



TECHNICAL GUIDELINES FOR REMOTE SVLK AUDIT

1. Background

The current Covid-19 pandemic has resulted in many changes in the structure of human life, including in the process of certification for the Timber Legality Assurance System (SVLK). The Indonesian government has issued a Presidential Decree on the Establishment of a Covid-19 Public Health Emergency. This policy was followed up by the National Accreditation Committee (KAN) by establishing policies related to the certification and verification process during the pandemic, including SVLK certification. This policy was taken by KAN to ensure that the process of certification and verification activities can continue, in order to meet the needs of stakeholders in accordance with the provisions of laws and regulations and international norms as well as a clear reference for KAN and Certification Bodies (CBs). During the pandemic, CBs can carry out the SVLK audit process using the remote audit method, both for initial certification, recertification and surveillance activities. This policy is in effect from April 16, 2020 until the emergency status of Covid19 is declared to have ended. This is reinforced by the issuance of a Circular Letter of the Director General of Sustainable Production Forest Management, Ministry of Environment and Forestry regarding the implementation of a remote audit of performance assessment of sustainable production forest management and verification of timber legality.

2. Objective

The objective of this technical guideline is to provide an overview of the technical implementation of remote SVLK audits, as well as serve as technical guidelines for business actors, especially furniture and craft SMEs, in carrying out remote SVLK audits.

3. Legal Basis and Regulatory Reference

As a legal basis and regulatory reference related to the implementation of remote SVLK audits, are as follows:

- a. Presidential Decree Number 11 of 2020, dated March 30, 2020 concerning the Determination of the 2019 Corona Virus Disease (Covid-19) Public Health Emergency;
- b. Regulation of the Minister of Environment and Forestry Number P.21 / MenLHK / Setjen / KUM.1 / 10/2020 concerning Performance Assessment of Sustainable Production Forest Management and Verification of Timber Legality in Permit Holders, Management Rights, Private Forests, or Legality Holders of Timber Forest Products Utilization;





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- c. The National Accreditation Committee Policy No. 004 / KAN / 04/2020 dated 15 April 2020 Related to Anticipating the Impact of the Covid-19 Pandemic on the Certification, Verification and Validation Process;
- d. Regulation of the Director General of Sustainable Production Forest Management Number SK.62 / PHPL / SET.5 / KUM.1 / 12/2020 concerning Standard Guidelines and / or Procedures for Assessment of Sustainable Production Forest Management Performance, Verification of Timber Legality, Due Diligence and Issuance of Supplier Conformity Declarations, as well as the Issuance of V-Legal Documents / FLEGT Licenses;
- e. Circular Letter of the Director General of Sustainable Production Forest Management, Ministry of Environment and Forestry Number: 05 / PHPL / PPHH / HPL.3 / 5/2020, dated May 28, 2020, concerning the Implementation of Remote Audit Performance Assessment of Sustainable Production Forest Management and Timber Legality Verification;
- f. IAF MD 4:2018 about IAF Mandatory Document for The Use of Information and Communication Technology (ICT) for Auditing/Assessment Purpose;
- g. IAF ID 3: 2011 about IAF Informative Document for Management of Extraordinary Events or Circumstances Affecting ABs, CABs and Certified Organizations;
- h. IAF ID 12:2015 about Principles on Remote Assessment.

4. Implementation of Remote SVLK Audit

a. Remote SVLK Audit Requirements

Remote SVLK audit requirements that must be met by auditee are:

- 1) Approve the use of information and communication technology for remote SVLK audit including information security and data protection measures;
- 2) Providing all the necessary infrastructure so that the remote SVLK audit process can take place properly, such as: internet connection, computer or smartphone, video conference application, and others;
- 3) Having personnel capable of using information and communication technology facilities and infrastructure;
- 4) Sending audit documents in accordance with the audit plan sent by the auditor team;
- 5) Creating an integrity pact that is signed by the leadership of the company and with a stamp duty, related to the accuracy of the data verified by the auditor.

b. Remote SVLK Audit Stages

1) Preparation for remote SVLK Audit

- Auditee approval.
The auditee approves the implementation of the remote audit and can meet the predetermined requirements.
- Fulfillment of audit administration requirements.
The auditee prepares remote audit administration requirements in accordance with applicable regulations.



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- Scheduling audits
The Certification Body arranges the audit schedule and informs the audit participants.
- 2) Risk Mitigation.
The certification body will conduct a risk mitigation analysis in connection with the planned implementation of the remote SVLK audit, including any obstacles that may be encountered.
- 3) Pre Audit
 - Creation of WhatsApp groups (D-10)
The Certification Body creates a WhatsApp group as a medium of communication between the audit team and the audit team with the auditee.
 - Request for documents and records (D-7)
The audit team coordinates with the auditee, then submits a list of documents and records required for the remote SVLK audit.
 - Submission of documents and records (D-5)
The auditee sends documents and records required by the audit team through online media.
 - Remote SVLK audit trial (H-3)
The audit team and auditee conduct remote SVLK audit trials to ensure that the remote SVLK audit can run well.
- 4) Implementation of Remote SVLK Audit
 - Remote SVLK audits are carried out by means of a video conference which has been agreed upon and attended by the auditee and the audit team.
 - Implementation of remote SVLK audits begins with an opening meeting and ends with a closing meeting, following the SVLK audit provisions stipulated in Regulation of the Minister of Environment and Forestry No. 21/2020, and for the guidelines, standards and procedures for verifying the legality of timber in accordance with Regulation of the Director General of Sustainable Production Forest Management No. 62/2020, especially Appendix 4.3 which regulates principles, criteria, indicators, verifiers, verification methods and assessment norms related to standards and guidelines for timber legality verification for Industrial Business License (IUI) holders, including furniture and craft SMEs.
 - Further coordination is carried out intensively for all documentation in accordance with regulations.
- 5) Corrective action and verification of corrective action
Corrective action and verification of corrective action refers to Regulation of the Minister of Environment and Forestry No. 21/2020 and Regulation of the Director General of Sustainable Production Forest Management No. 62/2020.
- 6) Reporting and Decisions
Reporting and decisions refer to the Certification Body's internal procedures and rules.



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