

Base Standard Program		
Sustainable Forestry Initiative CB Application for Accreditation		
AUTHORITY: Accreditation Manager	EFFECTIVE DATE: 09 September 2011	DOCUMENT NUMBER: FA 2011.09

Section 1: CB Name, Contact Information, and Processing Fees

CB name:

Street address:

City:

State/province:

Postal code:

Country:

Name of person completing application:

E-mail:

Sustainable Forestry Initiative (SFI) application fee: \$5,000

Fees are payable when purchasing application

Application and all supporting documents shall be submitted in English.

Instructions on application process are at www.anab.org; click on Become a Certification Body.

Application shall be obtained through ANAB's Enterprise Quality Manager (EQM) database at <http://anab.remoteauditor.com> and completed electronically (including submission of all supporting evidence) and submitted to ANAB via EQM. Instructions on how to obtain and upload the application in EQM can be found at www.anab.org; under Documents, select Heads Up and click on issue 72.

If the completed application is not accepted by ANAB after three reviews, the application will be declined. The CB may re-apply (including payment of application fees) after 60 days.

SFI requirements for CB accreditation are in Sustainable Forestry Initiative Audit Procedures and Qualifications (SFI APQ):2005-2009 Standard (annex to the SFI Standard), which can be obtained at www.aboutsfb.org; and the PEFC Certification and Accreditation Procedures Annex 6 and PEFC Council Minimum Requirements Checklist, GL 2/205, at www.pefc.org.

ANAB SFI accreditation does not include Chain of Custody. For accreditation to SFI Chain of Custody, contact ANSI (www.ansi.org).

For details on this ANAB accreditation program, refer to [ANAB Accreditation Rule 17](#) (at www.anab.org, under Documents select Accreditation Rules).

Section 2: SFI CB Requirements

Provide evidence that the CB's certification system includes the requirements of SFI APQ.

Requirement	To Be Completed by CB		To Be Completed by ANAB
	Reference to Supporting Document(s) Including Specific Section References	Comment/Response	Comment/Response
1. Provide date of EMS accreditation. Requirement: ANAB Accreditation Rule 17	Initial Response		
			Approved?
	Second Response		
			Approved?
2. Provide revised ISO/IEC 17021 Requirement Matrix with document references revised to address this program highlighted. (The 2006 version can be found in EQM under Reference Documents. The 2011 version must be obtained through the EQM application process.) Also include copy of documents that were revised.	Initial Response		
			Approved?
	Second Response		
			Approved?
3. Provide evidence that SFI auditors meet all requirements. Requirement: SFI APQ, 7.2, 7.3, and 7.4	Initial Response		
			Approved?
	Second Response		
			Approved?
4. Provide evidence, including section numbers, outlining that all SFI audit team members shall pursue ongoing personal and professional development in (a) forest management and science technology; (b) sustainable forest management systems and certification programs and standards; (c) understanding and interpretation of federal and state <i>forestry</i> and environmental laws and codes of practice; and (d) certification procedures, processes, and techniques, especially as these pertain to SFI Standard. Requirement: SFI APQ, 7.5	Initial Response		
			Approved?
	Second Response		
			Approved?
5. Provide evidence, including section numbers, that CB's audit, audit team members, and their employers (a) are not allowed to have participated in appraisal or advise a potential purchaser or broker a purchase of property assessed within the	Initial Response		
			Approved?
	Second Response		
			Approved?
	Final Response		

<p>prior three years without the written permission of the assessed party (b) and if they have, are required to notify the assessed party of participation in such activities after the three-year period immediately upon initiation of such activities for a period of at least 10 years following the audit.</p> <p>Requirement: SFI APQ, 4</p>			Approved?
<p>6. Provide evidence, including section numbers, that CB's assessor and audit team members, prior to engaging in an audit and Program Participant's acceptance of audit team, are required to have disclosed to party requesting audit any prior land appraisal or audit work or land brokerage activity they or their employers conducted related to property to be assessed.</p> <p>Requirement: SFI APQ, 4</p>	Initial Response		
			Approved?
	Second Response		
			Approved?
<p>7. Provide evidence, including section numbers, outlining CB's process for determining audit days for SFI audits.</p>	Initial Response		
			Approved?
	Second Response		
			Approved?
<p>8. Provide process, including section numbers, outlining that objectives and scope of an SFI audit (a) meet SFI Standard requirements, (b) set an appropriate geographic scale; (c) allow for accurate field determination conformance for the entire operating unit, and (d) apply all relevant portions of the standard.</p> <p>Requirement: SFI APQ, 6.1.2</p>	Initial Response		
			Approved?
	Second Response		
			Approved?
<p>9. Provide process, including section numbers, outlining that during an SFI certification audit, SFI audit shall (a) verify that Program Participant's SFI program is in conformance with SFI objectives, performance measures, and indicators, and any additional indicators that Program Participant chooses, and (b) verify whether Program Participant has effectively implemented its SFI Standard program requirements on the ground.</p> <p>Requirement: SFI APQ, 6.1.2</p>	Initial Response		
			Approved?
	Second Response		
			Approved?
<p>10. Provide process, including section numbers, outlining that additional indicators beyond those</p>	Initial Response		
			Approved?

identified in the SFI Standard, if included by Program Participant, shall be assessed like all other indicators. Requirement: SFI APQ, 6.1.3	Second Response	
		Approved?
	Final Response	
11. Provide process, including section numbers, outlining that CB shall audit conformance to each element of SFI Standard within scope of audit. Requirement: SFI APQ, 6.2	Initial Response	
		Approved?
	Second Response	
12. Provide process, including section numbers, outlining that during audits CB audit team shall compile evidence by examination of operating procedures, study of materials relating to forestry practices, and on-the-ground examination of field performance, and through meetings with employees, contractors, and other third parties to determine conformance to Standard. Requirement: SFI APQ, 6.2	Initial Response	
		Approved?
	Second Response	
13. Provide process, including section numbers, that outlines how CB's audit team verifies effective implementation of corrective action for past nonconformances during next surveillance audit. Requirement: SFI APQ, 6.2	Initial Response	
		Approved?
	Second Response	
14. Provide process, including section numbers, that CB will confirm during SFI audits that Program Participant wishes to make any public claims or statements about its SFI certification, recertification, or surveillance audit shall provide a report to SFB not less than two weeks before making report public. Requirement: SFI APQ, 8.1	Initial Response	
		Approved?
	Second Response	
15. Provide evidence, including section numbers, outlining that SFI audit report shall cover (a) audit objectives, scope time period, and audit plan; (b) identification of Program Participant and audit team personnel; (c) description of audit process used; (d) documentation of rationale for substitution or modification of any indicators; (e) audit findings and conclusions; (f) schedule for surveillance and recertification; and (g) distribution and confidential	Initial Response	
		Approved?
	Second Response	
		Approved?

nature of audit report. Requirement: SFI APQ, 6.3			
16. Provide process, including section numbers, as to how CB ensures audit report is made available to public by organization being assessed. Requirement: PEFC Annex 6, 4	Initial Response		Approved?
	Second Response		Approved?
	Final Response		Approved?
17. Provide process, including section numbers, that outlines CB's SFI certification process, which shall include issuing an SFI certificate only after (a) CB verifies that corrective action for major nonconformances approved by lead assessor have been implemented and (b) team lead approves corrective action plan that addresses minor nonconformances within a agreed on period, not to exceed one year. Requirement: SFI APQ, 6.2	Initial Response		Approved?
	Second Response		Approved?
	Final Response		Approved?
18. Provide process, including section numbers, by which CB ensures maximum period for SFI surveillance audits is one year and maximum period for SFI re-audit audits is five years. Requirement: SFI APQ, 6.5 , and SFB Interpretation	Initial Response		Approved?
	Second Response		Approved?
	Final Response		Approved?
19. Provide process, including section numbers, outlining that CB assessor shall work with Program Participant to prepare public report, which shall include at a minimum items outlined in section 8.1.h. Requirement: SFI APQ, 8.1	Initial Response		Approved?
	Second Response		Approved?
	Final Response		Approved?
20. Provide process, including section numbers, outlining (a) how CB will provide consent to Program Participants when they ask to substitute or modify indicators to address local conditions, and (b) how CB will ensure that revised indicators are consistent with spirit and intent of SFI Standard performance measures and indicators that changes are appropriate for specific local conditions and circumstances and Program Participant's scope of operation. Requirement: SFI APQ, 6.1.3	Initial Response		Approved?
	Second Response		Approved?
	Final Response		Approved?
21. Provide process, including section numbers, as to	Initial Response		

ANAB shall review information to determine type of initial witnessed audit required for SFI accreditation by ANAB (see Section 5).

If applicant is accredited for ISO 14001 EMS by ANAB, proceed to Section 5. CBs not accredited for ISO 14001 EMS by ANAB must complete this section.

Requirement	To Be Completed by CB		To Be Completed by ANAB
	Reference to Supporting Document(s) Including Specific Section References	Comment/Response	Comment/Response
1. Provide executed Certification Body Agreement for Cooperative Accreditation to allow ANAB and SCC to cooperate in regard to CB's EMS accreditation. (If you do not have form, contact ANAB.)	Initial Response		Approved?
	Second Response		Approved?
	Final Response		Approved?
			Approved?
2. Provide copy of CB's SCC EMS accreditation certificate, including any attachments.	Initial Response		Approved?
	Second Response		Approved?
	Final Response		Approved?
			Approved?
3. Provide most recent SCC EMS office assessment report (conducted within last 12 months), including all attachments.	Initial Response		Approved?
	Second Response		Approved?
	Final Response		Approved?
			Approved?
4. Provide any nonconformances, corrective action, and SCC's review of such actions from most recent SCC EMS office assessment (as identified in item 3 above).	Initial Response		Approved?
	Second Response		Approved?
	Final Response		Approved?
			Approved?

Section 5: CB Management Endorsement

Submission steps:

1. Verify responses to all questions are complete and all required information (attachments) is included.
2. Upload application to EQM (<http://anab.remoteauditor.com>). Instructions on how to upload the application and supporting evidence to EQM can be found at www.anab.org; under Documents, select Heads Up and click on issue 72.
3. The initial document review (off site) takes approximately two weeks.
4. The CB will be notified when the review is complete.

CB management who completed the application and determined that the information meets all applicable requirements:

Name:

Title:

Date: