

**NOTIFICATION PROCEDURES FOR CERTIFICATION
BODIES OPERATING AGAINST THE VIETNAM FOREST
CERTIFICATION SCHEME**



VFCS/PEFC GD 1007:2022

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The official version of this document is available in Vietnamese. In case there is a difference in the content of the translation into another language, the original in Vietnamese is the basis for comparison.

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I. INTRODUCTION

Sustainable forest management and forest certification (SFM&FC) has been implemented in Vietnam since the 2000s on the basis of the implementation of the Vietnam Forestry Development Strategy for the period 2006-2020 and most recently in the period of 2021-2030, with a vision to 2050. Besides, SFM&FC has been codified in Articles 27 and 27 of the Law of Forestry.

The Vietnam Forest Certification Scheme (VFCS) was established on the basis of Decision No. 1288/QĐ-TTg dated October 1, 2018, of the Prime Minister approving the Scheme on Sustainable Forest Management and Forest Certification. In the period of 2019-2021, the Vietnam Administration of Forestry will act as the National Governing Body (NGB) and the Vietnam Forest Certification Office (VFCO) under the Vietnam Administration of Forestry. During this period, Vietnam became the 51st member of the Programme for the Endorsement of Forest Certification (PEFC) on May 30, 2019 and VFCS was officially certified by PEFC on October 29, 2020. In October 2021, the role of NGB was assigned to the Vietnam Academy of Forest Sciences (VAFS) and VFCO was transferred to the Institute under the decisions No. 3924/QĐ-BNN-TCCB and Decision No. 3925/QĐ-BNN-TCCB dated October 4, 2021 of the Minister of Agriculture and Rural Development Ministry.

Regulations for certification organizations operating in the Vietnam Forest Certification Scheme are built on the basis of Decree 107/2016/ND-CP, Regulations on business conditions for conformity assessment services, Decree 154/2018/ND-CP, Amending and supplementing Decree 107/2016/ND-CP; ISO Standards, Vietnam Standards on Conformity Assessment – Requirements for bodies that audit and certify management systems, and standards for Conformity Assessment - Requirements for certification bodies acceptance of products, processes and services, regulations of the Agriculture and Rural Development Ministry, and PEFC ST 2003: 2020, Requirements for certification bodies operating certification against the PEFC international chain of custody standard.

This document describes the procedure for notifying a certification body operating in the Vietnam Forest Certification Scheme. The document is built on the basis of the PEFC GD 1006: 2012 guidance document; the PEFC GD 1004:2009 system administration manual of the Endorsement Forest Certification Program (PEFC). This document replaces the document VFCS/PEFC 1007: 2019 - Notification procedures for certification bodies operating against the Vietnam Forest Certification Scheme.

II. NORMATIVE REFERENCES

Decree 107/2016/ND-CP, dated July 1, 2016, on Regulations on business conditions for conformity assessment services.

Law of Forestry approved on November 15, 2017.

Decree 156/2018/ND-CP, dated November 16, 2018, on detailing the implementation of a number of articles of the Law on Forestry.

Decision No. 3924/QD-BNN-TCCB dated October 4, 2021, of the Ministry of Agriculture and Rural Development on the adjustment and supplement of Decision No. 190/QD-BNN-TCCB dated January 11, 2019 on setting up Vietnam Forest Certification Office.

Decision No. 3925/QD-BNN-TCCB dated October 4, 2021, of the Ministry of Agriculture and Rural Development on the adjustment and supplement of Decision No. 191/QD-BNN-TCCB dated January 11, 2019, on the city Establishment of a Certificate of Sustainable Forest Management.

Decision No. 368/QD-KHLN-TCHC dated November 1, 2021, of the Vietnam Academy of Forest Science on defining the functions, tasks, rights and organizational structure of the Vietnam Forest Certification Office steady.

Annex 06, PEFC Checklist - Certification and Accreditation Procedures (Annex 6) Technical Documentation of the PEFC Forest Certification Program.

PEFC ST 2003: 2020, Requirements for certification bodies operating certification against the PEFC international chain of custody standard.

III. SCOPE OF APPLICATION

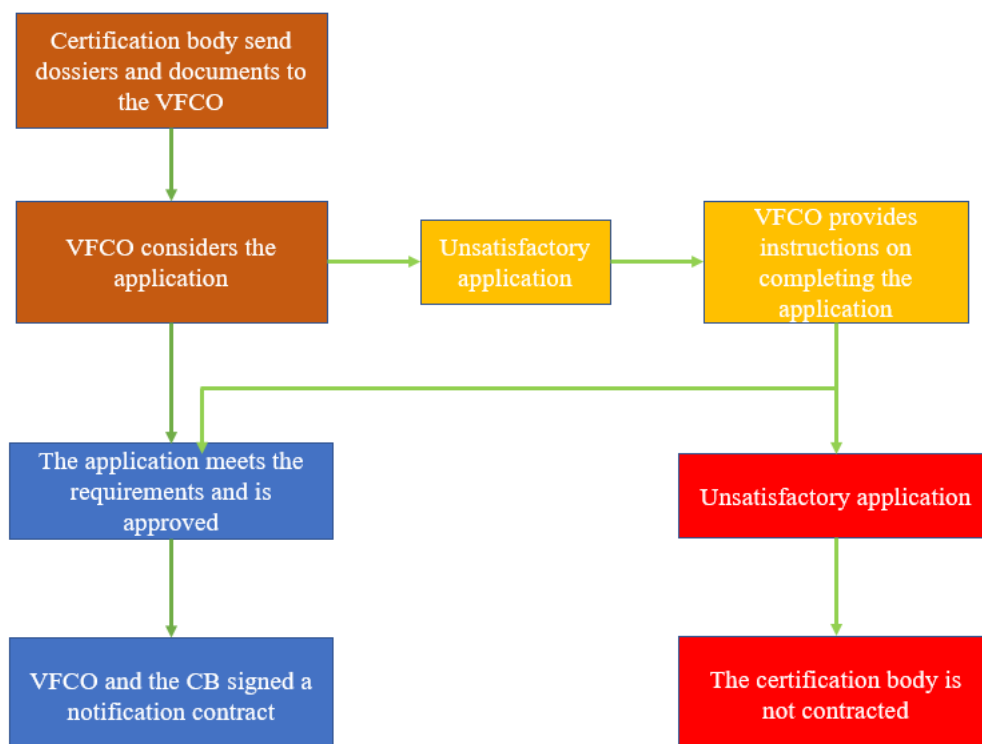
This document applies implementation to accreditation bodies; certification bodies and agencies, units and individuals related to the issuance of certificates of sustainable forest management according to Vietnam Forest Certification Schemes.

