

Forestry Management Systems Certification Guidebook

1 Introduction

This certification guidebook is designed to assist your organisation on the requirements for certification to the Forestry Management Systems (FMS) Scheme AS4708:2013 - Sustainable Forestry Management.

The FMS Scheme is complementary to ISO 14001, is based on internationally agreed criteria and forest management performance measures which leads to continuous improvement and sustainable wood production.

The benefits of implementing this standard are widespread and include reduced financial risk, positive public recognition and increased customer confidence.

2 Accreditation Status

Certification to this standard is accredited.

BSI holds accreditation for this standard with JAS-ANZ.

3 The Recognition Process

3.1 Initial Audit (Stage 1 Audit)

In order to gain certification to the AS4708 standard your organisation is required to have an initial audit followed by a certification audit. An initial audit determines your readiness for certification.

The initial audit will be carried out by a qualified assessor. All sites that are covered under the scope of certification must be assessed at this stage. This audit covers the documentation related to the scheme. Your organisation will be required to submit a copy of your quality manual for review.

The geographic locations of your organisations DFAs are required to be included in this manual.

Your organisation will receive a written report which outlines the readiness for the Certification Audit. The findings from the initial audit must be satisfactorily addressed prior to the certification audit.

3.2 Certification Audit (Stage 2 Audit)

The certification audit must be conducted within four (4) months of the initial audit. If the certification audit is not conducted within this time the initial audit may need to be repeated.

Following the certification audit a recommendation for certification is made by the auditor. The audit report is reviewed by an independent qualified report reviewer.

It will take a minimum of 30days following the audit for the certificate to be issued. Your certificate will be issued electronically.

3.3 Certification Audit Report

A BSI E report is written and provided to your organisation following each audit. The audit report will include the following information;

- An executive summary of the overall findings (conclusions) on the effectiveness of your system in meeting the requirements of the standard.
- A summary report which can be used by your organisation as a publicly available document
- Non-conformances raised during the assessment
- Suggestions for continual improvement
- Positive finding areas
- Next visit plan which outlines the areas that will be assessed at your next assessment

Non-conformities will be discussed with your team during the auditor's visit and outlined at the exit meeting. If you are unclear regarding the meaning of anything in your report, please contact your BSI Client Manager.

3.4 Surveillance Audits

Surveillance audits are conducted on a six (6) monthly basis from the certification date.

3.5 Re-Certification Audits

The re-assessment cycle for this scheme is three (3) year. Your reassessment audit must be conducted within 3 years of the initial certification or last recertification. If not completed and processed within the required time frame, your certification is no longer valid.

The re-certification audit must take place 3months prior to the expiry date. Extensions on the re-certification dates are not permitted.

3.6 Non-Conformances

All non-conformances must be closed prior to the awarding of certification to the organisation.

Specific audit findings are categorised as follows and are applicable during the certification and verification audit activities:

Major Non-Conformances

Major Non-conformances are audit findings where either there is a failure to fulfil one or more requirements of the AS4708 scheme, or a situation that raises significant doubt about the ability of your organisation's forest management system to achieve its intended outputs

Major non-conformances typically require an on-site visit to close out. Major non-conformances are required to be either closed out or downgraded by your client manager within 30days of the assessment.

Minor Non-Conformances

Minor Non-conformances are audit findings where either there is a partial failure to fulfil one or more requirements of the AS4708 scheme, but there is significant doubt that this partial failure

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has adversely impacted on the ability of your organisation's forest management system to achieve its intended outputs.

Minor non-conformances an action plan is required to be submitted to your client manager within 10days of the assessment.

Observations

These are comments, which may include praise, opportunities for improvement, or comments that may be relevant for the next audit. Actions do not necessarily have to be taken for observations

However, it is recommended that these have been considered as part of your continuous improvement process.

3.7 Certification Decision

After confirmation that any necessary corrective actions have been taken, which may involve a follow up visit by the BSI Assessor, the findings and recommendations made in the audit report are subject to an internal review process prior to certification being granted.

3.8 Certificates

When your organisation has achieved certification, BSI will provide you with a *Certificate* as a statement that your organisation has achieved certification to the relevant standard(s) or code(s) of practice. The certificate will include important data such as your organisation's certification number, the standard for which certification has been granted, and the date of certification. The certificate should be displayed where it will be seen by customers and potential customers.

When copies or elements of the certificate are used in tenders or offered to potential or existing customers, the certificate should be accompanied by the scope of certification document (if issued separately) as it is important for them to understand the scope of activities for which certification has been granted (see 'scope' below).

Incorrect use of the certificate can result in a customer being misled as to the extent of your organisation's certification. Clients are obliged to ensure that BSI has been formally notified of the latest address, ownership, changes to key management responsibilities, major management system changes and capability information so that the certificate maintains its currency. Failure to do so may compromise your organisation's certification status.

All original certificates remain the property of BSI Group ANZ Pty Ltd and must be returned on request.

3.9 Scope of Certification

The scope of certification fully details the scope of your organisation's certification in terms of:

Names and addresses of all locations covered by the certification;

- Achievement of certification to the relevant standard(s) or code(s) of practice;
- The capability statement (range of products, services, and activities) for each location covered by the certification; and

- Any specific exclusions from the scope of certification.

Clients are obliged to ensure that BSI has been formally briefed in a timely manner when any variations occur. Clients should not wait until the next scheduled assessment to notify BI. Failure to do so may compromise the organisation's certification status.

3.10 Refusal of Certification/Recognition

In the event that your organisation is unable to comply with the requirements of the relevant standard, BSI may refuse to grant certification. The decision to refuse certification, and the grounds for that decision, will be communicated to your organisation in writing.

3.11 Suspension or Refusal of Certification

When an organisation's certification is suspended or refused, the organisation shall, for the period of suspension or refusal:

- Withdraw and cease to use any advertising or promotional material that promotes or advertises the fact that the organisation is certified;
- Ensure that all copies of certificates and scopes of certification are removed from areas of public display; and
- Cease to use the certification mark on stationery and other documents including media and packaging that are circulated to existing and potential clients, or in the public domain.

The organisation shall advise BSI in writing of action taken with respect to the requirements listed above;

- BSI shall advise the organisation in writing of the certification processes that will need to be completed to restore certification; and
- During the period of suspension the organisation shall continue to pay all fees levied by BSI.

3.12 Cancellation of Certificate

BSI is required to advise Responsible Wood within five (5) working days if certification is suspended or withdrawn, or where there are any changes in decisions relating to the status of certification.

When an organisation's certification is cancelled, the organisation shall immediately:

- Cease any advertising and promotional activities that promote the fact that the organisation holds certification;
- Withdraw and cease to use any advertising and promotional material that promotes the fact that the organisation holds certification;
- Cease to use relevant certification marks in any way to promote the fact that the organisation holds certification; and
- Return all certificates and pay outstanding fees.

3.13 Variations to Certification

Your organisation is required to advise BSI if there are any significant changes to your organisation or the product.

Variations to certification may originate from:

- Addition or removal of sites
- Major nonconformities
- Voluntary withdrawals
- Withdrawal of certification by BSI Group
- Change of certification scope
- Change of ownership
- Change of management
- Change of company name
- Change of ABN etc

BSI will determine if the degree of change is significant to require an additional assessment or if the changes can be assessed at the next schedule audit or if the product requires re-assessment.

3.14 Reduction in Scope of Certification

When an organisation's scope of certification is reduced, BSI shall issue revised certificates and scopes of certification as appropriate and the certified organisation shall:

- Return all superseded certificates;
- Ensure that use of the certification mark is adjusted to reflect the reduced scope of certification;
- Ensure that all advertising and promotional activities and materials are adjusted to reflect the reduced scope of certification; and
- Pay any fees that are applicable for the facilitation of this activity.

3.15 Site Sampling

Sampling is permitted in this scheme.

To qualify for sampling your organisation is required to meet the following requirements;

- Centrally administered under a centrally controlled plan and subject to internal audit and review
- All sites are required to have been internally audited and review prior to the certification process
- An implemented management system shall be in place covering all sites
- All sites are required to meet the requirements of AS4708
- Systems shall be in place to collect and analyse data from all sites and the central office

At the time of application your BSI Sales Representative will advise of the sampling requirements and whether your organisation meets the scheme requirements for a multisite. Your BSI client manager will put together a sampling plan for your assessment.

4 Use of the BSI Certification Mark

You are entitled to use the appropriate BSI 'kitemark' and the JAS-ANZ logo whilst you maintain certification to this program with NCS International. For a copy of the logo, visit our website at www.bsigroup.com

Use of the logo is subject to Condition and rules of its application.

5 Use of the JAS-ANZ Accreditation Symbol

Organisations that have been granted certification with to AFS are entitled to use the JAS-ANZ Accreditation Symbol. The rules for the use of this mark are governed by JAS-ANZ. The JAS-ANZ Accreditation Symbol may be used in conjunction with BSI Accreditation marks.

5.1 Specifications and Use of the JAS-ANZ Accreditation Symbol

Are described in the following hyperlink

<https://www.bsigroup.com/LocalFiles/EN-AU/JAS-ANZ%20Mark%20Use%20Guidelines.pdf>

6 Use of the RW or PEFC Logo

Organisations that are certified for AFS are eligible to apply to the Responsible Wood for the use of the RW or PEFC Logo. The application forms and fees guide, the rules for use of these logos and the Logo Usage Toolkit are available on the Responsible Wood website

(<https://www.responsiblewood.org.au/>).

