
Requirements for Certification Bodies operating Certification against Sustainable Forest Plantation Management: Requirements (TCAS 14061-2566)

Thailand Forest Certification Council - TFCC

The Federation of Thai Industries



Document name: Requirements for Certification Bodies operating Certification against TFCC Forest Management Standard (TCAS 14061-2566)		
Document title: TFCC PD 004:2024	Issue date: 4 March 2024	Application date: 4 March 2024
Edition No. : 3	Performed by: Ms.Piyaporn Miklieng	Approved by: Ms.Patranda Sangmahamad

Introduction

Thailand Forest Certification Council (TFCC) requires the certification bodies operating forest management certification to meet the requirements of TCAS 14061-2566, ISO/IEC 17021, including TFCC document and the relevant provisions specified in this document.

In terms of the organisational chart, TFCC is a part of the Institute of Agro-based Industries (I.A.I.) and acting as an authorized body of F.T.I.

ISO/IEC 17021 is an International Standard that sets out criteria for bodies providing audit and certification of management systems. Forest management certification is considered as a management system certification. The requirements for forest management are described in TCAS 14061-2566 (Sustainable Forest Plantation Management – Requirements) and TFCC SD 002:2024 (Group Forest Management Certification – Requirements)

The term “shall” is used throughout this document to indicate those provisions that, reflecting the requirements of ISO/IEC 17021 and specific requirements of sustainable forest plantation management – requirements, specified by TFCC

This document does not include the text of ISO/IEC 17021 These documents can be obtained from Thai Industrial Standards Institute (TISI).

Contents

1	Scope	5
2	Normative references	5
3	Terms and Definitions	5-6
3.1	Forest management standard	5
3.2	Certified area	5
3.3	Client organisation	5
3.4	Group forest certificate	6
3.5	Group forest certification	6
3.6	Group organisation	6
3.7	Small forest owners / entrepreneurs	6
3.8	Large forest owners / entrepreneurs	6
3.9	Major Nonconformity	6
3.10	Minor Nonconformity	6
3.11	Observation or Opportunity for Improvement	6
4	Principles	7
4.1	General	7
4.2	Impartiality	7
4.3	Competence	7
4.4	Responsibility	7
4.5	Openness	7
4.6	Confidentiality	7
4.7	Responsiveness to complaints	7
5	General requirements	7
6	Structural requirements	7
7	Resource requirements	8-10
7.1	Competence of management and personnel	8
7.2	Personnel involved in the certification activities	8

7.3	Use of individual external auditors and external technical experts.....	10
7.4	Personnel records.....	10
7.5	Outsourcing.....	10
8	Information requirements.....	10-12
8.1	Publicly accessible information.....	10
8.2	Certification documents.....	10-11
8.3	Directory of certified clients.....	11
8.4	Reference to certification and use of marks.....	11
8.5	Confidentiality.....	11
8.6	Information exchange between a certification body and its clients.....	12
9	Process requirements.....	12-17
9.1	General requirements.....	12-14
9.2	Initial audit and certification.....	14-16
9.3	Surveillance activities.....	16-17
9.4	Recertification.....	17
9.5	Special audits.....	17
9.6	Suspending, withdrawing or reducing the scope of certification.....	17
9.7	Appeals.....	17
9.8	Complaints.....	17
9.9	Records of applicants and clients.....	17
10	Management system requirements for certification bodies.....	18
	Annex 1 – Accreditations accepted by the TFCC.....	19
	Annex 2 –TFCC notification of certification bodies.....	20
	Annex 3 – Group Forest Management Certification.....	21-25
	Annex 4 – Audit Time of Sustainable Forest Plantation Management.....	26

1 Scope

This document defines, based on ISO/IEC 17021, additional requirements Thailand Forest Certification System (TFCS) which employ certification bodies for the operation of forest management certification against national forest management and group forest management standards, based on TCAS 14061-2566 and TFCC SD 002.

2 Normative references

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

- ISO/IEC 17000, Conformity assessment – Vocabulary and general principles
- ISO/IEC 17021, Conformity assessment – requirements for bodies providing audit and certification of management systems
- ISO/IEC Guide 65, General requirements for bodies operating product certification systems
- ISO/IEC 17065, Conformity assessment – Requirements for bodies certifying products, processes and services
- TCAS 14061-2566, Sustainable Forest Plantation Management – Requirements (available from <https://service.tisi.go.th/tisi-standard-shop/item/nac/118>)
- TFCC SD 002, Group Forest Management Certification – Requirements

3 Terms and Definitions

For the purposes of this standard, the relevant definitions given in ISO/IEC 17000, ISO/IEC 17021, TFCC SD 002 and TCAS 14061-2566

3.1 Forest management standard

TCAS 14061-2566: Sustainable Forest Plantation Management –Requirements

3.2 Certified area

The forest area is covered by a certificate. In case of a group forest certificate the area represents the sum of forest areas of the group participants.

