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This information is part of the CeFCo project, with the purpose to develop a model for certification of forest contractors in Denmark, Spain, Sweden, Bulgaria and Portugal respectively. The project will be carried out in a cooperation between NEPCon, The European Network of Forest Entrepreneurs (ENFE) and the Forest Stewardship Council (FSC) and national organisations. The project is supported by the Danish Forest and Nature Agency, Fundación Biodiversidad and the European Union CIP Eco-Innovation initiative ([http://ec.europa.eu/environment/eco-innovation/index\\_en.htm](http://ec.europa.eu/environment/eco-innovation/index_en.htm)) which is part of the Competitiveness and Innovation Framework Programme, CIP (<http://ec.europa.eu/cip/>).



# CeFCo – Certification of Forestry Contractors

Results from a European Workshop on Contractors Certification

held in Lisbon, 27 September 2010

hosted by ANEFA

*ASSOCIAÇÃO NACIONAL DE EMPRESAS FLORESTAIS, AGRICOLAS E DO AMBIENTE*

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## **Introduction**

11 contractor representatives from 8 national forestry contractors association and their European umbrella organisation ENFE followed the invitation of the Portuguese association ANEFA for a one day workshop to discuss the actual state of the arts in the process of developing contractor certificates in various European countries in the frame of the EU funded project CeFCo.

## **Topics and Scope**

This workshop was held with following main intentions:

- To inform about actual developments in the countries where contractor certification standards are under development in the frame of the project CeFCo;
- To discuss the draft concept for a European umbrella certificate EFESC and its connection to CeFCo. For this topic a discussion paper was submitted to the participants before the workshop.
- To secure the overall commitment of forestry contractors in Europe to ENFE's involvement in developing contractors certificates;

The workshop was convened as an open round table discussion with a free and uninhibited exchange of opinions. It was not public to allow a serious development of a mutual opinion on the issues related to certification among representatives, and to provide the ENFE secretariat with the mandate to present this opinion both in the CeFCo project and towards industry representatives.

## **Discussion**

The discussion was opened with brief presentations from ANEFA, Bulprofor, and DSF, which are all three involved in the CeFCo project as partners to NepCon and FSC in the development of a contractor standard and in preparing the first tests with contractors and forest owners to implement contractor certificates. Unfortunately SMF, the Swedish contractors association which is also involved in setting up a contractor certificate was not able to send a representative to this workshop.

All three representatives could report that the process of standard definition, aiming at defining which forest certification requirements are relevant for contractors in forest operations, were well under way, and that co-operation with the partners was fruitful.

The process was in different stages of development, but all three were convinced that the task should be fulfilled soon.

A major issue of concern still was, whether the CeFCo project should develop a certificate with a priority at meeting the FSC certification criteria, or if the aim from the perspective and needs from the contractors association should be to develop a contractor certificate which mainly focuses on good practice and secondly intends to meet the FSC requirements. Namely, in Portugal there is some lack of clarity for the direction of the process.

The second part of the discussion dealt with the draft concept for the European Forest Entrepreneurs Certificate. The ENFE secretariat presented a slightly advanced draft of the considerations about the concept of this certification scheme.

It was clear that this concept needs a lot of deskwork and discussions to become a credible system. However, all participants were convinced that with this strategy the EFECT will be on the right tracks, and all promised to support this process in its further development.

It was highlighted, that EFECT must not be a competitor to CeFCo. EFECT is complementary process which aims at integrating existing or developing certificates under a common European standard of good practice. EFECT will set a frame for content and core requirements for system stability but will not define in detail the criteria and indicators.

But I was also the unanimous opinion that the process to develop EFECT shall be further led and driven by ENFE as the contractors' initiative to foster good practice.

## Results

**ENFE strongly supports all initiatives heading towards certificates which promote good practice.**

**ENFE will further elaborate EFECT, based on the draft discussed at this workshop.**

**ENFE will to this end establish a working party.**

**EFECT shall integrate the work which is actually carried out by the national CeFCo working parties.**

**National working parties will be encouraged to work on**

*This workshop was held as an activity in the CeFCo project. CeFCo aims at developing a model for certification of forest contractors in Denmark, Spain, Sweden, Bulgaria and Portugal. The project is carried out in a co-operation between NEPCon, The European Network of Forest Entrepreneurs (ENFE) and the Forest Stewardship Council (FSC) and national organizations. The project is supported by the Danish Forest and Nature Agency, Fundación Biodiversidad and the European Union CIP Eco-Innovation initiative ([http://ec.europa.eu/environment/eco-innovation/index\\_en.htm](http://ec.europa.eu/environment/eco-innovation/index_en.htm)) which is part of the Competitiveness and Innovation Framework Programme, CIP (<http://ec.europa.eu/cip/>).*

**CeFCo** – Certification of Forest Contractors

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ANNEX: DISCUSSION PAPER*European Forest Entrepreneurs Certificate - EFECT***Framework for Endorsement of Forest Entrepreneurs Certificate under the umbrella of EFECT****Draft V. 3, 25.09.2010****PREFACE**

This document is the first draft of the framework of the Forest Entrepreneurs Certificate umbrella scheme EFECT. This draft is provided for consultation in the ENFE Membership and among selected stakeholders to initiate the development process towards a fully credible and effective, yet pragmatic umbrella for mutually acknowledged standards and processes for Entrepreneurs Certificates.

It is the intention to develop a certification system which will cover the requirements of international norms for standard setting and certification processes. This is deemed necessary because the Entrepreneurs Certificates which will be endorsed by EFECT shall ensure standards of Good Practice in Forest Operations that meet the requirements of the major forest certification systems, the technical requirements in public procurement for services, and of course customer demands. Therefore, the content of this draft will need additional provisions and references to norms, guidelines and standards which determine the requirements forest entrepreneurs have to meet. These provisions will be included into the process step by step, following consultations with stakeholders and continuing research.

The attempt at this stage is to cover the most important elements of a comprehensive certification system. However, it will be recognised that a number of issues are not yet completed. These will be added stepwise in the forthcoming consultation process.

The first part is the **EFECT Standard for Good Practices in Forest Operations** which will provide the criteria at an international level for which will be adapted to national or regional conditions in Forest Entrepreneur Certificates by measurable implementation indicators or guidelines.

The second part of the system is **the requirements and processes for implementation of a Forest Entrepreneur Certificate under the EFECT umbrella**. This includes that a Forest Entrepreneur Certificate shall meet the requirements for certification processes and accreditation of auditors which are defined by international agreements and standards. This section is in a very draft stage and will need further consultation and amendment in the ongoing process.

The process of establishing EFECT aims at credibility, independency, transparency and quality. To this end ENFE as the initial promoter will have to consider a future organisational structure which ensures these core requirements. In the beginning of the process the ENFE Board of Directors and the ENFE Secretariat will moderate the process of launching the EFECT scheme, and they will search for the best infrastructure to manage a credible and effective system in the future.

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## SCOPE

scope section will be inserted here stating what the document covers. This will cover the core explanation which is now in the preface. It is recommended not mixing history rationale and explanations with requirements.

### ***Benefit for the whole Forestry Wood Chain***

Forest owners and forest based industries will receive a tool which enables them to contract entrepreneur enterprises which follow Europe-wide required standards and which ensure that contractors offer core competences and performance. It reduces the risk of engaging entrepreneurs which fail in their tasks due to a lack of competence. It reduces the risk of legal litigation in case of bad performance. And last but not least it is a contribution to increase the safety and health level in forest operations. **EFFECT**  will also enable the forestry sector in countries, where as yet there is no certificate for forest entrepreneurs in place, to develop a national certificate

## DEFINITIONS

***This is a very first draft to collecting terms which may need a definition or a specific explanation for the purpose of this document***

Forest Service Enterprise

Forestry Contractor

Forest Owner

Forest Entrepreneurs Certificate

a forestry contractors certification scheme which is established on national, sub-national, regional or international level, which applies for endorsement by EFECT, the European Forest Entrepreneurs Certificate

Subcontractor

Forest Operations

Good Practice

ENFE

## NORMATIVE REFERENCES<sup>1</sup>

*Not yet edited- collected only- to be checked again in the process*

Guide to Good Practice in Contract Labour in Forestry. FAO. ...

ILO, 2008. Safety and health in forestry work. ILO Code of Practice. Geneva, 1998.

ISO 65 (EN 45011) Specifies general requirements for third-party operating a product certification system. Replaces ISO/IEC Guide 40:1983.

