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Global-Mark P/L

Management Document G-81
Title: Environmental Management –
Australian Forestry Standard Certification
New Zealand Forestry Standard Certification
Type: Program Information Brochure

PEFC™
PEFC/21-44-02

Promoting
Sustainable Forest
Management

www.pefc.org.au

Responsible Wood RW/1-44-2

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Document Information and Revision History

Document Number	G-81
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Revision History

Revision	Date	Author(s)	Notes
1	14/5/2007	Herve Michoux	Original Release
2	5/1/2008	Herve Michoux	Added AFS and PEFC Logos
3	25/11/2014	Herve Michoux	Updated based on the new JASANZ procedure
3A	12/1/2015	Herve Michoux	Updated again after JASANZ doc review
4	25/09/2016	Wayne Tibbits	Updated to include New Zealand Forest Standard
5	31/12/2019	Wayne Tibbits	Replaced AFS with Responsible Wood Logo
6	25/07/2020	Wayne Tibbits	Revised ordering of parts, clarified scope and adding sites

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Confidence with **Commitment**

1 Why do we have this document

This document describes the certification program offered by Global-Mark Pty Ltd to clients seeking Australian Forestry Standard/**AS4708 Sustainable Forest Management - Economic, Social, Environmental and Cultural Criteria and Requirements and NZS AS4708 Sustainable Forest Management**. This document is subject to change without notice. The latest version is on our web site: www.Global-Mark.com.au.

2 Certification process

This program involves:

- Client makes formal application by completing the **client agreement form**.
- Global-Mark will complete a document review [stage 1] of the company Policy Manual and a sample of 2 or 3 management system procedures (this is usually done off site), and Global-Mark will issue a **document review report**.
- When the Client requests it Global-Mark will perform a Pre-Certification review to ensure that the system is in place and is likely to pass the Certification Review. A **pre-certification review report** is then issued to the Client. This activity is usually completed at the Client's office.
- Global-Mark will then complete the on site certification review [stage 2]: this includes an audit of your operations, visit of sites and forests, interview with staff, review of records, witnessing of activities. A **review report** will be issued, with **review findings** and a recommendation for or against certification will be made.
- Subject to the above review, Global-Mark will issue a **certificate of approval**.

3 In Simple Terms

Consumers and regulators are increasingly concerned about ensure that resources and developments are performed within sustainable practices.

In recent years, the management of forests has become increasingly important with the public concerns now being acknowledged by regulators and large commodity traders, mills, retailers and users.

Program summary card	
Issue	**Program rules/comments**
Standard	Australian Forestry Standard New Zealand Forestry Standard
Any other relevant document	NA
Target audience	Any forestry company
Global-Mark output document	Certificate of Approval
Other Global-Mark output document	Certification Schedule listing the sites and forests certified
Certificate validity period	3 years
Certification mark that can be used by the client	Responsible Wood and PEFC logos, after application to Responsible Wood. Global-Mark.
Can this mark be used on product?	No
Periodicity of post certification reviews?	Ideally 9 monthly to capture all seasons over 3 years
Periodicity of re-certification review	3 years
Steps to and post certification	
Application	✔
Document review; Stage 1	✔
Pre-certification review; Stage 1	✔
Certification review; Stage 2	✔
Product technical file review	✔
Follow-up review	✔
Post certification review	✔
Re-certification review	✔
Review Findings	Major, Minor, Observation plus positive notable achievements

The Forestry Standard and New Zealand Forestry Standard were specifically developed to offer a framework for managing forests and all their related community aspects in an accountable and transparent manner.

Certification will assist you to prove and demonstrate that you have sound systems, and you are keeping them up-to-date, and in continued compliance.

4   Specific program definitions

These are in addition to those listed in AS4708 & NZS AS4708.

- **Active block:** a block where work is currently being planned or carried out or has been planned or carried out in the 3 months prior to the audit.
- **Block:** a discrete parcel of land (e.g. compartment) to which a forest management operation is applied. Blocks may be active or inactive and cover a range of forestry operations.
- **District office:** a Client's office that conducts its activities under the supervision of a regional office.
- **Forest management unit:** an aggregation of blocks with a relatively uniform forest type in terms of species composition, geographical location and silvicultural management regime.
- **FTE:** full time equivalent employees, including permanent and casual or temporary staff and contractors.
- **Inactive block:** A block where work has not commenced or has not been carried out in the 3 months prior to the audit
- **Major nonconformity:** Failure to fulfil one or more requirements of the standard, or a situation that raises significant doubt about the ability of the client's forest management system to achieve its intended outputs.
- **Minor nonconformity:** Partial failure to fulfil one or more requirements of the standard, but there is significant doubt that this partial failure has adversely impacted on the ability of the client's forest management system to achieve its intended outputs.
- **Non-productive area:** Land / forest from which commercial products are not harvested. Includes riparian buffer strips, habitat exclusion zones, scientific areas etc.
- **Programme for the Endorsement of Forest Certification schemes:** PEFC
- **Regional Office:** A client's office reporting directly to the client's head office, central office, central administration or headquarters
- **Sampling level:** A group of similar sampling units to which Global-Mark may apply the sampling. Examples of different sampling levels: blocks, offices, workshops, depots, and nurseries.
- **Sampling unit:** A physical location within the scope of the forest management system and available for sampling according to Annex B. Example: **a single** regional office, district office, other business premises (e.g. depot, workshop, nursery), FMU or block. Analogous to "site" in IAF MD1. Note: "site" has a broader, different meaning in AS 4708 & NZS 4708.
- **Special circumstances:** Special circumstances exist where forest management activities present an increased level of risk to the protection and maintenance of identified forest values such as biodiversity (including government listed species), soil and water, forest health, worker safety etc., and where verification of planning and management activities warrants extra audit time.
- **Summary report:** A report prepared by the Global-Mark (which may be part of the audit report), which is in a format that is to be made publicly available by the client.
- **Work:** Any activity associated with management of the DFA and includes harvesting, planting, planning activities, inventory activities, pest and disease monitoring / control activities, hazard reduction burning, road maintenance etc.

5 Application in either Australia or New Zealand and transition policy

Australian Forestry Standard Limited, now Responsible Wood, published AS 4708:2013 on 23 August 2013.

Standards Council published New Zealand Forestry Standard NZS AS 4708:2014 on 7 May 2014.

Global-Mark requires all new applicants to comply with AS 4708:2013 if their Defined Forest Area [DFA] is in Australia and NZS AS 4708:2014 if their forests are in New Zealand. An applicant that has forests in both countries it wishes to be certified will be required to apply for certification to both standards and comply with the relevant standard applicable for each portion of its DFA.

Should any revision of either standard be published then the relevant accreditation body will determine transition arrangements for existing certified clients and Global-Mark will inform them of these arrangements.

6 Specific program conditions

6.1 Who can we offer services to?
Certified forest management can occur within different operational and ownership constraints. These include:
- A single forest management unit, which is defined as a discrete, contiguous forest managed by one owner, manager, or agency;
- A group of forest management units under a single land tenure arrangement that are managed by a single forest manager using a single overall management system or process;
- A group of forest management units under multiple land tenure arrangements that are managed by a single forest manager using a single overall management system or process;
- Forest management units covering both native and plantations (exotic and native species) under the arrangements described above;
- A group of individual growers with specific joint interests;
- Performance and systems requirements are intended to be incorporated into forest management to the extent that the forest manager can control or influence their achievement within the forest covered by the certification.
- It is recognised that some requirements may be inappropriate for some enterprises in some situations. Some flexibility to allow local adaptation may therefore be acceptable. Global-Mark will make a judgment as to the acceptability of the flexibility, and may consult appropriate specialists.

6.2 Multisided Clients
A multisided organization has a central office at which certain activities are planned, controlled or managed; and also meets at least one of the following conditions:
- Has one or more other offices (in addition to the central office) at which certain activities are planned, controlled or managed; and/or
- Has more than one like-forest management unit and/or
- Has more than one identified active coupe.

