

Forest Conservation Program Chain of Custody Certification Manual V4-2

*Forest Stewardship Council® (FSC®)
Programme for the Endorsement of Forest Certification (PEFC)*



2000 Powell Street, Ste. 600, Emeryville, CA 94608 USA
+1.510.452.8000 main | +1.510.452.8001 fax
www.SCSglobalServices.com

Thank you for your interest in [Chain of Custody \(COC\) certification with SCS Global Services](#), a global leader in third-party environmental and sustainability certification, auditing, testing and standards development since 1984. Our programs span a wide cross-section of industries, recognizing exemplary performance in natural resource management, green building, product manufacturing, food and agriculture, retailing and more. We are accredited by Accreditation Services International to offer [Forest Stewardship Council \(FSC\) certification services](#) worldwide, and by the American National Standards Institute for [Programme for the Endorsement of Forest Certification \(PEFC\) certification](#) worldwide.

SCS offers fast turnaround, competitive rates, and attentive, knowledgeable service. We have a dedicated team of professionals and a network of skilled auditors ready to assist you with all of your Chain of Custody certification needs.

Whether you are seeking certification for [print and packaging](#) or [wood, paper, and non-timber forest products](#), the first step in pursuing certification is to complete an [SCS Chain of Custody Application](#) and email it to us. Upon receipt of your completed application, we will provide you with our proposal for auditing and certification services based on our assessment of the relevant certification standards you will need to conform with.

For your reference, here are some helpful links:

[FSC's Chain of Custody certification website](#)
[PEFC's Chain of Custody certification website](#)
[SCS website containing the FSC and PEFC standards and directives](#)

For Forest Stewardship Council (FSC) Chain of Custody certification, see at minimum:

FSC-STD-40-004 V2-1 FSC Standard for Chain of Custody Certification

FSC_DIR-40-004 FSC Directive on Chain of Custody Certification

FSC-STD-50-001 V1-2 FSC Requirements for Trademark Use

For Programme for the Endorsement of Forest Certification (PEFC) Chain of Custody certification, see:

PEFC ST 2002:2013 Chain of Custody of Forest Based Products – Requirements

PEFC ST 2001:2008 Logo Usage Rules -- Requirements

To complete the audit process you will need to prepare written procedures for the implementation of all relevant Chain of Custody requirements within your company. Your assigned auditor will work with you to select the date(s) for your audit.

Our fees for certification assessment are based on the professional fees of the auditor as well as their travel costs and competitive overhead rates, which cover 12 months of our project administration.

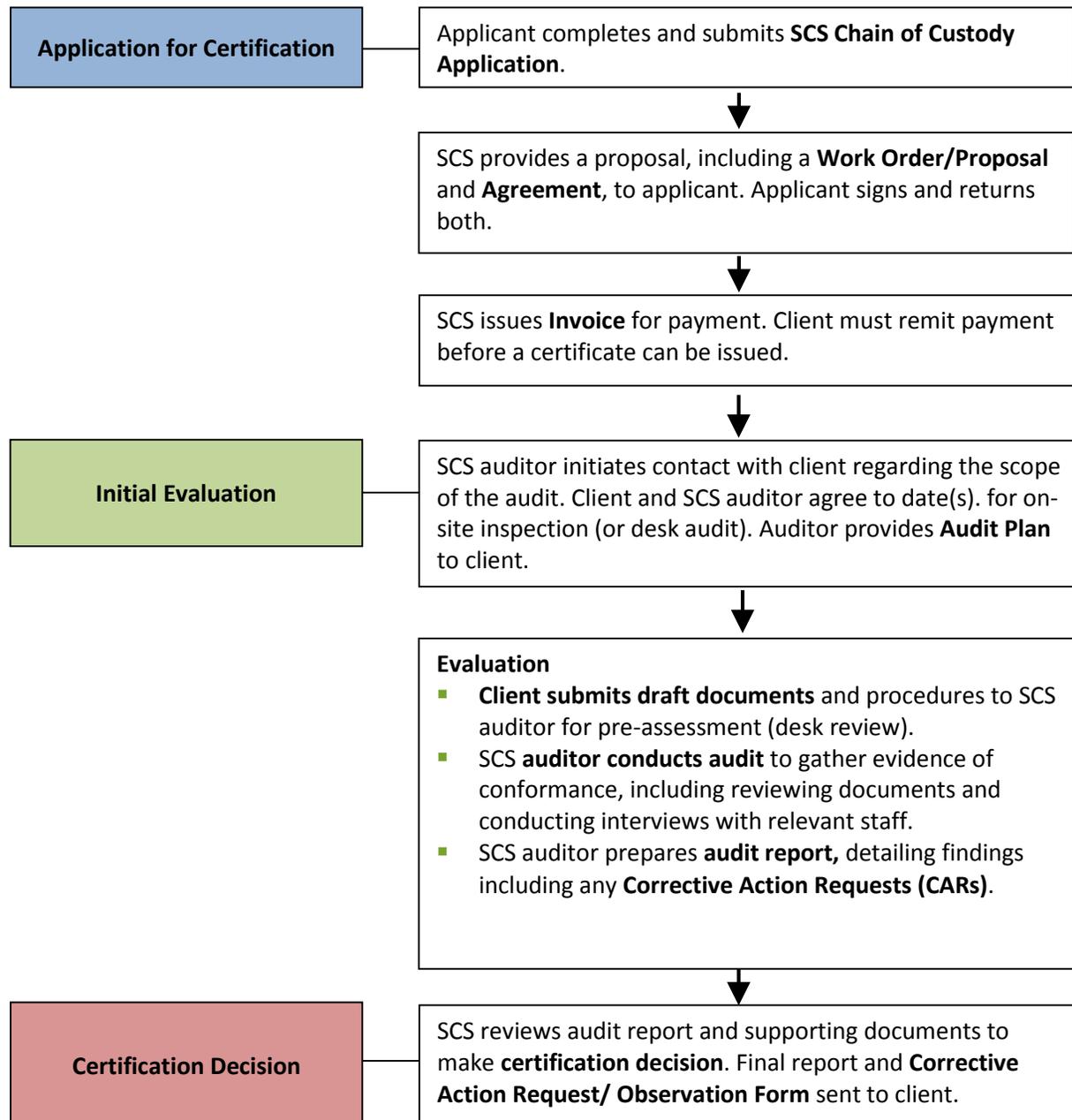
SCS also offers Sustainable Forestry Initiative (SFI) and SFI/PEFC Chain of Custody certification in partnership with NSF (www.nsf.org ; see also www.sfiprogram.org).

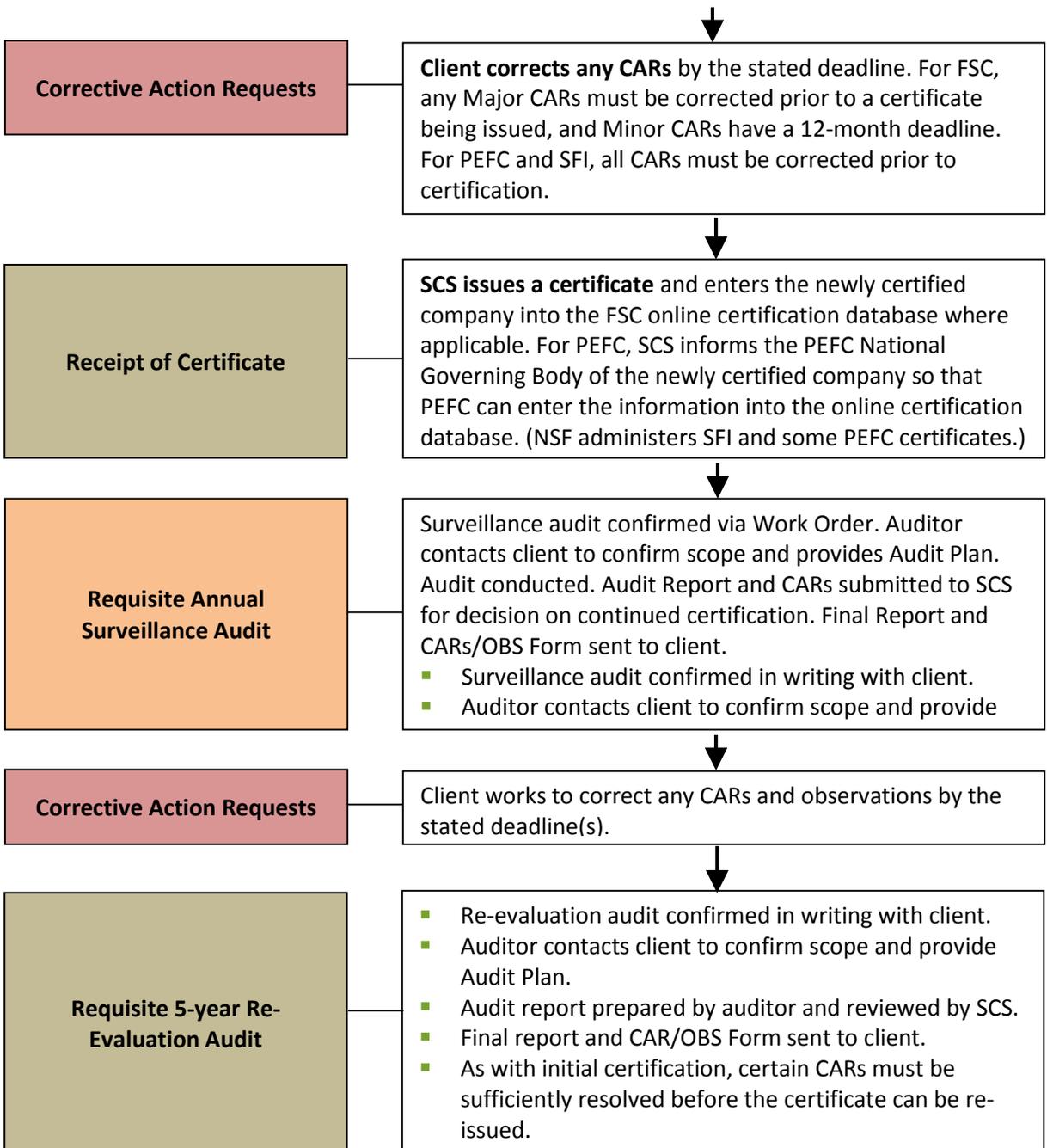
Please contact our office if you have any questions regarding the certification process or any other aspect of Chain of Custody:

SCS Global Services
Sarah Harris, Chain of Custody Program Director
Phone: 510.452.8012 / Email: sharris@scsglobalservices.com
Website: www.scsglobalservices.com

Chain of Custody Certification Process

Below is an overview of the steps to attain Chain of Custody certification. Our team will be pleased to assist you with any questions regarding the requirements for certification throughout this process. As a global certification body, we have a broad network of [SCS regional representatives](#) – independent, leading organizations who operate in accordance with SCS’ quality system to perform select activities on behalf of SCS.





Key Terms & Resources

Certification: This is the process of determining whether a manufacturer or distributor is in conformity with the requirements of the relevant standard(s). This determination is made by SCS technical staff in collaboration with your assigned auditor, based upon review of the audit report and all evidence submitted, as well as responses to correction action requests.

Certification decision: Granting, maintaining, renewing, expanding the scope of, reducing the scope of, suspending, reinstating, or terminating certification.

