

Program for Endorsement of Forest Certification
(PEFC)
Certification Manual

GICIA India Pvt Ltd

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Version Tracker			
S. No	Version No.	Revision Date	Description of changes
1.	V1.1	19 th Aug, 2020	<ul style="list-style-type: none"> • Clerical Changes
2.	V1.2	4 th Jan, 2021	<ul style="list-style-type: none"> • Clerical Changes
3.	V1.3	10 th Mar, 2021	<ul style="list-style-type: none"> • Added reasons of suspension, termination. • Added application review part • Address change

1. Introduction

GIPL is the premier certification body offering PEFC Chain of Custody Certification. We are pleased that you are considering GIPL as your certifier. GIPL offers fast turnaround, competitive rates, attentive service and value for your money. We have a dedicated team of professionals and a network of skilled auditors ready to assist you with all your certification needs. We are in process of getting accredited by National Accreditation Board for Certification Bodies (NABCB) for Programme for the Endorsement of Forest Certification (PEFC) certification in India.

The first step to proceed for Program for Endorsement of Forest Certification is to fill up the Application Form. Please find the Application Form here <https://gicia.org/>. Once GIPL receives the filled in Application Form, we will provide you the quotation depending upon the scope of your company and the Certification service(s) requested. You can refer the detailed quotation bifurcation in the Appendix below.

For processing your Certification request, key determinants include submitting a complete and accurate application form, review and timely return of a signed work order and agreements related to PEFC and GIPL, and completion of Self-Assessment Checklist (if any).

Fees for Certification is based on time, Auditor's Professional fees, travel costs, program management, and administrative fees which covers the necessary time our staff deb=vote to each client.

PEFC Certificates are valid for a period of 5 years, with annual surveillance audits required in order to maintain certification status.

Please contact our office if you have any questions regarding the Certification process or any other aspect of the program. We have a dedicated team of bilingual professionals and skilled auditors ready to assist you with all your certification needs.

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2. Scope

This document contains information about operation of PEFC Chain of Custody certification programme including rules and procedures for operation of this programme, financial aspects and rights and duties of clients, including applicants.

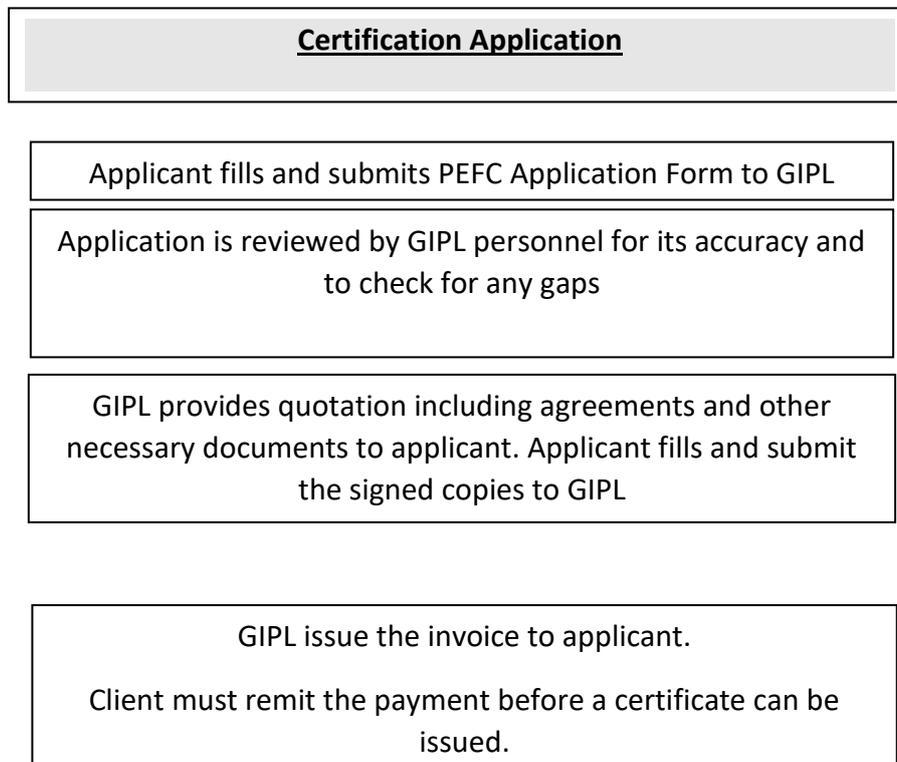
For Programme for the Endorsement of Forest Certification (PEFC) Chain of Custody certification, see:

PEFC ST 2002:2020 Chain of Custody of Forest Based Products – Requirements
PEFC ST 2001:2020 Logo Usage Rules – Requirements

3. PEFC Chain of Custody Certification Process

Below is an overview of the steps to attain Chain of Custody certification. Our team will be pleased to assist you with any questions regarding the requirements for certification throughout this process.

FLOWCHART



Evaluation Process

GIPL staff initiates contact with client to set up the audit date upon mutual consent for onsite/desk audit.

GIPL staff communicates the fixed date(s) to auditor and the Auditor provides Audit Plan to client.

Evaluation

- ✓ **Client submits draft documents** and procedures to GIPL auditor for pre-assessment (desk review).
- ✓ GIPL **auditor conducts audit** to gather evidence of conformance, including reviewing documents and conducting interviews with relevant staff.
- ✓ GIPL auditor prepares **audit report**, detailing findings including any **Corrective Action Requests (CARs)**.

Certification Decision

GIPL reviews audit report and supporting documents to make **certification decision**. Final report and **Corrective Action Request/ Observation Form** sent to client.

Corrective Action Request

Client corrects any CARs by the stated deadline. For PEFC, any Major and Minor CARs must be corrected prior to a certificate being issued.

Certificate Issuance

GIPL issues a certificate and enters the newly certified company into the online certification database where applicable. For PEFC, GIPL informs the PEFC National Governing Body of the newly certified company so that PEFC can enter the information into the online certification database.

Annual Surveillances

Surveillance Audit conducted in writing with client. Auditor contacts client to confirm scope and provide audit plan. Audit conducted. Audit report and CARs submitted to GIPL for decision regarding continued Certification.

Corrective Action request

Client works to correct any CARs and observations by the stated deadline(s).

5-year Audit Schedule

Re-evaluation audit confirmed in writing with client.
GIPL Agreement must be signed.
Auditor contacts client to confirm scope and provide Audit Plan.
Audit report prepared by auditor and reviewed by GIPL.
Final report and CAR/OBS Form sent to client
In case of re-evaluation, Major CARs must be sufficiently resolved before the certificate can be re-issued.

4. Terms and Definitions

Certification: This is the process of determining whether a manufacturer or distributor is in conformity with the requirements of the relevant standard(s). This determination is made by GIPL technical staff in collaboration with the assigned auditor, based upon review of the audit report and all evidence submitted, as well as responses to correction action requests.

Certification decision: Granting, maintaining, renewing, expanding the scope of, reducing the scope of, suspending, reinstating, or terminating certification.

Chain of custody: The path taken by raw materials, processed materials, finished products, and co- and by-products from the forest to the consumer or (in the case of reclaimed/recycled materials or products containing them) from the reclamation site to the consumer, including each stage of processing, transformation, manufacturing, storage and transport where progress to the next stage of the supply chain involves a change of ownership (independent custodianship) of the materials or the products.

Corrective Action Request (CAR): A required action resulting from an auditor's finding which identifies a nonconformity against one more requirement of a standard. The action is required for system improvement in order to conform to the requirements against which the nonconformity was found. Resolution type and timeline are specified in the audit report.

Corrective Action Request/Observation Form: The part of the audit report used to communicate what the auditor's findings and expected CARs and observations are.

Evaluation Audit: Inspection conducted by a GIPL auditor to determine conformity with the certification relevant standard(s), including: 1) review of field and/or facility operations, involving management and worker interviews, physical inspection (unless on-site audit is not required), documentation review, gathering of evidence, and exit interviews; and 2) generation of an audit report, including identification of corrective actions required and observations recommended.

Observation: An auditor's finding which identifies the early stages of a problem that does not yet constitute a nonconformity, but which the auditor considers may lead to a future nonconformity if not addressed by the client.

Re-Evaluation Audit: The inspection conducted by a GIPL auditor every five (5) years to determine ongoing conformity and eligibility for a renewed certificate.

Standard: The written requirements that a distributor or manufacturer must meet in order to qualify for citing specific claims about certified products sold in the marketplace.

Surveillance (Annual) Audit: The inspection conducted by a GIPL auditor to determine ongoing conformity with the relevant certification standard(s); required on an annual basis to maintain certification.

5. Right and Responsibilities

GIPL clients have a right to non-discriminatory policies and procedures. GIPL procedures do not impede or inhibit access to applicants. GIPL services are available to all applicants whose activities fall within our field of operation and are conditional neither upon the size of the client's operations, nor upon the number of certificates already issued. The criteria against which the product of a client is evaluated are outlined in the applicable standards.

Subject to conditions of grant and operation of certificate, client will have right to make claim about it and use the logo(s) in the prescribed manner, if permitted

According to the regulations dictated by GIPL policy, GIPL contracted clients shall:

- Not make any forward claims prior to issuance of a COC Certificate.
- Always comply with the relevant provisions of the certification program; including implementing appropriate changes when they are communicated by the certification body.
- Make all necessary arrangements for:
 - ✓ the conduct of the evaluation and surveillance, including provision for examining documentation and records, and access to the relevant equipment, location(s), area(s), personnel, and client's subcontractors.
 - ✓ investigation of complaints.
 - ✓ the participation of observers, if included in the audit team
- Make claims regarding certification only to indicate that products are certified as being in

conformity with specified Standards in respect of the scope for which certification has been

granted, and notify GIPL immediately of any changes in scope.

