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Rainforest Alliance is an

FSC® accredited certifier

CoC-33 – 14 April 2017

****

Chain of Custody Certification

Report for:

poop

in

|  |  |
| --- | --- |
| Report Finalized: | This\_is\_an\_example\_of\_speex |
| Audit Dates: |  |
| Audit Team: |  |
|  | |
| Type of Certificate |  |
| Certificate code(s): | -COC- |
| Certificate issued: |  |
| *Report based on the following Standard(s):* | |
| Organization Contact: |  |
| Address: |  |

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# INTRODUCTION

The purpose of this report is to document conformance with the requirements of Forest Stewardship Council® (FSC®) Chain of Custody by      , hereafter referred to as “Organization”. The report presents the findings of Rainforest Alliance auditors who have evaluated Organization systems and performance against the applicable standard(s). Section 2 below provides the audit conclusions and any necessary follow-up actions by the Organization through corrective action requests.

Rainforest Alliance evaluation reports are kept confidential with the exception of Appendix A, section 2. This information is posted on FSC’s website and other relevant websites that post certificate details.

The Rainforest Alliance founded its previous SmartWood program in 1989 to certify responsible forestry practices and has grown to provide a variety of auditing services. Rainforest Alliance certification and auditing services are managed and implemented within its RA-Cert Division. All related personnel responsible for audit design, evaluation, and certification/verification/validation decisions are under the purview of the RA-Cert Division, hereafter referred to as Rainforest Alliance or RA. Chain-of-custody refers to the complete systems and procedures that allow for the tracking of a forest product from the logs traded by a forest manager or broker, to primary or secondary processing, to the wholesalers or retailers who bring the final product to the marketplace. The Rainforest Alliance is accredited by the Forest Stewardship Council (FSC).  FSC/Rainforest Alliance Certified organizations may purchase, process, and/or sell certified wood from other FSC-certified organizations.

Dispute resolution: If Rainforest Alliance clients encounter organizations or individuals having concerns or comments about Rainforest Alliance and our services, these parties are strongly encouraged to contact the local Rainforest Alliance regional office or the RA-Cert Division headquarters directly. Formal complaints or concerns should be sent in writing.

# AUDIT CONCLUSIONS

## Auditor Recommendation and Certification Decision

|  |  |  |
| --- | --- | --- |
|  | **Based on Organization’s conformance with Rainforest Alliance and FSC Chain of Custody requirements and the auditor recommendation, Rainforest Alliance makes the following recommendation:** | |
|  | *Certification approved:* | |
|  | *Certification not approved:* | |
| **Additional comments and justification:** | |  |

## 2.3 Summary of NCRs and OBS

|  |  |  |  |
| --- | --- | --- | --- |
| NCR Number  (NCR XX/XX) | Status | Standard Reference | Timeline |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

|  |  |  |  |
| --- | --- | --- | --- |
| Observation Number (OBS XX/XX) | Status | Standard Reference | Timeline |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

## 2.4 Nonconformity Reports (NCRs)

|  |
| --- |
| *Note: NCRs describe* *evidence of Organization nonconformances identified during audits. NCRs include defined timelines for the Organization to demonstrate conformance. MAJOR NCRs issued during assessments/ reassessments shall be closed prior to issuance of certificate. MAJOR NCRs issued during surveillance audits shall be closed within timeline or result in* ***suspension****.* |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **NCR#:** | XX/XX | **NC Classification:** | Major | Minor |
| Standard & Requirement: | | [List full name of standard, version, requirement number for which the NCR is raised against] | | |
| Report Section: | | [Reference the report section, e.g., Appendix with sub-section, to direct the Organization to the corresponding section in the report] | | |
| **Description of Nonconformance and Related Evidence:** | | | | |
| [Provide complete details of detected nonconformance as it relates specifically to the requirement(s) referenced above.  Include reference to specific evidence and cite any supporting exhibits.  If there are multiple points of evidence, use bullets to delineate these.  It is important to have clear details, but concise language.  Where necessary, describe the spatial scope of the NC, e.g., limited to localized area or systemic throughout operations. For multi-site CoC, specify if the NC is raised based on the “Central Office” or “Participating Sites”; for Group CoC, specify “Group Manager” or “Group Members”; for Group FM, specify “Group Entity” or “Group Members”.] | | | | |
| Corrective Action Request: | | Organization shall implement corrective actions to demonstrate conformance with the requirement(s) referenced above.  Note: Effective corrective actions focus on addressing the specific occurrence described in evidence above, as well as the root cause to eliminate and prevent recurrence of the nonconformance. | | |
| **Timeline for Conformance:** | | Prior to (re)certification  By the next annual surveillance audit  X months from report finalization (dd/mm/yy)  1 month from report finalization (dd/mm/yy), or certificate will face immediate suspension | | |
| **NCR Evaluation Type** | | On-site  Desk Review | | |
| Evidence Provided by Organization: | | PENDING  [Note: TMs may decide to require the Organization to complete this section. Brief description of what the Organization has prepared as its evidence for actions taken to address the root cause and eliminate the NC.  When the NCR is upgraded to Major, maintain the original text here, add new evidence when applicable, and use dates to differentiate these.] | | |
| Findings for Evaluation of Evidence: | | PENDING  [Auditor findings upon evaluation of the evidence above. Findings need to clearly describe the adequacy of the evidence for either closing or maintaining the NCR as open.  Per above, when the NCR is upgraded to Major, maintain the original text here, add new findings when Major NCR is evaluated, and use dates to differentiate these.] | | |
| **NCR Status:** | | OPEN | | |
| Comments (optional): | | [Use to refer to upgraded NCRs, and/or any relevant comments] | | |

## 2.5 Observations

|  |
| --- |
| *Note: Observations are issued for the early stages of a problem which does not of itself constitute a nonconformance, but which the auditor considers may lead to a future nonconformance if not addressed by the organization; observations may lead to direct nonconformances if not addressed.* |

|  |  |
| --- | --- |
| OBS XX/XX | Reference Standard & Requirement: |
| Description of findings leading to observation: | |
| Observation: | |

## 2.6 Additional Notes on Audit Findings

## 2.7 Actions Taken by Organization Prior to Report Finalization

## 2.8 Notes for Next Audit

# AUDIT PROCESS

## Audit Team

|  |  |
| --- | --- |
| **Auditor(s)** | **Qualifications** |
|  | [Brief details of training and experience that qualify the auditor for FSC CoC auditing] |
|  |  |

## Audit Overview

|  |
| --- |
| *Note: The table below provides an overview of the audit scope and auditors. See standard checklist appendix for specific details on people interviewed and audit findings per site audited.* |

|  |  |  |
| --- | --- | --- |
| **Site(s)** | **Date(s)** | **Length of Audit** |
| [Name that identifies location and is the same throughout report (full address not necessary), + identification of facilities]  [Please delete unused rows] |  | [hours, days for planning, evaluation, report] |
|  |  |  |
|  |  |  |
|  |  |  |

## Description of Overall Audit Process

# APPENDICES

# Appendix A: ORGANIZATION DETAILS

# Contacts

## Primary Contact for Coordination with Rainforest Alliance

|  |  |
| --- | --- |
| Primary Contact, Position: |  |
| Address: |  |
| Tel/Fax/Email: |  |

## Billing Contact

Same as shown for 1.1

|  |  |
| --- | --- |
| Contact, Position: |  |
| Address: |  |
| Tel/Fax/Email: |  |