In the context of this document, offices, like-forest management units and active coupes are all deemed to be "sites". Therefore, an organization with only one office and one like-forest management unit, but with more than one active coupe, is still a multisided organization. Inactive coupes and non-productive areas such as streamside reserves, conservation areas, and roads are not deemed to be sites in the context of this document.

In order to be eligible, the organization's forest management system must be centrally administered under a centrally controlled plan. It and all the relevant sites must be subject to central internal audit and review prior to its certification process.
- Any nonconformity (major or minor) found at a site, either through the organization's audit and review program or from auditing by Global-Mark, requires an investigation to take place to determine whether other sites may be affected.

- Global-Mark will require the organization to review the nonconformities to determine whether they indicate an overall system deficiency applicable to all sites or not. If they are found to do so, corrective action shall be performed at the central office and at the individual sites. If they are found not to do so, the organization should be able to demonstrate the justification for limiting its follow-up action.
- Global-Mark will require evidence of these actions and increase its sampling periodicity until we are satisfied that control is re-established.
- At the time of the decision-making process, if any site has nonconformity, certification must be denied to the whole network pending satisfactory corrective action and follow up by Global-Mark.
- It is not be admissible that, in order to overcome the obstacle raised by the existence of nonconformity at a single site, the organization seeks to exclude from the scope the "problematic" site during the certification process.
- One certificate will be issued with the name and address of the central office of the organization. A list of all the sites to which the certification relates will also be issued, either on the certificate itself, or in a schedule referred to on the certificate. The scope or other reference on the certificate shall make clear that the network of sites listed performs the certified activities. If the certification scope of the sites is only part of the general scope of the organization, its applicability to all the sites shall be clearly stated on the certificate and schedule.
- A sub-certificate may be issued to the organization 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.
- The certification will be withdrawn in its entirety, if the central office or any of the sites does not fulfill the necessary criteria for maintaining certification.
- Global-Mark will maintain a list sites. The Client is required to inform Global-Mark about the closure of any of the sites. Failure to provide such information will be considered as a misuse of the certification and will be raised as nonconformity.
- Additional sites can be added to an existing certificate as the result of post certification review activities.

The client must make application to Global-Mark for a new site or group to join an already certified multisite network. In order to include the new sites on the certificate, Global-Mark will treat the new sites as per site sampling requirements. These sites must remain in until the next on-site audit.

6.3 Group certification (refer to GN02 for informative guidance)
Group certification offers the opportunity for managers of small forest areas to join together and gain benefits of increased scale, while retaining management control of their forest, as described in AS4708 GN02□2013. Group certification must meet the following requirements/conditions:
- The applicant must be a legal entity, act as the contact point for the group, coordinate all communications and audit planning with Global-Mark, and have a legally enforceable agreement with all members covered by the scope of certification
- All members of the group forest certification scheme must go through the certification process concurrently and must operate on essentially similar documentation and procedures
- All members must present for audit (and subsequent audits) at the same time
- Global-Mark may provide combined audit reports covering all members of the group forest certification scheme
- Acceptance of an application for a group forest certification scheme is at the discretion of the Global-Mark
- If the group forest certification scheme does not meet or continue to meet the eligibility criteria then Global-Mark shall audit all members as if they were separate Clients.

6.4 Defined Forest Area Register
It is a requirement of the program that the Client must keep under document control, a Defined Forest Area Register. If all the sites of an organization where the activity subject to certification is performed are not ready to be submitted for certification at the same time, the Client is required to inform the Global-Mark in advance of the sites that it wants to include on the certificate.

6.5   Scope of certification
Global-Mark will ensure that the scope of certification includes all the requirements of the standard with respect to implementation of the forest management system within the DFA.
- Global-Mark cannot certify only a part of a forest manager's management system (e.g. harvesting).
- The scope of certification must include all forestry activities as applicable to the standard.
- In circumstances where the client is not responsible for the achievement of all the requirements of the standard within the DFA, the Client is required to have contractual arrangements in place with any other parties that have such responsibility. Global-Mark will verify the existence and effective implementation of these arrangements. This may include auditing such parties, locations or activities.