3.3 Client organisation

Organisation, including a group organisation, that is applying for or whose forest management has been certified.

3.4 Group forest certificate

A document confirming that the group organisation complies with the requirements of the sustainable forest plantation management standard and other applicable requirements of the forest certification scheme

3.5 Group forest certification

Certification of the group organisation under one group forest certificate.

Note: The term “group organisation” is equivalent to the term “regional/provincial forest certification” and complying with the content of this definition. The term “regional/provincial forest certification” is to be understood as “group forest certification” limited by geographical boundaries.

3.6 Group organisation

A group of participants represented by the group entity for the purposes of implementation of the forest management standard and its certification.

Note: The term “group organisation” is a specific form of a “multisite organisation”.

3.7 Small forest owners / entrepreneurs

Forest owners whose possess economic forest plantation area not more than 250 rai (40 ha)

3.8 Large forest owners / entrepreneurs

Forest owners whose possess economic forest plantation area more than 250 rai (40 ha)

3.9 Major Nonconformity

The absence of, or failure to implement and maintain, one or more requirements of the forest management standard, that may result in a systemic risk to the function and effectiveness of the forest management and/or effects confidence in the client organisation’s claims on material originating from certified forests.

Note: A major nonconformity may be an individual nonconformity or a number of minor but related nonconformities, that when considered in total are judged to constitute a major nonconformity.

3.10 Minor Nonconformity

A single failure to fulfil the requirements of the forest management standard that may result in no systemic risk to the function and effectiveness of the chain of custody and/or effects confidence in the supplier’s claims on material originating from certified forests.

3.11 Observation or Opportunity for Improvement

An audit finding that does not warrant nonconformity but is identified by the audit team as an opportunity for improvement

4 Principles

4.1 General

All the requirements given in clause 4.1 of ISO/IEC 17021 apply.

The criteria against which the client organisation's forest management is evaluated are those outlined in latest version of the system specific forest management standard (TCAS 14061-2566), group management certification standard (TFCC SD 002) and relevant mandatory appendices.

Note: The latest version of the standards and their amendments are available from the TFCC official website <https://tfcc.fti.or.th/>

4.2 Impartiality

All the requirements given in clause 4.2 of ISO/IEC 17021 apply.

4.3 Competence

All the requirements given in clause 4.3 of ISO/IEC 17021 apply.

4.4 Responsibility

All the requirements given in clause 4.4 of ISO/IEC 17021 apply.

4.5 Openness

All the requirements given in clause 4.5 of ISO/IEC 17021 apply.

4.6 Confidentiality

All the requirements given in clause 4.6 of ISO/IEC 17021 apply.

4.7 Responsiveness to complaints

All the requirements given in clause 4.7 of ISO/IEC 17021 apply.

5 General requirements

All the requirements given in clause 5 of ISO/IEC 17021 apply.

6 Structural requirements

All the requirements given in clause 6 of ISO/IEC 17021 apply.

7 Resource requirements

7.1 Competence of management and personnel

All the requirements given in clause 7.1 of ISO/IEC 17021 apply.

7.2 Personnel involved in the certification activities

All the requirements given in clause 7.2 of ISO/IEC 17021 apply.

7.2.1 Auditors

The certification body shall have a documented process to ensure that auditors have personal attributes, knowledge and skills in accordance with clauses 7.1 and 7.2 ISO/IEC 17021.

7.2.1.1 Education

a) The certification body shall ensure that auditors have the knowledge corresponding to at least a Bachelor's degree of forestry or other courses related to forest management.

Note: In case of other courses related to forest management, the studying courses are available to study during educational semester and after graduation.

b) The specific education relating to forest based and related industries can be substituted by working experience at least 10 years in these sectors if the certification body can demonstrate it is equivalent to the required education.

7.2.1.2 Forest Management Training

a) The auditors shall pass the training course of forest management auditor, recognised by TFCC and the training course of lead auditor management system.

b) The auditors shall pass the training course of forest management auditor in order to review the requirement of the standard as well as standard revision and change every two years.

7.2.1.3 Audit training

The certification body shall ensure that auditors have been trained the audit training based on ISO 19011 - Guidelines for Auditing Management Systems

7.2.1.4 Working Experience

a) The certification body shall ensure that the auditor has working experience related to forest, forest plantation or other management systems such as ISO 9001 or 14001 in scope of forest or forest plantation with a minimum of three (3) years full time working.

b) The number of years of total working experience may be reduced by one (1) year, if the auditor has completed a Master's degree education in forestry upwards.

7.2.1.5 Audit Experience

a) Before assigned and appointed auditors, the certification body shall ensure that, within

the last three years, the auditor has performed forest management audits for at least three client organisations under the lead auditor qualified and controlled.

The number of forest management audits in training can be reduced by one (1) organisation for auditors who are qualified for auditing in other forest certification schemes or;

It can be reduced two (2) organisations for auditors who are qualified for auditing other management systems such as ISO 9001 or 14001 and has audit experience in forest scope or forest plantation operations.

b) For maintaining the qualification of the auditor, the certification body shall ensure that the auditor has performed a minimum of four (4) external audits per year, including at least one (1) forest management audit and the total audit times shall cover at least seven (7) mandays of audit work.

7.2.1.6 Competencies

The certification body shall ensure that auditors demonstrate ability to apply knowledge and skills in the following areas:

a) principles, requirements, criteria or indicators of the forest management standard (TCAS 14061-2566), as applicable;

b) knowledge of the socio-demographics and cultural issues in the region of application of the forest management standard;

c) audit principles, procedures and techniques to enable the auditor to apply those appropriate to different audits and ensure that audits are conducted in a consistent and systematic manner.

d) organisation situations, including organisational size, role, authorities and responsibilities, general business processes, related terminology and cultural and social norms, such as knowledge of organisational language, to enable the auditors for understanding the organisational context.

e) legislation, regulations or other relevant requirements – enabling the auditor to operate in the right legal framework and to be aware of the legislative requirements applicable to the client organisation which is the subject of the audit;

f) the principles of forest management based on techniques involving inventories, forest cropping, planning, protection and the management of forest ecosystems – to enable the auditor to examine the forest management scheme and to decide whether it is being adequately applied;

g) natural environment science, environmental technology and the economic principles

applicable to forest management – to give the auditor a grasp of the fundamental relations between human activities and sustainable forest management;

h) technical aspects of forestry operations associated with exploitations, technology and derived uses – to allow the auditor to grasp the activities of the client organisation audited and their effects on the management itself and the territory.

The certification body shall provide evidence of annual monitoring of forest management auditors applying methods such as audit witnessing, reviewing audit reports or client organisations' feedback, etc. based on the frequency of their usage and the level of risk linked to their activities. In particular, the certification body shall review the competence of its personnel in the light of their performance in order to identify training needs.

7.2.2 Audit Team

The audit team shall be comprised of by auditor(s) fulfilling the requirements defined in 7.2.1. In some cases, technical experts may be required to support the required auditor competency in a particular technical area by providing appropriate technical expertise.

7.3 Use of individual external auditors and external technical experts

All the requirements given in clause 7.3 of ISO/IEC 17021 apply

7.4 Personnel records

All the requirements given in clause 7.4 of ISO/IEC 17021 apply.

7.5 Outsourcing

All the requirements given in clause 7.5 of ISO/IEC 17021 apply.

8 Information requirements

8.1 Publicly accessible information

All the requirements given in clause 8.1 of ISO/IEC 17021 apply.

The certification body shall make a summary of the audit report for which shall be made publicly available by the certificate holder. Confidential data can be excluded.

8.2 Certification documents

All the requirements given in clause 8.2 of ISO/IEC 17021 apply.

8.2.1 Certification bodies shall be including at least as following:

- a) TFCC logo, the PEFC logo when TFCS is endorsed by PEFC and accreditation mark

as prescribed by the National Standardization Council of Thailand (NSC), (including accreditation number where applicable),

- b) identification of the certification body,
- c) name and address of the client organisation or its parts whose forest management system is subject to certification,
- d) identification of Sustainable Forest Plantation Management (TCAS 14061-2566) that the certification granted under TFCS,
- e) scope of the certification granted (see 8.2.2),
- f) the date of granting, extending or renewing certification and the expiry date or recertification due date. The effective date on a certification document shall not be before the date of the certification decision, and

8.2.2 The scope of certification shall include at least the following information:

- a) Individual certification or Group certification
- b) Tree species covered under certificate
- c) Certification areas (including hectare unit)
- d) Location forest plantation site

8.2.3 If there are different tree species in Individual certification or Group certification, the certification shall be certified the scope and demonstrated in annex and refer to the annex.

8.2.4 Based on a client organisation's request, the certification body shall issue the certification document only in Thai or English.

8.2.5 The certification shall be granted for a maximum of 5 years.

8.2.6 The certification body shall make information on the validity and scope of any issued certification document publicly available.

8.3 Directory of certified clients

All the requirements given in clause 8.3 of ISO/IEC 17021 apply

8.4 Reference to certification and use of marks

All the requirements given in clause 8.4 of ISO/IEC 17021 apply.

All the requirements given in TFCC logo usage apply.

All the requirements given in PEFC trademark usage apply (if applicable).

8.5 Confidentiality

All the requirements given in clause 8.5 of ISO/IEC 17021 apply.

8.6 Information exchange between a certification body and its clients

All the requirements given in clause 8.6 of ISO/IEC 17021

The certification body shall inform the client organisation that it is obliged to provide information to the TFCC or the PEFC Council. In order to comply with the ISO/IEC 17021 requirements for confidentiality, the certification body shall have the written consent of the client organisation for the information disclosed to the TFCC or the PEFC Council. Information exchange between a certification body and its clients.

9 Process requirements

9.1 General requirements

All the requirements given in clause 9.1 of ISO/IEC 17021 apply.

9.1.1 Audit programme

9.1.2 Audit Plan

All the requirements given in clause 9.2 of ISO/IEC 17021 apply

9.1.2.1 The certification body shall have documented procedures to ensure that an audit plan is established for each audit to provide basis for agreement regarding the conduct and scheduling of the audit activities. The audit plan shall be communicated and the dates of the audit shall be agreed upon, in advance with the client organisation.

9.1.2.2 In the case of group certification, the audit plan shall list the sites to be sampled.

9.1.2.3 The certification body shall establish the audit plan in each activity before auditing, following to the auditing program, using for communication and organisational acceptance, according to the auditing program.

9.1.3 Audit team selection and assignment

The certification body shall have documented procedures for selecting and appointing the audit team, including audit team leader

9.1.4 Determining audit time

9.1.4.1 The certification body shall have documented procedures for the timing of the audit by the auditor and / or the specialist/expert to provide a complete and effective audit to the client organisation. The certification body shall determine the timing of the audit with the reason for the time period as documented. Guideline of minimum audit time is listed in the Appendix of this document.

9.1.4.2 The certification body shall consider audit time as below;

- a) the requirements of the forest management standard (s),
- b) size and complexity of the client organisation's operation, geographical and natural conditions,
- c) any outsourcing of any activities included in the scope of forest management standard,
- d) the results of any prior audits, including those of client organisation's management systems,
- e) number of sites and multi-site considerations,
- f) quality/ level of confidence of the internal monitoring programme

9.1.4.3. The certification body shall implement this procedure in its certification programme.

9.1.5 Multi-site sampling

Requirements for evaluation of multi-site certification organisations (group forest certification) are defined in Annex of this document.

9.1.6 Communication of audit team tasks

9.1.7 Communication concerning audit team members

9.1.8 Communication of audit plan

9.1.9 Conducting on site audits

9.1.10 Audit report

9.1.10.1 A report on the stage 1 audit shall be presented to the organization prior to the stage 2 audit.

9.1.10.2 The content of all reports on stage 2 audits, surveillance audits and reassessment audits shall:

- a) include a recommendation on certification by the audit team to the certification body;
- b) be sufficient for the certification body to make an informed decision on certification;
- c) allow for traceability of the objective evidence upon which the evaluation was based to establish conformance or nonconformance with the requirements of the forest management standard;

d) include a summary of the most important observations, positive as well as negative, regarding the implementation and effectiveness of the forest management system;

e) support the conclusions reached by the audit team.

9.1.10.3 Additionally, the report shall contain a summary of the certified forest area and the audit results (i.e. a Summary Report) which shall be made available to the public by the auditee or in accordance with any applicable requirements defined by TFCC.