This document regulates the process of accrediting and notifying a certification body operating in the Vietnam Forest Certification Schemes.

Vietnam Forest Certification Office is the agency that notifies the certification body through the notification contract.

IV. CERTIFICATION BODIES NOTIFICATION ISSUANCE PROCEDURES

The process of signing a notification contract is shown in the following diagram:



4.1. Step 1: Application submission

4.1.1. Application forms

- a) Domestic certification organizations and foreign certification organizations with representative offices and branches in Vietnam shall apply directly at Vietnam Forest Certification Office, submitting copies of certificates and documents as prescribed. *(If the document has not been notarized, the original must be present for comparison)*. In case of sending documents by post, notarized copies of all relevant certificates and documents as prescribed must be submitted;
- b) Foreign certification bodies that do not have representative offices or branches in Vietnam shall send scanned documents via email Vietnam Forest Certification Office (yfco.vietnam@gmail.com). After the application is reviewed and approved, it is necessary to send a hard copy to the Vietnam Forest Certification Office for comparison before signing the appointment contract;
- c) The form of record process supervising is made according to Annex II of this document.

4.1.2. Requirement of records by the registration certification body

4.1.2.1. Profile of registration to notify a certification organization for sustainable forest management

- a) A notarized copy of the business registration license in accordance with Vietnamese law; For international organizations that need a license to operate in Vietnam, a license to set up a representative office;

- b) A certificate of eligibility to conduct audit and certification of a sustainable forest management system in accordance with the requirements of the VFCS issued by the Bureau of Accreditation (BoA). Attach a copy of the entire Bureau of Accreditation assessment file;
- c) Certificate of registration of certification activities for sustainable forest management certificates granting, issued by the Vietnam Administration of Forestry or the General Department of Standards, Metrology and Quality, Ministry of Science and Technology;
- d) Application form for notification of certification activity according to Annex I of this document.

4.1.2.2. Application for notification of a chain of custody (CoC) certification body

- a) A notarized copy of the business registration license in accordance with Vietnamese law; For international organizations that need a license to operate in Vietnam, a license to set up a representative office;
- b) A certificate of eligibility to conduct assessment and certification of the chain of custody of products in accordance with the requirements of the VFCS and PEFC systems, signed by the Bureau of Accreditation BoA or a foreign accreditation organization that is a member of Mutual Recognition Accreditation (MRA) of the International Accreditation Forum (IAF) and notified by PEFC. Attach a copy of the entire documents assessed by an accreditation organization;
- c) Certificate of registration of PEFC CoC certification activities, issued by the Vietnam Administration of Forestry or the General Department of Standards, Metrology and Quality, Ministry of Science and Technology;
- d) Application form for notification of certification activities according to Annex I of this document.

4.2. Step 2. Profile assessment

- 2.1. Vietnam Forest Certification Office considers the application and documents provided by certification bodies. The review of dossiers is to ensure that the certification body meets the requirements of application and procedures of the VFCS and PEFC and according to the provisions of Vietnamese law;
- 2.2. If the application is complete and valid, The Vietnam Forest Certification Office decides to sign a notification contract with a certification body and notify the certification body in writing;
- 2.3. If the dossier is incomplete or unclear according to regulations, the Vietnam Forest Certification Office shall notify in writing and request the certification organization to amend and supplement documents;
 - a) If the application is complete and valid, the Vietnam Forest Certification Office will decide to sign a notification contract in writing with the certification body
 - b) If, after amending or supplementing, the dossier still does not meet the requirements. Vietnam Forest Certification Office does not accept applications and sends a notice to the Certification Body.

4.3. Step 3: Sign the notification contract

3.1. Vietnam Forest Certification Office contacts the notified certification body to sign the contract;

3.2. Notified Contract form in Annex III of this document.

V. PROCEDURES OF SURVEILLANCE EVALUATION

5.1. Vietnam Forest Certification Office develops a plan to monitor the certification body activities, ensuring that supervising is performed at least once a year for the duration of the notification contract.

5.2. Supervising results are the basis for Vietnam Forest Certification Office to consider maintaining, warning, suspending and canceling the validity of the Notification Contract.

5.3. Vietnam Forest Certification Office establishes a supervising team consisting of 2-4 members, of which at least 01 member has certificates of ISO/ 17065 and/or ISO 17021 and 01expert on Sustainable Forest Management and/ or Chain of Custody management.

5.4. Sequence and monitoring content

a) Vietnam Forest Certification Office notifies the supervising plan to the certification body in 21 working days in advance;

b) Supervising content:

- Check the capacity and requirements of the certification body;
- Check the certification at least 01 (one) certificate-granting unit;

c) The supervising team makes a supervising record according to the form in Annex V;

d) Supervising results are notified to the certification body no later than 21 working days after the end of the supervising session;

e) In case the certification body has unsatisfactory contents as prescribed, the certification body shall have correcting actions and report the correcting results to the Vietnam Forest Certification Office.

VI. RESPONSIBILITIES OF CERTIFICATE BODIES

6.1. Responsibilities of bodies certifying sustainable forest management

a) Implementing certification of sustainable forest management under the VFCS system in Vietnam, within the scope of certification;

b) Notifying the VFCSO of any change in the accreditation status of the certification body in relation to the scope of certification for sustainable forest management under the VFCS system; Changes regarding the auditors (including detailed information on capacity, training certificates, labor contract, cooperation agreement) before the expert participates in the audit;

c) Providing VFCSO with certificates issued to clients and changes in certificate status. The form for providing information is presented in Annex V;

d) Charging VFCO the annual VFCS forest certificate development fees for each certificate issued. Fees are notified by the Vietnam Forest Certification Office to the certification body in writing and published on the website of the Vietnam Forest Certification Office. These fees may be changed during the specified contract performance period at the discretion of the NGB. Fees changes will be publicly announced on the website of Vietnam Forest Certification Office (<https://vfcs.org.vn>) and notified in writing by VFCO to the certification body. The effect of the change is valid from January 1 of the following year;

đ) Ensuring that the customer signs a VFCS/PEFC trademarks usage contract.

6.2. Responsibilities of the chain of custody certification body

a) Implementing chain of custody certification according to PEFC ST Standard 2002:2020, Chain of Custody of Forest and Tree Based Products – Requirements or alternatively accepted standards (if any);

b) Notifying VFCO of any change in the accreditation status of certification body related to the PEFC chain of custody certification scope, changes and additions regarding the auditors (including detailed information on capacity, training certificates, labor contract, cooperation agreement) before the expert participates in the assessment;

c) Providing VFCO with certificates issued to clients by the certification body and changes in certificate status. The form for providing information is presented in Appendix V.

d) Paying VFCO annual PEFC CoC certificate development fees for each certificate issued. Fees are notified by the Vietnam Forest Certification Office to the certification body in writing and published on the website of the Vietnam Forest Certification Office. This fee may be changed during the specified contract performance period at the discretion of the NGB. Fee changes will be publicly announced on the website of Vietnam Forest Certification Office (<https://vfcs.org.vn>) and notified in writing by VFCO to the certification body. The effect of the change is calculated from January 1 of the following year;

đ) Ensure that the customer signs a contract of PEFC trademarks usage.

VII. VALIDITY OF INDICATION CONTRACTS

7.1. Validity of notification contract between VFCO and certification body is 5 years;

7.2. The validity of notification contract for PEFC CoC chain of custody certification body expires when the contract between VAFS and PEFC expires or is suspended;

7.3. The notification contract is only valid during the validity period of the certificate issued by the accreditation body to the certification body;

7.4. VFCO will suspend the notification contract if the certification body is suspected of violating the notification contract. If, after investigation, review, there is evidence of contract breach, VFCO will cancel the notification contract.

VIII. PERSONAL DATA MANAGEMENT

8.1. Through the notification record review process, VFCS may collect certain personal data about certification body employees when general contact information is not available. Personal data collected includes contact's full name, email, address and phone number. This information is necessary for the operation of the VFCS and PEFC. They are publicly available on the PEFC website search engine. These data are indispensable to ensure the operation of the PEFC such as to track the validity of the license to use the VFCS/PEFC trademarks and certified products by consumers. and third parties.

8.2 Personal data is kept publicly for a period of five (5) years after the expiration of the notification contract, after which it will be deleted. On request, PEFC and VFCS may provide certification body employees with information about the personal data held by PEFC and VFCS. They will have the right to access or verify their personal data and have the right to modify, transfer, correct or delete them. These rights can be exercised by contacting VFCS via email: vfcs.vietnam@gmail.com;

8.3 By signing the notification contract, the certification body is deemed to agree to this information management provision.

IX. RESPONSIBILITIES FOR IMPLEMENTATION

9.1. Bureau of Accreditation (BoA)

- a) Guiding organizations wishing to become a certification body on the procedures and registration dossiers;
- b) Assessing and accrediting the certification body for the capacity and expertise specified in this document; organizing the implementation of annual supervising evaluation according to regulations.
- c) Notifying the results of accreditation of the certification body to the Vietnam Forest Certification Office and on the Bureau of Accreditation's website. Providing the certification body with a copy of the entire certification file to submit to the VFCS.
- d) Reflecting on shortcomings and contributions to improving the quality of Vietnam Forest Certification Schemes.

9.2. Vietnam Forest Certification Office (VFCS)

- a) Coordinating with Bureau of Accreditation to examine and assess the capacity of the certification body; supervising and auditing the certification quality of the certification bodies periodically once a year or irregularly.
- b) Settling and handling complaints of related parties about the capacity and experience of certification bodies operating in Vietnam Forest Certification Schemes.

9.3. Certification Bodies (CB)

- a) Ensuring that the requirements for this document are fully met.
- b) Implementing strictly the reporting regime on certification results according to the announcement of Vietnam Forest Certification Office.
- c) Paying the fee for forest certification in full and on time as notified by the Vietnam Forest Certification Office.
- d) Reflecting on shortcomings and contributions to improving the quality of Vietnam Forest Certification Schemes.

Appendix I: Registration form for notification of certification activities

VIETNAMESE ACADEMY OF
FOREST SCIENCES
Vietnam Forest Certification Office

SOCIALIST REPUBLIC OF VIETNAM
Independence – Freedom – Happiness
Hanoi,day...month....Year

REGISTRATION FORM FOR NOTIFICATION OF CERTIFICATION ACTIVITIES

I. Certification Body Information

| | |
|----------------------|--|
| Organization name | |
| Business license | |
| Legal representative | |
| Organization address | |
| Contact person | |
| Contact phone number | |
| Contact email | |
| Organization website | |

II. Information and attached documents

| | |
|--------------------------------|--|
| Certification Body name | |
| Certificate number/expiry date | |
| Attached documents: | |
| I | Register for notification of sustainable forest management certification |
| <input type="checkbox"/> | A copy of the business registration license in accordance with Vietnamese law; |
| <input type="checkbox"/> | A copy of the operating license in Vietnam, a representative office establishing license (for a foreign organization); |
| <input type="checkbox"/> | A copy of the certificate/accreditation document of conformity of the Certification Body according to the Vietnamese standard TCVN ISO/IEC 17021-1:2015 or International Standard ISO/IEC 17021-1:2015. |
| <input type="checkbox"/> | A copy of the certificate/accreditation document of the auditing and certifying scope against the VFCS/PEFC sustainable forest management standards (or alternative standards) of the Vietnam Forest Certification Scheme. |

| | |
|--------------------------|--|
| <input type="checkbox"/> | A copy of the certificate/ accreditation document of the auditing and certifying scope against the VFCS/PEFC group forest management standards (or alternative standards) of the Vietnam Forest Certification Scheme |
| <input type="checkbox"/> | A copy of assessment file from the accreditation body |
| <input type="checkbox"/> | Copy of certificate of registration of certification activities for sustainable forest management (VFCS) |
| II | Registration for Notification of Chain of Custody Certification |
| <input type="checkbox"/> | A copy of the business registration license in accordance with Vietnamese law; |
| <input type="checkbox"/> | A copy of the operating license in Vietnam, a representative office establishing license (for a foreign organization); |
| <input type="checkbox"/> | A copy of the certificate/accreditation document of conformity of the Certification Body according to the Vietnamese Standard TCVN ISO/IEC 17065:2013 or International Standard ISO/IEC 17065:2012. |
| <input type="checkbox"/> | A copy of the assessment file from the accreditation body |
| <input type="checkbox"/> | A copy of certificate of registration of PEFC chain of custody (CoC) certification activities |
| <input type="checkbox"/> | A copy of the certificate/accreditation document of auditing and certifying scope according to the PEFC ST 2002:2020 series of standards |

III. Commitment

We pledge to have read and understood the notification process of the Vietnam Forest Certification Office and agree with the requirements and content of the notification. The information provided in this profile is complete and truthful.

Legal representative of the Certification Body

(Signed and stamped)

Appendix II: Form for tracking application processing

VIETNAMESE ACADEMY OF
FOREST SCIENCES
Vietnam Forest Certification Office

SOCIALIST REPUBLIC OF VIETNAM
Independence – Freedom – Happiness

Hanoday...month....Year

NOTIFICATION DOCUMENTATION MONITORING FORM

(For record keeping at the Vietnam Forest Certification Office)

I. Form to monitor the application process

| Content | Status | Time | Application handler (signature) |
|---|---|------|------------------------------------|
| Reception application date | <input type="checkbox"/> Yes | | |
| The profile is completed upon request | <input type="checkbox"/> Yes <input type="checkbox"/> No | | |
| The profile is supplemented or edited | <input type="checkbox"/> Yes <input type="checkbox"/> No | | |
| Decide to approve/disapprove and send notice to CB | <input type="checkbox"/> Yes <input type="checkbox"/> No | | |
| VFCO completes and sends the notification contract to the Certification Body | <input type="checkbox"/> Yes | | |
| The Certification Body signs and returns the notification contract to VFCO | <input type="checkbox"/> Yes | | |
| VFCO signs and returns the notification contract to the Certification Body and keeps the file at the office | <input type="checkbox"/> Yes | | |

II. Service charge monitoring form for notification contract

| Time | Amount (VND) | Transaction Day | Confirm |
|------|--------------|-----------------|---------|
| | | | |
| | | | |
| | | | |

III. Form to monitoring the complaint settlement process

| | | Time | Confirm (sign) |
|-----------------------------|---|------|----------------|
| Complaint reception | <input type="checkbox"/> Yes | | |
| Complaint handling decision | <input type="checkbox"/> Acceptance <input type="checkbox"/> Do not accept | | |

IV. Form for supervising the suspension and termination of the notification contract

| Contract Status | Day | Penalty form |
|-----------------|-----|--------------|
| | | |
| | | |

Appendix III-a. Sample contract to appoint a Certification Body for sustainable forest management

VIETNAMESE ACADEMY OF FOREST SCIENCES
VIETNAM FOREST CERTIFICATION OFFICE

SOCIALIST REPUBLIC OF VIETNAM
Independent – Freedom - Happiness

No: /VPCCR-HĐ

Hanoi, date....

CONTRACT

Regarding the notification of the Certification Body operating auditing and certification of sustainable forest management according to the Vietnam Forest Certification Schemes

Pursuant to Decision No. 3925/QĐ-BNN-TCCB dated October 4, 2021, of the Minister of Ministry of Agriculture and Rural Development on the adjustment and supplement of Decision No. 191/QĐ-BNN-TCLN dated January 11, 2019, of the Minister of Agriculture and Rural Development Ministry on the establishment of the Vietnam Forest Certification Office;

Pursuant to Decision No. 368/QĐ-KHLN-TCHC dated November 1, 2021, of the Director of the Vietnamese Academy of Forest Sciences, defining the functions, tasks, rights and organizational structure of the Vietnam Forest Certification Office;

Pursuant to the Administration Contract between the Vietnam Forest Certification Office and the Programme for the Endorsement of Forest Certification (PEFC) dated January 14, 2022;

Pursuant to Standards VFCS/PEFC ST 1001:2022, the Vietnam Forest Certification Scheme: Description of the system and implementation model;

Pursuant to VFCS/PEFC ST 1006:2022, Regulations for certification bodies of sustainable forest management under the Vietnam Forest Certification Scheme or PEFC CoC chain of custody of product;

Pursuant to VFCS/PEFC GD 1007: 2022, Regulation on notification of Certification Body operating under the Vietnam Forest Certification Scheme;

Pursuant to the regulations on using labels specified in VFCS ST 1008: 2022 and PEFC ST 2001: 2020;

Pursuant to Registration of certification activities notification **dated on**

Pursuant to Decision No. xxx dated xxx of the Director of Vietnam Forest Certification Office on notification of a Certification Organization;

Today,month, at the Vietnam Forest Certification Office, we include:

Notifying party (Party A): Vietnam Forest Certification Office (VFCO)

Address: No. 46 Duc Thang, Duc Thang Ward, Bac Tu Liem District, Hanoi

Phone number: +84 2466857688, Email: vfco.vietnam@gmail.com

Tax code: 0109861374

Representative: Dr Vu Tan Phuong

Position: Director

Notified Party (Party B):

Organization Name: :.....

Address:.....

Phone number:.....Fax:.....

Email:.....

Number of business registration license:

Issuance date.....month.....in.....

Representative: Position:

The two parties mutually agree on the following contents

Article 1. Rights and responsibilities of the notifying party (Party A)

1.1. Having the right to inspect and supervise the activities of the Certification Body (CB)

1.2. Having the right to temporarily suspend or terminate the notification contract when the Certification Body violates the regulations on requirements for the Certification Body according to VFCS ST 1006:2022 or alternative standards (if any);

1.3. Having the right to collect fees for services and adjust the notification fees when there are changes in the rates;

1.4. Recognizing of sustainable forest management (FM) certificates issued by notified certification bodies;

1.5. Signing a VFCS and PEFC trademarks usages contract according to VFCS/PEFC Guide GD 1009:2022, Issuance of VFCS and PEFC Trademarks usages, or alternative documents (if any);

1.6. Publishing the information of the notified certification body on the official website of the Vietnam Forest Certification Scheme (<https://vfcs.org.vn>); Information including about the client organizations of the certification body that issued the certificate;

1.7. Informing the notified certification body of changes to operating procedures and instructions that affect the notification contract;

1.8. Organizing training when there are changes to the Vietnam Forest Certification Scheme

Article 2. Rights and responsibilities of the notified party (party B)

2.1. The certification body is accredited by VFCS and PEFC and maintains accreditation in accordance with VFCS ST 1006: 2022 and PEFC regulations;

2.2. Providing at the beginning of each year or whenever the VFCS requires up-to-date proof that the body meets the eligibility requirements for accreditation;

2.3. Having the right to use VFCS and PEFC trademarks according to the provisions of VFCS ST 1008:2022 and PEFC ST 2001:2020 and alternative documents (if any) after signing a VFCS/PEFC trademarks usage contract with VFCS;

- 2.4. Having the right to conduct audit and certification of sustainable forest management according to VFCS ST 1003: 2019 sustainable forest management standards and VFCS ST 1004: 2019 group forest management standards and alternative standards (if any and with the consent of Party A) in Vietnam within the scope of recognition;
- 2.5. Notifying the VFCO immediately of any change in the accreditation status of the certification body;
- 2.6. Organizing the assessment and granting of certificates of sustainable forest management under the regulations of the VFCS, PEFC, and the Accreditation Organization;
- 2.7. Providing to VFCO, without delay, the information on any sustainable forest management certifications that the certification body issues to its clients and/or information on any changes to currently issued certifications;
- 2.8. Guiding and ensuring that individuals, organizations, and businesses with sustainable forest management certification to sign VFCS/PEFC trademarks usages and with VFCO;
- 2.9. Inspecting and supervising individuals, organizations, and enterprises that have been granted certificates by certification bodies about the VFCS/ PEFC trademarks usages;
- 2.10. Collecting and paying fees to VFCO annually according to the forest area certified for sustainable forest management. The fee rate is notified by Party A to Party B in writing and published on the website of the VFCO. VFCS and PEFC may change fees during the validity of the contract. The VFCO will notify the certification body in writing of any change in fees, and this change will take effect in the following year;
- 2.11. Maintaining transparency, protecting and enhancing the reputation of VFCS and PEFC;
- 2.12. Contributing to the improvement and quality improvement of the Vietnam Forest Certification Scheme VFCS and PEFC;
- 2.13. Participating in meetings and training courses related to the scope of certification at the request of Party A.

Article 3. Contract termination

- 3.1. In case one party wants to terminate the contract, it must notify the other party in writing three months in advance;
- 3.2. VFCO has the right to temporarily suspend the notification contract when the Certification Body violates one of the following cases:
 - a) When there is reason to suspect that the certification body breaches one of the requirements set out in clause 2 of this contract.
 - b) The certification body does not comply with the supervising regime of the Bureau of Accreditation (BOA);
 - c) The Certification Body does not follow the conclusions of the above supervision team.

During the contract suspension period, the certification body cannot carry out certification activities for new customers. After the certification body has a report of explanation or remedy approved by the BOA, VFCO will consider continuing to perform the contract.

3.3. VFCO has the right to terminate the notification contract when

a) The Certification Body does not meet the specified conditions for a certification body according to the VFCS ST 1006:2022 standard.

b) The certification body violates one of the requirements stated in article 2 of this contract.

3.4. Withdrawal, suspension, or invalidation of accreditation for a certification body from an accreditation body will result in the automatic termination of this notification contract and take effect on the same day that the accreditation of the certification body is in revocation, suspending, or termination.

3.5. If the agreement on providing accreditation services to the certification body between VFCO and the Accreditation Body is withdrawn, suspended, or terminated, the notification contract with the certification body will be considered for withdrawal, suspension, or termination according to the decision of Party A.

3.6. VFCO does not refund the notification fee when the notification contract is temporarily suspended or terminated under this article;

3.7. VFCO is not responsible for the cost of losses incurred due to the temporary suspension or termination of the nominated contract.

Article 4. Information treatment

4.1. The certification body agrees to publish information on the website of VFCO (<https://vfcs.org.vn>) and PEFC (<https://www.pefc.org>), including certification data information and other information according to PEFC GD 1008:2019 and alternative documents (if any);

4.2. The certification body is responsible for submitting a summary report on the certification of sustainable forest management to VFCO, which will be publicly available on the websites of VFCS and PEFC;

4.3. The certification body is responsible for notifying individuals, organizations, and businesses certified for sustainable forest management of all information provided to VFCO. This information (except for the revenue of individuals and organizations holding certificates) will be publicly announced on the Website of VFCS and PEFC;

4.4. Through the notification record reviewing process, VFCO can collect specific personal data about the certification body employees when general contact information is unavailable. Personal data collected includes the full name, email, address, and phone number of the contact person. This information is necessary for the operation of the VFCS and PEFC. They are publicly available on the PEFC websites the search engine. These data are indispensable to ensure the operation of the PEFC and VFCS, such as supervising the validity of licenses VFCS/ PEFC trademarks usage and certified products by consumers and third parties.

4.5. Personal data is kept publicly for five years after the expiration of the notification contract, after which it will be deleted. On request, PEFC and VFCO may provide

certification body employees with information about the personal data held by PEFC and VFCO. They will have the right to access or verify their data and have the right to modify, transfer, correct, or delete them. These rights can be exercised by contacting VFCO via email: vfcs.vietnam@gmail.com;

4.6. Party B must publicize the assessment report summary (in Vietnamese and English) on the Vietnam Forest Certification Office (<https://vfcs.org.vn>). This report omits customers disclosed information.

4.7. By signing the notification contract, the Certification Body is deemed to agree to this information management provision;

4.8. The information posted on VFCS and PEFC websites referred to this Contract will still be maintained even after this Contract expires and the two parties no longer cooperate.

Article 5. Applicable law and place of jurisdiction

5.1. This contract is in accordance with the laws of Vietnam.

5.2. The two parties commit to strictly and fully implement the terms agreed in the contract. During the implementation process, if there is a change, the two parties will notify each other and discuss together to resolve the contract for good performance. If the two parties cannot resolve the dispute by themselves, the matter will be brought to arbitration according to current law. The court decision is final and must be followed by the parties. Court fees will be paid by the losing party unless otherwise agreed by both parties.

5.3. Vietnamese courts will resolve any disputes arising from this contract in accordance with current regulations.

5.4. The certification body is responsible for working with VAFS and VFCO to build and maintain the VFCS Vietnam Forest Certification Scheme. If the contract between VAFS and PEFC is invalidated, expired, or suspended, VAFS and VFCO are not responsible if there is a loss for Party B and customers

Article 6. The validity of Contract

6.1. The notification contract between VFCO and the Certification Body is valid for five (05) years.

6.2. The contract takes effect as soon as the two parties sign the contract.

6.3. This contract is made into 04 copies with the same legal validity; each party keeps 02 copies for performance.

PARTY A
REPRESENTATIVE

(Signed and stamped)

PARTY B
REPRESENTATIVE

(Signed and stamped)

**Appendix III-b. Sample contract to appoint a Certification Body for PEFC Chain
of Custody of Products (CoC)**

VIETNAMESE ACADEMY OF FOREST SCIENCES
VIETNAM FOREST CERTIFICATION OFFICE

SOCIALIST REPUBLIC OF VIETNAM
Independent – Freedom - Happiness

No: /VPCCR-HĐ

Hanoi, date....

CONTRACT

**Regarding the notification of the Certification Body operating auditing and
certification of PEFC chain of custody of products (CoC)**

Pursuant to Decision No. 3925/QĐ-BNN-TCCB dated October 4, 2021, of the Minister of Ministry of Agriculture and Rural Development on the adjustment and supplement of Decision No. 191/QĐ-BNN-TCLN dated January 11, 2019, of the Minister of Agriculture and Rural Development Ministry on the establishment of the Vietnam Forest Certification Office;

Pursuant to Decision No. 368/QĐ-KHLN-TCHC dated November 1, 2021, of the Director of the Vietnamese Academy of Forest Sciences, defining the functions, tasks, rights and organizational structure of the Vietnam Forest Certification Office;

Pursuant to the Contract between the Vietnam Forest Certification Office and the Programme for the Endorsement of Forest Certification (PEFC) dated January 14, 2022;

Pursuant to Standards VFCS/PEFC ST 1001:2022, the Vietnam Forest Certification Scheme: Description of the system and implementation model;

Pursuant to VFCS/PEFC ST 1006:2022, Regulations for certification bodies of sustainable forest management under the Vietnam Forest Certification Scheme or PEFC CoC chain of custody of product;

Pursuant to VFCS/PEFC GD 1007: 2022, Regulation on notification of Certification Body operating under the Vietnam Forest Certification Scheme;

Pursuant to the regulations on using labels specified in VFCS ST 1008: 2022 and PEFC ST 2001: 2020;

Pursuant to PEFC Standard ST 2003:2020 on Requirements for certification bodies operating certification against the PEFC international chain of custody standard.

Pursuant to Registration of certification activities notification **dated on....**

Pursuant to Decision No. xxx dated xxx of the Director of Vietnam Forest Certification Office on notification of a Certification Organization;

Today,month, at the Vietnam Forest Certification Office, we include:

Notifying party (Party A): Vietnam Forest Certification Office (VFCO)

Address: No. 46 Duc Thang, Duc Thang Ward, Bac Tu Liem District, Hanoi

Phone number: +84 2466857688, Email: vfco.vietnam@gmail.com

Tax code: 0109861374

Representative: Dr Vu Tan Phuong Position: Director

Notified Party (Party B):

Organization Name: :.....

Address:.....

Phone number:.....Fax:.....

Email:.....

Number of business registration license:

Issuance date.....month.....in.....

Representative: Position:

The two parties mutually agree on the following contents

Article 1. Rights and responsibilities of the notifying party (Party A)

- 1.1. Having the right to inspect and supervise the activities of the Certification Body (CB);
- 1.2. Having the right to temporarily suspend or terminate the notification contract when the certification body violates the regulations on requirements for the Certification Body according to VFCS ST 1006:2022 and **PEFC ST 2003:2022** or alternative standards (if any);
- 1.3. Having the right to collect fees for services and adjust the notification rates when there are changes in the rates;
- 1.4. Recognizing the PEFC Chain of Custody (CoC) certificates issued by notified certification bodies;
- 1.5. Signing a VFCS and PEFC trademarks usages contract according to VFCS/PEFC Guide GD 1009:2022, Regulations on licensing of VFCS and PEFC Trademarks, or alternative documents (if any);
- 1.6. Disclosing the information of the notified certification body on the official website of the Vietnam Forest Certification Office (<https://vfcs.org.vn>); Information including about the client organizations of the Certification Body that issued the certificate;
- 1.7. Informing the notified Certification Body of changes to operating procedures and instructions that affect the notification contract;
- 1.8. Organizing training when there are changes to the Vietnam Forest Certification Office and PEFC certification system related to CoC certification.

Article 2. Rights and responsibilities of the notified party (party B)

- 2.1. Being accredited by VFCS and PEFC and maintaining accreditation in accordance with VFCS ST 1006: 2022, PEFC ST 2003: 2020 on Requirements for certification bodies operating certification against the PEFC international chain of custody standard, and alternative standards if agreed to by VFCS;
- 2.2. Providing at the beginning of each year or whenever the VFCS requires up-to-date proof that the body meets the eligibility requirements for accreditation;

- 2.3. Having the right to use VFCS and PEFC trademarks according to the provisions of VFCS ST 1008:2022 and PEFC ST 2001:2020 and alternative documents (if any) after signing a VFCS/PEFC trademarks usage contract with VFCO;
- 2.4. Having the right to conduct audit and certification of CoC according to PEFC ST standards 2002:2020, Chain of Custody of Forest and Tree Based Products – Requirements, and alternative standards if agreed by VFCO in Vietnam to be included in the list of recognized scopes;
- 2.5. Notifying the VFCO immediately of any change in the accreditation status of the certification body;
- 2.6. Organizing the assessment and granting of PEFC CoC certificates in accordance with the regulations of VFCS, PEFC and the Accreditation Organization;
- 2.7. Providing to VFCO, without delay, the information on any chain of custody certification that the certification body issues to its clients and/or information on any changes to currently issued certifications;
- 2.8. Guiding and ensuring that individuals, organizations, and businesses with the chain of custody certification to sign VFCS/PEFC trademarks usage and with VFCO;
- 2.9. Inspecting and supervising individuals, organizations, and enterprises that have been granted certificates by certification bodies VFCS/ PEFC trademarks usage;
- 2.10. Collecting and paying fees to VFCO annually according to the number of CoC certificate. The fee rate is notified by Party A to Party B in writing and published on the website of the VFCO. VFCS and PEFC may change fees during the validity of the contract. The VFCO will notify the certification body in writing of any change in fees, and this change will take effect in the following year;
- 2.11. Maintaining transparency, protecting and enhancing the reputation of VFCS and PEFC;
- 2.12. Contributing to the improvement and quality improvement of the Vietnam Forest Certification Scheme VFCS and PEFC;
- 2.13. Participating in meetings and training courses related to the scope of certification at the request of Party A.

Article 3. Contract termination

- 3.1. In case one party wants to terminate the contract, it must notify the other party in writing three months in advance;
- 3.2. VFCO has the right to temporarily suspend the notification contract when the Certification Body violates one of the following cases:
 - a) When there is reason to suspect that the certification body breaches one of the requirements set out in clause 2 of this contract.
 - b) The certification body does not comply with the supervising regime of the Bureau of Accreditation (BOA);
 - c) The certification body does not follow the conclusions of the above supervision team.

During the contract suspension period, the certification body cannot carry out certification activities for new customers. After the certification body has a report of

explanation or remedy approved by the BOA, VFCO will consider continuing to perform the contract.

3.3. VFCO has the right to terminate the notification contract when

a) The Certification Body does not meet the specified conditions for a certification body according to the standard VFCS ST 1006:2022, and PEFC Standard ST 2003:2020 on Requirements for certification bodies operating certification against the PEFC international chain of custody standard.

b) The Certification Body violates one of the requirements stated in article 2 of this contract.

3.4. Withdrawal, suspension, or invalidation of accreditation for a certification body from an accreditation body will result in the automatic termination of this notification contract and take effect on the same day that the accreditation of the certification body is in revocation, suspending, or termination.

3.5. If the agreement on providing accreditation services to the certification body between VFCO and the accreditation body is withdrawn, suspended, or terminated, the notification contract with the certification body will be considered for withdrawal, suspension, or termination according to the decision of Party A.

3.6. VFCO does not refund the notification fee when the notification contract is temporarily suspended or terminated under this article;

3.7. VFCO is not responsible for the cost of losses incurred due to the temporary suspension or termination of the nominated contract.

Article 4. Data treatment

4.1. The Certification Body agrees to publish information on the website of VFCO (<https://vfcs.org.vn>) and PEFC (<https://www.pefc.org>), including certification data information and other information according to PEFC GD 1008:2019 and alternative documents (if any);

4.2. The certification body is responsible for submitting a summary report on the certification of sustainable forest management to VFCO, which will be publicly available on the websites of VFCS and PEFC;

4.3. The certification body is responsible for notifying individuals, organizations, and businesses certified for sustainable forest management of all information provided to VFCO. This information (except for the revenue of individuals and organizations holding certificates) will be publicly announced on the Website of VFCS and PEFC;

4.4. Through the notification record reviewing process, VFCO can collect specific personal data about the certification body employees when general contact information is unavailable. Personal data collected includes the full name, email, address, and phone number of the contact person. This information is necessary for the operation of the VFCS and PEFC. They are publicly available on the PEFC websites the search engine. These data are indispensable to ensure the operation of the PEFC and VFCS, such as supervising the validity of licenses VFCS/PEFC logos/labels usage and certified products by consumers and third parties.

4.5. Personal data is kept publicly for five years after the expiration of the notification

contract, after which it will be deleted. On request, PEFC and VFCO may provide certification body employees with information about the personal data held by PEFC and VFCO. They will have the right to access or verify their data and have the right to modify, transfer, correct, or delete them. These rights can be exercised by contacting VFCO via email: vfco.vietnam@gmail.com;

4.6. Party B must publicize the assessment report summary (in Vietnamese and English) on the Vietnam Forest Certification Office (<https://vfcs.org.vn>). This report omits customers disclosed information.

4.7. By signing the notification contract, the Certification Body is deemed to agree to this information management provision;

4.8. The information posted on VFCS and PEFC websites referred to this Contract will still be maintained even after this Contract expires and the two parties no longer cooperate.

Article 5. Applicable law and place of jurisdiction

5.1. This contract is in accordance with the laws of Vietnam.

5.2. The two parties commit to strictly and fully implement the terms agreed in the contract. During the implementation process, if there is a change, the two parties will notify each other and discuss together to resolve the contract for good performance. If the two parties cannot resolve the dispute by themselves, the matter will be brought to arbitration according to current law. The court decision is final and must be followed by the parties. Court fees will be paid by the losing party unless otherwise agreed by both parties.

5.3. Vietnamese courts will resolve any disputes arising from this contract in accordance with current regulations.

5.4. The certification body is responsible for working with VAFS and VFCO to build and maintain the Vietnam Forest Certification Scheme (VFCS). If the contract between VAFS and PEFC is invalidated, expired, or suspended, VAFS and VFCO are not responsible if there is a loss for Party B and customers

Article 6. The validity of Contract

6.1. The notification contract between VFCO and the Certification Body is valid for five (05) years.

6.2. The contract takes effect as soon as the two parties sign the contract.

6.3. This contract is made into 04 copies with the same legal validity; each party keeps 02 copies for performance.

PARTY A
REPRESENTATIVE

(Signed and stamped)

PARTY B
REPRESENTATIVE

(Signed and stamped)

Appendix IV: Report on auditing/supervising of the certification body

VIETNAMESE ACADEMY OF
FOREST SCIENCES
Vietnam Forest Certification Office

SOCIALIST REPUBLIC OF VIETNAM
Independence – Freedom – Happiness

No: /VPCCR-HDD

Hanoi....day...month....Year

REPORT **CERTIFICATION BODIES SUPERVISION**

1. Certification Body name

Address:

Telephone:

Fax:

Email:

2. Notification Scope:

3. Audit team or audit team members: (specify full name)

4. Audit time

5. Audit basis

- Quality management system;
- Technical processes of the Certification Body.

6. Auditing Content

- ISO/IEC 17021:2015 and ISO/IEC 17065:2012;
- The conditions for notifying the Certification Body;
- Nonconformities of the Certification Body;
- Other issues

7. Audit results: Conclusion about each audit content

8. Conclusions and recommendations of the audit team

The Certification Body Representative

(Signature, full name, full name and
seal)

**The Head of auditing/supervising
Team**

(Sign and write full name)

Appendix V. VFCS/PEFC forest certification report template

(complete for each certificate and each certificated site)

5.1. Information report form VFCS sustainable forest management certificate

| ID | Organization Name | Contact | Certified area (ha) | Type of certified forest* | Certification Bodies | Certificate Code | Effective date | Expiration date | Standard | Certification Type | Number of locations/members** | Area of first certification | Date of first review | Note |
|-----|-------------------|---------|---------------------|---------------------------|----------------------|------------------|----------------|-----------------|----------|--------------------|-------------------------------|-----------------------------|----------------------|------|
| 1 | | | | | | | | | | | | | | |
| 2 | | | | | | | | | | | | | | |
| ... | | | | | | | | | | | | | | |

Note: *: specify natural forest, planted forest; **: number of sites with certified forest; number of members applied with the Group certificate

5.2. CoC certificate information report form

| ID | Organization Name | Contact | Certification Bodies | Certificate Code | Effective date | Expiration date | Expiration date | Certification Type | Registered business type | | | Annual revenue of the certified organization (billion VND) |
|-----|-------------------|---------|----------------------|------------------|----------------|-----------------|-----------------|--------------------|---------------------------|----------------|-----------------|--|
| | | | | | | | | | forest products exporting | Wood supplying | Wood processing | |
| 1 | | | | | | | | | | | | |
| 2 | | | | | | | | | | | | |
| ... | | | | | | | | | | | | |