

**NATIONAL VOLUNTARY FOREST CERTIFICATION SYSTEM
GUIDE**

**INVENTORY CONDUCT PROCEDURE OF
NATIONAL VOLUNTARY FOREST
CERTIFICATION SYSTEM
(Second edition)**



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Introduction

The PEFC Council (PEFC International), Programme for the Endorsement of Forest Certification (PEFC), operates a third party certification scheme for forest management and chain of custody certification and labelling of forest based products.

Association National Voluntary Forest Certification System (Association NVFCS) shall meet the requirements of PEFC Registration System based on PEFC GD 1008 — PEFC Information and Registration System – Data Requirements.

To ensure the operability and integrity of its database, PEFC uses a Database Management System (DBMS) named “PEFC Information and Registration System”. It serves for the registration of PEFC relevant data, such as PEFC recognised certificates and certified entities, PEFC logo licences, PEFC notified certification bodies and PEFC certified products.

The objective of the PEFC Information and Registration System is to provide certified organisations, certification bodies and individuals with reliable information allowing them to:

- verify the validity and PEFC recognised status of certificates and entities,
- identify PEFC logo licence holders,
- find certification bodies providing PEFC certification services,
- find suppliers of PEFC certified products.

In addition, the PEFC Information and Registration System provides data for PEFC statistics used internally and externally, and for monitoring PEFC’s performance.

Simultaneously Association NVFCS has its own Inventory.

The Inventory of National Voluntary Forest Certification System (hereinafter referred to as The Inventory of NVFCS) is an information asset and monitoring element of National Voluntary Forest Certification System (hereinafter referred to as NVFCS).

The Inventory is conducted in order to register the members of NVFCS, record effective documents of the system, signed contracts and issued certificates, licenses, statements to give effect to them, as well as to arrange system information maintenance of certification work within NVFCS.

The Governing body of PEFC Ukraine, i.e. the Association National Voluntary Forest Certification System (hereinafter referred to as the Association NVFCS) is the owner of the Inventory.

Information contained in the Inventory can be provided to all stakeholders.

This second edition from the date of publication cancels and replaces the first edition UA SFM GD 01. The second edition has minor technical amendments relating to PEFC Endorsement process of National Voluntary Forest Certification System.

1 Scope

1. This guide defines the requirements on data elements registered in Database Management System (DBMS) named «PEFC Information and Registration System» by Association National Voluntary Forest Certification System to ensure following the rules for the PEFC Registration System based on PEFC GD 1008 – PEFC Information and Registration System – Data Requirements by working with Database Management System (DBMS) named «PEFC Information and Registration System» and the requirements for Inventory of NVFCS.

2. The Inventory of NVFCS is formed and functions based on the following objectives:

- a) to arrange system information maintenance of certification work within NVFCS;
- b) to register the NVFCS members;
- c) to record signed contracts, issued certificates, licenses, statements and other NVFCS documents to give effect to them.

3. This guide defines the procedure for forming and conducting the Inventory of objects and members of Association NVFCS, as well as regulates the relations between the NVFCS members.

4. This guide is binding on all the NVFCS members.

5. This guide is used jointly with other NVFCS documents.

2 Normative references

The following referenced documents PEFC GD 1008 – PEFC Information and Registration System – Data Requirements are indispensable for the application of this document. The dated references are the particular original documents. For the purpose of the application of this Guide the current version of referenced documents is relevant.

3 Terms and Definitions

3.1 All The terms and definitions applied in this standard are in accordance with Objectives of Inventory Conduct PEFC GD 1008 – PEFC Information and Registration System – Data Requirements and the following:

3.2 **NVFCS Inventory conduct** means entering objects of registration into the NVFCS Inventory, updating information on them and preparing the Inventory data for official publication.

3.3 **NVFCS objects of registration** are members, certificates, statements, licenses, contracts and other NVFCS documents to be entered into the NVFCS Inventory.

3.4 **Inventory number** is a number to be assigned to the object of registration when it is entered into the NVFCS Inventory to identify such an object.

3.5 **NVFCS Inventory** is an aggregate of information in electronic form and document collection on the objects and members registered in NVFCS as well as information on the NVFCS documents.