9.1.3.1 The scope of forest management audit is:

a) to determine the conformity of the client organisation's forest management process with the requirements of the Sustainable Forest Plantation Management and Group Forest Plantation Management Standard and its effective implementation;

b) to determine the conformity of the client organisation with the TFCC logo usage rules and its effective implementation; and

c) to identify areas for potential improvement of the client organisation's forest management.

9.1.3.2 The certification body shall conduct the initial audit of forest management following the relevant guidance provided in ISO/IEC 17065:2012(E), clause 9.3.1. The initial audit and recertification audits shall be conducted on-site.

9.1.11 Cause analysis of nonconformities

9.1.12 Effectiveness of corrections and corrective actions

9.1.13 Additional audits

9.1.14 Certification decision

9.1.15 Actions prior to making a decision

9.2 Initial audit and certification

All the requirements given in clause 9.2 of ISO/IEC 17021 apply

9.2.1 Application

All the requirements given in clause 9.1.1 of ISO/IEC 17021 apply.

The client organisation, as a minimum, shall provide the following information as a part of the application for forest management certification:

a) corporate entity (if applicable), and legal status,

b) description of the area of the client organisation (Forest location and tree types)

c) forest plantation management procedures of the client organisation as defined in the Sustainable Forest Plantation Management - Requirements. (TCAS 14061-2566).

9.2.2 Application review

9.2.2.1 The certification body shall have documented procedures for selecting and appointing the audit team, including audit team leader.

Note: Guidance for selecting the audit team and audit team leader is provided by ISO 17021, clauses 9.2.2.

9.1.2.2 The certification body shall carry out review of the client organisation's documentation prior to the on-site audit to determine the conformity of the TCAS 14061-2566

9.2.3 Initial certification audit

All the requirements given in clause 9.2.3 of ISO/IEC 17021 apply.

For the initial certification audit, there are 2 stages as below;

9.2.3.1 The stage 1 audit

The stage 1 audit has the function of a "Readiness Review". The scope of this audit comprises:

- a) to confirm scope and objective of the certification audit
- b) to audit the client's forest management documentation
- c) to evaluate forest management area specific conditions
- d) to evaluate procedures for internal audits and management system integrity and

the effectiveness of their implementation.

e) to determine the conformity of the client organisation with the TFCC and PEFC (if applicable) logo usage rules and its effective implementation

- f) to finalize the audit plan for stage 2 audit.

9.2.3.2 Stage 2 audit

9.2.3.2.1 The stage 2 audit shall take place at the office and the area of the client organisation. The audit plan for the stage 2 audit is adapted on the basis of the findings of the stage 1 audit.

9.2.3.2.2 The stage 2 audit shall assess the effectiveness of the implementation of the forest management standard on the defined forest management area.

9.2.3.2.3 The stage 2 audit must include sufficient consultation with external stakeholders to ensure that all relevant issues are identified relating to compliance with the requirements of the standard.

9.2.4 Initial certification audit conclusions

All the requirements given in clause 9.2.4 of ISO/IEC 17021 apply.

9.2.4.1 Audit findings shall be classified as major nonconformities, minor nonconformities and observations.

9.2.4.2 Major and minor nonconformities identified in audits shall result in corrective action(s) by the client organisation resolving the nonconformities. The corrective action plan, including a timeframe shall be reviewed and accepted by the certification body. The time period for completion of the corrective action(s) for major nonconformities identified in audits and their verification by the certification body shall follow the rules of the certification body but not exceed 3 months. Corrective action(s) for minor nonconformities shall be verified no later than during the next audit.

9.2.4.3 If specific natural conditions do not allow the implementation of corrective actions within the timeframes described in clause 9.2.4.2 the certification body can give an exemption. The justification shall be documented.

9.2.4.4 Corrective action(s) for all nonconformities identified in audits shall be verified by the certification body by site visit or other appropriate forms of verification.

9.2.4.5 The audit evidence to determine the conformity with the forest management standard shall include relevant information from external parties (e.g. government agencies, community groups, conservations organisations, etc.) as appropriate.

9.2.4.6 The certification body shall inform TFCC in case of suspension, withdrawal or reduction of certification.

9.2.5 Information for granting initial certification

The certification body shall make its certification decision on the basis of the available reports and all other relevant information.

9.3 Surveillance Activities

All the requirements given in clause 9.3 of ISO/IEC 17021 apply.

9.3.1 The certification body shall organize an annual surveillance of the client's organisation. The surveillance activities shall be planned in a way that representative areas and functions of the client's organisation are covered.

