NEPCon Chain of Custody Standard for Forest Management Enterprises

Name of the document	
Type of document:	Standard
Title:	NEPCon Chain of Custody Standard for Forest Management Enterprises
Approved by:	Senior Program Manager, Forestry
Scope:	International
Effective from:	12 September 2019
Consultation period:	Closed
Date of this version:	12 September 2019
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A Scope

This standard is applicable for NEPCon FSC^{TM} certified Forest Management Enterprises (FMEs) certified against FSC FSS based on FSC-STD-01-001 v4-0 and selling only standing timber, stumpage, logs chips and/or NTFPs produced within a FMU covered by the scope of the certificate. This standard is not applicable for certificates issued against FSC FSS based on FSC-STD-01-001 v5. FME certificate scopes that include primary or secondary processing facilities shall include an evaluation against the full FSC Chain of Custody (CoC) standard: FSC-STD-40-004. Refer to that separate FSC CoC standard.

B References

FSC-STD-20-007a	FSC Forest Certification Reports
FSC-STD-40-004	FSC Standard for Chain of Custody Certification
FSC-TMK-50-001	FSC Requirements for the use of the FSC trademarks by FSC Certificate Holders

C Terms and Definitions

CoC:	Chain of Custody
FME:	Forest management enterprise
FSC:	Forest Stewardship Council^{TM}
Large scale operation:	>10.000 hectares
NTFP:	Non Timber Forest Products

FSC definitions associated with this Standard can be found in the FSC Glossary of Terms FSC-STD-01-002.

D Standards and Requirements

1 Quality Management

1.1.   FME shall define the personnel/position(s) responsible for implementing the CoC control system.

1.2.   All relevant staff shall demonstrate awareness of the FME's procedures and competence in implementing the FME's CoC control system.

1.3.   FME procedures/work instructions shall provide effective control of FSC certified forest products (including NTFPs) from standing timber until ownership is

transferred at the forest gate. Note: For large scale operations and Group Managers, CoC procedures covering all relevant CoC criteria shall be documented. Including:

1.3.1. Procedures for physical segregation and identification of FSC certified from non-FSC certified material.

1.3.2. Procedures to ensure that non-FSC certified material is not represented as FSC certified on sales and shipping documentation.

1.3.3. Procedures to include FME FSC certificate registration code and FSC claim (FSC 100%) on all sales and shipping documentation for sales of FSC certified products.

Note: In cases where it is not possible or practical to include the FME's certificate registration code on shipping documents, the FMEs procedures shall provide for a clear, auditable link between the material included in the shipment, a FMU included in the scope of the certificate and the applicable sales documentation (i.e. harvest or procurement contract) that includes the required information detailed in 1.3.3)

1.3.4. Recordkeeping procedures to ensure that all applicable records related to the production and sales of FSC certified products (e.g. harvest summaries, sales summaries, invoices, bills of lading) are maintained for a minimum of 5 years.

1.3.5. Procedures to ensure compliance with all applicable FSC/NEPCon/RA trademark use requirements.

2. Certified Material Handling and Segregation

2.1. FME shall have a CoC control system in place to prevent the mixing of non-FSC certified materials with FSC certified forest products from the evaluated forest area, including:

2.1.1. Physical segregation and identification of FSC certified from non-FSC certified material.

2.1.2. A system to ensure that non-FSC certified material is not represented as FSC certified on sales and shipping documentation.

2.2. FME shall identify the sales system(s) or "Forest Gate", for each FSC certified product covered by the CoC system: i.e. standing stock; sale from log yard in the forest; sale at the buyer's gate; sale from a log concentration yard, etc.

2.3. FME shall have a system that ensures that FME products are reliably identified as FSC certified (e.g. through documentation or marking system) at the forest gate.

2.4. FME shall ensure that certified material is not mixed with non-FSC certified material at any stage, up to and including the sale of the material.

3. Certified Sales and Record keeping

3.1. For material sold with FSC claim the FME shall include the following information on sales and shipping documentation (see note 1.3.3 above):

   3.1.1. FME FSC certificate registration code, and

   3.1.2. FSC certified claim: FSC 100%

   Note: Only FSC 100% (100% FSC certified material originating from the forest under evaluation) claims are allowed within the scope of a FM/COC certificate. If the FME plans to produce and sell products with an FSC claim that are manufactured from both FSC certified and non-FSC certified material or combine FSC certified material from the forest under evaluation with FSC certified material from another FSC certified supplier than a separate COC certificate must be obtained from an FSC accredited certification body.

3.2. FME shall maintain certification production and sales related documents (e.g. harvest summaries, invoices, bills of lading) for a minimum of 5 years. Documents shall be kept in a central location and/or are easily available for inspection during audits.

3.3. FME shall compile an annual report on FSC certified sales for NEPCon containing monthly sales in terms of volume of each FSC certified product sold to each customer. This report shall be made available to NEPCon staff and auditors during regular audits or upon request.

4. Outsourcing

Note: Outsourcing requirements do not apply to harvesting and/or transportation conducted by contractors. Outsourcing allowed within the scope of an FM/COC certificate is limited to handling, storage and/or short-term primary processing. Processing is restricted to production of FSC 100% products manufactured from material originating exclusively from FME's forests under evaluation (e.g. custom sawing). A separate CoC certificate that includes outsourcing in the scope must be obtained for all other subcontracted processing arrangements.

4.1. FME shall obtain approval from NEPCon prior to initiating outsourcing of handling (e.g. storage, concentration yards) or processing of FSC certified material to subcontractors.

4.2. The FME control system shall ensure that CoC procedures are followed at subcontracted facilities for outsourcing. FME shall collect signed outsourcing agreements covering all applicable FSC outsourcing requirements per FSC- STD-40-004 FSC Standard for Chain of Custody Certification.

A reference outline of outsourcing documented procedures is available on request.

About NEPCon

NEPCon (Nature Economy and People Connected) is an international non-profit organisation working to support better land management and business practices that benefit people, nature and the climate in 100+ countries around the world. We do this through innovation projects, capacity building and sustainability services.

We are accredited certifiers for sustainability schemes such as FSC™, PEFC, RSPO, RA SAS and SBP. We also certify to our own LegalSource™, Sustainable Tourism and Carbon Footprint Management standards. A self-managing division of NEPCon promotes and delivers our certification services. Surplus from certification activities supports the NEPCon's non-profit activities.

NEPCon is recognised by the EU as a Monitoring Organisation under the EU Timber Regulation.

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