



The mark of
responsible forestry

FCBA REFERENCE FRAMEWORK

FSC® CHAIN OF CUSTODY

The current FSC® normative documents are available on the FSC®
website: <https://fsc.org/en>



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1. General organization of the FSC® framework

1.1. Objective of forest certification

1.1.1. Responsible forest management

Forests constitute an essential environmental and socio-economic asset. Beyond timber production, they offer recreational spaces, enrich landscapes, shelter biodiversity and protect soil and water, while combating desertification.

Forests are therefore at the heart of international discussions concerning development and sustainable management. Sustainable forest management is an environmental, social, and economic development approach that "aims to meet the needs of the present generation without depriving future generations of the ability to meet their own needs."

Forest certification systems define criteria for sustainable management and ensure good forest management.

This standard is part of the FSC® Chain of Custody certification process.

1.1.2. Companies concerned by FSC® certification

This framework applies to companies that carry out or have carried out forestry operations, processing, distribution and/or marketing of forest products and products containing wood and fibers of forest origin, under their responsibility and ownership.

The Chain of Custody concerns each link in the chain, that is, all the units that enable the transformation of wood from log, or other forest product, to the finished product. A unit in the Chain of Custody is defined by a transfer of ownership of the forest material.

1.2. FSC® Chain of Custody certification

1.2.1. The Forest Stewardship Council® (FSC®)

The Forest Stewardship Council® (FSC®) is an international non-profit organization created in 1993, made up of various groups representing environmental non-governmental organizations (NGOs), timber professionals and indigenous peoples.

The FSC® International Centre is currently based in Bonn, Germany. It currently consists of four regional offices (Africa based in Kenya, Latin America based in Peru, Asia-Pacific based in Hong Kong and Europe based in the United Kingdom).

FSC® has established a service that accredits independent third-party organizations, whose role is to assess and certify that a forest is managed in accordance with FSC® principles and that a forest product has been produced from raw materials managed in accordance with FSC® principles.

The objective of the FSC® mark is to promote and ensure good forestry practices as defined in the "FSC® principles and criteria for good forest management" and to establish a uniform marking of FSC® certified timber and forest products.

1.2.2. Types of FSC® certification at FCBA

At FCBA, the following FSC® certifications are distinguished:

- Chain of Custody (CoC) certification: The Chain of Custody is the tracking of forest products from the forest (or from material recovery in the case of recycled products) to the end consumer. The Chain of Custody certificate attests that the company processing or distributing the forest material ensures the tracking of certified forest products in accordance with FSC® requirements (see Annex 9).

- Project certification is defined as the certification of the production (or renovation) of a construction or civil engineering project, an individual work of art or decorative object, or a transport vehicle made from or containing materials of forest origin. It can be a "one-time certification" valid for a single project, or a "permanent certification" for multiple projects.
- The certification of FSC controlled wood in forest management (Controlled Wood in Forest Management, or CW/FM for short) which allows forest managers to have their forest management activities certified for the sale of FSC controlled wood (FSC Controlled Wood).
- The additional certification to the FSC® Regulatory Module allows organizations applying for FSC certification or holding FSC certification to voluntarily extend their scope of certification to comply with Regulation (EU) 2023/1115 (EURD).

1.2.3. Texts applicable to certification

The application of the FSC® Chain of Custody system is governed by various normative documents structured as follows:

FSC® Certification Regulatory Framework		
Main standard	Additional standards	Other normative documents
FSC® Chain of Custody		
FSC-STD-40-004 Chain of Custody Certification	FSC-STD-40-003 Chain of Custody Certification of Multiple Sites FSC-STD-40-004a FSC product classification FSC-STD-40-005 Requirements for Sourcing FSC Controlled Wood FSC-STD-40-007 Sourcing reclaimed material for use in FSC Product Groups or FSC Certified Projects FSC-STD-50-001 Use of the FSC® Trademarks by Certificate Holders	FSC-PRO-40-003 Development of National Group Chain of Custody Eligibility Criteria Guidelines FSC-DIR-40-004 FSC-DIR-40-005 FSC-PRO-60-006b FSC Risk Assessment Framework
FSC® Regulatory Module		
FSC-STD-40-004r Regulatory Module Chain of Custody Certification	FSC-STD-40-006r FSC Regulatory Module – Project Certification FSC-STD-50-001r FSC Regulatory Module - Use of the Trademark	

The FSC® normative documents are:

- the Policies (coded "FSC-POL-XX-XXX"),
- the Standards (coded "FSC-STD-XX-XXX"),
- the Guidelines (coded "FSC-DIR-XX-XXX"), which contain the ADVICES,
- the Procedures (coded "FSC-PRO-XX-XXX")

- and Interpretations (INT type documents).

Companies applying for certification must comply with the certification process and with the FSC® requirements and documents corresponding to their activity(ies).

This reference document is established in accordance with the current FSC® normative documents available on the FSC® website: fsc.org in the "Document Centre" section and which take precedence over this reference document.

By proceeding with certification under its FSC® accreditation, FCBA must comply with the requirements of all applicable FSC® normative documents.

Updates must explicitly include consideration of all new or revised FSC® policies, standards, guidelines and interpretations published on the FSC® website to ensure that FCBA's policies and procedures are in ongoing compliance with all FSC® requirements.

1.3. FCBA, certification body for the FSC® Chain of Custody

1.3.1. Presentation of the FCBA Technological Institute

The FCBA Technological Institute (Forest Cellulose Wood-Construction Furniture) is a certification body created in 1952, whose activity is officially declared in the Official Journal of the French Republic, in accordance with the terms of the law of June 3, 1994.

1.3.2. Relationship between FCBA and FSC®

Since July 28, 2004, FCBA has been accredited by the FSC® accreditation body ASI (Assurance Services International) as a certification body for the FSC® Chain of Custody.

Technical scope: FSC COC

Geographic scope: Global (excluding Belarus, China, Myanmar and the Russian Federation)

FCBA is accredited to the most recent versions of the following accreditation standards:

- FSC-STD-20-001 (including the regulatory module FSC-STD-20-001r)
- FSC-STD-20-011 (including the regulatory module FSC-STD-20-011r)

FCBA is approved for product certification in accordance with the following standards:

- FSC-STD-40-003
- FSC-STD-40-004 (including the regulatory module FSC-STD-40-004r)
- FSC-STD-40-005
- FSC-STD-40-006 (including the regulatory module FSC-STD-40-006r)
- FSC-STD-40-007

FCBA is responsible for assessing the conformity of Chains of Custody and awarding certificates, allowing holder companies to use the FSC® Trademarks on FSC® certified products, on commercial and communication documents.

In accordance with the requirements and under the control of the FSC®, FCBA's role is to monitor the use of the FSC® Trademarks by the companies holding it and to ensure the management of conflicts.

FCBA is the direct point of contact between applicant and certified companies and the FSC®. It regularly transmits information relating to issued certificates to the FSC®.

FCBA's organizational structure makes available to stakeholders, upon request, the names and qualifications of FCBA's department members responsible for:

- a) The general execution of the activities of the certification body;
- b) The examination of the independence of the certification body;
- c) The formulation of policy questions that affect the operation of the certification body;
- d) Certification decision-making;
- e) The implementation of the certification body's policy;
- f) The resolution of disputes.

1.3.3. FCBA's organization and responsibilities in FSC® certification

Levels of responsibility

FCBA's organization for FSC® CoC certification is based on three levels of responsibility:

- **Management of the FSC® CoC certification system:**
The Head Brand Manager (HBM) is responsible for monitoring FSC® requirements and ensuring the brand's operation (financial management, complaints handling, auditor qualification, etc.). They evaluate each certification application and conduct technical reviews of audit files (preparation, follow-up, renewal). They are assisted in these tasks by one or more Brand Managers (BMs).
- **Conducting certification audits:**
Auditors conduct audits, prepare audit reports, and follow up on non-conformities. Auditors are qualified according to FSC® requirements and FCBA's internal procedures. Any auditors subcontracted to FCBA are qualified under the same conditions as FCBA staff.
- **Certification decision:**
Certification, suspension and withdrawal decisions are made by the FCBA FSC® certification decision-making entity, consisting of the FCBA Certification Director and a Technical Decision-Maker.

Confidentiality

The participants in the certification process, FCBA employees and subcontractors, are contractually bound to respect confidentiality.

They take every precaution to avoid any direct or indirect disclosure, as a result of their actions, of information or documents to which they may have access or of which they may have had knowledge. This particularly concerns information contained in the files of companies applying for or holding certification.

Impartiality

FCBA's independence and impartiality are ensured in accordance with the requirements of the NF EN ISO/IEC 17065 standard and FSC® standards and normative documents.

The Certification Committee's mission is to formulate FCBA's principles of action regarding certification and to ensure the implementation of certification as defined. Its purpose is to comply with the requirement of the NF EN ISO/IEC 17065 standard concerning the "participation of all parties significantly involved in the development of policies and principles relating to the content and operation of the Certification system".

This Committee has a balanced structure, composed of three groups comprising representatives of the holders, clients/prescribers, and technical bodies/government agencies. The list of members of the Certification Committee is available upon request to any interested party.

Activities incompatible with the FSC® Chain of Custody certification activity:

- Consulting activities:

Providing consulting activities within the scope of FSC® accreditation by FCBA and any other affiliated company (by legal entity and/or service under control) is not authorized for companies under contract with FCBA for FSC® Chain of Custody certification.

- Training activities:

Providing personalized training activities within the scope of FSC® accreditation by FCBA and any other affiliated company (by legal entity and/or service under control) is not authorized for companies under contract with FCBA for FSC® Chain of Custody certification (e.g. in-house training, not freely accessible).

The FSC® Chain of Custody certification activity is authorized only if the following conditions are met:

- No consulting activity within the scope of FSC® accreditation has been carried out by FCBA or any other affiliated company (by legal entity and/or controlled service);
- FCBA staff, if they have previously been involved in consulting activities within the scope of FSC® accreditation in a company, or employed by a company, must allow a minimum period of 3 years before being potentially involved in the FSC® certification process (audit, review of an audit file, certification decision, review or approval of a complaint or appeal) of that same company;
- The training activity within the scope of FSC® accreditation carried out by FCBA or any other affiliated company (by legal entity and/or controlled service) complies with the following conditions:
 - When training relates to FSC® requirements, it can only cover generic information that is freely accessible in the public domain;
 - The training does not provide company-specific solutions and is not conducted in-house;
 - The templates presented:
 - are publicly accessible;
 - do not provide solutions specific to businesses;
 - include a warning, specifying that the model is not a guarantee of compliance with FSC® requirements. It is the company's responsibility to comply with FSC® requirements;
 - Use is voluntary.

NOTE: Templates may include sample procedures, which may be established for specific industry sectors or customer types, as long as they contain only generic information and fictitious examples. The development of company-specific procedures and manuals is not permitted.

2. FSC® Chain of Custody Certification Process

2.1. Processing a request

2.1.1. Prerequisites for certification application

FCBA ensures the availability of this reference document and the applicable standards for companies wishing to implement the FSC® Chain of Custody (see [Appendix 1](#)) on its website: <https://www.fcba.fr/certifications/gestion-forestiere-responsable-fsc/>

The application file for FSC® Chain of Custody certification to be sent to FCBA when applying is detailed below.

Before submitting an application for certification, the company ensures that it meets all the conditions defined in this framework (see chapters [6](#) and [7](#)). She agrees to abide by these conditions for the entire duration of the certificate.

2.1.2. Certification application file

The application for FSC® Chain of Custody certification comes from a company that does not currently hold Chain of Custody certification. It must be submitted to FCBA and must contain the following elements:

Application for FSC® Chain of Custody certification on company letterhead (see Appendix 2)
Completed application form (see Appendix 3 and Appendix 4)
Certification proposal signed by the company (see paragraph 3.1)
Chain of custody procedure ¹
Self-assessment and policy statement for basic labor requirements (FSC-STD-40-004 §7)

NOTE: The certification application can be made via the website (see [§2.1.1.](#))

Special case of FSC Controlled Wood certification: The following documents must be provided in addition:

Description of the duly completed Due Diligence System (DOC 4355 available upon request)
Due Diligence System: procedures and associated documents (e.g., proof of stakeholder consultation)
Procedure for handling comments and complaints from stakeholders related to the DDS
Internal audit of the DDS system
Summary of changes in the DDS

Case of supplementary certification to the FSC® Regulatory Module: The following documents must be provided in addition:

Description of the duly completed Due Diligence System (DOC 4359 available upon request)
Due Diligence System: procedures and associated documents
Procedure for handling comments and complaints from stakeholders related to the DDS
Internal audit of the DDS system
Summary of changes in the DDS

2.1.3. Review of demand

Upon receipt of the FSC® certification application, FCBA conducts an eligibility review to verify that all required documents are included and completed by the applicant company, and that the information contained in the application complies with FSC® requirements. FCBA may request additional information.

When the file is complete, FCBA prepares the investigation procedures (initial audit, preceded if necessary by a preliminary audit) and informs the candidate company of the procedures for carrying out the audit (auditor, date, duration, sites audited, etc.).

Before the initial audit date, the requesting organization is registered on the FSC database in order to trigger the validation of the TLA (Trademark License Agreement) via electronic signature on the database.

2.1.4. Transfers of certificates between certification bodies

All certificate transfers are carried out in accordance with the requirements of procedure FSC-PRO-20-003: “Transfer of FSC® Certificates and License Agreements”.

¹The company must submit to FCBA an FSC® procedure (or equivalent document) describing the system implemented for the certification of its FSC® Chain of Custody, taking into account all the requirements of this standard. Without receipt of this procedure, the initial audit cannot be carried out.

2.2. The audit

2.2.1. The different types of audits

Pre-audit (optional)

An assessment can be carried out before the initial audit to determine whether the company complies with FSC requirements. A report is then provided to the company summarizing the observations made during this assessment.

Preliminary audit

An initial audit phase is mandatory each year with the central office for multi-site certification or with the group entity for group certification (see FSC-STD-40-003).

Initial Audit

The objective is to ensure that the provisions defined by the candidate company meet the requirements of the applicable FSC® standards and in accordance with this reference document (see §7).

Surveillance audit

As with the initial audit, this audit is conducted based on FSC® requirements. The auditor also ensures that the company holding the certification has implemented the defined provisions, addressed any discrepancies from the previous audit, and complied with the rules for using the FSC® Trademarks(see § 6).

For sites that have not produced, labeled, or sold any FSC® certified material and have not sourced controlled material or sold FSC® Controlled Wood since the previous audit, it is possible to waive the surveillance audit subject to FCBA's approval.

NOTE: When FSC activity resumes at the holder, the latter must inform FCBA as soon as possible and a surveillance audit must be carried out within 3 months.

When new or revised FSC® standards come into effect and if the following requirements are met:

- a) FCBA assesses the organization's procedures against the new normative requirements relevant to the scheduled date of the surveillance audit.
- b) The assessment must be carried out on site if:
 - i. The organization's chain of custody system requires adjustments due to new requirements which, if not addressed, could lead to major non-conformities;
 - ii. The organization will use a new system to control FSC declarations under a specific product group (FSC-STD-40-004);
 - iii. FCBA considers it necessary to assess the implementation of corrective action requests or a change in the scope of the certificate.
- c) If the suspension of an organization's chain of custody certificate exceeds the time allotted for their regular surveillance audit at the time a new or revised FSC® standard becomes effective, FCBA must assess the organization's procedures to ensure they comply with the requirements of the new standard when the suspension is lifted.

NOTE: The decision to waive a surveillance audit for the reasons described above is at FCBA's discretion. FCBA may require a surveillance audit if it is deemed necessary to maintain confidence in the certificate.

In the event of a complaint, formal denunciation by a third party, or doubt regarding the certification of a marketed product, FCBA reserves the right to conduct unannounced or short-notice surveillance audits at the

offices and production sites of the certification body. The duration of an unannounced or short-notice audit may not be less than half a day.

Renewal audit

The certification is renewed five years after the initial audit. The renewal audit is comparable to the initial audit.

Extension audit

An extension audit may be required when requesting a change to the scope of the Chain of Custody. It is conducted in the same way as the initial audit.

Supplementary audit

A supplementary audit may be required of a company as part of increased control measures (change in scope, audit of subcontractors, etc.). It is conducted in the same way as a surveillance audit. The scenarios and procedures to be followed are presented below.

A supplementary audit may also be triggered in order to continue the audit or to allow the resolution of non-conformities in accordance with what is defined in our commercial offer.

2.2.2. Audit Procedure

The audit is broken down into three stages:

- Preparing for the site visit;
- The site visit;
- Drafting the audit report.

Programming

FCBA designates an auditor, and where appropriate a qualified technical expert to carry out FSC® audits (FCBA staff or subcontractor), responsible for carrying out the audit considering the scope of application declared by the candidate/holder company.

The auditor and the company set the audit date for the site concerned by the certification. The audit program is sent to the company at least one week before the chosen date. The self-assessment relating to the FSC® core labor requirements, as well as the procedure, must be sent to the auditor before the audit.²The auditor assesses the self-assessment as part of the preparation for the on-site audit.

Conducting the on-site audit

The candidate or company holder facilitates the auditor's mission by making competent people available to them and giving them access to premises, equipment, facilities, documentation and commercial documents of all kinds.

During the review of documentation and records, the FCBA auditor will review at a minimum:

- a) Any change to the scope of the FSC® certificate, including new Chain of Custody operations, new participating sites and/or changes in activities;
- b) Changes to the certificate holder's management system;
- c) Inventory records;

²Preferably at least 5 days before the audit to allow for analysis.

- d) Purchase and sales documentation for FSC® and FSC® Controlled Wood certified products (invoices, shipping documents (BL), sales contracts);
- e) Confirmations that entries described as FSC® certified or FSC® Controlled Wood are covered by a valid FSC® Chain of Custody and provided with the applicable certification numbers;
- f) For the production of:
 - i. "FSC Mix" and "FSC Recycled" products: calculations of credits and/or entry percentages for each product group within the limits of the certificate;
 - ii. "FSC 100%" products: a sample of certified production records and confirmation that these can be traced back to the certified inputs;
 - iii. "FSC Controlled Wood" products: program for evaluating material that has been qualified as FSC Controlled Wood by the company.
 - iv. Regulatory Products (REG): a sample of recorded productions with FSC claims and confirmation that these can be traced back to inputs that comply with the FSC Regulatory Module.
 - v. Regulatory+ (REG+) products: a sample of certified production records and confirmation that these can be traced back to 100% FSC certified inputs and that each certificate holder in the verified supply chain has applied the <FSC-STD-01-004 FSC Regulatory Module.
- g) The uses of FSC® Trademarks (on-product and promotional);
- h) Training records;
- i) The complaints received;
- j) Interviews with a sufficient number and variety of employees, their representatives, including workers' organizations, employer representatives, and subcontractors, at each operational site selected for assessment, to verify the company's compliance with all applicable certification requirements. The auditor ensures that comments can be provided in complete confidentiality.
- k) At a minimum, interviews are conducted to verify training measures and understanding of individual responsibilities at different sites of the operation being evaluated.
- l) A detailed declaration of overall turnover and timber sales. Proof of these turnover figures will be collected.

In addition, for group and multi-site certificates, the FCBA auditor reviews and assesses:

- a) The list of participating sites;
- b) The rate of change of participating sites (new sites, sites that have left the certificate);
- c) The ability of the certificate holder's management system to handle any changes to the scope of the certificate, including increases in the size, number, or complexity of operational sites within the limits of the certificate;
- d) Formal communication/written documents sent to participants by the certificate holder since the previous FCBA audit;
- e) Records of internal audits carried out by the certificate holder;
- f) Records of all corrective actions taken by the certificate holder;
- g) The records of the annual management review conducted by the certificate holder.

In the case of project certificates, the FCBA auditor will further verify that only eligible materials were used in the projects (or their components) and that the FSC claims made about them are true and correct.

At the closing meeting, the auditor presents his conclusions to the company and outlines any non-conformity noted during the audit.

Note: In the case of initial audits, if the organization has not already procured FSC materials, it must inform FCBA when the first supplies are made so that a second on-site audit can be carried out within 3 months.

Duration

The duration of an initial audit must be at least one day per site, except in the case of group/multi-site certification where the duration for a member of the group/site may be reduced to half a day. The duration of a surveillance audit for a site must be at least half a day.

Depending on the complexity of the Chain of Custody to be audited (number of applicable standards, method chosen, number of activities within the scope of certification, system for controlling the use of the FSC® Trademarks chosen...), FCBA may consider a longer duration without exceeding two days for a simple site.

In the case of a group/multi-site certification, the total audit duration may exceed two days. This corresponds to the sum of the audit duration defined for the group entity/central office and the audit durations defined for each group/site member included in the sample.

The company is informed of the duration of the audit chosen through the quote and the audit programs that are sent to it.

Frequency

The frequency of surveillance audits is at least one audit per calendar year. FCBA will ensure that the interval between two audits does not exceed 15 months.

Depending on the circumstances, for example, the quantity of production, the complexity of the Chain of Custody, the experience and performance of the staff, the nature of the non-conformities and complaints, FCBA reserves the right to increase the frequency of surveillance audits.

2.3. Certification decision

2.3.1. Operations carried out following the on-site audit

The audit report is sent to the company within one month of the date of the audit.

It is accompanied, where applicable, by the non-conformity reports and a request to carry out corrective actions within a specified timeframe.

The company must sign the audit report (Audit Summary) and complete the non-conformity reports with the planned corrective actions and the implementation deadline.

2.3.2. Non-conformity handling

The wording of the non-conformity specifies the nature of the non-conformity, the requirement, and the site or activity concerned. Non-conformities are classified into two levels, according to their severity:

Minor non-conformity

Non-conformity in documentation and/or practices that does not call into question compliance with a requirement of this standard.

The correction must be implemented within a maximum period of 6 months, and the corrective action plan must be validated within the same timeframe. The effectiveness of the corrective action will be verified during the next evaluation.

In order to issue or renew the certificate, all corrective actions must be closed.

Beyond the defined deadline, if the correction and the corrective action plan are not validated, the minor non-conformity automatically becomes a major non-conformity.

Major non-conformity

Non-conformity in documentation and/or practices that calls into question compliance with a requirement of this standard.

The period granted for the resolution of a major non-conformity cannot exceed 6 months. If after 5 months the Major non-conformity is not resolved, a formal notice is sent to the company before the triggering of a sanction procedure from the target date of the deviation.

The correction and corrective actions must be implemented within a maximum period of 6 months.

The Chain of Custody cannot be certified (during an initial audit) nor maintained (during a surveillance audit) as long as the company has not closed the major non-conformities within the specified timeframe.

During an initial audit, if the non-conformities have not been closed after 6 months, the audit is considered void. In this case, a new application process is initiated and a new initial audit is carried out.

Consequence of the non-conformity

- If the closure of non-conformities requires a longer analysis period, a supplementary audit may be carried out.
- Non-conformities must be closed within the specified deadlines; otherwise, a sanction procedure will be initiated.
- A significant number of non-conformities may lead FCBA to request an additional audit in order to allow the closure of the non-conformities before the certificate is granted.
- During a surveillance audit, if the number of major non-conformities is greater than or equal to five, the certificate will be suspended within 10 days.

2.3.3. Obtaining the Chain of Custody certificate

The certification decision is made by FCBA's FSC® certification decision-making body, comprised of FCBA's Certification Director and a Technical Decision-Maker, based on the audit report and any corrective actions taken. The decision is communicated in writing to the applicant or certified company.

When the certification decision is positive, a certificate with a Chain of Custody number is issued. It specifies the scope, application, methods, and validity period of the certification (5 years). The assigned Chain of Custody number is in the format "FCBA-COC-XXXXXX" ("COC" for Chain of Custody).

Group/multi-site case:

The certificate specifies the company name of all members of the certified group/multi-site and the corresponding Chain of Custody sub-number. FCBA can issue duplicates of the group/multi-site certificate to each member. Each sub-group (defined according to the shared activity of several sites within a multi-site or group) will be assigned a sub-certificate number, represented by an additional letter to the certificate number.

Example: Activity 1 of the group / multi-site FCBA-COC-XXXXXX-A, Activity 2 of the group / multi-site FCBA-COC-XXXXXX-B

Case of FSC® Controlled Wood:

An FSC® Chain of Custody certificate with FSC® Controlled Wood in its scope issued by FCBA will also include the FSC® Controlled Wood certification number issued in the form: FCBA-CW-XXXXXX, where XXXXXX is a unique six-digit number published by FCBA, which will be the same as the one used for the FSC® Chain of Custody certificate.

The FSC® Controlled Wood certification code cannot be issued (during an initial audit) nor maintained (during a surveillance audit) until the company has closed all non-conformities, where applicable.

Obtaining the FSC® Chain of Custody certificate entitles the holder to use the FSC® Trademarks.

Special case:

A Chain of Custody certificate can be issued before the company has taken physical possession of FSC® certified material if the operational Chain of Custody system in place is deemed satisfactory.

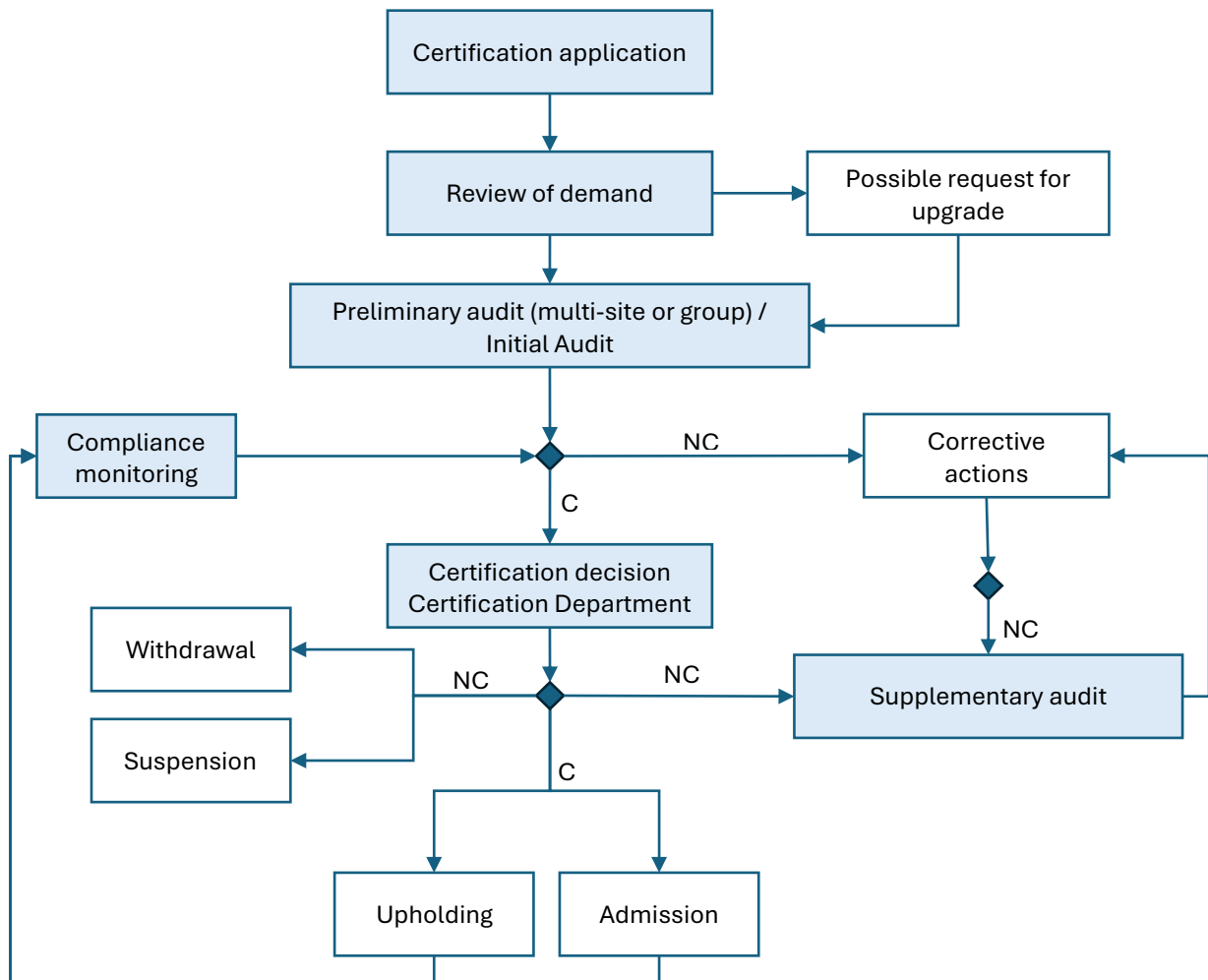
In such cases, FCBA will require the company to notify them as soon as FSC® certified stock is available or production of FSC® certified material has started.

FCBA will carry out a (second) site visit or conduct the first surveillance audit within three months following receipt of such notice, unless the initial audit resulted in non-conformities related to the management of critical control points.

2.4. Compliance monitoring

2.4.1. Monitoring schedule

A surveillance audit is conducted annually, around the anniversary of the certificate plus or minus 3 months. The certificate is renewed after 5 years.



2.4.2. Maintaining compliance

Maintaining compliance is monitored based on:

- Audit results;
- Information from the market (see [§5](#)).

Following each audit, the operations described in [§2.3.1](#) and [§2.3.2](#) are carried out.

When the company is in compliance, the maintenance of the certificate is confirmed by mail to the company holder by the FSC® Head Brand Manager.

2.4.3. Procedure for modifying the scope of the certificate of the certificate holder

FCBA requires that the certificate holder formally inform it of any planned changes to the product, the manufacturing process or, where applicable, the quality system, which may affect the conformity of the product.

To do so, the company wishing to modify the scope of its FSC® certified Chain of Custody must initiate this request as soon as possible by sending the following documents to FCBA:

Request to amend the Chain of Custody on company letterhead (see Appendix 5)
Completed amendment request form (see Appendix 6)

FCBA determines whether the announced changes require further review (additional audit). If so, the company holding the certification is not authorized to distribute products deemed certified following these changes until FCBA has given its approval.

Following the review of the application and a possible additional audit, FCBA notifies the certificate holder its agreement or refusal to issue or maintain the FSC® Chain of Custody certificate.

Examples of Chain of Control modifications:

Type of modification	FCBA Shares
Site removal or removal of a group member	Notification of the withdrawal decision for the site in question. Issuance of a new certificate.
Adding a production site or a group member	Processing of the request to modify the file. Extension audit within three months. If the audit is satisfactory, a new certificate will be issued.
Modification of the Chain of Custody certification method or procedures	Processing of the request to modify the file. Site audit within three months according to the new method or procedures. If the audit is satisfactory, a new certificate will be issued.
Change of company name, of trade name	Notification of the withdrawal decision under the old trade name. Issuance of a certificate under the new trade name.
Change of legal status	Processing of the new application and assessment of the need to carry out an audit and/or specific controls. Notification of the decision to withdraw the certificate under the old status. Notification of the decision to admit under the new status if the controls are satisfactory.
Voluntary withdrawal of the certificate holder	Acknowledgement of receipt and acceptance of the withdrawal decision for the site in question. Request for return of the certificate.

FCBA informs the FSC® of the changes indicated above within thirty days.

For any extension of the Chain of Custody scope, the certificate holder commits to not to use the FSC® certificate for the Chain of Custody or the FSC® mark on the new sites or members until FCBA has notified it of the maintenance or extension of the Chain of Custody certificate.

Modifying the scope of application of Chain of Custody does not extend the expiry date beyond the validity period assigned in the original application.

The original copy of the previous certificate must be returned to FCBA or destroyed, and any electronic and paper copies held must be destroyed.

2.4.4. Modifications to standards and/or reference materials

FCBA transmits information to certificate holders and candidate companies regarding the evolution of FSC® standards applicable to the Chain of Custody.

This reference document may be modified following changes in FCBA's internal regulations, or to incorporate changes to FSC® standards.

In all cases, FCBA specifies the consequences of these changes and the deadline for contractors to comply. If a certificate holder fails to comply with the new provisions within the specified timeframe, a sanction procedure may be initiated.

The certificate holders will be informed within 30 days of the development of these elements.

2.4.5. Sanctions and provisions in case of suspension or withdrawal

A sanction may be imposed in the following cases (non-exhaustive list):

- Major non-conformity observed during a surveillance audit or unannounced inspection;
- Non-conformity not resolved within the specified timeframe;
- Following a claim or complaint;
- Non-payment of services fees or AAF;

In all cases, FCBA ensures the accuracy of the information collected and prepares a report indicating the importance of the non-conformity, its persistence, and the corrective actions undertaken by the company.

Based on this report, FCBA decides on the sanction to be issued. The sanction takes effect upon receipt of notification by the company. The scaling of sanctions is as follows:

Sanctions	Definitions	Consequences
Warning with or without increased control	This sanction highlights a potential risk that could undermine the credibility of the certification system implemented by the company. Increased monitoring is implemented when FCBA needs to verify the implementation of corrective actions. Example: Unintentional action by a manager or staff member of the certified company or by a third party related to the certified company	Certification upholding subject to the implementation of corrective actions.
Suspension	The system is being called into question because it is no longer able to ensure compliance with the requirements of the standard. Example: Deliberate action by a manager of the certified company	Temporary suspension of certification.
Withdrawal	A complete challenging of the system. Example: A serious and indisputable action concerning the requirements of the standard or the conditions of use of the logo	Permanent withdrawal of certification.

Note: An observation is not a sanction. It does not call into question the certification system implemented by the company.
Note: A suspension decision is notified for a fixed period, which must not exceed 12 months. FCBA may reinstate certification after a suspension if all non-conformities have been addressed. If certification is reinstated after a suspension, or if the scope of certification is reduced to allow for reinstatement, FCBA must make all necessary changes to official certification documents, public information, and authorizations for the use of the FSC® Trademarks. At the end of the suspension period, if certification cannot be reinstated, it is withdrawn.

When a withdrawal or suspension has been decided and notified:

- All use of the FSC® Trademarks and all declarations of conformity to the requirements of FSC® certification must be discontinued;
- Any product labeled or marked with the FSC® Trademarks must be withdrawn from sale or unmarked;
- All existing clients (certified and non-certified) must be identified and notified of the suspension or withdrawal in writing within three days of receiving the notification of suspension or withdrawal, and records must be kept.

In the event of withdrawal, the following additional obligations must be met:

- The original copy of the certificate must be returned to FCBA or destroyed, and any electronic and paper copies held must be destroyed;
- All uses of the name, initials, logo or FSC® Trademarks on products, documents, or advertising or promotional materials must be removed, at the company's expense;
- The company is removed from the list of certificate holders.

FCBA updates the certificate status, as well as the effective date and reason for suspension or withdrawal in the FSC® database, within three days of receiving the notification of suspension or withdrawal from the company.

FCBA and FSC® reserve the right to verify that the above obligations have been met by the company. If not, legal action may be taken.

2.5. Communication of information relating to certificate holders

2.5.1. Information forwarded to FSC® and/or ASI

FCBA regularly forwards information to FSC® relating to certificates awarded, suspended, withdrawn or modified (contact details and certified products).

Information regarding organizations that have declared “no FSC sales” since the previous assessment is also recorded by FCBA in the FSC® certification database as public information for the period declared by the company.

This information is recorded in the FSC® database and disseminated via the database:
<https://connect.fsc.org/fsc-public-certificate-search>

Audit reports can be sent to FSC® or ASI upon request.

Maintaining the integrity of the supply chain:

As part of the fiber transaction verification/testing activities carried out by ASI, FCBA collects from companies, analyzes and shares with ASI, upon request, samples of FSC® transaction data/samples and specimens of materials and products and information on species composition.

In addition, to support the monitoring and control of false claims in the FSC® system, FCBA records the following information in the FSC® database (as non-public information):

- Non-conformities, suspensions, terminations, and the removal of participating sites resulting from false claims and/or fraud committed by organizations;
- The recommendation of organizations that should be investigated by ASI and the rationale (e.g., evidence that suggests records are being withheld from FCBA, complaints received about the organization, potential volume disparities between the organization and its trading partners).

2.5.2. Information made available to the public

FCBA maintains an up-to-date list of companies it has certified and makes it available to the public on its website: <https://www.fcba.fr/>, via a link to the FSC® website.

3. Administrative and legal aspects

3.1. Contracts

Upon receipt of an application for FSC® Chain of Custody certification (application form and formal request letter), a certification proposal is drawn up in duplicate based on the information provided by the company. This proposal specifies the applicable fees, FCBA's general terms and conditions of sale, and the specific conditions for FSC® Chain of Custody certification, including the use of the respective FSC® and FCBA Trademarks.

The certification proposal signed by FCBA (two copies) is sent to the company. These documents must be returned signed to FCBA before the FSC® Chain of Custody initial or renewal audit begins.

The Trademark License Agreement is transmitted electronically to the candidate / certificate holder before the initial / renewal audits.

Once the certification proposal is signed and returned to FCBA, it constitutes the contract binding the company and FCBA. At this precise point in the certification process, the company becomes an FCBA "Client". The signature of the license agreement for the FSC® certification scheme (Trademark License Agreement, abbreviated TLA) is verified by FCBA using the Salesforce database.

4. Financial System

4.1. Annual administration fees

The annual administration fee (AAF, FSC-POL-20-005) for companies holding the FSC® Chain of Custody is billed at the end of each quarter. This fee is expressed in US dollars and invoiced in euros at the exchange rate in effect at the time of invoicing.

These fees are based on the revenue from forest products³ from the last known accounting period, and collected during the annual audit preceding invoicing.

The information that FCBA will need to include in the FSC certification database includes, but is not limited to:

- The type of FSC certificate;
- For holders of single and multi-site CoC certificates:
 - the start and end dates of the fiscal year;
 - the turnover from forest products;
 - overall revenue⁴;

³Forest product revenue refers to the revenue from all certified and non-certified forest products and products containing wood or fiber components (i.e., all wood products, pulp products, and non-timber forest products as defined by FSC-STD-40-004a). It does not refer to 100% of the non-forest products that companies may produce. For clarity, forest product revenue does not include related services.

⁴Total revenue encompasses all of an organization's income from the provision of goods and services, less trade discounts, VAT, and any other taxes levied on that total revenue. It also includes intra-company sales (i.e., after any consolidation where a financial group exists).

- For group CoC certificate holders, the number of group members, the applicable forest product turnover (i.e., for the group as a whole; or for groups with processors and traders, the aggregate forest product turnover respectively for processors and traders) and the overall revenue.
- For one-off and permanent project certifications, the overall cost of each project.

The calculation methods for annual amounts and AAF classes are defined in FSC Policy-POL-20-005 (current version), available for download on the website: fsc.org in the "Document Centre" section.

For group or multi-site certifications, the annual contribution is based on the sum of the annual turnover of forest products from all sites in the group or multi-site.

In the case of certification during the year, the amount of the annual contribution is calculated proportionally to the number of quarters in which the company's Chain of Custody is certified.

4.2. FCBA's services fees

The costs of the FCBA certification process are broken down as follows:

- Costs of training fees: the applicant company is liable for these at the time of the initial audit;
- Audit costs (preliminary audit, initial audit, surveillance audit, possibly supplementary audit), including the time spent preparing, processing and writing the report;
- Costs related to controls on the use of FSC® Trademarks;
- Travel expenses.

4.3. Managing unpaid invoices

In the event of non-payment the procedure is as follows: a notification letter of deferred suspension (NSDD) is sent to the client, the suspension decision is taken 1 month after the date of sending this letter for a maximum period of 3 months with an update of the FSC® database accordingly.

If the amounts due are not paid, the certificate is withdrawn after the suspension period of 3 months from the date of the suspension decision and the FSC® database is updated accordingly.

If the customer pays the amounts due before the end of the 1-month period from the sending of the letter from NSDD, the suspension does not take place.

5. Claims and complaints

The handling of claims, complaints, including from stakeholders (which includes the implementation of appropriate measures and their documentation) is a requirement for certification bodies in accordance with the FSC-STD-20-001 accreditation standard.

FCBA provides information regarding claims and complaints upon simple request to the contact specified on the website: <https://www.fcba.fr/qui-sommes-nous/nos-accréditations/>.

A procedure for handling complaints and grievances has been developed and made available on the FCBA website ([Responsible Forest Management \(FSC®\) - FCBA Technological Institute](#)).

Total revenue refers to the most recently completed fiscal year and corresponds to the total revenue, which is the exact figure to the nearest dollar. The conversion rate used when entering data into the FSC certification database is the respective rate at the end of the fiscal year for the CH (presumably referring to a specific organization or entity), based on the average market rate on OANDA (presumably referring to a specific exchange rate or system).

In the event of a dispute resolution not obtained between the complainant and FCBA, the complainant has the option of submitting their claim to ASI and as a last resort to FSC®, which will have sole jurisdiction to resolve the dispute.

6. FSC® Trademarks

6.1. Rules for using FSC® Trademarks

All normative documents concerning the use of FSC® Trademarks are available on the FSC® website ([fsc.org](https://www.fsc.org) in the "Document Centre" section).

The initials "FSC®", the words "Forest Stewardship Council®", and the FSC® logos are internationally registered trademarks and their use is controlled by legally binding agreements. The FSC® logo is designed for use on FSC®-certified forest or wood-based products, as well as on accompanying commercial documents, labels, and declarations.

The FSC® Trademark must be affixed to the product or outside the product exclusively according to the graphic charter and the rules of use of the trademarks defined in the FSC-STD-40-004 and FSC-STD-50-001 standards in force.

The FSC® Trademark must always be accompanied by the license number of the company holding it (FSC® CXXXXXX).

6.2. FSC® Brand Pack

The FSC® Brand Pack is available on the website [FSC Connect](#). This site is accessible to the company holding the certification when FCBA registers it in the FSC® database. The company receives an automated email for registration on the site and for the FSC® logo generator, which allows downloading high-resolution FSC® logos in white, black, or "FSC® green".

A Trademark License Agreement (TLA) for the FSC® certification scheme between the certificate holder and FSC Global Development GmbH, signed by the certificate holder, constitutes the commitment to comply with the terms of use of this Brand Pack.

6.3. Right to use the FSC® Trademarks

The right to use the FSC® logo is granted to companies that have received FSC® Chain of Custody certification, upon signing the FSC® Trademark License Agreement. The FSC® logo generator automatically adds the license number of the holding company.

The right to use the certification is limited in time to its validity period. It is automatically revoked in the event of suspension or withdrawal of the Chain of Custody certificate.

6.4. Monitoring the use of the FSC® Trademarks

Before each new use of the FSC® Trademarks, the company must ensure that the use of the trademarks is controlled, either by using an internal process for validating the use of the mark approved by FCBA or by receiving external approval from FCBA.

6.4.1. FSC® Trademark Use Management System (self-validation)

The company holding the FSC® Trademark may implement a management system for its use, including an internal control system. This system must comply with all the requirements of the FSC-STD-50-001 standard and be approved by FCBA before the company can begin using it.

To do this, the company must initiate an application for approval of its FSC® Trademark Use Management System by sending the following document to FCBA:

Application for approval of the FSC® Trademark Use Management System (self-validation) on company letterhead (see [Appendix 7](#))

Eligibility criteria for the FSC® Trademark Use Management System:

To be eligible for the FSC® Trademark Use Management System, the applicant company must not have had any non-conformities (Major or Minor) regarding the use of the FSC® Trademark during its most recent audit.

At the time of its request, the company declares the number of over-product and/or promotional uses made over the last 12 months.

Note: No authorization to use the FSC® Trademark Use Management System (self-validation) will be granted to companies before the completion of the surveillance audit #1 of the first certification cycle.

In a second step, FCBA asks the company to submit a number of consecutive correct approval requests for each type of intended use (on-product and/or promotional), based on the company's declaration of the number of on-product and/or promotional uses made over the last 12 months.

The table below defines the rules for calculating the number of applications for approval of uses of the FSC® mark to be submitted to FCBA:

Number of uses of the FSC® Trademarks made in the last 12 months (N)		Number of applications for approval of uses of the FSC® Trademarks to be submitted to FCBA
On-product uses	$1 \leq N < 5$	N approval requests
	$5 \leq N < 25$	5 requests for approval
	$N \geq 25$	\sqrt{N} approval requests, rounded up to the nearest whole number
Promotional uses	$1 \leq N < 5$	N approval requests
	$5 \leq N < 25$	5 requests for approval
	$N \geq 25$	\sqrt{N} approval requests, rounded up to the nearest whole number

Following the review of the application, FCBA determines whether the company is suitable for using the internal control system. If so, FCBA notifies the company of its approval of the FSC® Trademark Use Management System.

The company is not authorized to use the FSC® Trademark Use Management System until FCBA has given its consent for this purpose.

Controllers designated by the company for the internal validation of the use of the FSC® trademark must have been trained in its use. It is recommended to follow the training on trademark use for certificate holders provided by FSC®.

Monitoring of the FSC® Trademark use Management System:

During the audits, the auditor will evaluate a sample of FSC® Trademarks use validations for each type of use (on-product and/or promotional). The sampling rules are defined in the table below:

Number of FSC® Trademarks use validations carried out since the last audit (N)	Number of FSC® Trademarks use validations to be sampled during the audit	
Uses of by-products	$1 \leq N < 5$	N validations
	$5 \leq N < 25$	5 validations
	$N \geq 25$	\sqrt{N} validations, rounded up to the nearest integer
Promotional uses	$1 \leq N < 5$	N validations
	$5 \leq N < 25$	5 validations
	$N \geq 25$	\sqrt{N} validations, rounded up to the nearest integer

In each sample (on-product and/or promotional), the auditor verifies that at least 70% of the uses of the FSC® Trademarks validated by the company's internal control system comply with the requirements of the FSC-STD-50-001 standard for maintaining the internal FSC® Trademark Use Management System.

Otherwise, the auditor issues a non-conformity to the company regarding its FSC® Trademark Use Management System. This non-conformity may lead to a temporary withdrawal of the authorization to use the FSC® Trademark Use Management System until the company once again meets the eligibility criteria.

In all cases, each non-compliant use of the FSC® trademark observed will result in one or more non-conformities, depending on the situations encountered.

An additional audit period is required for the auditor's assessment of the FSC® Trademark Use Management System. This is a minimum of 2 hours for one site and can be extended to half a day in the case of group/multi-site certification.

Note: FCBA may reassess the relevance of the eligibility and maintenance criteria of the FSC® Trademark Use Management System defined in this document, based on the findings made during audits.

6.5. Control by FCBA

When a company holding the FSC® mark does not have a system for managing the use of the FSC® Trademarks, FCBA is responsible for monitoring each use of the FSC® Trademarks (on-product and/or promotional) made by the company.

Companies wishing to use the FSC® Trademarks must first submit a project proposal to FCBA for approval at the following email address: logofsc@fcba.fr

The project is evaluated by a person trained by FSC® in the approval of uses of the FSC® Trademarks.

A written response is sent to the company. The company agrees not to use the FSC® Trademarks until FCBA has given a favorable response.

FSC® reserves the right to carry out additional monitoring if it deems it necessary.

Infringements of the rules governing the use of the FSC® Trademarks are handled as described in the section on sanctions (see § 2.4.5). In the event of misuse of the FSC® Trademarks by third parties, FCBA will inform FSC®.

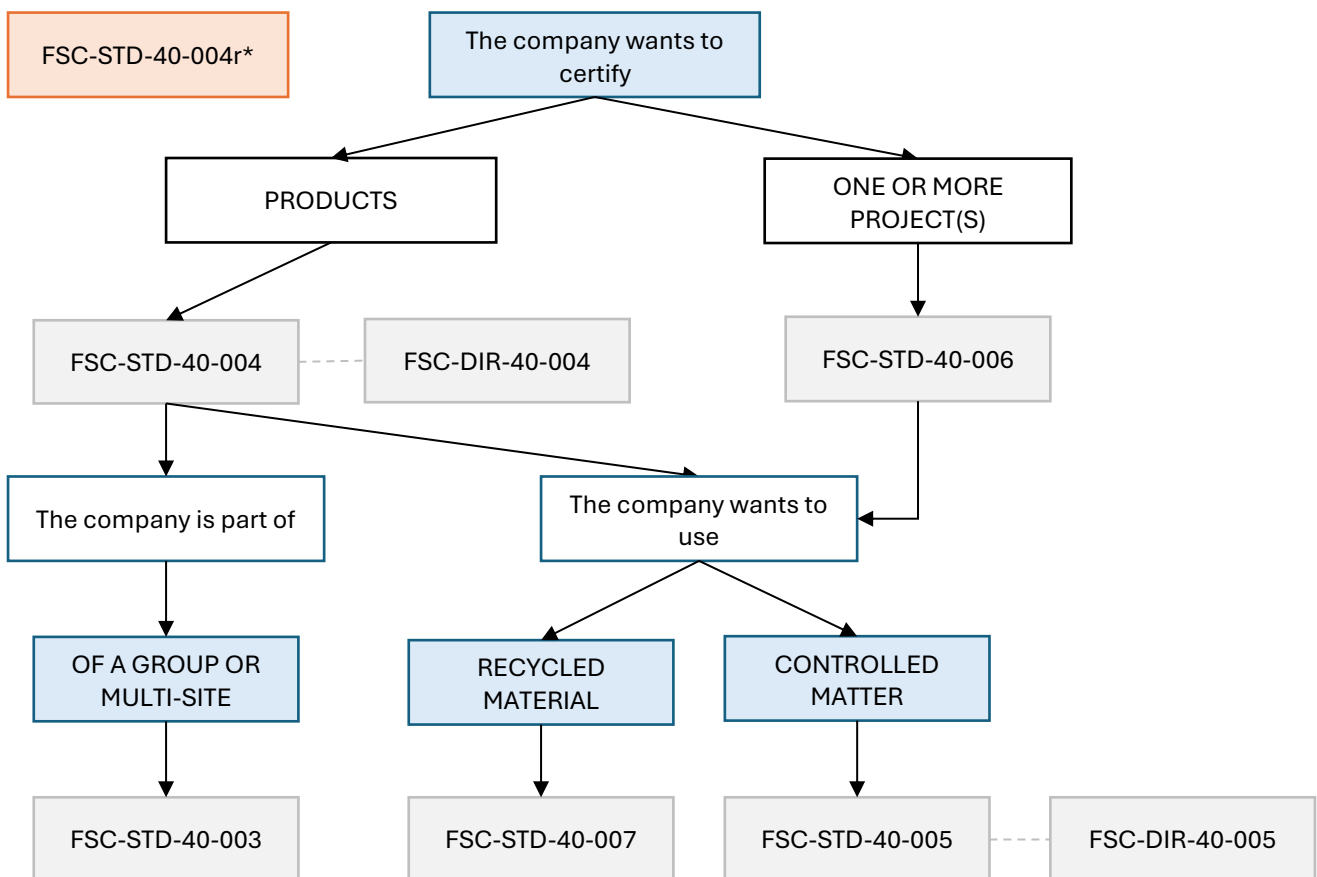
6.6. Report of misuse of the FSC Trademarks

Any misuse of the FSC Trademarks can be reported on the dedicated FSC website, by following the steps detailed in the following link: <https://fsc.org/en/problem-with-the-fsc-trademarks>

7. Requirements applicable to FSC® Chain of Custody

7.1. Flowchart of FSC® standards applicable by situation

The applicable versions of the standards are the latest ones made available on the website fsc.org section “Document Centre”, during the audit process.



(*) The Regulatory Module is a cross-cutting application on all applicable standards except in the case of recycled products.

Within its FSC® accreditation scope, FCBA can only issue and/or maintain FSC® Chain of Custody certifications according to the standards described in paragraphs 7.2, 7.3, 7.4, 7.5, 7.6 and 7.7 below.

7.2. The FSC-STD-40-004 standard: General Chain of Custody requirements

The company must comply with the requirements of the FSC-STD-40-004 standard to demonstrate the conformity of its Chain of Custody.

These are the minimum requirements to be met for Chain of Custody operations, in order to demonstrate that the materials and products purchased, labeled and sold as FSC® certified are authentic and that the associated claims are true and accurate.

They are divided into 4 parts:

- Part I: General Chain of Custody requirements that apply to all chain of custody operations.
- Part II: FSC® claims control operations on outgoing products (product groups and methods: Transfer, Percentage, Credit).
- Part III: Additional requirements (thresholds for use of the FSC® Trademarks on product, management of subcontracting).
- Part IV: Eligibility criteria for the different types of Chain of Custody certification (Single, Multi-site or Group Certificate).

FSC-STD-40-004 must be applied at the level of each site concerned by the certification.

7.2.1. FSC® Core Labor Requirements

Compliance with the FSC's core labor requirements must be demonstrated across all activities covered by the FSC® certificate, including outsourced activities. These requirements relate to:

- Child labor;
- Forced or compulsory labor;
- Discrimination in employment and occupation;
- Freedom of association and the right to collective bargaining.

Even if the company is located in a country that already incorporates the FSC® core labor requirements, it is necessary to demonstrate compliance. To do this, the company must:

- a) Adopt and implement one or more policy statements, incorporating the core FSC® labor requirements. These policy statements must be made available to relevant and interested stakeholders and FCBA, and
- b) Maintain an up-to-date self-assessment in which the organization describes how it applies the FSC® Core Labor Requirements to its operations. The self-assessment must be submitted to FCBA.

7.2.2. Certified activity outsourcing

In the event of outsourcing certified activities, a risk assessment is carried out during the company audit, along with its contracted service providers. FCBA evaluates the records of material inputs and outputs and the transport documentation associated with the materials used in the manufacture of FSC® certified products during the outsourcing process.

For high-risk situations, the audit of a sample of subcontractors is carried out as part of the annual monitoring, included in the respective subcontracting processes or activities within the limits of the company's Chain of Custody certificate.

NOTE: In the case of a multi-site or group system, the selection of subcontractors is coordinated with the selection of participating sites or group members who have entered into a corresponding outsourcing agreement.

The sampling number (y) is at least the square root of the number of high-risk subcontractors (x), rounded up to the nearest whole number: $y = \sqrt{x}$.

NOTE: Subcontractors who hold their own FSC® CoC certificate for the outsourced process and subcontractors who have not provided outsourcing services to the company since the last FCBA assessment, do not need to be assessed by FCBA and therefore do not need to be added to the number of subcontractors (x) in the formula above.

Records of material supplies, production and shipping documentation associated with the material used in the manufacture of FSC® certified products are assessed.

7.3. The FSC-STD-40-003 standard: Certificates for multiple sites (group and multi-site)

The company must comply with the requirements of the FSC-STD-40-003 standard to demonstrate the conformity of its Chain of Custody within a multi-site or group structure.

The specific case of eligibility of several sites under the same simple CoC certificate is described in Appendix 9).

Group certificate:

The group structure is only for small businesses that wish to join forces to obtain FSC® Chain of Custody certification. It can be requested by a group of companies that each individually meet the following criteria:⁵:

- Fewer than 15 employees (no revenue limit);
- Or fewer than 25 employees with a maximum turnover of one million euros.

Multi-site certificate:

The multi-site structure concerns a company whose FSC® Chain of Custody certificate covers at least two sites or legal entities (designated as "participating sites" in the FSC-STD-40-003 standard) and meets the following criteria:

- All participating sites and the certificate holder are linked by a common ownership structure (at least 51% of the shares of each participating site are held by the central office); or
- All participating sites:
 - Maintain a legal and/or contractual relationship with the company; and
 - They have common operating procedures (e.g., same production methods, product specifications, integrated management software); and
 - They are subject to a centrally administered and controlled management system established by the company whose authority and responsibilities are not limited to certification-related matters, and which includes at least one of the following aspects:
 - Centralized function for buying or selling forest products;
 - Activities of different sites carried out under the same brand (e.g. franchise, distributor).

The following organizations are not eligible for multi-site Chain of Custody certification:

- Organizations that do not have authority over adding or removing participating sites from the scope of the certificate;
- Associations;
- Non-profit organizations, some of whose members operate for profit.

⁵Criteria can be adapted nationally and approved by FSC International. The list of approved eligibility criteria is available in Policy FSC-PRO-40-003a (see the latest version in effect in the Document Center). <https://fsc.org/>.

Group and multi-site certificate:

In the case of multi-site and group certification, compliance with the FSC-STD-40-003 and FSC-STD-40-004 standards must be demonstrated on all sites included in the scope of certification.

Audit organization:

Prior to the organization of the audits, the company must carry out an internal audit of its system and send the report before the FCBA instruction audit.

The central office is audited every year. The audit allows monitoring the compliance of the multi-site entity, verifying the effectiveness of the oversight carried out by the central office, and updating the risk assessment (criteria: non-conformities identified during internal or external audits, complaints received, corrective and preventive actions, significant changes in activity volume, and modifications to the organization, scope, or allocation of responsibilities).

FCBA sampling method:

FCBA must select a sample of participating sites for the conformity assessment to the applicable FSC® normative documents. FCBA must divide the participating sites into two (2) sets of sites: Normal Risk participating sites and High Risk participating sites (see GLOSSARY), which must be sampled separately using the following formula:

- a) For the main assessments, follow-ups and reassessments:

$Y = R \sqrt{X}$, where:

Y = Number of participating sites audited by FCBA (rounded up to the nearest whole number),

R = Risk index (see table A),

X = Total number of participating sites of Normal or High Risk.

NOTE: In the case of surveillance audits, participating sites that have not had FSC® activity since the previous FCBA audit do not need to be included in the set of sites (value "X" in the sample equation) from which the sample is made.

- b) For the integration of new participating sites (beyond the approved annual growth rate):

$Y = R \sqrt{N}$, where:

Y = Number of participating sites audited by FCBA (rounded up to the nearest whole number),

R = Risk index (see table A),

N = Number of new participating sites in Normal or High Risk to be added to the scope of the certificate.

Table A: Matrix for determining R (Risk Index)

RISK FACTORS		Note	Grade obtained
Property	All participating sites have a common owner	0.1	
	The participating sites do not have a common owner	0.2	
Certificate size	0-20 participating sites	0.2	
	21 – 100 participating sites	0.3	
	101 – 250 participating sites	0.4	
	251 – 400 participating sites	0.5	
	>400 participating sites	0.6	
Central Office Performance	No Corrective Action Request (CAR) was issued to the central office (CO) in the last audit.	0.1	
	Not applicable (no audit was conducted beforehand)	0.1	
	Only minor DACs (Remarks) at the BC in the last audit	0.2	
	1-2 Major DACs (Non-Conformities) in the last audit	0.3	
	3 or more major DACs (non-conformities) in the last audit	0.4	
Type of audit	Annual monitoring	0.1	
	Renewal	0.2	
	Initial	0.3	
	For integrating new sites into the certificate	0.3	
TOTAL (R = sum of scores obtained)			Σ

The rest of the sample is selected according to the following criteria: company size, type of supply and products, use of the FSC® Trademarks, non-conformities identified during internal audits, complaints received, significant changes in the organization, scope, or responsibilities, and geographical distribution.

To achieve the required sample size, the selection of chosen sites is made randomly and must be representative of the multi-site or group being evaluated, across the widest possible range in terms of:

- a) Geographical distribution;
- b) Activities and/or products manufactured;
- c) Size of participating sites (size can be determined by the number of employees, production volumes and annual turnover / or sales of forest products);
- d) Other criteria, as deemed relevant by FCBA.

If new members have been integrated since the previous audit, a sample is taken of the new members in addition to the sample of members already integrated at the time of the previous audit.

Maximum permitted growth rate for a group/multi-site:

The annual limit on the growth of the number of sites operating in a group / multi-site must not exceed 100% (for structures with more than 20 sites) of the number of sites included in the group / multi-site during the previous audit.

If a company concerned wishes to exceed this rate, the sampling will be reassessed based on the number of new sites entering.

7.4. The FSC-STD-40-007 standard: recovered materials (post-consumer, pre-consumer)

This standard is intended to complement the full range of FSC® CoC standards for cases where companies want to source non-certified recovered materials for use in an FSC® certified product according to FSC-STD-40-004, or in an FSC® certified project according to FSC-STD-40-006.

For participating companies or sites that have a supplier verification program, FCBA conducts annual supplier site verification audits, unless the supplier audits have already been carried out by another FSC® accredited certification body. FCBA selects, at a minimum, the following for evaluation:

$Y = 0.8 \sqrt{X}$, where:

Y = Number of supplier sites audited by FCBA (rounded up to the nearest whole number),

X = Number of supplier sites audited by the participating site during the evaluation period.

NOTE: For group and multi-site certificates, the calculation of supplier verification sampling will be performed at the participating site level.

NOTE: FCBA is not required to verify sites already audited by participating sites during the same evaluation period.

7.5. The FSC-STD-40-006 standard: project certification

This standard specifies the requirements for obtaining FSC® Chain of Custody certification for a project. Within this standard, the term "project" refers to the production or renovation of a construction or civil engineering project (e.g., office building, condominiums, event infrastructure such as a concert stage, a trade fair booth, a wooden bridge), an individual work of art or decorative object (e.g., sculpture), or a transport vehicle (e.g., boat) made from or containing materials of forest origin. Other elements or products not included in this definition may be eligible for project certification upon approval by FSC®.

The company holding the project certificate will need to define the scope of the certificate with several parameters:

- a) The FSC standards applicable to the scope of the certificate (e.g. FSC-STD-40-006, FSC-STD-40-003, FSC-STD-40-007);
- b) Entities covered by a Group or Multi-site certificate as participating Sites (if the FSC-STD-40-003 standard is applied in addition to the FSC® project standard);
- c) Whether it is a one-off certification (the certificate covers a single project) or a permanent one (the certificate covers several projects);
- d) For each project covered by the certificate, please specify:
 - i. Name and description of the project (e.g., commercial building, wooden boat);
 - ii. Project site(s) specifying the site name or its unique identifier, as well as its address;
 - iii. The type of allegation for the project:
 - a. Full project certification;
 - b. FSC claim for specific project components;
 - c. Percentage claim.
 - iv. The project member(s)⁶ working on the project site(s) or outside, indicating: the name of each project member, their contact details, a description of their role in the project, their CoC FSC certificate number (when the project member is FSC certified).

For one-off project certifications, FCBA conducts an initial audit, annual surveillance audits, and a final evaluation upon project completion. FCBA selects project members who are not FSC® certified for the evaluations, at a minimum:

$Y = 0.8 \sqrt{X}$, where:

Y = Number of project members who are not FSC® certified and audited by FCBA (rounded up to the nearest whole number),

X = Total number of project members who are not FSC® certified (current and those who have completed their involvement in the project since the last assessment).

⁶A project member is an entity/company that buys, processes and/or installs materials/products of forest origin for a project (e.g. subcontractor, including carpenters, joiners, cabinetmakers, etc.).

For permanent project certifications, FCBA conducts an initial audit, annual surveillance audits, and renewal audits following the same process as for an FSC® Chain of Custody certificate. FCBA selects participating sites and project sites for assessments:

- a) If the project certificate contains sites participating in group and multi-site certificates (by application of the FSC-STD-40-003 standard): FCBA must select a sample of the participating sites according to the rules that apply to group and multi-site certificates. Participating sites that apply the Chain of Custody (FSC-STD-40-004) and project (FSC-STD-40-006) standards must be sampled separately by FCBA;
- b) For project sites, FCBA will select at a minimum:

$Y = 0.8 \sqrt{X}$, where:

Y = Number of project sites audited by FCBA (rounded up to the nearest whole number),

X = Total number of project sites (current and those completed since the last assessment).

7.6. The FSC-STD-40-005 standard: FSC Controlled Wood (FSC CW)

The company must comply with the standard's requirements in order to:

- Supply FSC Controlled Wood (FSC CW) to companies with an FSC-certified chain of custody, for the purpose of making blends with FSC-certified material.
- Ensure that categories of wood considered unacceptable⁷, should not be mixed with FSC-certified wood.

The FSC-STD-40-005 is designed to allow companies to demonstrate the implementation of actions to avoid trade in illegally harvested timber, thereby supporting the International Forest Law Enforcement, Trade and Management (FLEGT) program. It enables companies to implement their responsible sourcing policies.

FSC-STD-40-005 must be applied at each site concerned by the certification or, in the case of a multi-site, can be managed at the central office level (unless there are site-specific requirements, such as staff training and information).

7.6.1. Evaluation of FSC Controlled Wood Programs

Analysis and description of the company's risk assessment

FCBA will conduct an analysis to ensure that the company's risk assessment was implemented in accordance with the requirements set out in FSC-STD-40-005, in its currently valid version, and any additional guidance provided or approved by the FSC PSU. FCBA will assess whether the results of the company's risk assessment are consistent with publicly available information related to the five FSC Controlled Wood categories (FSC Global Forest Registry and other publicly available sources).

If the company's classification of supply areas differs from publicly available information, FCBA must ensure that the company's classification is clearly justified and demonstrated.

FCBA will record the results of the company's risk assessments in the FSC database, using the format provided by FSC, within 7 days of the issuance of the FSC Controlled Wood certification code.

⁷Illegally harvested timber, timber harvested in violation of civil and traditional rights, timber harvested in forests where management activities threaten high conservation values, timber harvested in forests being converted into plantations and not used as forests, timber from genetically modified forests

Evaluation of the verification program

FCBA will assess whether the verification program implemented by a company complies with all the requirements of FSC-STD-40-005. FCBA will verify whether the information on the origin of the non-FSC-certified wood supplied is properly included in the company's verification program for FSC Controlled Wood, duly justified, and demonstrated.

Supplier-level assessment (FMU - Forest Management Unit) for 'unspecified' risk sources

FCBA will be able to conduct field audits at the Forest Management Unit (FMU) level to assess the compliance of suppliers with the requirements of FSC-STD-40-005, for sources that cannot be confirmed as low risk.

If FCBA receives specific information about particular cases or allegations of non-compliance with aspects of FSC-STD-40-005, it will conduct a timely investigation of those cases. Such cases will be evaluated to determine whether they constitute non-compliance or a remark with the requirements of FSC-STD-40-005.

The on-site audit of suppliers included in a company's verification program will be conducted by FCBA as soon as the initial audit, at the operational site level, has been completed. FCBA may have up to two months after the date of the main audit to complete the on-site audits. The annual sampling will include a maximum of 50% of the FMUs that the company has visited in the current assessment cycle of the company's verification program framework.

FCBA will classify the FMUs included in the company's verification program as "identical" sets of FMUs for sampling purposes. The sets will be chosen to minimize variability within each set in terms of: a) geographic location, b) forest type, c) operating size.

FCBA will choose a minimum number of FMUs (x) for the evaluation as follows:

For each set of 'similar' FMUs included in the company's verification program (y) the company will choose at least 0.8 times the square root ($y=0.8 \sqrt{x}$) rounded up to the nearest whole number.

For each set of 'similar' FMUs (x) included in the corporate verification program, FCBA will choose as a minimum (y) 0.8 times the square root ($y=0.8 \sqrt{x}$) rounded up to the nearest whole number.

For each of the selected suppliers, FCBA will verify compliance with each of the FSC Controlled Wood categories that cannot be considered low risk according to FSC STD-40-005.

If another FSC-accredited certification body has conducted a field visit to a FMU as part of the company's verification program, those sites may be excluded from the sample.

Compliance monitoring is ensured in accordance with the provisions set out in paragraphs [2.3](#) and [2.4](#) For the FSC Controlled Wood assessment, non-compliance can be caused by:

- The absence of an effective DDS;
- The inability to legitimately apply the DDS to forest resources owned or managed by the organization;
- The organization's inability to ensure that its suppliers have taken corrective actions determined by the organization to ensure the organization's compliance with the FSC-STD-40-005 standard;
- The absence of independent information demonstrating the origin of the material;
- The use of low-risk designations that differ from those in approved national risk analyses;
- The organization's inability to demonstrate that its risk analysis was carried out in accordance with applicable requirements;
- Evidence that the organization manipulated information used in risk analysis to support a low-risk designation;

- The use of material from areas not assessed without FCBA having approved the organization's risk analysis;
- The inability to establish and implement adequate control measures;
- The failure to implement or the inability to implement the complaints and claims management procedure;
- The inability to assess and mitigate the risk associated with mixing material with ineligible inputs in the non-certified supply chain;
- The inability to provide information that should be publicly available.

NOTE: Non-compliance at the supplier level will result in a non-conformity for the requesting company.

7.6.2. Organizations concerned by FSC-STD-40-005

Additional assessment time will be considered for:

- The feasibility review (before instruction, see §2.1.3);
- The revision of the DDS;
- Stakeholder consultation;

Stakeholder consultation is conducted by FCBA during the initial audit or renewal audit of companies applying the requirements of the FSC-STD-40-005 standard when materials originate from areas of unassessed, specified or unspecified risk.

7.7. FSC® certification with the regulatory module for the EUDR (voluntary module) (FSC-STD-40-004r)

To assess the implementation of the FSC EUDR regulatory module, FCBA implements a system to evaluate the relevance, effectiveness and adequacy of the due diligence system (DDS) to ensure that the same DDS is implemented by the holder of an FSC chain of custody, CoC, according to the applicable requirements provided and approved by FSC.

7.7.1. Preliminary evaluation

Once the application is validated, FCBA conducts a document audit to assess the compliance of its holders with the applicable requirements of the regulatory module before extending the scope of the certification. The next audit will include a full on-site assessment to ensure implementation. (§ 8.2.1.)

7.7.2. Reevaluation

7.7.2.1. Generalities

Compliance with the regulatory module requirements is reassessed at least once a year during the annual chain of custody audit. The frequency of assessments may be increased if:

Information regarding non-conformities or risks to the integrity of the supply chain is recorded.

Well-founded concerns from stakeholders indicate that a product placed on the market presents a risk of not complying with the regulatory module,

Notifications from the holder regarding non-conformities detected by the competent authority.

7.7.2.2. Assessment content

The assessments carried out by FCBA must

Include a review of information obtained, including complaints, disputes or allegations, that would indicate a risk of non-compliance with the FSC Regulatory Module.

Include a sample of purchase and sales documents within the scope of the FSC Regulatory Module. FCBA must record the reference numbers of the corresponding due diligence statements. The sampling should be conducted based on the scope, scale, intensity, and risk of the licensee's operations.

Evaluate and confirm the plausibility of additional information and evidence associated with purchase and sale documents.

NOTE: Confirming plausibility means that the evidence can be corroborated by independent sources (e.g., verifiable public sources).

Confirm that the inputs used in the product groups covered by the FSC Regulatory Module have been supplied with a regulatory claim (where applicable).

7.7.2.3. Analysis of the holder's due diligence

a) Analysis

To ensure that the holder's DDS is properly implemented, FCBA must:

- Verify whether the information on materials and supply chains allows the holder to confirm the origin of materials down to the plot of land and to verify the time of production.
- Verify whether the information on materials and supply chains allows the holder to:
 - Confirm the origin of the materials back to the plot of land;
 - Conduct a risk assessment related to the origin of the materials;
 - Conduct a risk assessment related to mixing materials with non-negligible inputs in supply chains;
 - Develop and implement control measures to mitigate or avoid risks; e) review and, if necessary, revise the DDS to ensure its relevance, effectiveness or adequacy.

NOTE: This includes verifying whether the holder has required its suppliers to notify it of any changes affecting the designation or mitigation of risks.

- Ensure the accuracy of the data used to support the due diligence of the holder and must determine additional means of verification in case of risk of non-compliance with certification requirements.

b) Data sampling rule

In the event of data sampling, FCBA must specify and justify the sampling rate.

All documents used for the DDS assessment must be randomly sampled. When selecting documents for sampling, the certification body must not be guided or influenced by the organization's staff.

c) Data verification

FCBA must verify the accuracy of the data used to support the due diligence of the holder and must determine additional means of verification in the event of a risk of non-compliance with certification requirements.

d) DDS Approval

With the exception of 100% FSC input materials, FCBA must approve the holder's DDS (Due Diligence System) for the existing supply area, and/or extended to new supply areas, covering the risk assessment process for source risk and mixture risk, risk designation and corresponding mitigation measures (where applicable).

FCBA must approve a revised and updated DDS (Due Diligence System) if there is a change in the risk designation from non-negligible risk to negligible risk, whether or not this occurs during the annual assessment.

7.7.2.4. Risk assessments

FCBA must verify the correct use of applicable FSC risk assessments.

FCBA must verify whether the licensee has reviewed and revised its risk assessment where necessary, to ensure its continued relevance and accuracy.

a) Verification of the holder's risk analysis

FCBA must verify whether the incumbent's risk assessment and risk designations are adequate and justified.

b) Verification of the risk analysis on the mixture of materials

FCBA must verify whether the risk assessment related to the mixing of materials with non-negligible inputs during transport, processing and storage before the material reaches the holder is adequate for the scope of the DDS and justified.

c) Verification of the mitigation measures implemented

FCBA must verify the implementation and adequacy of the mitigation measures.

7.7.2.5. Minimum content of the risk assessment summary

A brief description of the system by which the holder maintains control of all product groups under the FSC Regulatory Module must be added to the assessment conclusions.

7.7.3. Non-conformities in the Regulatory Module

7.7.3.1. Case of a major non-conformity

The detection of one or more major non-conformities against the requirements of FSC-STD-40-004r during a surveillance audit is considered a failure of the certificate holder's management system, and the extension granted to the regulatory module must be suspended within 24 hours following the certification decision.

Note: The suspension of the extension granted to the regulatory module is independent of the certification status of the other schemes.

7.7.3.2. Occurrence of Non-Conformities Against Regulatory Module Requirements

The occurrence of non-conformities of certificate holders related to FSC-STD-40-004r must be considered separately from non-conformities identified with respect to other Chain of Custody and Controlled Wood certification requirements.

7.7.3.3. The holder's obligation regarding the detection of Non-Conformities

During annual evaluations, FCBA must ensure that the certificate holder has informed the competent authority of non-conforming products and of any suspensions of the regulatory module extension.

7.7.3.4. Relationship between FCBA and the competent authority

The licensee must inform FCBA immediately upon receiving notification of any non-compliance identified by the competent authority. The non-compliance must be analyzed to ensure it is indeed a non-compliance with the regulatory module, and the extension must be suspended within 24 hours.

FCBA must provide, upon request, to the competent authority access to information related to the holder's compliance with the FSC-STD-40-004r standard.

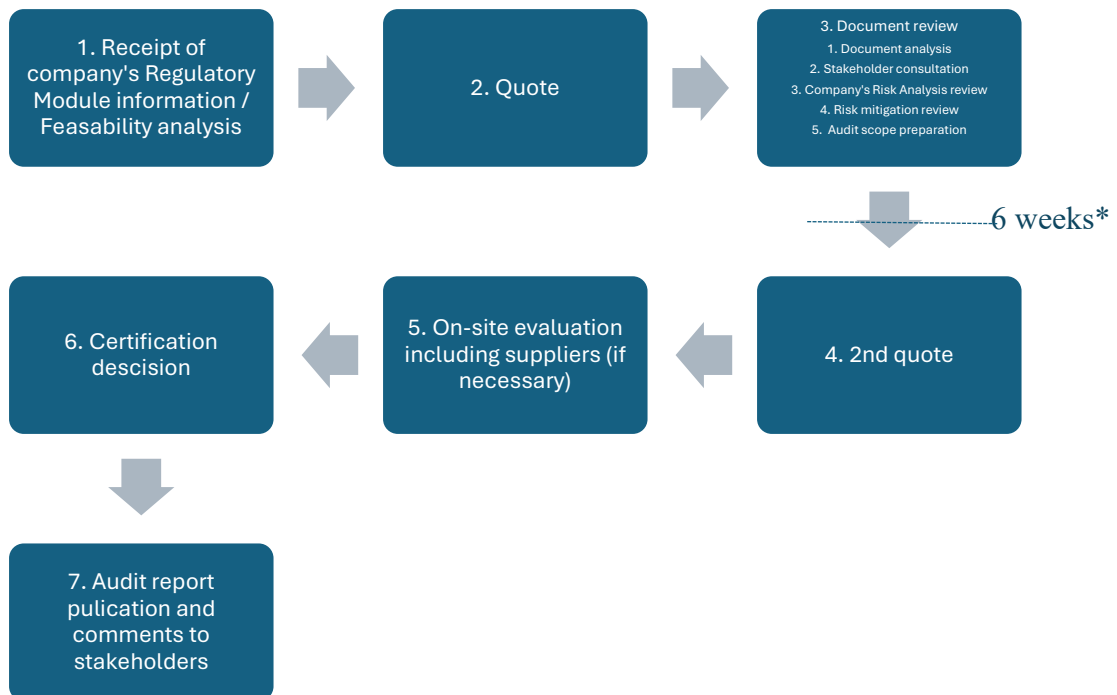
7.7.4. Non-Conformities

For evaluations within the scope of the FSC Regulatory Module, major non-conformities may arise from the organization's failure to comply with any of the applicable requirements, including, but not limited to, the following.

Examples of major non-compliance with the requirements of the FSC Regulatory Module are as follows:

- a) missing or incorrect information in the sales documentation (including additional documentation) relating to the FSC regulatory module (for example, the geolocation of the plot(s), the date or time interval of production);
- b) ineffective segregation measures resulting in the mixing of regulatory material with ineligible material;
- c) false or incorrect regulatory claims about ineligible material;
- d) the absence or failure to implement a complaints procedure;
- e) evidence that the organization manipulated information relating to compliance with timber legality legislation;
- f) the failure to provide the necessary assistance to the competent authorities.

7.7.5. FSC® Certification Flowchart with the Regulatory Module for the EUDR



(*) Minimum time required for consultation with stakeholders

GLOSSARY⁸

FSC® Accreditation: formal recognition that a certification body is competent to assess the compliance of forest management companies with the good forest management standards recognized by FSC® and/or is competent to assess the compliance of companies involved in the harvesting, trading, processing and distribution of forest products with the Chain of Custody standards recognized by FSC®.

Internal Audits: Internal audits allow for monitoring the activities of participating sites and are carried out by the central office to ensure that all certification requirements (including appropriate certification standards and other requirements of the certification body) are fully implemented.

Internal audits are conducted as initial candidate (applicant) audits before admission as a participating site and as annual audits to confirm ongoing compliance with all certification requirements. They include a site visit and a review of documented systems.

Competent authority: National bodies designated in the various EU Member States responsible for implementing the regulation and monitoring its compliance.

In France, a joint competent authority is designated, composed of:

- Ministry of Ecological Transition and Territorial Cohesion
- Ministry of Agriculture and Food Sovereignty

FSC® Controlled Wood: material or product to which the claim "FSC® Controlled Wood" is attributed. FSC® Controlled Wood is not considered an FSC® certified product.

Central Office: A central, identified function (e.g., an office, department, or individual) within a multi-site or group organization that holds ultimate responsibility for managing the maintenance of the certification contract with the certification body and for maintaining the Chain of Custody system. This function ensures that the relevant requirements of the Chain of Custody certification standards are met by participating sites within the scope of the multi-site or group certificate.

Certificate: document issued in accordance with the requirements of a certification scheme whereby a certification body grants a person or organization the right to use conformity marks for its products, processes or services in accordance with the rules of the particular certification scheme relating thereto.

Certification: procedure by which a third party gives written assurance that a product, process or service conforms to requirements.

Chain of Custody Certificate: a certificate is a document issued in accordance with the rules of a certification system, indicating that adequate confidence is given provided that a product, process or service is duly identified, in accordance with a specific standard or other normative document [ISO/IEC Guide 2:1991 paragraph 14.8 and ISO/CASCO 193 paragraph 4.5].

A Chain of Custody certificate issued by an FSC® accredited certification body provides credible assurance that there are no major failures in accordance with the requirements of the specified certification standard(s) at any operating site within the scope of the certificate.

Within the FSC® certification system, there are three types of Chain of Custody certificates:

- Simple Chain of Custody Certificates
- Group Chain of Custody Certificates

⁸For all specific definitions outside of this document, see the official FSC standards.

- Multi-site Chain of Custody Certificates

Chain of Custody (CoC): tracking the flow of materials from their origin to their final use.

Registration: document proving the implementation by a company of the procedures established to meet the requirements of a standard.

Candidate company: organization wishing to obtain a certificate from a certification body.

Certificate holder: organization that has obtained a certificate from a certification body and maintains its compliance with the requirements.

Group entity: an independent legal entity that applies to FCBA for group certification. This can be an individual, a cooperative, an association or any other legal entity.

Product groups: The company must define the products or groups of products that share the same batch of incoming materials in similar proportions, and which will be tracked separately. These may include solid wood products, assembled products, or reconstituted products.