9.3.2 At each surveillance audit at least the following aspects shall be included:

a) Compliance with legislation and regulations relevant in the areas and functions selected for the particular surveillance audit

- b) Review of progress of planned activities
- c) Sample of forest management activities in the field.

d) Require the conformity of TFCC and PEFC logo usages, applied for the organisations and according to TFCC Logo Usage Rules – Requirements and PEFC trademark usage (when applicable) for effective operation.

9.3.3 Surveillance audits shall be conducted at least once a year. The date of the first surveillance audit following initial certification shall not be more than 12 months from the last day of the stage 2 audit.

9.4 Recertification

All the requirements given in clause 9.4 of ISO/IEC 17021 apply, not exceeded 5 years, according to the certification for a maximum of 5 years.

9.5 Special audits

All the requirements given in clause 9.5 of ISO/IEC 17021 apply.

9.6 Suspending, withdrawing or reducing the scope of certification

All the requirements given in clause 9.6 of ISO/IEC 17021 apply.

The certification body shall inform TFCC, within 7 days or in a period defined by the forest certification system if certification is suspended or withdrawn, or where there are any changes in decisions relating to the status of certification of an organisation, and the reasons for those decisions.

9.7 Appeals

All the requirements given in clause 9.7 of ISO/IEC 17021 apply.

9.8 Complaints

All the requirements given in clause 9.8 of ISO/IEC 17021 apply.

The complaint procedure of a certification body shall include procedures for the following aspects:

- a) Acknowledgement of receipt of the complaint
- b) Provision of progress reports and the outcome to the complainant
- c) Giving formal notice of the end of the complaint-handling process to a complainant.

9.9 Records of applicants and clients

All the requirements given in clause 9.9 of ISO/IEC 17021 apply.

10 Management system requirements for certification bodies

Certification bodies shall provide, apply and maintain the Sustainable Forest Plantation Management System, according to clause 10 of ISO/IEC 17021 apply.

Annex 1 – Accreditations accepted by the TFCC

TFCC requires that forest management certification shall be carried out by certification bodies who are accredited by accreditation bodies that are a member of IAF. The accreditation body shall be signatories to the IAF MLA with a main scope of ISO/IEC 17021.

In principle, the accreditation body, in which TFCC is acceptable, is the National Standardization Council of Thailand (NSC), under Thai Industrial Standards Institute (TISI).

The scope of the accreditation shall explicitly cover a forest management standard, based on TCAS 14061-2566 in its valid version and/or with reference to any future changes and amendments adopted by TFCC and presented at TFCC official website <http://fti-tfcc.org/>

The scope of accreditation shall also explicitly state ISO/IEC 17021, this document and other requirements against which the certification body has been assessed.

Annex 2 –TFCC notification of certification bodies

(Requirements are not applicable to the accreditation of the certification body)

- The certification body operating TFCC recognised forest management certification shall be notified by a TFCC.
- The TFCC notification requires that the certification body shall have a valid accreditation from NSC.
- The certification body shall provide the information on granted certifications as specified by the TFCC.
- In order to ensure the independence of certification bodies the TFCC notification conditions shall only cover:
 - a) administrative conditions (e.g. communication of the certification body with the TFCC and transfer of information, etc.),
 - b) financial conditions (fees imposed on certified entities),
 - c) compliance with requirements for certification bodies verified through accreditation as described in this standard

Note: The information has been provided. Generally, the data that represents certificate holders, scope of certification, the area on granted certification to the client organisation. This is required for TFCC certification fees.

- The TFCC notification of certification bodies may require the certification body to pay a TFCC notification fee as specified by the TFCC.
- The PEFC notification conditions shall not discriminate against certification bodies or create trade obstacles.

Annex 3 – Group Forest Management Certification

1. Introduction

This annex is for the audit and certification of group forest management in order to ensure that the audit provides adequate confidence in the conformity of the client organisation's forest management with the forest management standard across all sites listed and that the audit is both practical and feasible in both economic and operative terms.

2. Eligibility criteria for the group certification of client organisation

2.1 Eligibility criteria for the group organisation, including definitions, are included in the Group Forest Management Certification Standard TFCC SD 002.

- a) multi- site client organisation
- b) Group representative
- c) Participants

2.2 The group organisation should demonstrate its ability to collect and analyse data (including but not limited to items bellow) from all sites including the central office and its authority over all sites and also demonstrate its authority to initiate change if required

- a) documentations and changes of forest management system,
- b) management review,
- c) complaints,
- d) evaluation of corrective actions,
- e) internal audit planning and evaluation of the results,
- f) different legal requirements in relation to forest management activities.

