



# Certification Decision Requirements

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1 August 2017



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1 October 2017

*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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*Signed*

A handwritten signature in blue ink, appearing to be the initials "PW" or a similar stylized name.

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# 1. Policy Background

## 1.1. Introduction

As prescribed in Policy 05: Certification, decisions and authority with respect to certification (including granting, suspending and withdrawing) lies with the Certification Body.

Certification Bodies must have certification personnel (including any technical experts) who are independent of the actual auditing of compliance to the CertiSource system.

Whilst a Certification Body is at liberty to seek external expert technical input and perspective on any part of the verification and certification processes, the final certification authority cannot be delegated to an outside body such as contractors or subcontractors in anyway whatsoever.

This policy outlines the minimum requirements for those involved in the certification decision process.

## 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:

<i>CertiSource Legality Assessment Scheme (CLAS)</i>	<p>The CertiSource Legality Assessment Scheme comprises:</p> <ul style="list-style-type: none"><li>• "CertiSource Legality Assessment Criteria for Verified Legal Timber, Indonesia", (version series 4);</li><li>• Policies;</li><li>• Standard Operating Procedures;</li><li>• Related Documents (such as forms and checklists).</li></ul>
<i>Chain of Custody (CoC)</i>	<p>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.</p>
<i>Lead Auditor</i>	<p>Lead Auditor is used in this policy. However, CertiSource recognises that a Certification Body may choose different job titles.</p> <p>A Lead Auditor will take the lead in the audit planning and execution and in many cases manage, train and lead supporting audit staff.</p>

## 2. Policy Standards

### 2.1 Introduction

Certification Bodies auditing compliance to 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.

### 2.2 Auditing CLAS Compliance

Any certification decision will be reliant on the quality of the auditing and associated reporting process.

Certification Body minimum auditing requirements are specified in Policy 13: Certification Body Audit Resources.

### 2.3 Certification Decision Maker

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

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

- Have at least five years experience and progressive responsibility in technical forest management and sawmill Chain of Custody assessments;
- Have demonstrated complete understanding and in-depth knowledge of ALL key CLAS documentation.

### 2.4 Certification Decision Support

A Certification Body has the option to seek external guidance and advice on certification decisions.

Any external consultant(s) involved in the certification decision process, along with the scope and limitations of their input, must be identified and agreed by the Certification Body senior management.

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".

At a minimum persons chosen to offer input into the certification decision making process MUST:

- 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 demonstrated, through testing, complete understanding and in-depth knowledge of ALL key CLAS documentation.



## 3. Related Information

### 3.1 Related Policies and Documents

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

Policy 01: Policy Statement

Policy 13: Certification Body Audit Resources.

### 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	1 October 2014	<ol style="list-style-type: none"><li>1. Document history added (i.e. this section).</li><li>2. Programme Manager changed to Programme Director.</li><li>3. Reference (section 3.2) to SOPs deleted.</li><li>4. Definition of CLAS changed from version 3.02 to version 4 series.</li><li>5. Section 2.2: Whole section requiring CertiSource agreement removed:</li></ol>

i.e.: “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”.

Section 2.3 also removes requirements for approval from CertiSource and Impartiality Committee etc.: Deleted:

6. “The Certification Body employee entrusted with the final certification decision will at a minimum:
  - be consequently approved by CertiSource;
  - be approved by the Certification Body’s Impartiality Committee”;
7. Section 2.4 deleted requirements to have:
  - have a Masters Degree in Forestry or related discipline;
  - be a registered ISO lead auditor;
8. 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.
9. 2.4: Added that “.....” must be identified and agreed by the Certification Body senior management” (senior management responsibility):
10. Section 2.2 deleted:

### 2.2 Decision Quorum and Process

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



clarify that this is optional. 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. And define scope and limitations

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.

12. Section 2.3: Added: "A Certification Body has the option to seek external guidance and advice on certification decisions."

13. Section1 Introduction: Added sentence:

"Certification Bodies must have certification personnel (including any technical experts) who are independent of the actual auditing of compliance to the CertiSource system".

2.01	15 August 2015	Update contact information and general review.
2.02	24 June 2016	Transfer to new template
4.00	1 August 2017	<ol style="list-style-type: none"> <li>1. Overall check on continuing validity and relevance.</li> <li>2. Up-dated to v3.00 (round number) to streamline with other revisions during this annual review.</li> <li>3. Included effective date.</li> </ol>