FSC logo®: The FSC® logo consists of half a tree and half a checkmark combined with the initials FSC®. It is designed for use on labels, declarations, and wood products certified according to the FSC® certification scheme. FSC® is an internationally registered trademark, and its use is controlled by legally binding contracts.

FSC® Trademarks ("FSC® Trademarks"): The initials "FSC®", the words "Forest Stewardship Council®" and the FSC® Logo are registered trademarks.

Controlled material: input received without FSC® claim, assessed as conforming to the requirements of standard FSC-STD-40-005.

Control Chain Number: unique code or number issued by the FSC® accredited certification body to a Chain of Custody certificate holder.

Multi-site organization: An organization with an identified central office and a network of at least two sites. The products from these identified sites, covered by a multi-site certificate, must be of the same type and must be fundamentally produced or handled using the same methods and procedures.

Origin: For virgin materials, this refers to the forest area where the trees intended for fiber or timber were harvested. For recovered materials, it refers to the location where the material was classified as recovered.

Stakeholder:

- Relevant stakeholders: any person, entity, or group of persons who are subject or likely to be subject to the effects of the company's activities. This may include, but is not limited to, employees, individuals, entities, or groups of persons located or working within the company's operations and on its premises.
- Interested stakeholders: person, group of persons or entity that has shown an interest, or is known to have an interest, in the business activities.

Scope (perimeter, limits, field, scope of application): sites, product groups and activities of the organization which are included in the assessment by an FSC® accredited certification body, and the certification standard(s) against which they have been verified.

Procedure: document by which an organization specifies the operations to be carried out, the people concerned and the records to be collected to ensure compliance with a standard.

Certified product: forest product covered by a valid Chain of Custody certificate and eligible to bear the FSC® Logo.

Common ownership: an ownership structure in which all sites covered by the chain of custody certificate belong to the same organization. Ownership is defined as holding at least 51% of the capital of the sites concerned.

FSC® Certification Report: report written by a qualified auditor following the audit of a company according to the FSC® standard, which describes the methodology used for the assessment, establishes the results of the assessment and makes recommendations as to whether certification should be granted.

Participating site: site included within the scope of a multi-site or group COC certificate. Subcontractors used under outsourcing agreements are not considered participating sites.

Sites participating in High Risk: participating sites operating a supplier verification program for recovered materials according to FSC-STD-40-007 and/or high risk of outsourcing to non-FSC® certified companies.

Participating sites in Normal Risk: participating sites not carrying out activities considered "high risk" as above.

Site: a single functional unit of an organization located in one place, geographically distinct from other units of the same organization. Secondary sites of an organization can be considered part of a site if they are an extension of it without independently performing a purchasing, processing, or sales function (e.g., a remote storage site).

Service providers engaged under a outsourcing agreement (e.g., outsourced warehousing) are not considered sites.

Typical examples of sites include facilities for marketing or processing products, such as industrial sites, sales offices, or warehouses owned by the organization.

Outsourcing : outsourcing is the practice of contracting out the execution of an internal process (activities or tasks that generate a specific service or product) to another organization. Outsourced activities generally do not take place within the organization's facilities. However, an organization may enter into outsourcing agreements with other companies operating within its facilities when it does not have control or supervision over the activities performed by the service provider.

Note: For all specific definitions outside of this document, see the official FSC standards.

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Appendix 1: List of documents for companies applying for FSC® Chain of Custody certification

FCBA must provide applicant companies with complete and accurate information on the procedures and obligations of FSC® Chain of Custody certification, according to the table below:

Label	Reference document	
Information about FSC®	Reference document	Chapters 1.1 and 1.2
Authority under which FCBA operates	Reference document	Chapter 1.2
Relationship between FSC® and FCBA	Reference document	Chapter 1.3
Relationship between FSC® and the company holding the certification	Reference document	Chapter 3 and 7.1
Application and evaluation procedures	Reference document	Chapter 2
Certification standards	Reference document	Chapter 7
Use of the FSC® Trademarks (logo, label, declarations...)	Reference document	Chapter 6
Structure and policy of the AAF	Reference document	Chapter 4 and Appendix 10
Application form	Reference document	Appendix 3
Assessment and Certification Contracts	Reference document	Chapter 3
Certification system	Reference document	Chapter 1
Complaints and dispute handling procedures	Reference document	Chapter 5
List of certificate holders	Available on the internet	https://search.fsc.org/fr/

Appendix 2: Letter of application for FSC® Chain of Custody certification

(To be drawn up on the applicant company's letterhead)

FCBA
10 Rue de Galilée
CS 81050 Champs sur Marne
77447 MARNE LA VALLEE Cedex 2

To the attention of the Certification Director

Subject: Application for Chain of Custody certification of FSC® certified products

Mr. Director,

I have the honor of requesting certification of my Chain of Custody according to the FSC® system for the following category

(description of the scope and product range(s)) exercised by:

..... (Applicant identification);

..... (company name);

..... (address of the main establishment);

(identification of the sites concerned).

To this end, I declare that I know and accept the Chain of Custody standard for wood and/or wood-based products and the reference texts of the FSC® and commit to respect them for the entire duration of use of the FSC® Trademarks.

I commit to inform FCBA immediately of any planned changes to the scope of my certificate and in particular not to market FSC® certified products as a result of these changes until FCBA has given me its agreement to this effect.

I declare that I have the authority to make this request.

Please accept, Mr. Director, the expression of my highest consideration.

Date and signature of the applicant's legal representative

Appendix 3: Application form for FSC® Chain of Custody certification



Appendix 3: Application form for FSC® Chain of Custody certification



1. Company contact details

Company name:	Legal status:
Address :	
Postal code:	City :
Phone :	Fax:
Website:	
SIRET number:	APE code:
Revenue for year n-1:	Number of employees:

2. Contact person and person responsible for monitoring certification within the company

Name, Surname:	Function :
Phone :	Fax:
E-mail address :	

3. Company Information

3.1 Is the company part of a Group or another company? If so, provide the name of the Group or company.

3.2 Type of company

<p>DISTRIBUTION :</p> <p><input type="checkbox"/> Broker / Trader / Agents without physical possession of the matter</p> <p><input type="checkbox"/> Trader / Wholesaler Physical possession of matter without transformation</p> <p><input type="checkbox"/> Trader / Retailer Sale of finished products</p>	<p>TRANSFORMATION:</p> <p><input type="checkbox"/> First Transformation Use of logs in supply</p> <p><input type="checkbox"/> 2nd Transformation Any transformation other than the first</p> <p><input type="checkbox"/> Printer</p> <p><input type="checkbox"/> Editor</p>
---	---

Brief description of your company's products and activities:

.....

.....

.....

.....

3.3 Site(s)

Specify the number and type of sites (e.g., sawmill, warehouses, factory, etc.) with their addresses if different from those in Part 1.

Please note that any entity falling within the following definition given by the FSC (FSC-STD 20 001 latest applicable version) must be considered as a separate site:

Site: a distinct functional unit of a company located physically at a specific location, which is geographically distinct from other units of the same company.

This type of unit can still allow the implementation of a simple certificate if it is an extension of the company, without purchasing activity, without transformation activity, without sales functions (for example, a storage site). A website can never include more than one legal entity.

Contractors solicited under a subcontracting agreement (for example, a subcontracting warehouse) are not considered as sites.

Typical examples of sites include sites with processing and/or trading activities, such as production sites, sales offices or internal company warehouses.

Total number of sites:	Number of sites to include in the certificate:
<u>Site name/type</u>	<u>Addresses</u>

Attach additional list as needed

3.4 Management of certified products(For transformers, please select the management mode if known)

We will manage FSC® certified materials separately from non-certified materials.

We will mix FSC® certified material with non-certified material in production

3.5 Certifications applied for or obtained in the last five years (FSC® COC or other forest certification schemes)

N / A

Have you applied for certification from other certification bodies?	<input type="checkbox"/> Yes <input type="checkbox"/> No	If yes, for each certification, please indicate the name of the certification, the name of the certifying body, and whether an initial audit was carried out:
Have you obtained any certifications (current or previous)?	<input type="checkbox"/> Yes <input type="checkbox"/> No	If yes, for each certification, please indicate the name of the certification, the name of the certifying body and the expiry date of the certificate: In the case of FSC® COC certification, please indicate the FSC® COC certificate number:

3.6 Consulting services received during the last three years

Have you received any consulting services related to FSC® COC certification?	<input type="checkbox"/> Yes <input type="checkbox"/> No	If yes, please indicate the end date of the intervention and the name of the organization:
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4. Intended scope of certification

4.1 FSC® Certified Sourcing(existing / potential) N / A

Specify the FSC® certified material (e.g., log, sawn timber, veneer, panels, pulp, paper, cardboard, packaging, publication, etc.), with the wood species, if applicable (e.g., Pinus sylvestris; Pinus radiata; Quercus robur; Fagus sylvatica; Abies alba; Milicia excelsa, etc.).

4.2 Non-Certified and Non-Recovered Supply N / A

Specify whether uncertified and unrecovered material can be used in the composition of FSC Mix and/or FSC® Controlled Wood products. Note: uncertified and unrecovered virgin inputs must comply with the requirements of standard FSC-STD-40-005 (see § 7.6).

4.3 Recovery Supply, Non-Certified N / A

Specify whether non-certified recovered material (post- and pre-consumer) is likely to be used in the composition of FSC Mix or FSC Recycled products. Note: non-certified recovered inputs must comply with the requirements of the FSC-STD-40-007 standard (see FCBA DQ CERT reference document §7).

<input type="checkbox"/> Post-consumer (recycled after use as a finished product)	<input type="checkbox"/> Pre-consumer (recycled after involuntary production, in a process different from the one that produced it)
---	---

Specify (percentage and types):

Specify (percentage and types):

4.4 FSC® Chain of Custody System

<input type="checkbox"/> Transfer	<input type="checkbox"/> Percentage	<input type="checkbox"/> Credit
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4.5 Types of products to be certified by FSC®(existing / potential)

Specify the types of products covered by FSC certification as defined in FSC-STD-40-004a (e.g. W1.1: Timber or industrial timber (logs); W8.2.3: Oriented strand board (OSB); W13.5: Landscape decking and sleepers; P5.1: Cardboard packaging; P8.2: Magazines; N6.3.1: Christmas trees; N9.4: Mushrooms, truffles; etc.).

4.5 FSC® category of materials to be certified

<input type="checkbox"/> FSC 100%	<input type="checkbox"/> FSC MIX	<input type="checkbox"/> FSC RECYCLED	<input type="checkbox"/> FSC Controlled Wood
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4.6 Subcontracting N / A

Specify if you intend to have part of the activities included in the scope of the FSC® Chain of Custody (e.g. processing, production, storage of FSC® products) carried out by subcontracting companies (please include a description of the possible outsourced activities and the number of possible subcontractors).

Number of subcontractors:

Outsourced activities:

4.7 Multi-site Certification(If yes, complete the additional form) YES NO

Applicable if you are: a company with multiple facilities seeking certification under a multi-site certificate and a multi-site management structure with a central office. Note: other requirements apply to multi-site management according to the FSC-STD-40-003 standard (see FCBA DQ CERT reference document §7).

4.8 Group Certification (If yes, complete the additional form) YES NO

Applicable if you are: an organized group of small businesses wishing to obtain certification under a group certificate and a group management structure with a group manager. Note: other requirements apply to group management according to the FSC-STD-40-003 standard (see FCBA DQ CERT reference document §7).

5. Audit Planning

Audit readiness level: For example, is the company compliant with an ISO system, can the company trace its production and sales supplies, is key staff familiar with FSC® certification standards, has the company already written its FSC® procedures?

Desired date/timeframe for the initial audit:

Desired date/deadline for certification:

I, _____ (Name and surname) declares on their honor that this information is accurate and consent to provide any other information necessary for the audit of the Chain of Custody of products intended to be certified.

Done at: _____

THE : _____

Name and surname of signatory: _____

Signature :

Please send your request to:

Certification Assistant

FCBA Institute

Assessment and Certification Team

10 rue Galilée

CS 81050 Champs sur Marne

77447 MARNE LA VALLEE Cedex 2

Tel: +33(0)1 72 84 97 52

e-mail: certification-biosense@fcba.fr

Annex 4: Additional form for FSC® Chain of Custody certification - Multi-site or group



Annex 4: Additional form for FSC® Chain of Custody certification Multi-site or group



Multi-site Certification

Specify if you are a company with multiple facilities seeking certification under a multi-site certificate and a multi-site management structure with a central office. Note: other requirements apply to multi-site management according to the FSC-STD-40-003 standard (see FCBA DQ CERT reference document §7).

Brief description of the company's management structure:

Attach documented evidence justifying joint ownership between the central office and participating sites (at least 51% of the shares of each participating site are held by the central office) or the legal and/or contractual link between the central office and participating sites in accordance with the FSC-STD-40-003 standard.

Group certification

Specify if you are an organized group of small companies seeking certification under a group certificate and a group management structure with a group manager. Note: other requirements apply to group management according to the FSC-STD-40-003 standard (see FCBA DQ CERT reference document §7).

Brief description of the types of businesses to be included in the certificate:

Information on participating sites or group members

Types of businesses to include in the certificate (Check all necessary boxes)

<p>DISTRIBUTION :</p> <p><input type="checkbox"/> Broker / Trader / Agents without physical possession of the matter</p> <p><input type="checkbox"/> Trader / Wholesaler Physical possession of matter without transformation</p> <p><input type="checkbox"/> Trader / Retailer Sale of finished products without processing</p>	<p>TRANSFORMATION:</p> <p><input type="checkbox"/> Primary processor Use of logs in supply</p> <p><input type="checkbox"/> Secondary processor Any transformation other than the primary one</p> <p><input type="checkbox"/> Printer</p> <p><input type="checkbox"/> Editor</p>
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Sites

Main central office, group manager and regional offices

This information about the management structure helps determine the intensity of sampling to be carried out according to FSC® requirements.