4 Requirements to the working in Database Management System (DBMS) named «PEFC Information and Registration System»

4.1. Association NVFCS shall register information on:

- a) PEFC recognised forest management certificates against NVFCS,
- b) PEFC recognised chain of custody certificates and sites/participants in multi-site certifications against NVFCS,
- c) PEFC certified products certified by certification bodies, notified by Association NVFCS,
- d) PEFC logo licences authorised by Association NVFCS,

4.2. Association NVFCS shall follow the requirements outlined in PEFC GD 1008 – PEFC Information and Registration System – Data Requirements and other instructions provided by the PEFC Council.

4.3. Association NVFCS is responsible to collect, process and store all the information necessary for PEFC's activities in electronic databases, including the website and the PEFC Information and Registration System, in compliance with the General Data Protection Regulation (GDPR) and the Swiss Federal Act on Data Protection (FADP), in its most recent edition.

4.4. Information on notified certification bodies shall be registered only by the PEFC Secretariat, including information on logo licence issuance to certification bodies. Association NVFCS shall provide them to the Secretariat which will register them in the PEFC Information and Registration System. Moreover, Association NVFCS shall inform and provide information on any change.

4.5. Association NVFCS shall not delete from the PEFC Information and Registration System registered information on expired, withdrawn, suspended, or terminated certificates.

4.6. The detailed instruction about Data elements is given in clause 5 PEFC GD 1008 – PEFC Information and Registration System – Data Requirements and all the personal of Association NVFCS shall follow it.

5. Objectives of Inventory of NVFCS

5.1. Certificates, licenses, statements, contracts and other NVFCS documents

are valid only if they have an inventory number and come into force from the date of their registration, unless otherwise specified. Reuse of inventory numbers is not allowed.

5.2. Information on the NVFCS certification objects, members is transferred to the Inventory by the NVFCS notified certification bodies.

5.3. The certification bodies are responsible for accuracy of information, communicated data and timeliness of its submission.

5.4. Information on certification based on the Inventory data is published on the official website of Association NVFCS (<http://woodcertification.com.ua/>).

5.5. Information service in the field of certification of legal entities and individuals is provided on the basis of information contained in the Inventory, subject to confidentiality of acquired information.

5.6. The Inventory is conducted in electronic form, paper documents remain deposited in the archive of the Inventory. The Inventory structure is given in Appendix 1.

6. Inventory of NVFCS Objects

6.1. Inventory objects are:

- a) notified certification bodies vested with the authority to conduct certification work in NVFCS;
- b) issued certificates and PEFC trademark usage licenses;
- c) information on refusals to conduct certification and suspension, termination of certificates and PEFC trademark usage licenses;
- d) certificate holders and license users;
- e) individuals who received special training of auditors;
- f) auditors;
- g) NVFCS documents.

6.2 When entering an object of registration into the Inventory, an inventory number is assigned. An inventory number is assigned to a contract, license, certificate, statement and other NVFCS documents.

7. Inventory NVFCS Conduct Procedure

7.1. General Provisions

7.1.1. The following measures are taken during the NVFCS Inventory conduct:

- a) checking the completeness and correctness of documents submitted for registration;
- b) registration and maintenance of objects and members of NVFCS;
- c) updating of the Inventory data;

- d) maintaining the existing collection and archive of materials;
- e) information service according to the Inventory data;
- f) participation in forming and conducting an electronic Inventory database.

7.1.2. The Inventory is conducted and kept in conditions that ensure prevention of unauthorized destruction, theft or alteration of information.

7.2. Registration of Objects and Participants in Certification

7.2.1. When registering objects and members of NVFCS in the Inventory, completeness and correct execution of the submitted documents is monitored in accordance with the uniform requirements established in NVFCS. A set of documents is submitted by the applicant in two formal copies. During registration of objects and members of NVFCS, their details are entered into the electronic Inventory database by means of information recording. After registration and assignment of an inventory number to the NVFCS objects and members, the first set of documents is returned to the applicant, and the second set of documents remains in the Inventory.

7.2.2. When registering the NVFCS documents, structure of inventory number, structure of information recording in the Inventory and a set of documents are used.

7.2.3. When registering the certification bodies, structure of inventory number, structure of information recording in the Inventory and a set of documents are used.