ISO/IEC 17011:2004 specifies general requirements for accreditation bodies assessing and accrediting conformity assessment bodies (CABs). It is also appropriate as a requirements document for the peer evaluation process for mutual recognition arrangements between accreditation bodies

ISO/IEC 17021:2006 contains principles and requirements for the competence, consistency and impartiality of the audit and certification of management systems of all types (e.g. quality management systems or environmental management systems) and for bodies providing these activities. Certification bodies operating to this International Standard need not offer all types of management system

### ILO Fundamental Conventions:

- Freedom of Association and Protection of the Right to Organise Convention, 1948 (No. 87)
- Right to Organise and Collective Bargaining Convention, 1949 (No. 98)
- Forced Labour Convention, 1930 (No. 29)
- Abolition of Forced Labour Convention, 1957 (No. 105)
- Minimum Age Convention, 1973 (No. 138)
- Worst Forms of Child Labour Convention, 1999 (No. 182)
- Equal Remuneration Convention, 1951 (No. 100)
- Discrimination (Employment and Occupation) Convention, 1958 (No. 111)

ISO/IEC Guide 59:1994. Code of good practice for standardization

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<sup>1</sup> These referenced standards and norms shall be met by EFECT and required by EFECT endorsed Forest Entrepreneurs Certificates. It will be subject to continuing research and reviews to ensure that there targets will be met.

## INTRODUCTION

### CORE ASPECTS WILL BE TRANSFERRED TO SCOPE

Today, entrepreneurs carry out the majority of forestry work world wide. Entrepreneurs in forest operations are increasingly engaged in cross border operations in Europe. For some it is already a daily routine, for others it is temporary when there is a lack of work volume in the home region or when there is an occasional heavy demand for services. The increasing events of storm damage across Europe, France in 1999 and 2009, Sweden in 2004, and Germany in 2006 have shown that there is an open market for forest operations services across Europe.

There is a general demand for a mutual acknowledgement of standards for good practice in forest operations. Recent experience shows that forest owners or industries contracting services across borders do not have reliable criteria for choosing a competent enterprise for specific tasks, because currently there is no standardised pan European acknowledged certificate for forest entrepreneurs. (alt. wording: There are currently no internationally recognised standards of best practice in the forest contracting business world. This standard list the system requirements including international benchmark criteria for the development of national contractor certification systems)

In addition to criteria for selection, entrepreneurs offering their services will increasingly have to abide to certification requirements in another country, and also to world wide environmental certification schemes endorsed by FSC International and PEFC. As a result there is an overdue demand to create a standardised pan European certificate for entrepreneurs offering services in forest operations, which will allow entrepreneurs to compete on the European forestry services market on a level playing field. Storm damage in particular shows that engaging labour has its problems. Entrepreneurs contracted on storm damaged sites need not only to be competent and experienced, primarily for safety reasons, but equally to meet organisational, performance and environmental demands.

**Starting points – the “Berlin Process”**

The new ground for an European Umbrella Certification Scheme for contractors certificates was broken at an ENFE Seminar in the year 2007<sup>2</sup> when the proposal for establishing EFECT was presented. This found wide acceptance both in the ENFE membership and among representatives of forest owners and forest based industries.

In addition some Forest Entrepreneurs Associations have already designed and endorsed national certificates for entrepreneurs, which have also been acknowledged by forest certification schemes in the respective country, e.g. ErBo in the Netherlands and RAL in Germany. Initiatives in other countries are under way, e.g. in Denmark, Sweden, Portugal and Bulgaria and Belgium.  
(irrelevant for this document. This is more for doc to accompany this standard)

In the subsequent process the core requirements and criteria for the umbrella standard have been further elaborated. This process can utilise the work that led to the FAO Guide to Good Practice in Contract Labour in Forestry, which already provides a **a vision for „good contractors“**

**Good Contractors**

- are competent,
- offer high quality at competitive costs,
- are specialized in equipment, skills and work organisation,
- are capable of continuous development,
- offer attractive jobs and stable employment,
- offer safe and healthy workplaces.

**Objectives**

The objectives are to:

1. Define the core criteria, incorporated into a management handbook, for forest entrepreneurs' good practice in Europe which will form the content of **EFECT** – the European Forest Entrepreneurs Certificate. This certificate will be assigned to national certification schemes which meet the core standards and which can prove that the national certificate has a clear track record of audits by authorised bodies in the respective country.
2. Establish and accredit ENFE as the pan-European endorsement body (as a body independent of national certification schemes).
3. Establish pan European endorsement methods and procedures.
4. Ensure endorsement of **EFECT** by ENFE Members, PEFC, FSC International, national State Forest Enterprises, Labour Unions and trade associations of the forest based industry.
  - **EFECT** defines the core criteria for good practice for forest entrepreneurs in Europe.
  - **EFECT** is based on international norms and standards for certification processes and requirements for accreditation for auditors
  - **EFECT** endorses national or regional certification schemes which meet the standards and criteria of EFECT

**Scope**


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<sup>2</sup> ENFE 2007. Certification of Forest Entrepreneurs. Report from the ENFE Seminar held in Berlin on 15 October 2007. ENFE News, December 2007

This forest enterprise certification endorsement system will be applicable to Forest Entrepreneurs Certificates which have been established on national level **or** which aim at the certification of enterprises in forest operations on a trans-national level. The name European Forest Entrepreneurs Certificate reflects that the process was initiated by an organisation with a membership in European countries. This does not imply a limitation of the scheme to Europe.<sup>3</sup>

### **Public Comments / Stakeholder Consultation**

According to the provisions of ISO/IEC Guide 59:1994, Code of good practice for standardization, this document and the process herein will be consulted openly and transparently with all actors which are affected by this standards and processes.

Following a expert consultation of this draft and subsequent amendment of its contents the draft scheme will be distributed for public consultation.<sup>4</sup>

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<sup>3</sup> It may be considered that the name might be changed from to beginning to “Endorsement of Forest Entrepreneurs Certification” to widen the scope.

<sup>4</sup> This phrase will be reworded in the next version of this document, according to the stage the process will have achieved.

## **PART I EFECT STANDARD**

The EFECT standard consists of 6 principles and subsequent criteria, which need to be met by a Forest Entrepreneurs Certificate that seeks endorsement by EFECT.

### **Principles**

The Forest Entrepreneurs Certificate shall request that a certified entrepreneur operates his enterprise according to the following principles:

#### **Certified forest entrepreneurs shall**

- 1) comply with all applicable national legal requirements and international agreements respectively with the ILO Fundamental Conventions<sup>5 6</sup>;**
- 2) have a qualified business management;**
- 3) employ qualified staff and maintain skills of work force;**
- 4) have adequate and safe equipment;**
- 5) use management, planning and monitoring processes which ensure in a verifiable manner that care is taken of the three areas covered by this principle:**
  - a) work quality**
  - b) environmental standards**
    - i) (Fuel and oil) waste handling**
    - ii) forest stand protection**
    - iii) protection of environmentally and aesthetically sensitive sites and stands and cultural heritage**
  - c) ensure Safety & Health at the workplace and the prevention of work related illnesses and injuries;**
- 6) ensure that subcontractors equally meet the principles and criteria of this standard**

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<sup>5</sup> The ILO core conventions are considered as the core regulation for labour rights. EFECT require from every enterprise to follow these regulations notwithstanding if the country of origin of the enterprise has ratified the conventions or not.

<sup>6</sup> ILO Fundamental Conventions:

- Freedom of Association and Protection of the Right to Organise Convention, 1948 (No. 87)
- Right to Organise and Collective Bargaining Convention, 1949 (No. 98)
- Forced Labour Convention, 1930 (No. 29)
- Abolition of Forced Labour Convention, 1957 (No. 105)
- Minimum Age Convention, 1973 (No. 138)
- Worst Forms of Child Labour Convention, 1999 (No. 182)
- Equal Remuneration Convention, 1951 (No. 100)
- Discrimination (Employment and Occupation) Convention, 1958 (No. 111)

## Criteria and Indicators

The Forest Entrepreneurs Certificate shall be based on a standard that meets not less than the following criteria and allows an assessment by auditors according to the respective indicators<sup>7</sup>

(alt. wording: The FEC shall be based on a standard that shall require adherence to the following requirements:)

### **1. COMPLIANCE WITH ALL APPLICABLE NATIONAL LEGAL REQUIREMENTS AND INTERNATIONAL AGREEMENTS RESPECTIVELY WITH THE ILO FUNDAMENTAL CONVENTIONS**

General requirements - Compliance with laws and regulations is a precondition for certification.

#### **1.1 Registration according to national legal requirements**

The business the certified enterprise shall be registered at the respective national authority as required by the national legislation.

*Indicator 1.1 Legitimate documentation of registration*

#### **1.2 Payment of Fees and Taxes, pension payments, insurances, wages**

The certified enterprise shall duly pay all legally required taxes and fees

*Indicator 1.21 Tax claims and evidence of payment*

Certified enterprises shall register their employees in all social insurance, pension schemes, health and safety insurance and compensation systems required by national legislation

*Indicator 1.22 Documentation providing evidence of registration and payment*

Workers and Staff shall be paid a decent wage which must not be lower than a national or sectoral minimum wage **and** the wage level according to a collective agreement where such an agreement exists.

*Indicator 1.23 Evidencing documentation of payment of wages (e.g. bookkeeping)*

#### **1.3 Written labour contracts**

All employment shall be based on a written labour contract.

*Indicator 1.3 Evidencing documentation of written labour contracts*

### **2. QUALIFIED BUSINESS MANAGEMENT**

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<sup>7</sup> N.B.: The indicators provided in this standard are requirements for a Forest Entrepreneurs Certificate to establish a reliable system for auditing compliance with the standard. When other indicators are used, they have to ensure at least the same quality for allowing reliable assessment of compliance.

Managers and supervisors in a certified enterprise shall be in possession of an appropriate Qualification ensuring that they are able to:

- a. plan and organize forestry operations in accordance with all requirements specified in a contract (this includes requirements related to forest certification if the customer is a certified forest owner);
- b. identify safety and health risks and take preventive actions;
- c. identify environmental risks and take preventive actions;
- d. take remedial action in the event of non-compliance with requirements

The managerial qualification should be preferably one which is nationally recognized.

*When a specific level of qualification is required e.g. by national legislation, this qualification has to be achieved by managers and supervisors.*

*Indicator 2: Certificates or equivalent proof of competence*

**Notes for Forest Entrepreneur Certificates and Certification Procedures**

**The EFECT criterion 2 requires competences which enable an entrepreneur to meet minimum requirements for professional operations. The legal requirements are different in European countries. Therefore, the standard of a Forest Entrepreneur Certificate shall contain clear provisions which level of qualification is required to manage and operate a certified enterprise, taking also into account the requirements which are subject to national standards of forest management certification schemes. (comment: too broad)**

**N.B.: A project to define forest entrepreneur's competences and to develop a curriculum and assessment scheme for forest entrepreneurs training is in progress<sup>8</sup> in a project that will deliver a standard for competences which can be considered to harmonise this indicator in a standard revision process.**

**3. EMPLOYMENT OF QUALIFIED STAFF AND MAINTENANCE OF SKILLS OF WORK FORCE**

All employees shall be qualified to carry out the task assigned to them safely and in accordance with the standard's requirements.

The required level of skills and knowledge shall be defined in as detailed a manner as possible. Since vocational training and further education and skills certification is organised differently in European Countries, the EFECT standard can not provide a clear requirement for skill levels and training requirements. Entrepreneurs Certificates shall specify the skill levels according to the national or regional provisions and conditions or national legislation.

Skills shall be objectively assessed through skills tests leading to certification by an authorized body. This procedure may be integrated with formal training or conducted at the worksite. Where skill certificates are nationally required, a contractor certificate shall provide proof that their employees hold a respective certificate for the tasks they carry out in respect to the forestry operation in hand.

*Indicator 3: Skills certificates or equivalent proof of competence (e.g. long work experience)*

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<sup>8</sup> ConCert – European Certificate of Competence for Forestry Contractors. Project funded by the European Commission in the Lifelong Learning Programme (Leonardo da Vinci). Project No. 2009-1-FR1

***Notes for Forest Entrepreneur Certificates and Certification Procedures***

The standard of a Forest Entrepreneur Certificate shall contain clear requirements and indicators on the level of skills is required for respective tasks, taking also into account any requirements which are subject to national standards of forest management certification schemes.

N.B.: A project to develop a European Chainsaw Standard is in progress. When this certificate is available the ECS can be considered to being included in these standards as a core requirement for forestry workers working with Chainsaws.

**4. ADEQUATE AND SAFE EQUIPMENT**

All tools and equipment used shall meet a technical standard which

- a. complies with safety and health requirements as prescribed in international or national standards and recommendations, (e.g, CE mark<sup>9</sup>);
- b. allows it to meet the requirements for soil and stand protection, as specified in forest management certification systems.

Tools, machines and equipment should be of good design and construction, taking into account health, safety and ergonomic principles, and environmental requirements and they should be maintained in good working order.