## Online Certificate Contact

|  |
| --- |
| *Note: upon certification, the FSC web site posts and maintains contact details as well as FSC product group and certificate scope information at*  [*www.info.fsc.org*](http://www.info.fsc.org) |

|  |  |  |
| --- | --- | --- |
| **Field** | **Text** | **Has this Info Changed?**  (N/A for Assessments) |
| Contact, Title: |  | Yes  No |
| Address: |  | Yes  No |
| Tel/Fax/Email: |  | Yes  No |
| Web site: |  | Yes  No |

## Sales/Marketing Contact

Same as shown for

|  |  |
| --- | --- |
| Contact, Position: |  |
| Address: |  |
| Tel/Fax/Email: |  |

# Certificate Scope

## Scope Details:

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Scope Item** | **Check all that apply to the Certificate Scope** | | | | | | **Change in Scope**  (N/A for Assessments) |
| Certificate Type: | Single | | Multi-site | | Group | |  |
| Approved Standards: |  | | | | | |  |
| Primary Activity: |  | | | | | |  |
| Input Material Categories: | FSC 100% | | FSC Mix | | FSC Recycled | |  |
|  | FSC CW | Controlled Material | | Post-consumer Reclaimed | | Pre-consumer Reclaimed |  |
| System for FSC Claims: | Transfer | | Percentage | | Credit | |  |
| FSC Claims | FSC 100% | | FSC Mix X% | | FSC Mix Credit | |  |
|  | FSC Recycled X% | | FSC Recycled Credit | | FSC Controlled Wood | |  |
| Controlled Wood Verification Program: | Low risk sources | | | Sources with unspecified risk | | |  |
|  | New districts approved for controlled material inputs: | | | | | |  |
| Outsourcing: | FSC-certified Subcontractors | | | Non-certified Subcontractors | | |  |
|  | Outsourcing of the complete production process | | | | | |  |
|  | High risk subcontractor site(s) included | | | | | |  |
| Trademark Use: | FSC On-product Labeling | | FSC Promotional | | RAC Seal | |  |
| Specify FSC Product Groups added or removed: | | | | | | | |
| Comments: | | | | | | | |

## Number of Sites included in this Certificate:

## Identify Sites that Qualify for Desk Audits (no physical possession):

## 

## Type of Legal Entity (of certificate holder):

## Jurisdiction of Primary Legal Entity:

## General Overview of the Organization:

## Details per :

**Table 1: Site Details**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Site**  **+ Legal Entity + FSC Identifier** (if applicable) | **Address**  **Tel/Fax/Email** | **Type of Operation** | **# of Workers** (Approximate) | **Annual Turnover for AAF** (USD) |
| [Always include the trade or legal name, or other identifying name.  FSC identifier is N/A for single certs; required for multi-site and group: A, B, C…] | [Ok to reference sections above if info already exists] | [Enter all that apply: primary manufacturer, secondary manufacturer, broker, distributor, importer, exporter, wholesaler, retailer, timber harvesting company, printer, publisher  For multi-site, list subset operations together for easy identification of subsets.] |  | [Data requested for AAF class in table 3] |
|  |  |  |  |  |
|  |  |  |  |  |

**Table 2: FSC Product Group Details**

|  |  |  |  |
| --- | --- | --- | --- |
| **Site** | **Inputs to FSC Product Groups** | **FSC Product Groups** | **Product Type**  (FSC-STD-40-004a) |
| [Trade or legal name, or identifying name.  Use one line per product group.  The Product Group Schedule shall not replace Table 2 since it does not meet the requirements for input data.] | [Enter current and potential raw material inputs for each FSC product.  Include species and material category per input: FSC 100%, FSC Mix, FSC Recycled, FSC Controlled Wood, controlled material, post-consumer reclaimed, pre-consumer reclaimed.] | [Enter applicable species and FSC claim for each FSC product group: FSC 100%, FSC Mix, FSC Recycled, FSC CW (e.g., 100% birch table with cherry veneer, FSC Mix oak kiln-dried lumber, FSC CW birch plywood] | [Specify the ‘product type’ code and nomenclature from 40-004a “FSC Product Classification”] |
|  |  |  |  |
|  |  |  |  |

In place of Table 2, product details are found in “CoC Annual Reporting”, Exhibit       (*Audits Only*)

In place of Tables 1 and 2, Multi-site/Group details are found in “CoC Site Details” template, Exhibit

# FSC Annual Administration Fee (AAF)

|  |
| --- |
| *Note: The FSC Annual Administration Fee (AAF) is determined based on the Organizational and certificate structure per FSC-POL-20-005 “FSC Annual Administration Fee Policy”. Turnover includes all wood / wood fiber based products and is requested per site in Table 1 above to facilitate an accurate and consistent AAF for the certificate. The AAF is updated each year based on the current FSC AAF policy.* |

## FSC AAF Type Category:

## FSC AAF Class:

|  |  |  |
| --- | --- | --- |
| **Check Per Total Turnover in Table 1** | **AAF Size Class** | **Annual Turnover ($USD)** |
|  | **Class 1** | < 200,000 |
|  | **Class 2** | 200,000 – 1,000,000 |
|  | **Class 3** | > 1 – 5 Million |
|  | **Class 4** | > 5 – 25 Million |
|  | **Class 5** | > 25 – 100 Million |
|  | **Class 6** | > 100 – 500 Million |
|  | **Class 7** | > 500 – 1,000 Million |
|  | **Class 8** | > 1,000 – 2,000 Million |
|  | **Class 9** | > 2,000 – 3,000 Million |
|  | **Class 10** | > 3,000 – 5,000 Million |
|  | **Class 10 +** | > 5,000 Million |
|  | **Group/Multi-site with Traders and Processors**  Comments: | |
|  | **AAF size class has changed since last audit**  Comments: | |

# Certification Schemes Organization is Verified Against

|  |  |  |
| --- | --- | --- |
| None (in addition to FSC) | ISO 9000 | ISO 14000 |
| PEFC | SFI | Other: |

# Appendix      : ASSESSMENT ANALYSES

|  |
| --- |
| *Note: FSC requirements for assessment evaluations include analyses of the Organization’s management system and critical control points in the control system covering all processes and FSC product groups.*  Critical control points are places within the operation where materials from non-certified/uncontrolled sources could enter the system or where certified/controlled materials could leave the system.  *When weaknesses with the management system as well as high risk areas in the CoC control system are identified, brief descriptions are included in the tables below. Complete details of the systems and any identified non-conformances are included in the standard checklist appendices of this report.* |

**1 General Overview of the Organization**

|  |
| --- |
| Relevant to the complexity of the Organization’s systems, provide a summary of the operations. This summary should give report reviewers and future auditors a complete picture of the operations and systems, especially as they relate to FSC product groups. |
|  |

**2 Evaluation of Management System**

|  |  |
| --- | --- |
| **Analysis of Management System Component** | **Conformance** |
| 1.1 Critical aspects of management control shall ensure the applicable standards are implemented across all operations in the certificate scope: | Yes  No |
| If no, describe: | |
| 1.2 Organization shall demonstrate capacity in terms of technical resources to implement its documented management system: | Yes  No |
| If no, describe: | |
| 1.3 Organization shall demonstrate capacity in terms of human resources to implement its documented management system: | Yes  No |
| If no, describe: | |
| 1.4 Organization’s training system shall be adequate and effective for responsible personnel throughout the CoC control system: | Yes  No |
| If no, describe: | |
| 1.5 Organization’s system for supervision of responsible personnel shall ensure effective implementation of the documented management system: | Yes  No |
| If no, describe: | |
| Comments: | |

**3 Evaluation of Critical Control Points and Risks**

|  |  |  |
| --- | --- | --- |
| **Critical Control Point** | **Examples of High Risk Areas** | **Description of High Risk Areas and Control Measures** |
| Purchasing/ Sourcing | * A variety of input *material categories* are used for FSC product groups; * A large number and/or a variety of suppliers is used for inputs to FSC product groups * A variety of sources are used for *controlled material* inputs; * A variety of sources are used for non-certified reclaimed inputs. | Low Risk  High Risk  High risk area:  Control measures: |
| Receiving/ Storage | * A variety of *material categories* need to be correctly identified; * *Material categories* of inputs change on a regular basis; * A large number of and/or varying suppliers are used such that supplier documentation is ever changing; * Identical certified and non-certified inputs are used; * Use of raw material generated on-site; * System relies on supplier labeling for identification of materials in storage. | Low Risk  High Risk  High risk area:  Control measures: |
| System for Controlling FSC Claims | * Transfer system with different *material categories* used per FSC product group; * Percentage system with varying *material categories* as inputs; * Credit system with varying *material categories* as inputs * Credit system where credit is not entered in the account until material enters production; * Credit system with shared inputs for different FSC product groups. | Low Risk  High Risk  High risk area:  Control measures: |
| Sales/ Shipping | * Variety of *FSC claims* used dependent on changing product groups; * *FSC claim* needs to correspond to the FSC label category with changing product groups; * Invoice does not accommodate full FSC description, requiring use of supplementary documentation * Shipping documents initiated by separate department/entity from sales invoice. | Low Risk  High Risk  High risk area:  Control measures: |
| Volume Control | * Operating a system that has not historically tracked conversion; * Inputs are shared for different product groups; * Volume tracking system is not fully automated for generating queries. | Low Risk  High Risk  High risk area:  Control measures: |
| Labeling | * Variety of FSC labels used based on changing product groups; * Labeling planned based on transfer system with a varying inputs that require verification that minimum is met; * Labeling planned with a percentage system with fluctuating percentages that may fall below minimum for labeling. | Low Risk  High Risk  N/A  High risk area:  Control measures: |
| Outsourcing | * The complete production process for product group(s) is outsourced; * FSC-labeling takes place during outsourcing; * Outsourcing arrangements and subcontractors vary based on specific orders. | Low Risk  High Risk  N/A  High risk area:  Control measures: |

# Appendix      : audit and nonconformance findings

# Audit Background

|  |  |  |
| --- | --- | --- |
| 1.1 Audit Period (Date Range Audit Covers): | |  |
| 1.2 Has the management system changed since the previous evaluation:  Note: if the management system has changed significantly a new “Evaluation of Management System” from the “Assessment Analyses” Appendix is required. | | Yes  No |
| If yes, briefly review the changes: | | |
| 1.3 Have there been any complaints, disputes, or allegations of nonconformance with the standards raised against the Organization during the audit period: | | Yes  No |
| If yes, reference standard and criteria where corresponding findings are found in the report: | | |
| 1.4 Has the organization sold any products with FSC claims since the previous evaluation?  Note: Answers of no shall be recorded within the FSC database. | Yes  No  N/A  (for assessments) | |

# Evaluation of Open Nonconformity Reports (NCRs)

|  |
| --- |
| *Note: this section indicates the Organization’s actions to comply with NCRs that have been issued during or since the last audit. Failure to comply with a minor NCR results in the NCR being upgraded to major; the specified follow-up action is required by the Organization or involuntary suspension will take place.* |

|  |  |
| --- | --- |
| **Status Categories** | **Explanation** |
| Closed | Operation has successfully met the NCR. |
| Open | Operation has either not met or has partially met the NCR. |

Check if N/A (there are no open NCRs to review)

# Volume Summary Data

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| Annual volume summary data shown in Exhibit | | | | | | |
|  | Annual volume summary data presented using Rainforest Alliance “CoC Annual Reporting” template. | | | | | |
|  | Annual volume summary data presented in a format prepared by the Organization (see below). | | | | | |
| If the Organization has used its own format, the auditor shall confirm the following is included: | | | | | | |
| Date prepared | | 12-month audit period for volume data is used | | | | |
| **INPUTS** | | | | | | |
| Input data is presented per FSC product group with *material category* identified | | | | | | |
| Quantity received | | Quantity used for production  N/A | | Quantity of inputs in stock at the time of preparation  N/A | | Measurement Units |
| **OUTPUTS** | | | | | | |
| Output data is presented per FSC product group with 40-004a product type identified | | | | | | |
| Quantity of outputs in stock at the time of preparation  N/A | | | Quantity Sold | | Measurement Units | |
| Comments and/or nonconformances found with volume summary: | | | | | | |
|  | | | | | | |

# Appendix      : standard checklist (Chain of Custody FSC-STD-40-004 V3-0)

**1 Evaluation of :**

|  |  |  |
| --- | --- | --- |
| **Primary Responsible Person:**  **(Responsible for control system at site(s))** |  | |
| **Auditor(s):** |  | |
| **People Interviewed, Titles:** |  | |
| **Brief Overview of Audit Process for this Location:** |  | |
| **Has Organization taken Physical Possession of FSC-certified Materials:**  **(Assessments without possession require notification to Rainforest Alliance as soon as FSC materials are on-site)** | | **Yes  No**  **N/A  (for audits)** |
| **Has sold any products with FSC claims since the previous evaluation?** | | Yes  No  N/A  (for assessments) |
| **Comments:** | | |

**2 FSC Sales**

|  |  |
| --- | --- |
| **Type(s) of Customers for FSC Product Groups:** | **Broker/distributors  Manufacturers  Retailers  Printers**  **End-users  Other:** |
| **Comments:** | |

**3 Standard Checklist** The following section summarises the Organisation’s compliance with FSC Chain of Custody (CoC) requirements. This checklist is directly based on the FSC CoC standard FSC-STD-40-004 *Chain of Custody Certification* V3 EN*.* FSC standard requirement numbers are identical with the checklist numbers below.

**Part I: Universal Requirements**

|  |  |
| --- | --- |
| **Standard Requirement** | **Compliance** |
| ***1. CoC management system*** | |
| 1.1 The organization shall implement and maintain a CoC management system adequate to its size and complexity to ensure its continuous conformity to all applicable certification requirements, including the following:   1. appoint a management representative who has overall responsibility and authority for the organization’s conformity to all applicable certification requirements; 2. implement and maintain up-to-date documented procedures covering the certification requirements applicable to the scope of the certificate; 3. define the key personnel responsible for the implementation of each procedure; 4. train staff on the up-to-date version of the organization’s procedures to ensure their competence in implementing the CoC management system; 5. maintain complete and up-to-date records of the documents that are relevant to demonstrate the organization’s conformity with all applicable certification requirements which shall be retained for a minimum period of five (5) years. At a minimum, the organization shall keep records of the following documents as applicable to the certificate scope: procedures, product group lists; training records; purchase and sales documents; material accounting records; annual volume summaries; trademark approvals; records of suppliers, complaints, and outsourcing; control of nonconforming products; verification program records for reclaimed material, and records related to a due diligence program for controlled material and FSC Controlled Wood.   [Exhibit required] | Yes  No |
| **Findings:** | |
| 1.2 The organization shall apply the eligibility criteria specified in Part IV to define its eligibility for single, multisite, or group CoC certification | Yes  No |
| **Findings:** | |
| 1.3 The organization shall commit to the FSC values as defined in FSC-POL-01-004 by signing a self-declaration that the organization is not directly or indirectly involved in the following activities:   1. illegal logging or the trade in illegal wood or forest products; 2. violation of traditional and human rights in forestry operations; 3. destruction of high conservation values in forestry operations; 4. significant conversion of forests to plantations or non-forest use; 5. introduction of genetically modified organisms in forestry operations; 6. violation of any of the ILO Core Conventions, as defined in the ILO Declaration on Fundamental Principles and Rights at Work, 1998 | Yes  No |
| **Findings:** | |
| 1.4 The organization shall commit to occupational health and safety (OHAS). At a minimum, the organization shall appoint an OHAS representative, establish and implement procedures adequate to its size and complexity, and train its staff on OHAS.  NOTE: Other certifications and enforcement of local legislation on OHAS that cover the elements required in Clause 1.4 may be used as evidence of conformity to this requirement (i.e. the organization may be considered as automatically meeting Clause 1.4.). | Yes  No |
| **Findings:** | |
| 1.5 The organization shall ensure that complaints received regarding the organization’s conformity to the requirements applicable to the scope of the organization’s CoC certificate are adequately considered, including the following:   1. acknowledge receipt of the complaint to the complainant within two (2) weeks of receiving the complaint; 2. investigate the complaint and specify its proposed actions in response to the complaint within three (3) months. If more time is needed to complete the investigation, the complainant and the organization’s certification body shall be notified; 3. take appropriate actions with respect to complaints and any deficiencies found in processes that affect conformity to the certification requirements; 4. d. notify the complainant and the organization’s certification body when the complaint is considered to be successfully addressed and closed. | Yes  No |
| **Findings:** | |
| 1.6 The organization shall have procedures in place to ensure that any non-conforming products are identified and controlled to prevent their unintended sale and delivery with FSC claims. Where non-conforming products are detected after they have been delivered, the organization shall undertake the following activities:   1. notify its certification body and all affected direct customers in writing within five business days of the non-conforming product identification, and maintain records of that notice; 2. analyse causes for occurrence of non-conforming products, and implement measures to prevent their reoccurrence; 3. cooperate with its certification body in order to allow the certification body to confirm that appropriate actions were taken to correct the non-conformity. | Yes  No |
| **Findings:** | |
| 1.7 The organization shall support transaction verification conducted by its certification body and Accreditation Services International (ASI), by providing samples of FSC transaction data as requested by the certification body | Yes  No |
| **Findings:** | |

|  |  |
| --- | --- |
| Standard Requirement | Compliance |
| ***2. Material sourcing*** | |
| 2.1 The organization shall maintain up-to-date information about all suppliers who are supplying materials used for FSC product groups, including names, certification code (if applicable), and materials supplied. | Yes  No |
| **Findings:** | |
| 2.2 In order to confirm any changes that might affect the availability and authenticity of the supplied products, the organization shall regularly verify the validity and product groups scope of the certificates of their active FSC-certified suppliers through the FSC certificate database (info. fsc.org).  NOTE: Other FSC platforms synchronized with the FSC certificate database (i.e. the trademark portal and the OCP) may support the organization’s conformity to this requirement by sending automatic notifications to the organization in the case of a change in the certificate scope of its suppliers. | Yes  No |
| **Findings:** | |
| 2.3 The organization shall have procedures in place to check the supplier’s sale and/or delivery documentation to confirm that:   1. the supplied material type and quantities are in conformity to the supplied documentation; 2. the FSC claim is specified; 3. the supplier’s FSC Chain of Custody or FSC Controlled Wood code is quoted for material supplied with FSC claims. | Yes  No |
| **Findings:** | |
| 2.4 The organization shall ensure that only eligible inputs and the correct material categories are used in FSC product groups as defined in Table B. | Yes  No |
| **Findings:** | |
| 2.5 Organizations sourcing non-FSC-certified reclaimed material for use in FSC product groups shall conform to the requirements of FSC-STD-40-007. | Yes  No  N/A |
| **Findings:** | |
| 2.6 Organizations sourcing non-FSC-certified virgin material for use in FSC product groups as controlled material shall conform to the requirements of FSC-STD-40-005. | Yes  No  N/A |
| **Findings:** | |
| 2.7 Organizations that reclaim materials from primary or secondary processing at their own site may classify the material as the same or lower material category as the input from which it was derived. Materials reclaimed from secondary processing may also be classified by the organization as pre-consumer reclaimed material, except materials that are discarded by a manufacturing process but that can be reused on site by being incorporated back into the same manufacturing process that generated it. | Yes  No  N/A |
| **Findings:** | |
| 2.8 The organization may classify material held in stock at the time of the main evaluation by the certification body and material received between the date of the main evaluation and the issue date of the organization’s CoC certificate as eligible input, provided that the organization is able to demonstrate to the certification body that the materials meet the FSC material sourcing requirements. | Yes  No  N/A |
| **Findings:** | |

|  |  |
| --- | --- |
| Standard Requirement | Compliance |
| ***3. Material handling*** | |
| 3.1 In cases where there is risk of non-eligible inputs entering FSC product groups, the organization shall implement one or more of the following segregation methods:   1. physical separation of materials; 2. temporal separation of materials; 3. identification of materials. | Yes  No  N/A |
| **Findings:** | |

|  |  |
| --- | --- |
| Standard Requirement | Compliance |
| ***4. FSC material and products records*** | |
| 4.1 For each product group or job order, the organization shall identify the main processing steps involving a change of material volume or weight and specify the conversion factor(s) for each processing step or, if not feasible, for the total processing steps. The organization shall have a consistent methodology for calculating conversion factor(s) and shall keep them up to date.  NOTE: Organizations that produce custom manufactured products are not required to specify conversion factors before manufacturing, but they shall maintain production records that enable conversion factors to be calculated. | Yes  No  N/A |
| **Findings:** | |
| 4.2 The organization shall maintain up-to-date material accounting records (e.g. spreadsheets, production control software) of materials and products in the scope of the FSC certificate, including:   1. inputs: purchase document number, date, quantities, and material category including the percentage or credit claim (if applicable); 2. outputs: sales document number, date, product description, quantities, FSC claim, and applicable claim period or job order; 3. FSC percentage calculations and FSC credit accounts. | Yes  No |
| **Findings:** | |
| 4.3 Organizations that are certified to FSC and other forestry certification schemes and that have inputs and outputs that simultaneously carry claims from these schemes shall demonstrate that the quantities of products are not inappropriately counted multiple times.  NOTE: This can be done by establishing a single accounting record for these materials which clearly identifies the quantities of materials and products and the respective certification claim(s) applied to outputs. When this is not possible, the organization should enable the certification body’s assessment of this requirement by other means. | Yes  No  N/A |
| **Findings:** | |
| 4.4 The organization shall prepare reports of annual volume summaries (in the measurement unit commonly used by the organization), covering the period since the previous reporting period, demonstrating that the quantities of output products sold with FSC claims are compatible with the quantities of inputs, any existing inventory, their associated output claims, and the conversion factor(s) by product group.  NOTE: Organizations that make custom manufactured products (e.g. woodworkers, building contractors, construction companies) may present the annual FSC summary reports as an overview of the job orders or construction projects instead of by product group.  [Exhibit required for Audits and Reassessments. In case of multi-sites, exhibits shall be collected for each site] | Yes  No |
| **Findings:** | |