The structure of information recording regarding the certification body in the Inventory contains data on:

- a) accreditation certificate and notification contract;
- b) scope of accreditation and notification, as well as its expansion or narrowing;
- c) suspension, renewal and termination of the accreditation certificate and the notification contract;
- d) re-issuance of the accreditation certificate and notification contract, as well as other information.

The inventory number is put on the notification contract.

7.2.4. When registering the certificates, structure of inventory number, structure of information recording in the Inventory and a set of documents are used. The certificates, as well as their termination, suspension and renewal are registered in the Inventory by the certification bodies within the limits of the granted rights. Information on registered certificates is used to integrate the certification data within NVFCS as a whole.

Note: The inventory number of the certificate is assigned by the certification body issuing the certificate; then the Inventory Number is entered into the Inventory.

7.2.5. When registering the PEFC trademark usage licenses, structure of inventory number, structure of information recording in the Inventory and a set of

documents are used. The inventory number is put on the license. Information on registered licenses is used to integrate the certification data within NVFCS as a whole.

7.2.6. When registering attested auditors of Association NVFCS, structure of inventory number, structure of information recording in the Inventory and a set of supporting documents are used. Structure of information recording regarding an auditor in the Inventory includes data on the results of: attestation of the auditor, control over his activities and attestation of the auditor for a new term. The inventory number is put on the auditor's certificate of competency.

7.2.7. The individuals who underwent special training of auditors are registered by the Center for Preparation and Attestation of Experts - Auditors during their preparation by means of assigning inventory numbers to the certificates of special training and entering them into the Inventory.

7.2.8. The certificate holders are registered (recorded) by the certification bodies. Information on the applicants is transferred to the Inventory.

7.3. Inventory Conduct Order

7.3.1. The certification bodies communicate information on the certificate holders, confirmed, suspended, terminated certificates, prohibitions to use the PEFC trademark and refusals to certify.

Information is communicated in electronic form in the format established by Association NVFCS.

Information communicated by the certification body in other formats is not subject to registration in the Inventory.

7.3.2. Information shall be submitted by the certification bodies as and when this information changes (issuance, re-issuance, suspension, termination, renewal of certificates, etc.) (Appendix 2).

7.3.3. The Administrator of Association NVFCS monitors the timeliness and completeness of information communicated to the Inventory and regularly informs the Head of Association NVFCS about the implementation of this guide by the NVFCS members.

7.3.4. The information contained in the Inventory is updated and supplemented within two working days after its receipt.

7.4. Inventory Data Updating

7.4.1. The NVFCS Inventory is constantly updated.

The Inventory data is updated by objects and members under the decision of the Head of Association NVFCS, and automatically by a number of details (e.g. date-relating).

7.4.2. Inventory data updating includes:

- a) entering new objects and members of NVFCS;
- b) making changes in the information on registered objects and members of NVFCS;
- c) exclusion of objects and members of NVFCS.

7.4.3. A set of submitted documents depends on the object or member of NVFCS.

7.4.4. New objects and members of NVFCS are entered into the Inventory during their registration in accordance with the requirements specified in section 5 of this guide.

7.4.5. Changes are made in the following cases:

- a) updating the NVFCS documents;
- b) re-accreditation (pre-accreditation) of certification bodies;
- c) changes in the notification of certification bodies;
- d) inclusion of results of a surveillance audit of the certification bodies' activities in the Inventory;
- e) decision-making based on the results of a surveillance audit of certified objects and in a number of other cases.

When making changes in the Inventory, the appropriate details of information recordings regarding the NVFCS objects and members are updated automatically.

7.4.6. The objects and members of NVFCS are excluded from the Inventory in the following cases:

- a) cancellation of the NVFCS documents, in particular during their revision and replacement with newly developed ones;
- b) expiration of a NVFCS object or member;
- c) cancellation of the action of a NVFCS object or member in accordance with directive decisions.

When objects and members of NVFCS are excluded from the Inventory, information on them is transferred to the electronic Inventory database from the main array to the archive by means of changing the status from "current" to "archive" in the records of NVFCS objects and members. The documents are submitted to the archive of the Inventory.

7.5. Maintenance of Current Collection and Archive of Inventory Materials

7.5.1. The current collection and archive of the Inventory keeps the entire set of documents submitted during registration. The current collection of the Inventory keeps materials until the expiration of the NVFCS object or member.