*Indicator 4.1: acknowledged mark of conformity with technical standards; documentation of periodic inspections; field assessment of conformity with technical requirements.*

Hazardous chemicals and liquids shall be stored, transported and used in way to reduce health risks and environmental risks as far as possible. Substitutes for hazardous chemicals and liquids shall be used wherever this is feasible.

*Indicator 4.2: availability of spill kits; documentation of purchase and storing of chemicals and liquids;*

***Notes for Forest Entrepreneur Certificates and Certification Procedures***

The EFECT standard does not provide detailed requirements for technical specifications of tools and equipment and for the use of liquids and chemicals, because these indicators need to be specified in detail according to respective national legislation. Further, they are extensively specified in forest management certification standards. Hence, a forest entrepreneur certificate shall cover the respective criteria and indicators which are considered as good practice in the scope of the certificate

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<sup>9</sup>:insert correct name and reference

**5. SYSTEMS<sup>10</sup> TO ENSURE WORK QUALITY, ENVIRONMENTAL STANDARDS HEALTH AND SAFETY****General requirements**

The certificate shall be proof of the assessment that certified contractors have systems or procedures in place which provide appropriate aid for planning, organising, operating and monitoring work quality, environmental standards and health and safety.

The planning and organization of operations must be based on a forest management plan or on a work contract which specifies:

- a. what type of work is necessary;
- b. the objectives of the operation;
- c. the location of designated worksites;
- d. the time schedule for specific operations;
- e. specifications for products or other outputs;
- f. specifications for working methods to be used;
- g. the person responsible for carrying out and supervising the operations;
- h. payment conditions

The certified enterprise shall monitor and document the impact of its operations with regards to

- a. Work quality in relation to contract specifications
- b. Environmental standards covering
  - (Fuel and oil) waste handling
  - soil and stand protection
  - protection of environmentally and aesthetically sensitive sites and stands and cultural heritage
- c. Health & Safety
  - At the workplace
  - Prevention of accident measures

***Notes for Forest Entrepreneur Certificates and Certification Procedures***

**In the best case this may be total management systems but since these are rarely in place in small enterprises the certificate shall define the documentation and performance requirements which provide sufficient evidence, that the certified enterprise is carrying out the operations in a way that work quality, environmental standards and health and safety is ensured. This may be subject to a field assessment.**

**6. ENSURE THAT SUBCONTRACTORS EQUALLY MEET THE PRINCIPLES AND CRITERIA OF THIS STANDARD**

All subcontractors contracted by a certified enterprise have to meet equally all standards which are subject to Criteria 1 to 5. This can be achieved by

- a) a certificate which is accredited by EFECT according to these standards

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<sup>10</sup> See earlier Footnote

- b) providing all evidencing documentation for the subcontractor which is required through criteria 1-5

Special provision for office and site audits by a certification body to assess a subcontractor's performance shall be included in the system requirements of a Forest Entrepreneur Certificate.<sup>11</sup>

**ADDITIONAL CRITERION<sup>12</sup>: TRACKING SYSTEM (FOR ENTERPRISES THAT TRADE TIMBER OR OTHER FOREST PRODUCTS)**

Enterprises which are also involved in trade of forest products (mostly timber and biomass) must have in place effective procedures for tracking wood from forests to processing centres. This can be a credible Chain of Custody Certificate (CoC) that meets the requirements of certified Forest Management or any equivalent documentation.

CoC certification might be included in the Forest Entrepreneurs Certificate. But most commonly it will be a separate certificate complementing the respective forest management certification scheme to provide sufficient proof of the origin of the traded products.

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<sup>11</sup> This needs further refinement in consultation with certification systems and CBs

<sup>12</sup> This should be further discussed. Under European conditions CoC has been proofed to be effective as a separate certificate. Notwithstanding this, it could be a long term objective to include the CoC certification as a general element in EFECT. This is particularly important because it would save additional audit work.

## **PART II REGULATIONS AND PROCESSES FOR ENDORSEMENT OF FOREST ENTREPRENEURS CERTIFICATES**

**Forest Entrepreneurs Certificates** that apply for endorsement under the EFECT system must:

- 1) Provide a Standard which meets the requirements of the EFECT Principles and Criteria
- 2) Follow a standard setting process which is in accordance with good practice for standard setting.
- 3) Require certification processes which are credible, transparent and independent.
- 4) Certifying Bodies must provide competence, independence and openness, and they must be accredited by an acknowledged accreditation body.

The Conformity of the Forest Entrepreneur Certificate with the requirements in the following sections II.1 – II.3 will be subject to an assessment according to the provisions of Section II.5 of these guidelines.

