

SCS FSC Chain of Custody Indicators for Forest Management Enterprises

Version 6-0

REQUIREMENT	C/ NC	COMMENT/CAR
1. Quality Management		
1.1 The organization shall appoint a management representative as having overall responsibility and authority for the organization's compliance with all applicable requirements of this standard.		
1.2 The FME shall maintain complete records of all FSC-related COC activities, including sales and training, for at least 5 years.		
<p>1.3 The FME shall define its forest gate(s) (check all that apply): <i>The forest gate is defined as the point where the change in ownership of the certified-forest product occurs.</i></p>		<p><input type="checkbox"/> Stump <i>Stumpage sale or sales of standing timber; transfer of ownership of certified-forest product occurs upon harvest.</i></p> <p><input type="checkbox"/> On-site concentration yard <i>Transfer of ownership of certified-product occurs at concentration yard under control of FME.</i></p> <p><input type="checkbox"/> Off-site Mill/Log Yard <i>Transfer of ownership occurs when certified-product is unloaded at purchaser's facility.</i></p> <p><input type="checkbox"/> Auction house/ Brokerage <i>Transfer of ownership occurs at a government-run or private auction house/ brokerage.</i></p> <p><input type="checkbox"/> Lump-sum sale/ Per Unit/ Pre-Paid Agreement <i>A timber sale in which the buyer and seller agree on a total price for marked standing trees or for trees within a defined area before the wood is removed — the timber is usually paid for before harvesting begins. Similar to a per-unit sale.</i></p> <p><input type="checkbox"/> Log landing <i>Transfer of ownership of certified-product occurs at landing/yarding areas.</i></p> <p><input type="checkbox"/> Other (Please describe):</p>
1.4 The FME shall have sufficient control over its forest gate(s) to ensure that there is no risk of mixing of FSC-certified forest products covered by the scope of the FM/COC certificate with forest products from outside of the scope prior to the transfer of ownership.		

<p>1.5 The FME and its contractors shall not process FSC-certified material prior to transfer of ownership at the forest gate without conforming to applicable chain of custody requirements.</p> <p><i>NOTE: This does not apply to log cutting or de-barking units, small portable sawmills or on-site processing of chips/biomass originating from the FMU under evaluation.</i></p>		
<p>2. Product Control, Sales and Delivery</p>		
<p>2.1. Products from the certified forest area shall be identifiable as certified at the forest gate(s).</p>		
<p>2.2 The FME shall maintain records of quantities/volumes of FSC-certified product(s).</p>		
<p>2.3. The FME shall ensure that all sales documents issued for outputs sold with FSC claims include the following information:</p> <ul style="list-style-type: none"> a) name and contact details of the organization; b) name and address of the customer; c) date when the document was issued; d) description of the product; e) quantity of the products sold; f) the organization’s FSC Forest Management (FM/COC) or FSC Controlled Wood (CW/FM) code; g) clear indication of the FSC claim for each product item or the total products as follows: <ul style="list-style-type: none"> i. the claim “FSC 100%” for products from FSC 100% product groups; ii. the claim “FSC Controlled Wood” for products from FSC Controlled Wood product groups. h) If separate transport documents are issued, information sufficient to link the sales document and related transport documentation to each other. 		
<p>2.4 The FME shall include the same information as required in 2.3 in the related delivery documentation, if the sales document (or copy of it) is not included with the shipment of the product.</p> <p>Note: 2.3 and 2.4 above are based on FSC-STD-40-004 V2-1 Clause 6.1.1 and 6.1.2</p>		

<p>2.5 When the FME has demonstrated it is not able to include the required FSC claim as specified above in 2.3 and 2.4 in sales and delivery documents due to space constraints, through an exception, SCS can approve the required information to be provided through supplementary evidence (e.g. supplementary letters, a link to the own company's webpage with verifiable product information). This practice is only acceptable when SCS is satisfied that the supplementary method proposed by the FME complies with the following criteria:</p> <ul style="list-style-type: none"> a) There is no risk that the customer will misinterpret which products are or are not FSC certified in the document; b) The sales and delivery documents contain visible and understandable information so that the customer is aware that the full FSC claim is provided through supplementary evidence; c) In cases where the sales and delivery documents contain multiple products with different FSC Claims, a clear identification for each product shall be included to cross-reference it with the associated FSC claim provided in the supplementary evidence. <p><i>FSC-ADVICE-40-004-05</i></p>		
<p>3. Labeling and Promotion</p>		<p>N/A, FME does not use/ intend to use trademarks</p>
		<p>N/A, CW/FM certificates are not allowed to use FSC trademarks (<i>Note: it is a Major nonconformity to 3.1 if CW/FM certificates are found to be using trademarks</i>)</p>
<p>3.1 The FME shall adhere to relevant trademark use requirements of FSC-STD-50-001 V1-2 described in the <i>SCS Trademark Annex for FMEs</i>.</p>		
<p>4. Outsourcing</p>		<p>N/A, FME does not outsource any COC-related activities.</p>
		<p>N/A, FME outsources low-risk activities such as transport and harvesting.</p>
<p>4.1 The FME shall provide the names and contact details of all outsourced service providers.</p>		

