will be made when necessary to provide solutions to any practical problems encountered.

4. Document History

Version	Date Approved	Description
2.00	15 October 2013	Section 2.11 added: Audting and Reporting Commitments; Section 2.1 - Certification Body must reflect the requirements of this policy in their own internal documentation; 3. Document history added (i.e. this section).
3.00	14 October 2014	Section 3.2 deleted on related SOPs; All references to ISO 65 changed to: ISO/IEC Guide 17065; Section 2.1 added statement: "To ensure compliance to this policy can be audited and monitored by the ISO 17065 Accreditation Body, the Certification Body will include all requirements of this CertiSource policy in their own internal documentation (such as policies and Standard Operating Procedures)". Section 2.11 added and finalised; In the "approvals" space the date of the next revision is deleted. This is to avoid confusion as to whether or not a policy is still valid (e.g. the date of the next revision in the past failed to be changed after a review if nothing was changed in a policy; Section 2.8: Deleted: Be consequently approved by CertiSource; Be approved by the Certification Body's Impartiality Committee; Be approved by the Certification Body's ISO accreditation body. Section 2.7: "The decision-making process and associated (internal and external) personnel must be agreed and ratified by the Certification Body senior management, and formalised in company documentation. They must also be: Approved by CertiSource; Approved by the Certification Body's Impartiality Committee;

Approved by the Certification Body's ISO accreditation body." : Last three bullet points deleted.

8. Section 2.6   Certification Decision

Certification Bodies auditing compliance to the CLAS ultimately hold the final authority on certification decisions including granting, suspending and withdrawing certification.

External advice and recommendations must be sought in cases where the Certification Body does not have the necessary qualifications and experience as outlined in this policy.

This is all deleted as it repeated in policy 14

Section 2.7   Decision Quorum and Process

One identified senior management employee of the Certification Body will be chosen as the final certification decision maker.

Moreover, the Certification Body will stipulate and identify any external person(s) advising on certification decisions and specify the scope and limitations of any involvement.

The decision-making process and associated (internal and external) personnel must be agreed and ratified by the Certification Body senior management, and formalised in company documentation.

Evaluation of compliance to such policy and process is expected through a Certification Body's ISO accreditation body. Specifications of a Certification Body's ISO accreditation are given in Policy 04: Legality Verification.

Deleted as repeated in Policy 14

10. Section 2.8 deleted as repeated in Policy 14:

2.8   Certification Decision Maker

The Certification Body employee entrusted with the final certification decision will at a minimum:

Have at least eight years experience and progressive responsibility in technical forest management and sawmill Chain of Custody assessments;

Have at least eight years of experience in the timber certification industry;

Have a Masters Degree in Forestry or related

discipline;

Have demonstrated complete understanding and in-depth knowledge of ALL key CLAS documentation;,

11. Section 2.9 deleted as repeated in Policy 14:

2.9   Certification Decision Technical Support

Where a Certification Body internal delegate does not hold the minimum qualifications as stated in 2.8, the Certification Body will identify a person that does, to act as a technical advisor in the decision making process. As specified in 2.7 any external consultant(s) involved in the certification decision process, along with the scope and limitations of their input, must be identified and agreed.

It is acceptable that a technical support person(s) can be inducted to fulfil the requirement concerning familiarisation and knowledge of CLAS.

The Certification Body is at liberty to specify further essential and desired requirements in their recruitment process to ensure that any person offering this support meets any specific internal requirements.

Technical input will never detract from the core policy that "Certification Bodies auditing compliance to the CLAS ultimately hold the final authority on certification decisions including granting, suspending and withdrawing certification".

12 ISO title changed to: ISO/IEC Guide 17065: Conformity Assessment - Requirements for bodies certifying product, processes and services

13: 2.5 deleted "an Auditor and Lead Auditor training materials (from training manual).

1 December 2014   13: 2.1. ISO reference updated: ISO/IEC 17065: 2012: Conformity Assessment - Requirements for Bodies Certifying Product, Processes and Services.

14. Section 2.7:

"Auditing

Audits to extend certification will be finished at least one month prior to the expiration of certification.

If for whatever reason an entity postpones scheduled audit dates, certification can, at the discretion of the Certification Body, remain valid for a maximum of two months after the date of certificate expiration.

Following this period the certification status will be suspended if renewal has not been granted.

In the event where a Certification Body is unable to meet scheduled auditing requirements prior to the expiration of a certificate:

- *The ISO Accreditation Body is expected to take the appropriate action (e.g. issuance of a corrective action request) in relation to the Certification Body;*
- *An entity's certification status will remain valid for a maximum period of three months after expiration. Following this time the entity's certification status will be suspended if renewal has not been granted".*

Extension of certification expiry dates is not provided for within ISO IEC 17065:2012.

Therefore this section changed to:

Changed to:

"Auditing

Audits to extend certification will be finished at least one month prior to the expiration of certification.

Certification can not remain valid beyond the date of expiration. Once expired certification status will be suspended if renewal has not been granted in accordance with Policy 05: Certification".

Reporting

Changed to:

"A Certification Body will aim to ensure that all reporting requirements and certification decision processes are completed prior to the expiration of an entity's certification.

Failure to do so will result in the ISO Accreditation Body (if and once informed) having the option to take action in accordance to the provisions provided in the relevant Accreditation Body policies and guidelines (e.g. Accreditation Deed and/or Accreditation Manual)".

3.01	15 August 2015	1.Update contact information and general review.
3.02	26 June 2016	1. Transfer to new template.