### **II.1 Conformity with the EFECT Principles and Criteria**

The Forest Entrepreneur Certificate shall meet all EFECT Principles and Criteria (Part I of this document). The resulting recognised certificate shall be based on an endorsed standard which provides clear criteria and indicators to assess the compliance of enterprises with the endorsed standard. The criteria shall reflect the sense of the EFECT Criteria which may be adapted to respective national conditions or specified according to the requirements for forest operations in a national standard of a forest management certification standard.

The standard must provide clear and reliable indicators to allow a credible verification mechanism to ensure that the standard is met by the certified enterprise.

### **II.2 Requirements for Standard Setting<sup>13</sup>**

The standard setting process of a Forest Entrepreneurs National system shall meet in the general requirements of ISO/IEC Guide 59:1994, Code of good practice for standardization.

This includes inter alia:

- documented procedures for the process of the standard development and reviews;
- stakeholder consultation in the standard setting process and opportunities to comment;
- documentation of the standard development process, associated policies and procedures, lists of stakeholders contacted and the interested parties involved at each stage of the process, comments received and documenting of how comments were taken into account, and all draft and final versions of the standard;
- complaints resolution mechanism accessible for interested parties.

### **II.3 Requirements for Certification Processes**

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<sup>13</sup> ISO/IEC Guide 59:1994, Code of good practice for standardization

The certification of forest enterprises against the standards of a Forest Entrepreneurs Certificate shall be based on a certification process which follows the general requirements for reliable third party audits according to ISO 65 (EN 45011), and ISO/IEC 17021:2006 .

The basis for certification processes are

- Impartiality of the certification body
- Competence of the certification body
- Responsibility and commitment of all actors to the standards and processes
- Confidentiality of sensitive data and processes
- Responsiveness to complaints

The certification body must be independent from the entity managing the certificate

The certification process must ensure that criteria and indicators can be credibly assessed in the audited enterprise.

The entity managing a Forest Entrepreneurs Certificate shall provide clear and comprehensive instructions to Certification Bodies on how an assessment shall be carried out, and how the results and the process shall be documented and reported.

#### **II.4 Requirements for Certification Bodies**

Certification Bodies which carry out assessments to issue a Forest Entrepreneurs Certificate shall be accredited by a national or international accreditation body in accordance with the provisions of ISO/IEC 17011:2004.

The Certification Body in particular shall ensure:

- **Independence:** a certification body must be independent of any external pressure being able to influence a certification decision.
- **Transparency:** the evaluation and certification processes must be transparent and explained to all parties before inspection.
- **Quality:** certification decisions can only be consistent and suitable if there are proper internal control mechanisms. The existence of a quality control system, for example, supported by regular internal audits, is essential to identify problems and continuously improve service.
- **Equality:** all producers must be treated equally.

#### **II.5 Endorsement Process**

The endorsement of a Forest Entrepreneur Certificate as an EFECT Certificate is based on a detailed assessment of the Conformity of the Forest Entrepreneur Certificate with the requirements in the sections II.1 – II.3 of these guidelines.

The assessment shall be carried out by experts who are

- Independent from
  - the managing body of EFECT
  - the body that manages the Forest Entrepreneurs Certificate

- Certification bodies which carry out audits of certified enterprises
- Qualified to assess the conformity

Independent Assessors shall be commissioned by the EFECT managing body following a transparent selection procedure<sup>14</sup>.

Assessment reports shall be publicly available and open to comments from interested parties.

The EFECT managing body will endorse a Forest Entrepreneurs system following an

- Application by the authorised body managing the national Forest Entrepreneurs Certification system
- A credible assessment report approving the conformity with the EFECT Principles, Criteria and Requirements.

The EFECT managing body shall establish the procedures and structures for the endorsement process.

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<sup>14</sup> these procedures shall be specified further

**PART III            EFECT ORGANISATIONAL STRUCTURE AND RESPONSIBILITIES**

EFECT has established a managing body to endorse Forest Entrepreneurs national certification systems under the umbrella of EFEFT.

In this initial phase of EFECT the managing body consists of the Board Members of ENFE and its Secretary General. To ensure credibility of the EFECT scheme, the managing body shall include representatives from the major interested parties into the endorsement processes.

Rules and Regulations for endorsement and the Organisational Structures and Responsibilities shall be continuously improved to ensure the highest possible credibility of the EFECT scheme.