2.3 With reference to the Group Forest Plantation Management Standard, group organisation, which is established as a group of independent only for the purpose of obtaining and maintaining forest management certification, shall only consist of small forest plantation based on TCAS 14061-2566.

3. Eligibility criteria for the certification body

3.1 General

The certification body shall provide information to the client organisation about the eligibility criteria laid down herein before starting the evaluation process, and shall proceed the evaluation if any of the eligibility criteria for the group certification are not reached to. Before starting the evaluation process, the certification body should inform the client organisation that the certificate will not be issued if during the audit nonconformities in relation to these eligibility criteria are found.

3.2 Application review

3.2.1 The certification body's procedures shall ensure that the initial contract review identifies the complexity and scale of the activities covered by the forest management subject to certification and any differences between sites as the basis for determining the level of sampling.

3.2.2 The certification body shall identify the central function of the client organisation that is its contractual partner for the performance of the certification. The agreement shall allow the certification body to carry out the certification activities at all sites of the group certification client organisation.

3.3 Audit

3.3.1 The certification body shall have documented procedures to deal with audits under its group certification procedure. Such audit procedures, including documentation and records review, on-site audits, etc., shall establish the way the certification body satisfies itself, inter alia, that the forest management requirements are actually applied to all the sites and that all the criteria in the forest management standard are met.

3.3.2 If more than one audit team is involved in the evaluation/surveillance of the network, the certification body shall designate a unique audit leader whose responsibility is to consolidate the findings from all the audit teams and to produce a synthesis report.

3.4 Nonconformities

3.4.1 When nonconformities are found at any individual site, either through the client organisation's internal auditing or from auditing by the certification body, an investigation shall take place to determine whether the other sites may be affected. Therefore, the certification body shall require the client organisation to review the nonconformities to determine whether they indicate an overall forest management deficiency applicable to all sites or not. If they are found to do so, corrective action should be performed both at the group entity and at the individual sites. If they are found not to do so, the group organisation shall be able to demonstrate to the certification body the justification for limiting its follow-up action.

3.4.2 The certification body shall require evidence of these actions and increase its sampling frequency until it is satisfied that control is re-established.

3.4.3 If the nonconformities indicate an overall forest management deficiency applicable to the overall function of the group certification shall be denied to the whole group organisation pending satisfactory corrective action.

3.4.4 It shall not be admissible that, in order to overcome the obstacle raised by the existence of nonconformity at a single site, the client organisation seeks to exclude from the scope the "problematic" site during the certification process.

3.5 Certificates

3.5.1 One single certificate shall be issued with the name and address of the central office of the client organisation. A list of all the sites to that the certificate relates shall be issued, either on the certificate itself or in an appendix or as otherwise referred to in the certificate. The scope or other reference on the certificate shall make clear that the certified activities are performed by the network of sites in the list.

3.5.2 A sub-certificate may be issued to the organisation for each site covered by the certification on condition that it contains the same scope, or a sub-scope of that scope, and includes a clear reference to the main certificate.

3.5.3 The certificate will be withdrawn in its entirety, if the central office or a significant number of the sites does not/do not fulfil the necessary criteria for the maintaining of the certificate. (see clause 2.2)

3.5.4 A list of all participants, including their contact details, identification of their forest property and its/their size(s), shall be kept updated by the group entity. Certification body shall request the group entity to inform about the termination, establishment or change of the group organisation's activities. Without such information, certification body can decide that certificates are misused then can be done as appropriate.

4. Sampling for on-site audits

4.1 Methodology

4.1.1 The certification body can apply sampling of sites for on-site audits where the site sampling is appropriate to gain sufficient confidence in the compliance of the group organisation with the TCAS 14061-2566. The certification body shall be able to demonstrate its justification for the selection of sites for the on-site audits to ensure that all differences across the sites and implementation of TCAS 14061-2566 have been assessed.

4.1.2 The sample for the initial, surveillance as well as re-certification audits shall be determined on the basis of the total amounts of sites, separately for representative categories of sites. The following indicators shall be used in order to ensure stratified sampling:

- a) forest ownership type (e.g. state forest, communal forest, private forest)
- b) size of forest enterprises (different size classes)
- c) biogeographic region (e.g. lowlands, medium range mountains, alps).