Chain of custody: The path taken by raw materials, processed materials, finished products, and co- and by-products from the forest to the consumer or (in the case of reclaimed/ recycled materials or products containing them) from the reclamation site to the consumer, including each stage of processing, transformation, manufacturing, storage and transport where progress to the next stage of the supply chain involves a change of ownership (independent custodianship) of the materials or the products.

Corrective Action Request (CAR): A required action resulting from an auditor's finding which identifies a nonconformity against one more requirements of a standard. The action is required for system improvement in order to conform to the requirements against which the nonconformity was found. Resolution type and timeline are specified in the audit report.

Corrective Action Request/Observation Form: The part of the audit report used to communicate what the auditor's findings and expected CARs and observations are.

Evaluation Audit: Inspection conducted by a SCS auditor to determine conformity with the certification relevant standard(s), including: 1) review of field and/or facility operations, involving management and worker interviews, physical inspection (unless on-site audit is not required), documentation review, gathering of evidence, and exit interviews; and 2) generation of an audit report, including identification of corrective actions required and observations recommended.

Observation: An auditor's finding which identifies the early stages of a problem that does not yet constitute a nonconformity, but which the auditor considers may lead to a future nonconformity if not addressed by the client.

Re-Evaluation Audit: The inspection conducted by a SCS auditor every five (5) years to determine ongoing conformity and eligibility for a renewed certificate.

Standard: The written requirements that a distributor or manufacturer must meet in order to qualify for citing specific claims about certified products sold in the marketplace.

Surveillance (Annual) Audit: The inspection conducted by a SCS auditor to determine ongoing conformity with the relevant certification standard(s); required on an annual basis to maintain certification.

Rights & Responsibilities

SCS Clients have a right to non-discriminatory policies and procedures. SCS procedures do not impede or inhibit access to applicants. SCS services are available to all applicants whose activities fall within our field of operation and are not conditional upon the size of the Client's operations, nor upon the number of certificates already issued. The criteria against which the products of a Client are evaluated are outlined in the applicable Standard(s).

Chain of Custody certificates are valid for five (5) years, subject to annual surveillance audits. SCS shall confine requirements, evaluation and decision on certification to matters specifically related to the scope of the certification scheme(s) being considered. As an accredited certification body, SCS reserves the right to suspend or terminate certificates. Reasons for suspension and termination include, but are not limited to: unwillingness or inability to correct nonconformities, unwillingness or inability to meet financial or contractual arrangements; misusing or damaging the integrity of the SCS or relevant governing body trademarks; intentional violation of requirements; or association with fraud.

According to the regulations dictated by Chain of Custody Standards and SCS policy, SCS contracted clients shall:

1. not make any forward claims prior to issuance of a Chain of Custody certificate;
2. always conform with the relevant provisions of the certification program;
3. make all necessary arrangements for the conduct of the evaluation, including provision for examining documentation and access to all areas, records (including internal audit reports) and personnel for the purposes of evaluation (e.g. testing, inspection, assessment, surveillance, reassessment) and resolution of complaints;
4. make claims regarding certification only in respect of the scope for which certification has been granted;
5. notify SCS immediately of any changes in scope or business activities, including but not limited to location, primary contact, additional products or species to be certified;
6. not use its product certification in such a manner as to bring SCS into disrepute and not make any statement regarding its product certification which SCS and/or governing body (e.g., FSC, PEFC, ASI, ANSI) may consider misleading or unauthorized;
7. upon suspension, termination or withdrawal of certification, discontinue its use of all advertising matter that contains any reference thereto and return any certification documents as required by SCS;
8. use certification only to indicate that products are certified as being in conformity with specified Standards;
9. endeavor to ensure that no certificate or report nor any part thereof is used in a misleading manner;

10. in making reference to its product certification in communication media, such as documents, brochures or advertising, conform with the requirements.

For additional information concerning client rights and responsibilities, please visit SCS' [Corporate Policies](#). Our SCS Professional Services Agreement and SCS Logo and Language Use Guidelines provides details regarding logo and trademark use.