

Annex to Certification Regulation

TÜV AUSTRIA Group – Business Assurance



KFM-002b, Rev.01

Certification Regulation for FSC®

Standard or Certification scheme:	FSC® CHAIN OF CUSTODY (Including Controlled Wood) FSC® REGULATORY MODULE	In conformity with:	FSC-STD-20-001 FSC-STD-20-001r FSC-POL-20-005 FSC-STD-20-011 FSC-STD-20-011r
Certification cycle:	A full certification cycle lasts five (5) years and consists of the initial certification audit, four (4) annual surveillance audits and the re-certification audit prior expiration of certification.		
Audit Preparation and Planning:	As a first step, the interested company shall fill the “FSC® Chain of Custody Certification Application Form”. Applicants for certification shall disclose current or previous applications or certifications with FSC® or other forestry certification schemes in the last five years. The latest available FSC® audit report for this period shall be send as it is considered in the certification process. Applications for certification of management units or sites that are already covered by a valid or suspended FSC® certification are rejected except where a certification transfer process is ongoing. The current product list with all information specified shall be sent to Certification Body.		
Scope of a chain of custody Evaluation:	<p>The scope of the chain of custody evaluation is defined by the following parameters:</p> <ul style="list-style-type: none"> ✓ Organizations certified according to FSC-STD-40-004: site(s), product group(s), processes or activities performed by the organization (including participating sites of multisite or group certificates and contractors) and applicable FSC normative document(s) against which these processes or activities are audited. ✓ Organizations certified according to FSC-STD-40-006: projects, participating sites, project members, specification of the scope as onetime or continuous certification, processes or activities performed by the organization and project members and applicable FSC normative document(s) against which these processes or activities are audited. 		
Audit Conducting Process:	<p>Certification, surveillance and re-certification evaluations is carried out annually, sampling documents, management records and interviews sufficient to verify that the control system is being implemented effectively and consistently across the whole scope of the certificate.</p> <p>Evaluations include consideration of:</p> <ul style="list-style-type: none"> ✓ Technical and material resources available, ✓ The human resources available, ✓ For multisite certificates: the complexity and scale of the activities covered by the certificate scope. This information will be used to evaluate the central office’s ability to manage the number of participating sites within the scope of the certificate and determine its annual growth limits. <p>Information that is available as a result of previous evaluations in relation to FSC normative documents and/or in relation to other standards such as those published by ISO may be used. In all cases, the decision as whether or not the organization conforms to the applicable certification requirements is independent.</p>		
Granting Certification:	The Certification Body is responsible for and retains authority for its decisions relating to certification. Before a chain of custody certificate being issued it was confirmed that the applicant company has a control system in place capable of ensuring that all the applicable requirements are implemented by every operational site, including non-certified suppliers as part of controlled wood and reclaimed material verification programs and contractors as part of outsourcing agreements, within the scope of the		

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	<p>evaluation.</p> <p>A certificate shall only be issued (or re-issued) when the client has:</p> <ul style="list-style-type: none"> ✓ Entered into and holds a valid and most recent version of the “License Agreement for the FSC® Certification Scheme” where the right to use the FSC® trademarks is not suspended. ✓ Complied with the requirements of all applicable standards and normative FSC® documents which means that major nonconformities shall be corrected before granting of certification and minor nonconformities shall be corrected within the maximum timeline specified by the CB. Open minor nonconformities do not prevent granting of certification. ✓ Signed the certification agreement. <p>In order to provide such a guarantee, it shall have been confirmed that any nonconformity is equally addressed by the organization within the established timelines. Recertification may be granted as a result of a re-evaluation.</p> <p>In the case of negative certification decisions the reasons for this decision are provided to the client.</p>
Maintaining Certification:	<p>Maintenance of certification is approved when the client:</p> <ul style="list-style-type: none"> ✓ Conforms and continues to conform with all the conditions for maintaining certification set by the Certification Body. ✓ Conforms to all the requirements set by the Certification Body and FSC® regarding claims, logos, certification marks or trademarks. ✓ Corrects any nonconformities with applicable FSC® normative document(s) within the maximum period specified by the Certification Body. ✓ Continues to pay all specified fees and costs in a timely manner. ✓ Undergoes surveillance as determined by the Certification Body and as required by FSC®. ✓ Holds a valid version of the “License Agreement for the FSC® Certification Scheme” where the right to use the FSC® trademarks is not suspended.
Evaluations of group and multi-sites certificates:	<p>For evaluations of group and multi-sites certificates, sufficient sampling of operational sites or chain of custody operations is carried out to verify that the control system is being implemented effectively and consistently across the whole scope of the certificate.</p>
Evaluation of The Organization verification program for wood supplies from sources designated as ‘unspecified risk’:	<p>The Organization can hire any external organization to conduct the supplier verification of unspecified risk sources, excluding its own certification body. Where companies conduct their own field verification of suppliers of wood from unspecified risk sources, the Certification Body may opt to conduct their field audits in coincidence with the field verification audits by the company.</p>
Evaluation of the organization’s DDS:	<p>A system for evaluating the relevance, effectiveness, and adequacy of the DDS, according to the scope and scale of the organization’s operation is implemented. The means of verification of risk assessments and control measures established by the organization include:</p> <ul style="list-style-type: none"> ✓ A mechanism for verifying risk designations against available sources of information and applicable requirements ✓ Field verification at the forest level and on-site verification of suppliers in the supply chain with a scope and sampling pool relevant for the DDS under evaluation. The sampling pool shall be sufficient to confirm mitigation of risk related to origin and risk of mixing of material with non-eligible inputs.

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	<p>✓ Corroborating evidence provided by the organization with independent sources when possible.</p> <p>For FSC regulatory module, Except for FSC 100% input materials, the organization's DDS for the existing supply area, and/or extended to new supply areas, covering the risk assessment process for the risk of origin and the risk of mixing, risk designation, and corresponding mitigation measures (where applicable) is approved by TUV AUSTRIA HELLAS.</p> <p>A reviewed and revised DDS where there is a change in the risk designation from non-negligible to negligible risk, whether or not at the annual evaluation is also approved by TUV AUSTRIA HELLAS.</p>
Changes Affecting Certification:	<p>The certification body shall inform all affected clients of changes to FSC certification requirements or its own procedures affecting certification requirements, within thirty (30) calendar days. The Quality manager and FSC Scheme manager are Responsible for the appropriate implementation and completion of the process.</p> <p>The Certification Body consider changes and circumstances affecting certification, including changes initiated by the client and decide upon the appropriate action in accordance with the requirements of FSC® applicable requirements for evaluation and issuance of certificates including extension or reduction of the scope of certification. Records include the rationale for excluding any of the above activities. Such circumstances may be armed conflicts or epidemics that hinder the certification body in implementing its FSC® accredited certification program in order to confirm the validity of certification.</p> <p>Clients that were certified prior to the effective date of approval of a new or revised applicable FSC normative document shall be audited against the requirements of the new or revised document in accordance with the applicable transition requirements.</p>
Complaints and Appeals:	<p>The Certification Body responds to complaints and appeals in the same language that is used or agrees with the complainant on the language used. An initial response, including an outline of the proposed course of action to follow up on the complaint or appeal is provided within two (2) weeks of receiving a complaint or appeal. The allegations are investigated and the proposed actions in conclusion to the complaint or appeal are specified within three (3) months of receiving the complaint or appeal. The complainant is notified about the decision taken on the complaint.</p> <p>A complainant has the opportunity to refer their complaint to ASI, if the issue has not been resolved through the full implementation of the certification body's own procedures, or if the complainant disagrees with the conclusions reached and/or is dissatisfied by the way the complaint was handled. As the ultimate step, the complaint may be referred to FSC®.</p> <p>Anonymous complaints and expressions of dissatisfaction that are not substantiated as complaints are treated as stakeholder comments and they are addressed during the next audit.</p> <p>All complaints are registered with FSC®.</p>
Transfer of certificates:	<p>FSC® certificates can only be transferred once within the five years period of validity or else a full FSC® certification evaluation shall take place.</p> <p>FSC® certificates cannot be transferred in the following situations:</p> <ul style="list-style-type: none"> ✓ The certificate is suspended ✓ Majors CARs have not been closed ✓ The parties involved cannot agree on the transfer date ✓ Relevant documentation about the certificate holder (records, history of CARs) is not being made available

Requirements for the use of FSC® trademarks by certificate holders

It is essential that FSC trademarks are used correctly, do not mislead customers or the public about certification claims, and do not relate to quality aspects beyond those covered by FSC® certification.

The FSC organization provides tools to assist certificate holders in labeling and promotion, such as:

1. a quick guide to using the FSC trademark, available on the FSC website, which summarizes the key requirements.
2. an online brand portal and ready-to-use examples of how to create promotional material.
3. an online training course on the use of FSC trademarks.

The access of certificate holders to the online services is regulated by the issuance of the certificate.

To use the FSC trademarks, the organization must have a valid FSC trademark license and a valid certificate.

The organization shall either have an approved trademark use management system or submit all intended uses of FSC trademarks to the certification body for approval.

Products intended to be labeled with the FSC product label or displayed as FSC certified must be included in the scope of the organization's certificate.

The requirements of the standard FSC-STD-50-001: Requirements for the use of FSC trademarks by certificate holders in the version in force shall be met.

Extent of use of the TÜV AUSTRIA mark

1. The license to use the TÜV AUSTRIA mark is valid exclusively for the audited unit of the customer's business, as well as for the specific scope for which it has been certified. It is not allowed to use the mark for any other unit of the customer as well as for any other activity.
2. The TÜV AUSTRIA mark may only be used in the form shown in annex 3 of the contract. The mark must be legible and clearly distinguishable. Before using the mark, the customer is obliged to submit the drafts to TÜV AUSTRIA on company letterhead, advertising material, etc., in order for them to be approved.
3. The TÜV AUSTRIA mark may only be used by the customer and only in direct connection with the company name or the customer's company logo. It may not be displayed on the customer's products or product packaging or used in connection with the customer's products or production methods. The use of the trademark is restricted to the licensee only and may not be transferred by the customer to a third party or to its successor without the express permission of TÜV AUSTRIA. In case such a transfer is legitimate, a relevant application must be submitted. A new inspection may need to be carried out.
4. In the event that claims are raised against TÜV AUSTRIA due to the customer's use of the trademark in violation of the provisions of the user agreement, the customer is obliged to indemnify TÜV AUSTRIA from any third-party claims. The same applies in the event that third-party claims are raised against TÜV AUSTRIA for claims made for advertising reasons on behalf of the customer that do not correspond to reality.
5. The customer is responsible for using the TÜV AUSTRIA mark in competition in such a way that the reference made to the company is in accordance with the spirit of the certification. In addition, the customer must ensure that the impression is not created in the context of the competition that the Certification made by TÜV AUSTRIA was granted following an audit by a government authority.
6. The customer is not entitled to make changes to the certificates.