4.1.3 Additionally, other indicators representing specific forest management practices can be used.

4.1.4 The sample should be partly selective based on the factors set out below and partly non selective, and should result in a range of different sites being selected, without excluding the random element of sampling

4.1.5 At least 25% of the sample should be selected at random.

4.1.6 Taking into account the criteria mentioned hereafter, the remainder of the sample should be selected so that the differences among the sites selected over the period of validity of the certificate is as large as possible.

4.1.7 Taking into account the criteria mentioned hereafter,

- a) Results of internal audits or previous certification audits,
- b) Records of complaints and other relevant aspects of corrective and preventive action,
- c) Significant variations in size and qualification of the plantation sites,
- d) Modifications since the last certification audit,
- e) Geographical dispersion.

4.1.8 Depending on the specific situation the certification body should implement a procedure for taking a sub-sample in groups.

4.1.9 This selection does not have to be done at the start of the evaluation process. It can also be done once the audit at the central office has been completed. In any case, the central office shall be informed of the sites to be part of the sample. This can be on relatively short notice, but should allow adequate time for preparation for the audit.

4.1.10 The central office of the client organisation shall be examined during every initial, surveillance and re-certification audit.

4.1.11 The certification body shall implement this procedure for determining the sampling for on-site audits in its certification programme.

4.2 Size of sample

4.2.1 The certification body shall have documented procedures for determining the sample to be taken when auditing sites as part of the evaluation and certification of a group organisation. This should take into account all the factors described in this annex.

4.2.2 In the event that application of the certification body's procedure results in a smaller sample than would result from the application of the guidance set out below, the certification body shall record the reasons justifying this and demonstrate that it is operating in accordance with its approved procedure.

4.2.3 The following requirements are based on the example of a low to medium risk activity with less than 250 rai (40 hectares). The minimum number of sites to be visited per audit is:

● Initial audit: the size of the sample should be the square root of the number of remote sites: ($y = \sqrt{x}$), rounded to the upper whole number.

- Surveillance audit: the size of the annual sample should be the square root of the number of remote sites with 0.6 as a coefficient ($y=0.6 \sqrt{x}$), rounded to the upper whole number.

- Recertification audit: the size of the sample should be the same as for an initial audit. Nevertheless, where the management system has proved to be effective over a period of three years, the size of the sample could be reduced by a factor 0.8, i.e.: ($y=0.8 \sqrt{x}$), rounded to the upper whole number.

- For the purpose that x can be amount of members in the group or amount of plantation sites in the group that can be decided by certification body with appropriate method.

4.2.4 The size of the sample can be different in the categories ensuring representativeness established according to the criteria in 4.1.2.

4.2.5 The calculation procedure for the size of the sample can be adapted by a certification scheme taking into account one or more of the following indicators:

- a) size and complexity of the client organisation's operation, geographical and natural conditions,
- b) the results of any prior audits, including those of client organisation's management systems,
- c) number of sites and group member considerations
- d) quality / level of confidence of the internal monitoring programme.

4.3 Audit times

4.3.1 The certification body shall be able to demonstrate its justification for the time spent on group certification audits in terms of its overall policy for allocation of audit time.

4.3.2 The minimum audit time to spend for each individual site as a part of the initial, surveillance and re-certification audits is the same as for the initial audit defined according to the procedure required in in clause 9.

4.3.3 Reductions can be applied to take into account the clauses of the forest management and group certification standard that are not relevant to sites and are only examined at the central office.

4.3.4 No reduction is permitted for the central office

Annex 4 – Audit Time of Sustainable Forest Plantation Management

According to Sustainable Forest Plantation Management – Requirements (TCAS 14061-2566), the terms and definitions of Sustainable Forest Plantation Management for small and large economic plantations are as following:

1) A small economic plantation is a management area of forest plantation which does not exceed 40 hectares (250 rai).

2) A large economic plantation is a management area of forest plantation which is larger than 40 hectares (250 rai).

Therefore, the audit time of sustainable forest plantation management should perform as detailed below:

Forest Plantation Areas (Rai)	Audit Time (Man-days)			
	Stage 1 Audit	Stage 2 Audit	Annual Surveillance Audit	Recertification Audit
≤ 5,000	1	3	2	3
> 5,000	1	4	2	4

1) In each auditing process, the lead auditor shall be a part of auditing team.

2) The audit times for each forest plantation area are the minimum requirements for certification bodies to apply the audit times in auditing process, not including to traveling time for each plantation area in the auditing process.