|  |  |
| --- | --- |
| Standard Requirement | Compliance |
| ***5. Sales*** | |
| 5.1 The organization shall ensure that sales documents (physical or electronic) issued for products sold with FSC claims include the following information:   1. name and contact details of the organization; 2. information to identify the customer, such as name and address of the customer (except for sales to end consumers); 3. date when the document was issued; 4. product name or description; e. quantity of products sold; 5. the organization’s FSC certificate code associated to FSC-certified products and/ or FSC Controlled Wood code associated to FSC Controlled Wood products; 6. a clear indication of the FSC claim for each product item or the total products as specified in Table C. | Yes  No |
| **Findings:** | |
| 5.2 Organizations at the end of the supply chain selling FSC finished and labelled products (e.g. retailers, publishers) may omit the percentage or credit information in sales documentation (e.g. using “FSC Mix” claim only instead of “FSC Mix 70%” or “FSC Mix Credit”). In this case, however, this information is lost and subsequent organizations in the supply chain are not permitted to use or reinstate the percentage or credit information related to these products. | Yes  No  N/A |
| **Findings:** | |
| 5.3 If the sales documentation issued by the organization is not included with the shipment of the product and this information is relevant for the customer to identify the product as being FSC certified, the related delivery documentation shall include the same information as required in Clause 5.1 and a reference linking it to the sales documentation. | Yes  No |
| **Findings:** | |
| 5.4 The organization shall ensure that products sold with an FSC 100%, FSC Mix, or FSC Recycled claim on sales documentation do not carry any labels from other forestry certification schemes.  NOTE: FSC-certified product may simultaneously carry the FSC claim and the claim of other forestry certification schemes on sales and delivery documents, even if the product is FSC labelled. | Yes  No |
| **Findings:** | |
| 5.5 Organizations may identify products exclusively made of input materials from small or community producers by adding the following claim to sales documents: “From small or community forest producers”. This claim can be passed on along the supply chain by certificate holders. | Yes  No  N/A |
| **Findings:** | |
| 5.6 The organization may only sell products with the ‘FSC Controlled Wood’ claim on sales and delivery documents if the products are raw or semi-finished products and the customer is FSC certified. | Yes  No  N/A |
| **Findings:** | |
| 5.7 If the organization is unable to include the FSC claim and/or certificate code in sales or delivery documents, the required information shall be provided to the customer through supplementary documentation (e.g. supplementary letters). In this case, the organization shall obtain permission from its certification body to implement supplementary documentation in accordance with the following criteria:   1. there shall exist clear information linking the supplementary documentation to the sales or delivery documents; 2. there is no risk that the customer will misinterpret which products are or are not FSC certified in the supplementary documentation; 3. where the sales documents contain multiple products with different FSC claims, each product shall be cross-referenced to the associated FSC claim provided in the supplementary documentation. | Yes  No  N/A |
| **Findings:** | |
| 5.8 Organizations that sell custom manufactured FSC products (e.g. woodworkers, building contractors, construction companies) that do not list the FSC-certified products on the invoice as required by Clause 5.1 may issue supplementary documents to the invoices issued for construction or other related services. The supplementary document shall include the following:   1. reference information sufficient to link the service invoice(s) to the supplementary document; 2. a list of the FSC-certified components used with the related quantities and FSC claims; 3. the certificate code of the organization. | Yes  No  N/A |
| **Findings:** | |
| 5.9 The organization may opt to downgrade an FSC output claim as presented in Figure A. The FSC label shall correspond to the FSC claim made on sales documents, except in the case of retailers selling finished and labelled products to end-consumers.  NOTE: Products that are 100% made of reclaimed materials can only be claimed as FSC Recycled. | Yes  No  N/A |
| **Findings:** | |

|  |  |
| --- | --- |
| Standard Requirement | Compliance |
| ***6. Compliance with timber legality legislation*** | |
| 6.1 The organization shall ensure that its FSC-certified products conform to all applicable timber legality legislation. At a minimum, the organization shall:   1. have procedures in place to ensure the import and/or export of FSC-certified products by the organization conform to all applicable trade and customs laws (if the organization exports and/or imports FSC products); 2. upon request, collect and provide information on species (common and scientific name) and country of harvest (or more specific location details if required by legislation) to direct customers and/or any FSC-certified organizations further down the supply chain that need this information to comply with timber legality legislation. The form and frequency of providing this information may be agreed upon between the organization and the requester;   NOTE: If the organization does not possess the requested information on species and country of origin, the request shall be passed on to the upstream suppliers until the information can be obtained.   1. ensure that FSC-certified products containing pre-consumer reclaimed wood (except reclaimed paper) being sold to companies located in countries where timber legality legislation applies either:    1. only include pre-consumer reclaimed wood materials that conform to FSC Controlled Wood requirements in accordance with FSC-STD-40-005; or    2. inform their customers about the presence of pre-consumer reclaimed wood in the product and support their due diligence system as required by applicable timber legality legislation.   NOTE: Organizations applying option c (i) above may apply the requirements for co-products outlined in FSC-STD-40-005. | Yes  No |
| **Findings:** | |

**Part II: Control of FSC Claims**

NOTE: Examples on the application of the product group and FSC control system requirements are provided in Annexes A and B, respectively.

|  |  |
| --- | --- |
| Standard Requirement | Compliance |
| ***7. Establishment of product groups for the control of FSC claims*** | |
| 7.1 The organization shall establish product groups for the purpose of controlling FSC output claims and labelling. Product groups shall be formed by one or more output products that:   1. belong to the same product type in accordance with FSC-STD-40-004a; 2. are controlled according to the same FSC control system. | Yes  No |
| **Findings:** | |
| 7.2 The following additional conditions apply for the establishment of product groups under the percentage and/or credit system:   * + 1. all products shall have the same conversion factor. If not, they may still be grouped under the same product group, but the applicable conversion factors shall be applied to the corresponding products for the calculation of the amount of output products that can be sold with FSC percentage or FSC credit claims;     2. all products shall be made of the same input material (e.g. pine lumber) or same combination of input materials (e.g. a product group of veneered particle boards, where all products are made of a combination of particle board and veneer of equivalent species).   NOTE: An input material and/or species of wood of a product group may be substituted by another material and/or species provided that they are equivalent. Variations of material or product dimension or shape are accepted within the same product group. Different types of wood pulp are considered as equivalent input materials. | Yes  No  N/A |
| **Findings:** | |
| 7.3 The organization shall maintain an up-to-date list of product groups specifying for each:   * + 1. the product type(s) of the output products in accordance with FSC-STD-40-004a;     2. the applicable FSC claims for the outputs. The organization may also indicate products that are eligible to carry the FSC Small and Community Label if the organization wants this information to be public in the FSC certificate database;     3. the species (including scientific and common names), where the species information designates the product characteristics.   [Exhibit required] | Yes  No |
| **Findings:** | |

|  |  |
| --- | --- |
| Standard Requirement | Compliance |
| ***8. Transfer system***  **Check if section is not applicable** | |
| 8.1 For each product group, the organization shall specify claim periods or job orders for which a single FSC claim shall be made. | Yes  No |
| **Findings:** | |
| 8.2 For claim periods or job orders in which inputs belong to a single material category carrying an identical FSC claim, the organization shall determine this to be the corresponding FSC claim for the outputs. | Yes  No  N/A |
| **Findings:** | |
| 8.3 For claim periods or job orders in which inputs of different material categories or associated percentage claims or credit claims are combined, the organization shall use the lowest FSC claim per input volume as the FSC claim for the outputs, as indicated in Table D. | Yes  No  N/A |
| **Findings:** | |

|  |  |
| --- | --- |
| Standard Requirement | Compliance |
| ***9. Percentage system***  **Check if section is not applicable** | |

|  |  |
| --- | --- |
| Standard Requirement | Compliance |
| ***10. Credit system***  **Check if section is not applicable** | |

**Part III: Supplementary Requirements**

|  |  |
| --- | --- |
| Standard Requirement | Compliance |
| ***11. FSC labelling requirements***  **Check if section is not applicable (Organisation does not, and does not plan to apply FSC labels)** | |
| 11.1 The organization may apply the FSC label on FSC-certified products following the requirements specified in FSC-STD-50-001. The type of FSC label shall always correspond to the FSC claim made on sales documents, as specified in Table E. | Yes  No |
| **Findings:** | |
| 11.2 Only FSC products that are eligible for FSC labelling may be promoted with the FSC trademarks. | Yes  No |
| **Findings:** | |
| 11.3 Products exclusively made of input materials from small and/or community producers are eligible to carry the FSC Small and Community Label. | Yes  No  N/A |
| **Findings:** | |
| ***12. Outsourcing***  **Check if Organization will not/ does not outsource processing/ handling for FSC product groups. See separate report checklist for outsourcing requirements and findings, if applicable.** | |

**Part IV: Eligibility Criteria for Single, Multisite, and Group CoC Certification**

|  |  |
| --- | --- |
| Standard Requirement | Compliance |
| ***13. Eligibility for single CoC certification***  **Check if section is not applicable** | |
| 13.1 An organization is eligible for single CoC certification if the scope of the certificate includes a single site or multiple sites (two or more sites) that conform to the following criteria:   1. one site under the scope of the single CoC certificate is: 2. acting as the certificate holder; 3. responsible for invoicing of certified and non-certified materials or products covered by the scope of the certificate to external clients; 4. controlling the use of the FSC Trademarks. 5. all sites under the scope of the single CoC certificate are: 6. operating under a common ownership structure; 7. managed under direct control of the certificate holder; 8. in an exclusive business relationship with each other for the output materials or products covered by the scope of the certificate; 9. located in the same country | Yes  No  N/A |
| **Findings:** | |
| 13.2 For single CoC certification, all sites included in the scope of certification shall conform to all applicable certification requirements specified in FSC-STD-40-004. The requirements specified in FSC-STD-40-003 do not apply.  NOTE: In this scenario, all applicable certification requirements as defined in FSC-STD-40-004 shall be evaluated by the certification body at all sites included in the scope of the certificate within each audit (i.e. no sampling applies). | Yes  No  N/A |
| **Findings:** | |

|  |  |
| --- | --- |
| Standard Requirement | Compliance |
| ***14. Eligibility for multi-site CoC certification***  **Check if section is not applicable** | |
| 14.1 An organization is eligible for multi-site certification if the scope of the certificate includes two or more sites or legal entities (referred to as ‘participating sites’ in FSC-STD-40-003) that conform to the following criteria:   * + 1. all participating sites and the organization that holds the certificate are linked through common ownership; or     2. all participating sites:     3. have a legal and/or contractual relationship with the organization; and     4. have common operational procedures (e.g. same production methods, same product specifications, integrated management software); and     5. are subject to a centrally administered and controlled management system established by the organization that has authority and responsibilities beyond those related solely to certification, including at least one of the following elements: * centralized purchase or sales function of forest products; * operation under the same brand name (e.g. franchise, retailer). | Yes  No  N/A |
| **Findings:** | |
| 14.2 Based on the requirements of Clause 14.1, the following organizations are not eligible for multisite CoC certification:   1. organizations that do not have authority over the admission or removal of participating sites from the certificate scope; 2. associations; 3. non-profit organizations that have for-profit members. | Yes  No  N/A |
| **Findings:** | |
| 14.3 For multi-site CoC certification, all participating sites included in the scope of the certificate shall conform to all applicable certification requirements specified in FSC-STD-40-004 and FSC-STD-40-003. NOTE: Multi-site CoC certificates are evaluated by the certification body based on a defined sampling methodology as specified in FSC-STD-20-011. | Yes  No  N/A |
| **Findings:** | |

|  |  |
| --- | --- |
| Standard Requirement | Compliance |
| ***15. Eligibility for group CoC certification***  **Check if section is not applicable** | |
| 15.1 A group CoC certificate may be established including two or more independent legal entities (named as participating sites according to FSC-STD-40-003) in the scope of the certificate if the following eligibility criteria are met:   1. Each participating site shall qualify as ‘small’ as defined by:    * 1. No more than 15 employees (full-time equivalent); or      2. No more than 25 employees (full-time equivalent) and a maximum total annual turnover of US$ 1,000,000.   NOTE: The annual turnover criteria is only applicable to organizations that have for-profit activities.   1. All participating sites shall be located in the same country as the organization that holds the certificate.   NOTE: FSC-PRO-40-003 authorizes FSC National Offices to define nationally specific eligibility criteria for group CoC certification. National eligibility criteria approved by FSC supersede those in Clause 15.1 a) above and are published on the FSC website (in FSC-PRO-40-003a). | Yes  No  N/A |
| **Findings:** | |
| 15.2 For group CoC certification, all participating sites included in the scope of the certificate shall conform to all applicable certification requirements specified in FSC-STD-40-004 and FSCSTD-40-003.  NOTE: Group CoC certificates are evaluated by the certification body based on a defined sampling methodology as specified in FSC-STD-20-011. | Yes  No  N/A |
| **Findings:** | |

# Appendix      : STANDARD checklist (Trademark Use)

**1 Trademark Activity during Audit Period**

N/A for initial assessments or audit period without trademark use

|  |  |  |
| --- | --- | --- |
| **On-product trademark use:** | | |
| 1.1 Has the Organization used the FSC label on-product: | | Yes  No |
| 1.2 If yes, was the RAC seal included: | | Yes  No |
| 1.3 Does the Organization have blanket approval(s) on record issued by Rainforest Alliance for on-product labels: | | Yes  No |
| Comments: | | |
| **Promotional Trademark Use:** | | |
| 1.4 Has the Organization used the FSC trademarks promotionally: | | Yes  No |
| 1.5 If yes, was the RAC seal included: | | Yes  No |
| 1.6 Does the Organization have blanket approval(s) on record issued by Rainforest Alliance for promotional items: | | Yes  No |
| Types of promotional items used by the Organization that include the trademarks: | Web site  Brochure  Press release  Advertisement  Catalogue  Document template Other: | |
| Comments: | | |

**2 Standard Checklist**

The following section summarizes the Organization’s conformance with FSC and Rainforest Alliance trademark requirements. Trademarks include the Forest Stewardship Council and Rainforest Alliance organization names, acronyms (FSC), logos, labels and seals. This checklist is directly based on the FSC trademark standard (FSC-STD-50-001 *Requirements for use of the FSC Trademarks by Certificate Holders* (version 1-2)*.*  References to the specific FSC standard requirement numbers are included in parenthesis at the end of each requirement. (Rainforest Alliance Certified™ Seal = RAC seal).

|  |  |  |
| --- | --- | --- |
| **Standard Requirement** | |  |
| ***General*** | | |
| 1.1 Organization shall have procedures in place that ensure all on-product and promotional FSC/Rainforest Alliance trademark use follows the applicable policies:  [Exhibit Required] | | Yes  No  N/A |
| **Findings:** | | |
| 1.2 Organization shall have procedures in place and demonstrates submission of all FSC/Rainforest Alliance claims to Rainforest Alliance for review and approval prior to use, including (1.16):   1. On-product use of the FSC label/RAC seal; 2. Promotional (off-product) claims that include the FSC trademarks (“Forest Stewardship Council”, “FSC”, checkmark tree logo) and/or the Rainforest Alliance trademarks (names and seal). | | Yes  No  N/A |
| **Findings:** | | |
| 1.3 Organization shall have procedures in place and demonstrates that all trademark review and approval correspondence with Rainforest Alliance is kept on file for a minimum of 5 years (FSC-STD-40-004, 1.4.1, 1.4.2):  Note: Organizations using the Rainforest Alliance Client Portal in Salesforce for trademark submissions may use the records saved in the portal as evidence to demonstrate conformance to this clause. | | Yes  No  N/A |
| **Findings:** | | |
| ***On-product***  **Check if section not applicable (Organization does not, and does not plan to apply FSC labels)** | | |
| 1.4 Organization shall have a secure system in place for labeling products that ensures the following (1.9, 1.10, 2.1, 2.4, 3.0):   1. Only those products listed in the FSC product group schedule are FSC-labeled; 2. Only those products that meet the eligibility requirements per CoC standard requirements for FSC labeling are FSC-labeled (labels shall not be used for partial claims); 3. The applicable FSC label is used per FSC product group. | | Yes  No |
| **Findings:** | | |
| 1.5 If Organization requests certified suppliers to label products with its FSC trademark license code OR if certified buyers request Organization to label with buyer’s code, Organization’s procedures shall include provisions for (4.5):   1. Both buyer and supplier to inform their respective certification bodies of the agreement, with an indication of which CB will be responsible for review and approval; 2. Ensuring that the buyer’s label only appears on products supplied to that buyer; 3. The supplier to maintain and make available data relating to use of the buyer’s labels for the auditor’s review; 4. Regardless of the approving CB, in all such situations use of the RAC seal shall be approved by Rainforest Alliance. | | Yes  No  N/A |
| **Findings:** | | |
| 1.6 If a non-certified buyer requests Organization to FSC-label products under the buyer’s brand name and design, Organization procedures shall include provisions for (4.6):   1. Informing Rainforest Alliance about the labeling proposal with sufficient information for RA to evaluate the arrangement and design; 2. The Organization to apply the label after approval is received from Rainforest Alliance; 3. Maintaining the approval correspondence for the arrangement and label use.   Note: Non-certificate holders are not allowed to apply the FSC label themselves. | | Yes  No  N/A |
| **Findings:** | | |
| 1.7 When applicable to the Organization’s on-product labeling, the criteria below (1.8 – 1.13) shall be met: | | Yes  No |
| **Findings:** | | |
| 1.8 The FSC trademark license code assigned by FSC shall be used in the FSC label (1.5). | Yes  No | |
| 1.9 If the FSC trademarks are applied directly to the product with the license code (e.g., heat brands, stencils), the full FSC label design shall be included with the product (e.g., hang tag, sticker, packaging) (4.3). | Yes  No  N/A | |
| 1.10 Organization shall not use the FSC labels or trademarks together with the logos or names of other forestry verification schemes (2.6). | Yes  No | |
| 1.11 The FSC label shall be applied to products in such a way that it is clearly visible (2.3).  Note: When normal label placement is not on the side facing the consumer, a copy of the FSC checkmark logo may be applied in a more prominent place. | Yes  No | |
| 1.12 If the FSC label is used on products or packaging where there is risk of confusion between the FSC-certified material and other non-certified materials (e.g., non-certified product in certified packaging or FSC material Mix with alternative materials), the label shall specify the type of certified product (2.2).  Notes:   * This requirement does not apply to products containing approved minor components. * The product type (i.e., Paper) shall always be specified in the label for printed materials. | Yes  No  N/A | |
| 1.13 If the moebius loop is included with the FSC label, it shall include a percentage which reflects the post- and pre-consumer reclaimed content (2.5). | Yes  No  N/A | |

|  |  |  |
| --- | --- | --- |
| ***Off-product / Promotional***  **Check if section not applicable (Organization does not, and does not plan to use the FSC trademarks off-product or in promotional pieces)**  Note: promotional use items include advertisements, brochures, web pages, catalogues, press releases, tradeshow booths, stationary templates, corporate promotional items (e.g., t-shirts, mugs, hats, gifts). | | |
| 1.14 Has Organization produced, labeled, or sold FSC-certified products during the audit period (7.1): | | Yes  No  N/A |
| **Findings:** | | |
| 1.15 If Organization has not produced, labeled, or sold FSC-certified products during the audit period, use of the FSC trademarks in general promotion of the Organization shall cease (7.1):  Note: This clause applies to general promotion of the Organization. This does not prohibit promotion of products that may be sold as FSC-certified upon request. | | Yes  No  N/A |
| **Findings:** | | |
| 1.16 When applicable to the Organization’s promotional / off-product use of the trademarks, the criteria below (1.17 – 1.25) shall be met: | | Yes  No |
| **Findings:** | | |
| 1.17 If the FSC “promotional panel” is used, the following elements shall be included: FSC checkmark logo, FSC trademark license code, FSC promotional statement, FSC web site address (5.1).  Note: the promotional panel is a prescribed layout with a border available to certificate holders on the FSC label generator site. | Yes  No  N/A | |
| 1.18 If the FSC trademarks are used for product promotion, Organization shall (1.9, 6.1):   1. Limit promotion to products that are certified against FSC standards and eligible for FSC-labeling; 2. Include the promotional panel or its elements in a prominent place; 3. Include a statement such as “look for FSC certified products” when the products are not all on the same page; 4. Include the FSC checkmark logo or “FSC certified” in the product description. | Yes  No  N/A | |
| 1.19 In cases where the RAC seal is used (6.2):   1. The FSC trademarks shall be similar in size; 2. The FSC checkmark tree logo shall be included when the RAC seal is in place. | Yes  No  N/A | |
| 1.20 In cases where the FSC trademarks are used with the trademarks (logos, names, identifying marks) of other forestry verification schemes, Rainforest Alliance approval shall be in place (7.2). | Yes  No  N/A | |
| 1.21 Use of the FSC trademarks on document templates (including letterhead, invoices, emails) shall be approved by Rainforest Alliance to ensure correct usage (7.3, 7.4, 7.5).  Note: general promotion shall not be included on business cards, i.e., FSC trademarks on business cards shall only be for use of FSC-certified paper (FSC label). | Yes  No  N/A | |
| 1.22 The FSC trademarks shall not be used in product brand names, web site domain names, and/or Organization names (1.13). | Yes  No | |
| 1.23 The FSC label shall not be used for promotional purposes associated with claims  about products sold or sourced exclusively as ‘FSC Controlled Wood’ or in reference  to Controlled Wood certificates. | Yes  No  N/A | |
| 1.24 Companies supplying FSC Controlled Wood shall not make corporate promotion or  product promotion regarding FSC Controlled Wood or use the statement ‘FSC Controlled Wood’ or the FSC Trademarks associated with Controlled Wood on promotional or advertising material. | Yes  No  N/A | |
| 1.25 Companies supplying FSC Controlled Wood shall not use the statement ‘FSC Controlled Wood’ or the FSC trademarks associated with controlled wood for on-product  labeling or off-product labeling, advertising promotion or reporting. | Yes  No  N/A | |

# Appendix      : checklist (Outsourcing FSC-STD-40-004 V3-0)

**1 Outsourcing for :**

**2 Subcontractors included in Certificate Scope**

|  |  |  |
| --- | --- | --- |
| **Subcontractor** | **Address** | **Visited for Audit** (check if yes) |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |

In place of this table, a comprehensive subcontractor list has been provided as Exhibit

**3 Outsourcing Details**

|  |  |
| --- | --- |
| Description of Outsourcing: |  |
| Reason for Outsourcing: |  |
| FSC Product Groups included in Outsourcing: |  |
| Comments: |  |

**4 Risk Classification**

Check if Part 4 is not applicable (Organization only uses FSC-certified subcontractors not necessary to be audited by Rainforest Alliance for the outsourcing arrangement)

|  |  |  |
| --- | --- | --- |
| **Risk Item** | **Description** | **Risk Classification** |
| Organization outsources a wide range of production activities: |  | High risk  N/A |
| Organization outsources to more than one subcontractor on a regular basis: |  | High risk  N/A |
| Subcontractor(s) apply FSC labels to the product: |  | High risk  N/A |
| Organization does not take physical possession of the material after outsourcing: |  | High risk  N/A |
| Outsourcing takes place across national borders: |  | High risk  N/A |
| Organization outsources to an organization in another country with a Transparency International Corruption Perception Index (CPI) lower than 50. |  | High risk  N/A |
| Organization outsources the entire production process |  | High risk  N/A |
| Other: |  | High risk  N/A |
| Even when one or more of the above high risk indicators apply to the outsourced activity, Rainforest Alliance may approve the low risk categorization if a low risk of contamination may be demonstrated through any of the following indicators: | | |
| The product is permanently labeled or marked in a way that the contractor cannot alter or exchange products (e.g. heat brand, printed materials); | | Low Risk:  Yes  No  N/A |
| The product is palletised, or otherwise maintained as a secure unit that is not broken apart during outsourcing; | | Low Risk:  Yes  No  N/A |
| The contractor is employed for services that do not involve manufacture or transformation of  certified products (e.g. warehousing, storage, distribution, and logistics). | | Low Risk:  Yes  No  N/A |
| The contractor is an FSC-certified organization that includes documented procedures for  outsourcing services within the scope of its certificate. | | Low Risk:  Yes  No  N/A |
| Comments: | | |

**5 Requirement Checklist**

This checklist is directly based on FSC-STD-40-004 Chain of Custody Certification V3, Section 12. FSC standard requirement numbers are identical with the checklist numbers below.

|  |  |
| --- | --- |
| Requirement | Compliance |
| 12.1 The organization may outsource activities within the scope of its certificate to FSC-CoC-certified and/or non-FSC-CoC-certified contractors.  NOTE: The organization’s outsourcing arrangements are subject to a risk analysis by the certification body and sampling for on-site audit purposes. | Yes  No |
| **Findings:** | |
| 12.2 Activities that are subject to outsourcing agreements are those that are included in the scope of the organization’s CoC certificate, such as purchase, processing, storage, labelling and invoicing of products.  NOTE: Storage sites are exempt from outsourcing agreements where they constitute stopping places as part of transportation or logistic activities. However, if an organization contracts a service provider to store goods that have not yet been sold to a customer, this is considered as an extension of the storage site of the organization and therefore subject to an outsourcing agreement. | Yes  No |
| **Findings:** | |
| 12.3 Prior to outsourcing activities to a new contractor, the organization shall inform its certification body about the outsourced activity, name, and contact details of the contractor. | Yes  No |
| **Findings:** | |
| 12.4 The organization shall establish an outsourcing agreement with each non-FSC-certified contractor, specifying at minimum that the contractor shall:   1. conform to all applicable certification requirements and the organization’s procedures related to the outsourced activity; 2. not make unauthorized use of the FSC trademarks (e.g. on the contractor’s products or website); 3. not further outsource any processing; 4. accept the right of the organization’s certification body to audit the contractor; 5. notify the organization within the period of 10 business days if the contractor is included in the list of organizations that are disassociated from FSC, in accordance with the FSC-POL-01-004, and therefore subsequently ineligible to provide outsourcing services to FSC-certified organizations. | Yes  No |
| **Findings:** | |
| 12.5 The organization shall provide documented procedures to its contractor(s) that ensure the following:   1. the material under the contractor’s responsibility shall not be mixed or contaminated with any other material during the outsourced activity; b. the contractor shall keep records of inputs, outputs, and delivery documentation associated with all material covered by the outsourcing agreement; 2. if the contractor applies the FSC label to the product on behalf of the organization, the contractor shall only label the eligible products produced under the outsourcing agreement. | Yes  No |
| **Findings:** | |
| 12.6 The organization shall maintain legal ownership of all materials during outsourcing.  NOTE: Organizations are not required to re-take physical possession of the products following outsourcing (e.g. products may be shipped directly from the contractor to the organization’s customer). | Yes  No |
| **Findings:** | |
| 12.7 The organization shall identify the invoices of materials sent for outsourcing following the requirements specified in Clause 5.1. Contractors are not required to identify the invoices of materials after outsourcing. | Yes  No |
| **Findings:** | |
| 12.8 The organization may act as an FSC-certified contractor providing services to other contracting organizations. In this case, the organization shall include the outsourcing services under the scope of its FSC certificate ensuring that all applicable certification requirements are met. | Yes  No |
| **Findings:** | |
| 12.9 When the organization provides FSC-certified outsourcing services to non-FSC-certified contracting organizations, it is acceptable that the contracting organization buys the raw material for the outsourced processes. To ensure that the CoC is not broken, the material shall be transported directly from an FSC-certified supplier to the organization (i.e. the non-certified contracting organization shall not take physical possession of the materials before outsourcing). | Yes  No  N/A |
| **Findings:** | |

**6 General Subcontractor Chain-of-Custody during on-site Auditing**

Check if section is not applicable (Subcontractor(s) not evaluated on site for this audit)

|  |  |
| --- | --- |
| 1.1 Subcontractor shall store input materials for FSC product groups as separate, secure and identifiable units: | Yes  No |
| **Findings:** | |
| 1.2 Subcontractor shall keep materials for FSC product groups physically separate through all phases of processing: | Yes  No |
| **Findings:** | |
| 1.3 Subcontractor shall use a tracking system or production records to document processing of materials for FSC product groups: | Yes  No |
| **Findings:** | |
| 1.4 Subcontractor shall store final output materials for FSC product groups as separate, secure and identifiable units: | Yes  No |
| **Findings:** | |

# Appendix      : LIST OF REPORT EXHIBITS

|  |  |
| --- | --- |
| **Exhibit** | **Item** |
|  | Documented Control System (DCS) |
|  | Product Group Schedule (PGS) |
|  | Supplier List |
|  | Annual Reporting Volume Summary |
| When applicable to the certificate scope: | |
|  | CW District of Origin Documentation |
|  | CW Verification Program Procedures |
|  | CW Risk Assessment Results |
|  | CW Field Verification Audit Records |
|  | CW Policy Statement |
|  | Controlled Material Supplier List |
|  | List of Outsourcing Subcontractors |
|  | Outsourcing Agreement |
|  | Reclaimed Supplier Audit Records |
|  | Group/Multi-site Management Procedures |
|  | Group/Multi-site List of Participating Sites |
|  | Group/Multi-site Internal Audit Records |
|  | Participating Site Consent Form |
|  | Percentage Calculations |
|  | Credit Account |
|  | Policy for the Association of Organizations with FSC signed declaration |
|  |  |
|  |  |

# Appendix      : CONVERSIONS

**Standard Conversions**

1 mbf = 5.1 m3

1 cord = 2.55 m3

1 inch = 2.54 cm

1 foot = 0.3048 m

1 yard = 0.9144 m

1 gallon (US) = 3.78541 liters

1 pound = 0.4536 kg

1 US ton = 907.185 kg

1 UK ton = 1016.047 kg

1 acre = 0.405 hectares

1 foot = 0.3048 m

1 mile = 1.60934 km