<p>4.2 The FME shall have a control system for the outsourced process which ensures that:</p> <ul style="list-style-type: none"> a) The material used for the production of FSC-certified material is traceable and not mixed with any other material prior to the point of transfer of legal ownership; b) The outsourcer keeps records of FSC-certified material covered under the outsourcing agreement; c) The FME issues the final invoice for the processed or produced FSC-certified material following outsourcing; d) The outsourcer only uses FSC trademarks on products covered by the scope of the outsourcing agreement and not for promotional use. 		
<p>5. Training and/or Communication Strategies</p>		
<p>5.1 All relevant FME staff and outsourcers shall be trained in the FME's COC control system commensurate with the scale and intensity of operations and shall demonstrate competence in implementing the FME's COC control system.</p>		
<p>5.2 The FME shall maintain up-to-date records of its COC training and/or communications program, such as a list of trained employees, completed COC trainings, the intended frequency of COC training (i.e. training plan), and related program materials (e.g., presentations, memos, contracts, employee handbooks, etc.).</p>		

SCS Trademark Annex for FMEs: FSC Trademarks, FSC-STD-50-001 V1-2

N/A, does not use/intend to use FSC trademarks for any purposes (finished with this section); or
 N/A, is fully integrated and all trademark uses are treated under the COC Annex to this report that includes a full review of FSC-STD-40-004 and FSC-STD-50-001.

NOTE: This section is **applicable for all organizations that use or intend to use any FSC trademarks for promotional and/or on-product purposes**. For evaluation audits, it is acceptable to mark C if the client demonstrates an adequate awareness of the requirements through interviews and other applicable evidence. A requirement should be marked NC and a corresponding CAR should be issued for any nonconformance identified, such as use of FSC trademarks prior to granting of certification.

<p>Description of how the organization currently uses, or intends to use, FSC trademarks and/or labels, including but not limited to printed materials, Internet applications, on-product labeling, and other public-facing media:</p>	
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<p>FSC-STD-50-001 V1-2, 1.9 Products intended to be labeled or promoted as FSC certified are included in the organization’s certified product group list.</p>	<input type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> C w/Obs
Evidence:	
<p>FSC-STD-50-001 V1-2, 1.4, 1.6 – 1.8, 1.13 – 1.14 The organization does <u>not</u> use the FSC trademarks in the following ways:</p> <ul style="list-style-type: none"> ▪ in connection with the sale or promotion of FSC Controlled Wood (§1.4) ▪ in any way that could cause confusion, misinterpretation or loss of credibility to the FSC certification scheme (§1.6) ▪ to imply any FSC endorsement or responsibility of the organization’s activities outside of the certificate scope (§1.7) ▪ to imply any FSC responsibility for the production of products, documents or promotional materials (§1.8) ▪ in product brand names, company names or website domain names (§1.13) ▪ translated to another language with no English included (§1.14) 	<input type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> C w/Obs
<p>FSC-STD-50-001 V1-2, 7.2 The FSC trademarks are not used together with the marks of other forest certification schemes in a way which implies equivalence or in a way which is disadvantageous to the FSC trademarks in terms of size or placement.</p>	<input type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> C w/Obs
Sections 1.4, 1.6 – 1.8, 1.13, 1.14, and 7.2 Evidence:	
<p>FSC-STD-50-001 V1-2, 1.11 Any information about FSC that is in addition to FSC trademarks and labels included in any material has been given prior approval by SCS.</p>	<input type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> C w/Obs <input type="checkbox"/> N/A, no additional FSC information
<p>FSC-STD-50-001 V1-2, 1.15 The use of the FSC “checkmark-and-tree” logo is directly accompanied by the appropriate trademark symbols ® or ™ (in superscript font). The appropriate symbol also accompanies the first use of “FSC” and “Forest Stewardship Council” in any text.</p> <p>NOTES:</p> <ol style="list-style-type: none"> 1. The use of trademark registration symbol is not required for FSC claims in sales and delivery documents, or for the disclaimer/ statement specified in requirement 7.5 of FSC-STD-50-001 V1-2. The registration symbol is required for any other use of initials “FSC” on documents; however, the omission of the use of trademark registration symbol in promotional texts related to FSC on invoice templates, delivery notes and similar documents is possible if the software used to produce these documents does not support trademark registration symbols. This exception only applies to the use of the trademark registration symbol for the initials “FSC” and the name “Forest Stewardship Council”. 2. In January 2014, in Hong Kong, FSC changed the trademark symbol from ® back to ™. Companies affected by this change which have approved artwork with the ® registered trademark symbol for distribution in Hong Kong may continue to produce, distribute and sell into the market product using the registered trademark symbol on the FSC trademarks until 1 September 2015, with an additional liquidation period of six months, which expires 1 March 2016. All new artwork must use the ™ trademark symbol. 3. Where the FSC initials are used vertically in the traditional way of writing for Asian nations, the registration status symbol may be used in superscript font in either the top right corner (alongside F), or the bottom right corner (alongside C) as preferred. In this instance, mark “C”. 	<input type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> C w/Obs <input type="checkbox"/> N/A, one or more of the noted exceptions apply

<p>FSC-STD-50-001 V1-2, 1.16 All FSC trademark uses have been submitted to SCS for approval.</p>	<input type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> C w/Obs
Sections 1.11, 1.15 and 1.16 Evidence:	
<p>FSC-STD-50-001 V1-2, 1.10 All (previously approved) FSC labels only use the FSC label artwork provided on the label generator or otherwise issued or approved by SCS or FSC.</p>	<input type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> C w/Obs <input type="checkbox"/> N/A, no approved FSC labels
<p>FSC-STD-50-001 V1-2, Sections 10, 11 and 12 All (previously approved) FSC labels and logos conform to the standard requirements for color and font (§10.1-10.3, 11.5, 11.7, 11.9), format and size (§10.4 - 10.7, 11.2, 11.3, 11.8), trademark symbol (§10.8, 11.4), FSC trademark license code (§10.9), label text (§10.10 - 10.15) and/or mini label requirements (§10.16 - 10.18). The label or logo is not being misused in any manner described in section 12.2.</p>	<input type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> C w/Obs <input type="checkbox"/> N/A, no approved FSC labels
Sections 1.10, 10, 11 and 12.2 Evidence:	
<p>Promotional use of the FSC trademarks</p> <p><input type="checkbox"/> N/A, does not use/intend to use FSC trademarks for promotional purposes (Skip Promotional section)</p>	
<p>NOTE: This section is applicable for all organizations that use or <i>intend</i> to use FSC trademarks for promotional purposes. For evaluation audits, it is acceptable to mark C if the client demonstrates an adequate awareness of the requirements through interviews and other applicable evidence. A requirement should be marked NC and a corresponding CAR should be issued for any nonconformance identified, such as use of FSC trademarks prior to granting of certification.</p>	
<p>FSC-STD-50-001 V1-2, 1.12, 4.4 The FSC trademarks are not used to promote product quality aspects not covered by FSC certification (§ 1.12). Any claims regarding qualities outside the control of FSC, such as other environmental attributes of the product, are separated from text about FSC (§ 4.4).</p>	<input type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> C w/Obs <input type="checkbox"/> N/A, no additional quality claims
<p>FSC-STD-50-001 V1-2, 6.1 Catalogues, brochures, and websites meet the following requirements:</p> <ol style="list-style-type: none"> The promotional panel, or at least the FSC trademark license code, is in a prominent place. When the products are not all on the same page, a link or text such as “Look for FSC certified products” is included next to the panel / code. FSC certified products are indicated by using the logo or with “FSC certified” in the product description. 	<input type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> C w/Obs <input type="checkbox"/> N/A, do not use trademarks in these items

<p>FSC-STD-50-001 V1-2, 4.1 For labeled stationery and brochures printed on FSC-certified paper, the label is not in such a prominent position as to make it appear that any organization (or its products) represented in the publication is endorsed by FSC. (E.g. the FSC label is not placed on the front cover of the brochure or next to images of forest-based products which are not FSC certified.)</p>	<input type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> C w/Obs <input type="checkbox"/> N/A, no such labeled items
<p>FSC-STD-50-001 V1-2, 6.2 FSC certified products are not promoted using only the SCS Kingfisher and/or SCS Global Services logo.</p>	<input type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> C w/Obs
<p>FSC-STD-50-001 V1-2, 7.3 FSC trademarks are not used at the top of document templates such as letterheads, sales documents and emails.</p>	<input type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> C w/Obs
<p>FSC-STD-50-001 V1-2, 7.4 The FSC trademarks are not used on business cards to promote the organization's certification. NOTE: If authorization was duly received under the previous trademark standard, the organization may use the existing supply until it is depleted. In this case, the approval must be available and must have been granted prior to July 1, 2011.</p>	<input type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> C w/Obs <input type="checkbox"/> N/A, approval granted prior to July 1, 2011
<p>FSC-STD-50-001 V1-2, 4.2 If a business card is printed on FSC-certified paper, the mini label with product type is used at minimum size. The use of the mini label does not imply that the organization is affiliated with FSC.</p>	<input type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> C w/Obs <input type="checkbox"/> N/A, no labeled business cards
<p>FSC-STD-50-001 V1-2, 8.1, 8.2 All promotional items (e.g., mugs, pens, T-shirts, caps, banners, vehicles, etc.) display, at minimum, the FSC logo and FSC trademark license code (§8.1). Any promotional items made wholly or partly of wood (e.g., pencils, memory sticks, etc.) meet the applicable labeling requirements specified by FSC-STD-40-004 (§8.2).</p>	<input type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> C w/Obs <input type="checkbox"/> N/A, no FSC labels on promotional items
<p>FSC-STD-50-001 V1-2, 8.3 For FSC trademarks used for promotion at trade fairs the organization has clearly marked which products are FSC certified and the products carry an FSC label; or if no products are displayed, a visible disclaimer stating, "Ask for our FSC certified products," or, "We can provide FSC certified products upon request," is present. NOTE: Use of text to describe the FSC certification of the organization does not require a disclaimer.</p>	<input type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> C w/Obs <input type="checkbox"/> N/A, no FSC trademarks used for promotion at trade fairs

<p>FSC-STD-50-001 V1-2, 9.1, 9.2 The organization takes full responsibility for the use of FSC trademarks by investment companies and others making financial claims based on their FSC certified operations (§9.1). Any such claims are accompanied by the disclaimer, “FSC is not responsible for and does not endorse any financial claims on returns on investments” (§9.2).</p>	<input type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> C w/Obs <input type="checkbox"/> N/A, no investment claims about FSC operations
<p>Promotional Trademarks Section Evidence:</p>	
<p>Number and variety of promotional trademarks and associated approval records reviewed:</p>	
<p>Rationale that sample choice is sufficient to confirm system is functioning effectively and as described:</p>	
<p>Using the FSC labels on products</p> <p><input type="checkbox"/> N/A, does not use/intend to use FSC on-product/packaging labels (Skip section 11)</p>	
<p>NOTE: This section is applicable for all organizations that use or <i>intend</i> to use FSC trademarks for on-product purposes. For evaluation audits, it is acceptable to mark C if the client demonstrates an adequate awareness of the requirements through interviews and other applicable evidence. A requirement should be marked NC and a corresponding CAR should be issued for any nonconformance identified, such as use of FSC trademarks prior to granting of certification.</p>	
<p>FSC-STD-50-001 V1-2, 2.1 For each on-product claim, the organization has selected the correct FSC label based upon the FSC claim that the product has been supplied with or is qualified for. <i>NOTE: For FM/COC certificates, the FSC label and claim is FSC 100%.</i></p>	<input type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> C w/Obs
<p>Sections FSC-STD-50-001 V1-2, 2.1 Evidence:</p>	
<p>FSC-STD-50-001 V1-2, 2.3 The FSC label is clearly visible on the product, its packaging or both.</p>	<input type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> C w/Obs
<p>FSC-STD-50-001 V1-2, 2.6 Marks of other forestry certification schemes are not used on the same product (except for product promotion or educational purposes in an FSC labeled publication, as long as there are no claims about the paper of the publication being certified against the other certification scheme (§2.6.1)).</p>	<input type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> C w/Obs
<p>FSC-STD-50-001 V1-2, 2.7 When products are being made for sale to retailers who may wish to use the FSC trademarks to promote them, the products carry the FSC label either on the product or on packaging which will be visible to the consumer.</p>	<input type="checkbox"/> C <input type="checkbox"/> NC <input type="checkbox"/> C w/Obs <input type="checkbox"/> N/A, products not being made for sale to retailers

FSC-STD-50-001 V1-2, 4.3

Where the FSC logo with the license code is applied as a **heat brand or stencil** directly to the product without all required label elements, a **standard label is also used** either on the packaging or attached as a sticker or hang-tag.

- C
- NC
- C w/Obs
- N/A, no brand/stencil
- N/A, brand/stencil includes all elements

Sections 2.2 – 2.7, 4.3 Evidence:

Number and variety of on-product logos and associated approval records reviewed:

Rationale that sample choice is sufficient to confirm system is functioning effectively and as described: