

Romanian Forest Certification Scheme 2017 – Annex 11

PEFC-RO DST 8011:2017



**Case of Deficiencies –
Measures and Consequences**
for assessing sustainable forest management
in Romania

March 2017

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Introduction

Deficiencies determined by the certification body have various consequences. Depending on whether they are serious or minor deficiencies, as well as on their number, various measures are to be taken. The following applies in principle:

1. Serious Deficiencies

(refer to Chapter 4 of the System Description for definition)

In the event of serious deficiencies, the applicant or the certificate holder must draw up measures for eliminating the deficiencies, and must provide written evidence describing their implementation within a deadline set by the certification body (guideline of 4 weeks, may vary in justified cases). The certification body decides in each individual case whether a chargeable on-site inspection is required to verify the evidence. If several serious deficiencies are determined in the course of an audit, a chargeable inspection must be conducted. In the event of more than three serious deficiencies in the course of an audit, the certification body has to temporarily suspend the certificate until evidence of their elimination is provided. The sale of certified wood is not possible during this time.

2. Minor deficiencies

(refer to Chapter 4 of the System Description for definition)

In the event of minor deficiencies, the applicant or the certificate holder must draw up measures for eliminating the deficiencies, and must provide written confirmation describing their implementation if already possible, within a deadline set by the certification body (usually 8 weeks, may vary in justified cases). An evaluation of implementation will take place in the scope of the next audit. If it is determined that the minor deficiency has not been eliminated, or has been insufficiently eliminated, then this deficiency is to be classified as serious.

Observation

The certification body only determines potential for improvement.

3. Classification of Deficiencies

Certification Audit – Initial Certification

Only observations are permissible; all deficiencies must be eliminated, or evidence of their elimination has to be provided in writing or confirmed.

Surveillance Audit

The items subject to auditing are stipulated under chapters 3.2.2 and 4.2.2 of the system description "Surveillance Audits," and the implementation thereof has to be proven to the certification body. If individual items were not implemented and cannot be inspected (if no internal controlling was conducted, e.g.), this is to be classified as a serious deficiency.

If implementation cannot be proven:

- in the required scope (e.g. number/volume of random inspections) or
 - according to appropriate quality criteria,
- then this is to be classified as a minor deficiency.

Re-Audit

(refer to chapters 3.2.3 of the system description)

In addition to the auditing capacity of the annual surveillance audits, the achievement of goals is determined according to the target indicators.

Concerning the goals of each of the 10 target indicators, it must be determined whether:

- a) the tendency is in keeping with the desired goals
- b) no change can be determined, or
- c) the tendency is in contrast to the desired goals

In the case of a) and/or b), corresponding measures have to be determined by the certificate holder, and evidence of their implementation has to be provided to the certification body.

In the case of c), the validity of the certification cannot be extended, if more than half of the target indicators show a development in the opposite direction. After a period of at least six months, the applicant may make a new request for certification.