7.5.2. After expiration of the NVFCS object and member, the materials are transferred to the archives of the Inventory and remain deposited for three years after expiration.

7.5.3. The materials remain deposited in the current collection and archive in accordance with the internal instructions of the Inventory.

7.5.4. The Inventory materials kept in the archive are disposed of in accordance with the legislation of Ukraine.

7.6. Information Service

7.6.1. The information contained in the Inventory is open for inspection by the NVFCS members, public authorities, legal entities and individuals, except for data related to restricted-access information in accordance with the legislation of Ukraine.

7.6.2. Information service according to the Inventory data includes:

a) official publication of the Inventory information, except for confidential information;

b) providing materials from the current collection and the archive of the Inventory upon request;

c) demonstration of analytical information by the results of Inventory data processing.

7.6.3. Information service according to the Inventory data is provided on the basis of the electronic Inventory database using the materials of the current collection and the archive of the Inventory.

7.6.4. Information from the Inventory is published on a monthly basis on the official website of Association NVFCS (<http://woodcertification.com.ua/>), in particular:

a) lists of the NVFCS certification bodies;

b) lists of valid NVFCS certificates and licenses;

c) lists of terminated and suspended certificates and licenses;

d) lists of issued certificates of the auditor's competency and certificates of special training of auditors;

e) lists of terminated and suspended certificates of the auditor's competency;

f) lists of terminated certificates of special training of auditors due to expiration;

g) lists of valid NVFCS documents.

7.6.5. The materials from the current collection and archive of the Inventory, as well as information on the objects of registration contained in the Inventory are provided if there is a need for a detailed study of information and documents of specific NVFCS objects and members registered in the Inventory.

The materials from the current collection and archive of materials of the Inventory are given only upon official requests subject to the permission of the Head of Association NVFCS in accordance with the confidentiality requirement. Issuance and return of materials are registered in a special journal of the Inventory.

Unreasonable refusal to provide information and materials contained in the Inventory is not allowed. Complaints in this regard are considered by the Complaint and Appeal Committee.

7.6.6. Analytical information according to the Inventory data is formed on the basis of processing the data contained in the Inventory, according to the criteria and algorithms defined by the purposes of the analysis. In addition, other sources of certification-related information can be used, both in NVFCS and in other valid systems subject to copyright law, as well as laws and regulations of Ukraine, NVFCS documents and other documents in the field certification. Analysis findings are submitted to the PEFC Council and, under its decision, to other bodies and organisations.

Appendix 1 (obligatory) Structure of the Inventory of NVFCS of Members and Certification Objects of National Voluntary Forest Certification System

1.1 The Inventory contains the following basic information:

1.1.1 List of baseline audits of forest management to be conducted by the certification bodies, in particular:

- name of the certification body conducting baseline audit of forest management;
- name of the applicant organisation and contact information;
- status of the object of registration (current or archive);
- types of activity and products manufactured by the applicant organisation;
- actual address of the applicant organisation, its telephone number, e-mail address and website address on the Internet;
- dates of the baseline audit.

1.1.2 List of issued certificates, in particular:

- name of the certification body that issued the certificate;
- number of the certificate issued by the certification body;
- status of the object of registration (current or archive; suspended or terminated);
- scope of the certificate;
- list of the NVFCS documents compliance with which was evaluated;
- certificate issuing date;
- type of work performed by the body when issuing the certificate (issuance, re-issuance, confirmation);
 - for a reissued certificate - number, date of issue, name of the certification body that issued the first certificate and name of the holder of the first certificate;
 - name of the certificate holder;
 - certificate validity period;
 - public report on the audit results (for forest management certification);
 - date of suspension, renewal or termination of the certificate.

1.1.3 List of issued PEFC trademark usage licenses, containing:

- license number;
- status of the object of registration (current or archive; suspended or terminated);
- scope of the PEFC trademark usage license;
- issuing date of the the PEFC trademark usage license;
- name of the PEFC trademark user;
- validity of the the PEFC trademark usage license;

- certificate number, its date of issue and validity (if any);
- grounds for issuing the PEFC trademark usage license.

1.1.4 List of the PEFC-notified certification bodies containing the following information:

- full and abbreviated name of the legal entity;
- status of the object of registration (current or archive; suspended or terminated);
- number and date of the PEFC notification contract and its scope;
- number and expiry date of the accreditation certificate;
- scope of accreditation of the certification body;
- full name of the head of the certification body;
- list of auditors working in the certification body;
- details of the certification body;
- address of the certification body, its telephone number, e-mail address and website address on the Internet;
- number and date of the decision to terminate the accreditation certificate, and the reason for termination (if any);
- number and date of the decision to terminate the notification, and the reason for termination (if any);
- number and date of the decision to suspend and renew the accreditation certificate, and the reason for suspension and renewal;
- number and date of the decision to suspend and renew the notification, and the reason for suspension and renewal;
- number and date of the decision to expand or reduce the scope of accreditation.

1.1.5 List of persons who underwent special training of auditors within NVFCS, including:

- full name of an individual;
- status of the object of registration (current or archive or terminated);
- contact details of an individual;
- number of the issued certificate of special training in NVFCS;
- training program;
- expiration date of the certificate of special training in NVFCS.

1.1.6 List of certified auditors within NVFCS, including:

- full name of an attested auditor of NVFCS;
- status of the object of registration (current or archive; suspended or terminated);
- contact details of an individual, including telephone and e-mail;
- lines of activity by which the NVFCS auditors are attested;

- number of the issued certificate of competency of the NVFCS auditor, its validity and grounds for its issuance;
- general information on the expert (basic education, overall length of service, specialized work experience, personal qualities, specialized training of an auditor, advanced training);
- name and location of the organisation being the main place of work for the auditor;
- general information on participation in audits (as a trainee auditor and as an auditor);
- data on control over the auditor's activity, in particular information on annual reports on work as an auditor of NVFCS;
- data on termination, suspension, renewal of the auditor's certificate of competency.

1.1.7 List of the NVFCS documents, including:

- designation and name of the NVFCS document;
- status of the object (current or canceled);
- date of entry into force;
- date of cancellation of the document (if necessary);
- document version number;
- organisational and executive document, which approved the document, number and date;
- document developer and his contact details: address, telephone, e-mail;
- abstract;
- document substituted by this document (if any).

1.2 The structure of the Inventory can be further expanded by adding new types of information.

Appendix 2 (obligatory) Data Structure of the Electronic Report to be Transferred to Association NVFCS by the Certification Body Based on the Results of Its Work for the Reporting Period

2.1 The certification body shall regularly provide the following types of information for the reporting period in electronic form for recording in the Inventory:

B.1.1 List of certificates issued by the certification body, including:

- name of the certification body that issued the certificate;
- period (start date - end date) for which the information is provided. The start date of the ordinary period must immediately follow the end date of the previous one, regardless of weekends and holidays: the periods shall not concur. In case of non-receipt of a report for any period by Association NVFCS, for technical reasons, the certification body is obliged to resend the information for this period;
- number of the certificate issued by the certification body;
- scope of the certificate;
- list of the NVFCS documents compliance with which was evaluated;
- certificate issuing date;
- type of work performed by the certification body when issuing the certificate (issuance, re-issuance, renewal);
- for a reissued certificate - number, date of issue, name of the certification body that issued the first certificate of conformity and name of the holder of the first certificate;
- name of the certificate holder;
- grounds for issuing the certificate;
- certificate validity period (expiration date of the certificate);
- public report on the audit results (for forest management certification);
- date of suspension, renewal or termination of the certificate.

B.1.2 Information on organisations that expressed a desire to conduct a baseline audit of forest management:

- name of the certification body;
- period (start date - end date) for which the information is provided. The start date of the ordinary period must immediately follow the end date of the previous one, regardless of weekends and holidays: the periods shall not concur. In case of non-receipt of a report for any period by Association NVFCS, for technical reasons, the certification body is obliged to resend the information for this period;
- name of the applicant organisation that expressed a desire to conduct a baseline audit of forest management;

- full name and position of the head of the applicant organisation;
- Tax identification number of the applicant organisation;
- types of activity and products manufactured by the applicant organisation;
- actual address of the applicant organisation, its telephone number, e-mail address and website address on the Internet;
- dates of the baseline audit.

B.2 Association NVFCS establishes the transmission methods and storage format of information to be transmitted.