Site	Address	Type of company	Person responsible

Appendix 5: Amendment request letter

(To be drawn up on the letterhead of the company holding the certificate)

FCBA
10 Rue de Galilée
CS 81050 Champs sur Marne
77447 MARNE LA VALLEE Cedex 2

To the attention of the Certification Director

Subject: Request to amend the Chain of Custody certification of FSC® certified products

Mr. Director,

As the holder of the FSC® Chain of Custody certificate, under number:

FCBA-COC-.....,

I have the honor to request a modification of the terms of my certificate following:

- Legal changes
- Commercial changes
- Modification of scope/field, supply sourcing
- Other (to specify):

To this end, I declare that I know and accept the Chain of Custody standard for forest products and the reference texts of FSC® and commit to respect them for the entire duration of use of the FSC® Trademarks.

I declare that I have the authority to make this request.

Please accept, Mr. Director, the expression of my highest consideration.

Date

Name and signature of the legal representative of the holder

Appendix 6: Amendment Request Form

1. Company contact details

Company name:

Address :

City : Postal code:

Phone : Fax:

Email address:

2. Person responsible for monitoring certification within the company

Name, Surname: Function :

Phone : Fax:

E-mail address :

3. Modifications

Legal changes (specify: acquisition, merger, creation of a new establishment, change of legal representative, etc.):

.....

.....

Commercial modifications (specify changes or additions of names or brands...):

.....

.....

Modification of the scope/field, description (add a list in the appendix if needed):

Type of modification (addition/removal of product groups and/or sites in the certificate)	FSC* product category	Essence(s)	Control system (transfer, percentage, credit)	FSC Claim(s)	Sites concerned (in case of multiple sites in the certificate)

*according to the classification of the current FSC-STD-40-004a standard

Other (title):

.....

.....

.....

Appendix 7: Letter requesting approval of the FSC® Trademark Use Management System

(to be drawn up on the letterhead of the company holding the permit)

FCBA
10 Rue de Galilée
CS 81050 Champs sur Marne
77447 MARNE LA VALLEE Cedex 2

To the attention of the Certification Director

Subject: Application for approval of the FSC® Trademark Use Management System (self-validation)

Mr. Director,

As the holder of the FSC® Chain of Custody certificate, under number:

FCBA-COC-.....,

And the FSC® trademark license, under number:

FSC®-C.....,

I have the honor to request approval of my FSC® **Trademark Use Management System**, based on an internal control system, for the following uses:

Promotional uses of FSC® Trademarks

Number of promotional uses made in the last 12 months:

On-product uses of FSC® Trademarks

Number of on-product uses made over the last 12 months:

To this end, I declare that I know and accept the Chain of Custody standard for forest products and the reference texts of FSC® and commit to respect them for the entire duration of use of the FSC® Trademarks.

I declare that I have the authority to make this request.

Please accept, Mr. Director, the expression of my highest consideration.

Date

Name and signature of the legal representative of the holder

Appendix 8: Methodology Diagrams

Comparison of transfer, percentage, and credit systems

Informative Value:

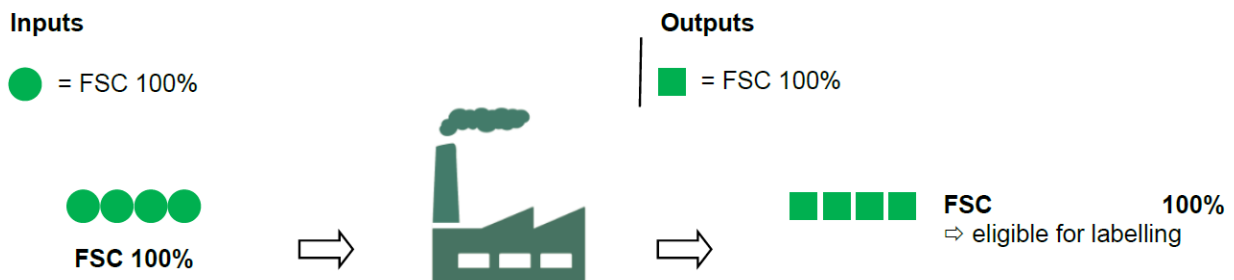
The following diagrams explain the basis of the various functionalities of the Chain of Custody system for managing FSC® claims. For each system, only eligible supplies can be integrated into the FSC Chain of Custody (supplies with claims of FSC 100%, FSC MIX x%, FSC MIX Credit, FSC Recycled x%, FSC Recycled Credit, FSC Controlled Wood; or material controlled according to the FSC-STD-40-005 standard; or recovered material (pre-consumer or post-consumer) controlled according to the FSC-STD-40-007 standard):

1- The transfer system

Under this system the material category and the percentage claim associated with the lowest FSC® contribution (for contributions of virgin material) or post-consumer contribution (for contributions of recovered material) per volume of contribution must be identified.

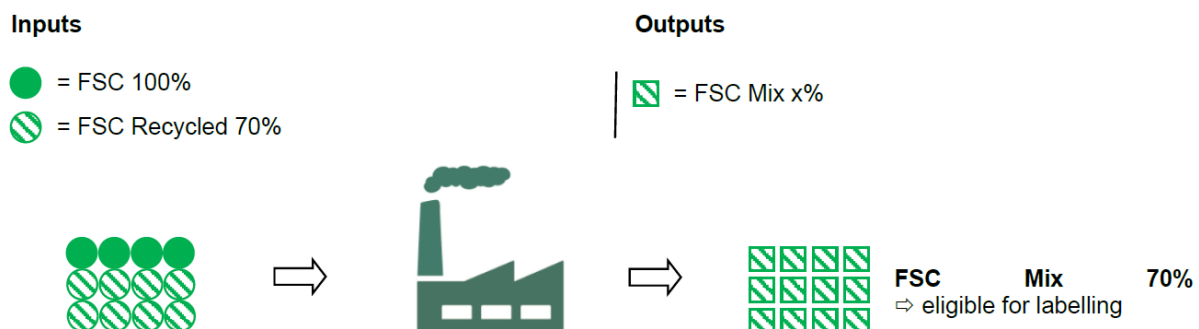
NOTE: The transfer system cannot be applied to mixtures of virgin and recovered materials or to material mixtures that do not include FSC® input of materials or post-consumer input.

Scenario A: sourcing of raw materials with a single FSC® claim (without mixing supplies with different claims)



The transfer system is particularly useful in cases where only a single input material is used, such as in the case of "FSC 100%" product groups. In these cases, the sourcing claim is simply transferred to production.

Scenario B: Supplies with different FSC® claims



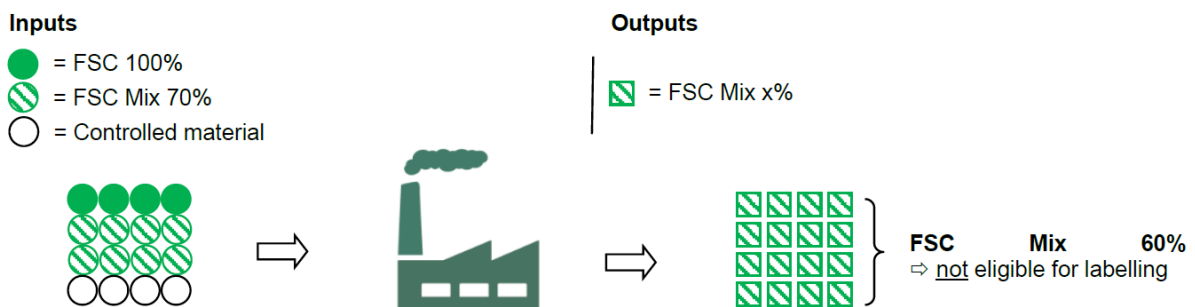
In the second example, a mix of "FSC 100%" and "FSC Recycled 70%" material supplies is used. In this case, the material category with the lowest FSC® claim is "FSC Recycled 70%"; the 70% percentage will then be transferred to the applicable FSC® claim for production. However, the output claim can no longer be in the "FSC Recycled" category because virgin fiber supplies are mixed with this recycled fiber. The resulting output claim will then be "FSC Mix 70%".

This scenario is applicable for users who are unable or unwilling to calculate the exact FSC® percentage for their production, but only wish to ensure a certain minimum FSC® claim for their products.

2. Percentage System

Under this system all products can be sold with a percentage corresponding to the proportion of FSC® input and input of post-consumer recovered materials compared to the total input (the entire supply being eligible for the FSC Chain of Custody).

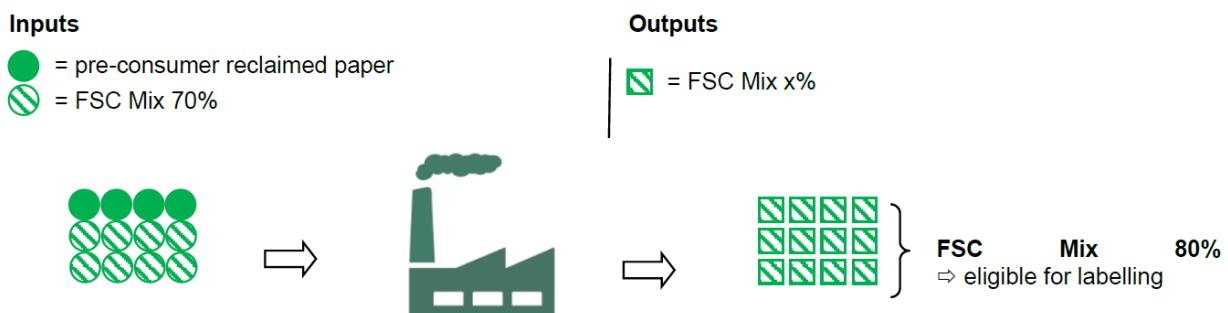
Scenario C: Supplies with different claims – FSC® and non-FSC® (controlled material)



The FSC claim for the output is calculated as follows:

$$\left. \begin{array}{l} 4 \text{ units of FSC 100\% input} \\ 8 \text{ units of FSC Mix 70\% input} \\ 4 \text{ units of controlled material} \end{array} \right\} \frac{(4 \times 1) + (8 \times 0.7) + (4 \times 0)}{4 + 8 + 4} \times 100\% = \frac{4 + 5.6 + 0}{16} \times 100\% = 60\%$$

Scenario D: Supplies with a combination of two or more inputs from different material categories



The FSC claim for the output is calculated as follows:

$$\left. \begin{array}{l} 4 \text{ units of pre-consumer reclaimed paper} \\ 8 \text{ units of FSC Mix 70\% input} \end{array} \right\} \frac{(4 \times 1) + (8 \times 0.7)}{4 + 8} \times 100\% = \frac{4 + 5.6}{12} \times 100\% = 80\%$$

Note: Supplies of pre-consumer and post-consumer recovered paper products are considered equivalent and contribute to the FSC claim. This is not the case for pre-consumer recovered wood products, which do not contribute to the FSC claim, whereas post-consumer recovered wood products do.

Appendix 9: Eligibility Criteria for Certification of a Simple Chain of Custody with Multiple Sites

A simple Chain of Custody certificate can include within its scope Chain of Custody operations of several legal entities (different sites) under the following conditions:

1. One of the sites covered by the Simple Chain of Custody certificate:
 - i. Takes on the role of certificate holder;
 - ii. Is responsible for invoicing external clients for certified and non-certified materials or products included in the scope of the certificate;
 - iii. Controls the use of FSC® Trademarks.

2. All sites covered by the Simple Chain of Custody certificate field:
 - i. They operate within a joint ownership structure;
 - ii. They are managed under the direct control of the certificate holder;
 - iii. They maintain exclusive business relationships with each other for the materials or outgoing products covered by the scope of the certificate;
 - iv. They are located in the same country.

NOTE: All applicable certification requirements as defined in FSC-STD-40-004 must be assessed by FCBA at all sites included in the scope of the certificate during each audit (no sampling is required). The requirements specified in FSC-STD-40-003 for multi-site or group organizations do not apply to single Chain of Custody certificates with multiple sites.

Appendix 10: Financial System

1 – PRICES

Our rates include:

- registration fees (including application processing fees);
- audit preparation;
- on-site audits;
- drafting audit reports.

The pricing schedule for FSC® services may be revised annually on the basis of the engineering index (ING Index), taken with reference to the month of May of each previous year.

In practical terms, this means that service rates can change on January 1st of year n by applying the ING index obtained in May of year n-1 (change measured between May n-1 and May n-2). The index is used as follows:

$$P1 = P0 \times \frac{S1}{S0}$$

Or :

P1 corresponds to the revised price.

P0 corresponds to the original contractual price,

S0 corresponds to the reference index used on the original contractual date,

S1 corresponds to the latest index published at the revision date.

FCBA will communicate the revised tariff schedule to all holders no later than the beginning of each new calendar year, if applicable.

2 – TRAVEL EXPENSES

Travel expenses are charged either at cost or proportionally based on the number of companies visited on the same trip.

3 – FSC® BRAND PACK

The FSC® Brand Pack defines the rules for using the FSC® Trademarks. It is sent as an automated email granting access to the FSC Brand Hub online upon submission of the FSC® Chain of Custody certificate. This certificate will be billed according to our price list and must be included in every FSC® Chain of Custody quote.

4 – PREPARATION OF QUOTES

The quote is based on 5 years (the duration of an FSC® certificate).

5 – INVOICING

Invoices will be issued upon completion of each service.