Certification documents issued by Global-Mark will include: [SEP]
- Sufficient description of the geographic locality or localities of the FMUs comprising the DFA.
- An address for obtaining more information on the DFA (i.e. Summary Reports, DFA maps etc.).

6.6   Size of ownerships
- The level and complexity of management needed to meet the requirements of AS4708 & NZS AS4708 will depend on the complexity, size, type, ownership and risk of the forest being audited.
- To help define this within AS4708 & NZS AS4708, a guidance note has been prepared.
- Some independent forest managers act as resource managers for a number of clients each of whom owns a 'small' forest. However, the total area managed by the independent manager is not 'small'. For the purposes of certification, some of the forest management performance requirements may still be interpreted as for 'small' ownerships, but others, particularly the management systems requirements, might be more appropriately interpreted as for 'medium and large'.

6.7   Combining management systems
The forestry management documentation shall describe the forest management system and make clear the relationship to any other related management system in operation in the organization or having an influence on the forest management system subject to certification. It is possible and acceptable to combine the documentation for forestry management and other management systems (such as for EMS or OHS) as long as the forest management system can be clearly identified together with the appropriate interfaces and scopes linked to the other systems.

6.8   Scale of requirements
Many of the requirements of AS4708 & NZS AS4708, particularly those relating to forest operations and conservation, may relate to various proportions of the overall forest area. In applying such requirements, an appropriate scale must be decided which allows the forest manager to achieve the requirement in the way that is best suited to the scale and nature of the forest, enterprise and its impacts.

6.9   Timing considerations
Special features of forest management are the long-term implications of management strategies and the lengthy process of the growth and development of a forest. Decisions made decades ago strongly influence the forests of today. Therefore, the requirements of AS4708 & NZS AS4708 oblige the forest owners, managers and certifiers to assess forests on their present structure and layout and to consider the plans for forest management in the short, medium and long-term.

Where present structure and layout fail to meet the requirements, forest managers will need to demonstrate through management planning documentation, design plans and on-going activities in the forest that they are taking active measures to achieve conformance with the requirements. They will also need to demonstrate that there is a time frame for achieving full conformance based on sound management principles.

6.10 Minimum system implementation before certification

The management system needs to be submitted for review to Global-Mark for a Document Review: this is typically completed on site and includes a review of the top-level documents (policy or Forest Management System manual), and a sample of lower level documents (several procedures).

After or as part of the Document Review, Global-Mark will also complete the Pre-certification Review [stage 1] to review and verify that the organisation must have completed as a minimum one full:

- Management review
- Internal management system audit
- Must have evaluated legal and regulatory compliance and can show that action has been taken in cases of non-compliance with relevant regulations.

Clients with two or more sampling levels, or group forest certification schemes, the stage 1 will always include an on-site audit component and a sample of field operations.

6.11 Client requirements with respect to providing information to Global-Mark and the Scheme Owner

Clients are required to:

- Make available to Global-Mark on request records of all communications including complaints and corrective action taken in accordance with the requirements of the standard, including correspondence, recommendations and actions.
- Notify Global-Mark in writing within five business days of any breach of regulatory requirements pertaining to the scope of certification. ⌊SEP⌋
- Maintain a DFA register detailing all separately described blocks or forest management units. ⌊SEP⌋
- Maintain a system that can map and track changes to the DFA between audits. ⌊SEP⌋
- Promptly notify Global-Mark of any significant change to the sites or DFA. ⌊SEP⌋
- Provide the Scheme Owner with an annual statement of the current DFA. ⌊SEP⌋

6.12 Significant breach

Any breach or contravention found within or observed during Global-Mark's audit or related activities shall be raised as a minor or major nonconformity and will communicate to the client (as part of the Global-Mark Review Findings). Global-Mark shall verify that the client has notified the regulatory authority in situations that require such notification. Global-Mark shall advise the client of these procedures at each audit, generally at the opening meeting.

6.13 Identifying, recording and responding to review findings

Clients are required to provide within five business days of receiving any such finding a documented corrective action plan (including root cause determination, timeframes and responsibilities) for major and minor non-conformities identified during any Global-Mark business review. Global-Mark shall review the action plan, and if satisfactory or not advise the Client accordingly. If the action plan is not satisfactory to address the non-conformance (s) the Client shall be advised and required to update the action plan. The timeframes for closing out or downgrading major non-conformities shall not exceed 3 months from the receipt of the audit findings. Minor non-conformities shall not exceed 12 months from the receipt of the audit findings.

6.14 Engagement with stakeholders and communications with external interested parties

It is a requirement of the certification program that Global-Mark engage with a balance of stakeholders during the certification process. This will be organized by the Global-Mark Client Manager with or without consultation with the Client, and may be face-to-face, forums, telephone, surveys or direct communication. The extent and nature of consultation will be tailored to the size, type of operation, regional locations, and social, environmental, economic, cultural and community considerations. The consultation will be planned and implemented by Global-Mark. Global-Mark will also review all communications including complaints received by the Client and may make a reference in our report.

6.15 Special audits (follow up or special surveillance as defined in the Welcome Pack – G-00)
Global-Mark may conduct a special audit or additional surveillance activity if the client makes modifications to its forest management system or alteration to its FMUs or if other changes or significant events take place that could affect its certification. This may also be as a result of a complaint or breach. Fees associated with these activities will be charge to the Client at the applicable day rate.

6.16 Site sampling
Global-Mark will implement a sampling methodology, the basis of which is that:
- The minimum number of sites audited shall be sufficient to provide an appropriate statistical level of significance & confidence. Consideration will be given to maturity of the management system, shift work, significance and extent of the aspects and associated impacts with sensitive cultural, economic, environmental and social values.
- At least part of the sample shall be random.
- The remainder is selected so that the differences among the sites over the period of certification are sufficiently large. Consideration will be given to: results of audits and reviews, views from interested parties, geographical dispersion, and maturity of the management system.
- The selection of inactive coupes and non-productive areas will aim to take advantage of travel between the otherwise selected active coupes and sites.
- The selection of sites does not have to be done at the start of the certification process. It can be done once the review at the central office has been completed. In any case, the central office shall be informed of the sites to be sampled. This can be on relatively short notice, but should allow adequate time to prepare for the review.

When a client applies to add new sampling units [sites] to an existing certification, Global-Mark will treat the new sampling units as an independent set (or sets) and determine the appropriate sample size(s) for audit. Once the new sampling units are included in the scope of certification (i.e. added to the certificate), the Global-Mark will add these to the previous ones to determine the sample size for future surveillance or recertification audits.

6.17 Notification to PEFC
Global-Mark must advise PEFC's national governing body, i.e. Responsible Wood, of its certification decisions (granting or suspending).

6.18 Entering into an agreement with Responsible Wood
It is a requirement of the program that Clients sign the Logo Usage Licence Agreement with Responsible Wood. The agreement governs the use of the mark(s). A copy of the signed agreement shall be provided by Global-Mark and shall remain current and valid.

6.19 Making the audit report and DFA maps publicly available
It is a requirement that a summary of the Global-Mark audit reports and up-to-date maps of the DFA at a scale no smaller than 1:250,000 are made publicly available. Global-Mark will include a statement on its certificate(s) of approval to this effect.

6.20 Certification transfers from accredited certification bodies
It is possible for certified organisations to transfer to Global-Mark. The process and requirements are defined in IAF MD 2, which has been addressed in Global-Mark document G-03 (see at our web site).

7   What documents/records are needed to understand this program

In order to understand our program you should also access and be aware of the following documents:
- G-00: Welcome Pack
- MSP-00: Introduction to our management systems
- MSP-01: Nomenclature and definitions
- MSP-24: Appeals

End of document