- The client does not use its product certification in such a manner as to bring the certification body into disrepute and does not make any statement regarding its product certification that GIPL may consider misleading or unauthorized.
- Upon suspension, withdrawal, or termination of certification, the client discontinues its use of all advertising matter that contains any reference thereto and takes action and returns any certification documents as required by GIPL.
- If the client provides copies of the certification documents to others, the documents shall be reproduced in their entirety and ensures that neither certificate or report nor any part thereof issued in a misleading manner.
- In making reference to its product certification in communication media such as documents, brochures or advertising, the client complies with the requirements of GIPL.
- The client complies with any requirements that may be prescribed in the certification scheme relating to the use of marks of conformity (logo), and on information related to the product.
- The client keeps a record of all complaints made known to it relating to compliance with certification requirements and makes these records available to GIPL when requested, and

- ✓ takes appropriate action with respect to such complaints and any deficiencies found in products that affect compliance with the requirements for certification.
- ✓ documents the actions taken.
- The client informs GIPL, without delay, of changes that may affect its ability to conform with the certification requirements.

Note: Examples of changes can include the following:

- the legal, commercial, organizational status or ownership,
- organization and management (e.g. key managerial, decision-making or technical staff),
- modifications to the product or the production method,
- contact address and production sites,
- major changes to the quality management system.

6. Termination, Suspension, Reduction or Withdrawal of Certification

Reasons for suspension, withdrawal and termination include, but are not limited to: unwillingness or inability to correct non-conformities; unwillingness or inability to meet financial or contractual arrangements; misusing or damaging the integrity of the GIPL or relevant accreditation body trademarks; intentional violation of requirements; or association with fraud.

On termination, suspension or withdrawal of certificate, GIPL will inform the client that any further use of PEFC trademarks and claims is not allowed. In case of suspension, GIPL will monitor whether the client is in compliance.

In case of termination, suspension, reduction or reinstatement of certification of client, GIPL will ensure to take actions and make all necessary modifications to formal certification documents, public information, authorizations for the use of marks etc., to confirm whether or not the product continues to be certified and scope of certification is clearly communicated to the client.

7. Complaints, Appeals and Disputes

GIPL has a policy to give utmost importance to the complaints and appeals. It feels complaints are good source of feedback and useful in taking corrective action for improvements of its activities. It respects the right of persons and entities to disagree with the decisions of GIPL and to prefer an appeal for the reconsideration of its decision. With this view, GIPL has prepared a detailed procedure on the subject. Copy of this procedure can be provided on receipt of request.

Please contact our office at undersigned if you have any questions regarding the certification process or any other aspect of Chain of Custody Certification.

Note: To ensure that there is no conflict of interest, personnel (including those acting in a managerial capacity) who have provided consultancy for a client, or been employed by a client, shall not be used by the certification body to review or approve the resolution of a complaint or appeal for that client within two years following the end of the consultancy or employment.

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Appendix: GIPL' PEFC Quotation Bifurcation

The quotation for PEFC Chain of Custody provided by GIPL comprises of the below components:

1. Scope of Certification- This fee is inclusive of-

- Audit Planning and project administration
- Review of client documentation
- Site(s) audit
- Report preparation, review and Certification decision
- Certificate maintenance, review and Certification Decision annually
- Certificate maintenance and administration from PEFC
- PEFC Quality control, reporting and Client communication
- Travel related expenses

The Scope of work may vary from company to company depending upon the above factors mentioned.

2. PEFC Notification Fee-

The PEFC Notification fee is based upon the turnover of the company

Please refer the below chart (for the companies based in India)-

b) Chain of Custody certification

Class	Turnover of the PEFC Certified Organization (INR)	Fee for Manufacturer (INR)	Fee for the Manufacturer who source TOF material (INR)	Fee for Trader (INR)
1	Under 50,00,000	Nil		Nil
2	50,00,000 to 1,00,00,000 (1 cr)	7,000		4,000
3	1,00,00,000 to 5,00,00,000	17,000		7,500
4	5,00,00,000 to 10,00,00,000	28,000		10,500
5	10,00,00,000 to 25,00,00,000	42,000		16,000
6	25,00,00,000 to 50,00,00,000	57,000		21,000
7	50,00,00,000 to 100,00,00,000	80,000	40,000	42,000
8	100,00,00,000 to 250,00,00,000	1,00,000	50,000	60,000
9	250,00,00,000 to 500,00,00,000	1,20,000	60,000	80,000
10	500,00,00,000 to 1000,00,00,000	2,40,000	1,20,000	1,40,000
11	Above 1000,00,00,000	3,60,000	1,80,000	2,80,000

In case of multi-site certifications, which are not producer groups, the multi-site organization's turnover is calculated as a sum of turnovers of sites covered by the multisite organization.

3. GST/Tax (Country specific)-

The third component within the PEFC Quotation/invoice is the GST amount as per government rules (18%).

All the above 3 components in the PEFC proposal are the mandatory fee requirements applicable to all companies applying for PEFC certification.

To get a detailed quotation from GIPL, please provide the filled in application form available on GIPL' website.