7 Standard Owner Information

AFSL are the owner of this standard, and reporting requirements to Responsible Wood are in place. Please discuss these with your BSI Client Manager or Assessor if you require clarification on these requirements.

Please inform your BSI Client Manager promptly of any significant changes within your organisation, including ownership, key personnel changes, voluntary withdrawal, changes in scope etc to ensure that your certification is not adversely affected

Further certification requirements are required by Responsible Wood and these are detailed in the FMS Scheme Rules on the document download area of the Responsible Wood website.

These include but are not limited to;

- Minimum audit durations
- Auditor requirements
- Responsibilities of the certification body
- Availability of group certification for multi-site organisations

Any changes in certification are required to be notified to Responsible Wood within 5 business days of any change.

Any changes that are made to the geographic locality/ies of your organisation's DFA are required to be notified to BSI as soon as practically possible.

Any breach of regulatory requirements relating to AS4708 is to be notified to BSI within 5 business days.

An annual statement confirming the current DFA is required to be provided to **Responsible Wood**.

Your organisation is required to maintain a DFA register which details all separately described blocks or forest management units. A system that can track additions and/or deletions to the DFA between audits and provides areas and maps of the changes must also be available.

Your organisation is required to make the following information publicly available

- The Defined Forest Area
- Changes to certification
- Summary Report

8 Confidentiality

BSI will treat all information in accordance with the Privacy Amendment (Enhancing Privacy Protection) Act 2012

9 Additional Obligations

Following certification, there are a number of responsibilities which your organisation will need to observe to maintain BSI's certification. These include:

- Continued compliance with the relevant systems standard(s) or code(s) of practice;
- Compliance with the BSI Standard Commercial Terms and Conditions and obligations as specified in this document as well as other guidance documentation that may be specifically provided from time-to-time;
- Conduct of regular internal reviews of your system, with appropriate documentation of such reviews and of any subsequent corrective actions;
- Notification to BSI of any significant changes in the structure (key responsibilities and management system), ownership and operations of your organisation to enable the impact of such changes on the certified ownership system to be evaluated; and
- Notification to BSI of any litigation or serious events or matters that relate to the scope of your certification.

9.1 Complaints

Your organisation is required to keep a record of all known complaints relating to meeting the requirements of the FMS scheme. These records must be made available to the audit team and BSI when requested. This includes correspondence, recommendations and actions that have been requested by AFSL, other clients, stakeholders, organisation or person that the complaint relates to.

Your organisation is required to demonstrate that you have taken appropriate action to address these complaints through investigation and correct any deficiencies found. These actions must be documented.

Your organisation must ensure that consumers are offered information about the audit process and independent advocacy support to engage in the process prior to any consent being obtained.

Your organisation is required to demonstrate that you have taken appropriate action to address these complaints and correct any deficiencies found. These actions must be documented.

9.2 Certification Agreement

Your Organisation is required to meet the requirements of the Certification Agreement. This requires that your organisation remains compliant with the scheme requirements at and the conditions of certification at all times.

Your organisation is required to implement appropriate changes as communicated by BSI in a time appropriate manner.

9.3 Assessment Scheduling

Your organisation is required to make all necessary arrangements to allow the evaluation and surveillance activities to take place. This includes but is not limited to; Equipment, Product, Locations, Personnel and Sub-contractors.

9.4 Misleading Statements

Your organisation is not permitted to use its certification in a manner that could bring the BSI into disrepute. This includes making misleading or unauthorized statements. If you are unsure if a statement could be misleading you are advised to contact BSI prior to making the statement. Statements include but are not limited to the use of the logo on advertising (including your website) and internal communication.

If your organisation is required to provide copies of their certification documents these must be reproduced in its entirety. Failure to do so may be misleading to the recipient as to the scope of certification.

9.5 Changes to Circumstances

Your organisation is required to advise BSI of any changes without delay to circumstances that may affect certification. Examples of such changes include but are not limited to;

- Authorised Representative
- Business name (Legal entity) and Trading Name (where applicable), ABN
- Ownership
- Contact details
- Location, site addresses
- Business activity/ies, scope of certification (Products and Processes)
- System Management Number of employees, covering all shifts and sites
- Billing Details

9.6 Observers

From time to time BSI requires an Observer to be in attendance at an audit. This may be related to training of new staff and witness assessment of existing staff. It is a requirement of certification that your organisation allows these activities to occur.

Failure to allow this activity to occur may result in cancellation of your certification.

BSI will, at all times, ensure that the use of observers is kept to a minimum and your organisation will be advised prior to the assessment activity.

The Observer does not take an active part in an assessment.

10 Complaints and Appeals

To raise a complaint or appeal against the service delivery by BSI or audit outcome please notify;

General Manager – Technical and Operations

Email: technical.anz@bsigroup.com

Phone: 02 8877 7100