

## Annex to Certification Regulation

TÜV AUSTRIA Group – Business Assurance



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

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	<p>maximum timeline specified by the CB. Open minor nonconformities do not prevent granting of certification.</p> <ul style="list-style-type: none"> <li>✓ Signed the certification agreement.</li> </ul> <p>In order to provide such a guarantee, it shall have been confirmed that any nonconformity is ad equally addressed by the organization within the established timelines. Recertification may be granted as a result of a re-evaluation. In case of negative certification decisions, the reasons for this decision are provided to client.</p> <p>The Certification Body is the owner of the trademark (logo) “TÜV AUSTRIA Hellas” registered by the Commercial and Industrial Chamber of Greece (CICG) under number 136020. After the issue of the Certificate, the Certification Body gives the Client the right to use the logo TÜV AUSTRIA, as shown in Annex 3 of the agreement.</p>
<b>Maintaining Certification:</b>	<p>Maintenance of certification is approved when the client:</p> <ul style="list-style-type: none"> <li>✓ Confirms and continues to conform with all the conditions for maintaining certification set by the Certification Body.</li> <li>✓ Confirms to all the requirements set by the Certification Body and FSC® regarding claims, logos, certification marks or trademarks.</li> <li>✓ Corrects any nonconformities with applicable FSC® normative document(s) within the maximum period specified by the Certification Body.</li> <li>✓ Continues to pay all specified fees and costs in a timely manner.</li> <li>✓ Undergoes surveillance as determined by the Certification Body and as required by FSC®.</li> <li>✓ Holds a valid version of the “License Agreement for the FSC® Certification Scheme” where the right to use the FSC® trademarks is not suspended.</li> </ul>
<b>Evaluations of group and multi-sites certificates:</b>	<p>For evaluations of group and multi-sites certificates, sufficient sampling of operational sites or chain of custody operations is carried out to verify that the control system is being implemented effectively and consistently across the whole scope of the certificate.</p>
<b>Evaluation of The Organization verification program for wood supplies from sources designated as ‘unspecified risk’:</b>	<p>The Organization can hire any external organization to conduct the supplier verification of unspecified risk sources, excluding its own certification body. Where companies conduct their own field verification of suppliers of wood from unspecified risk sources, the Certification Body may opt to conduct their field audits in coincidence with the field verification audits by the company.</p>
<b>Evaluation of the organization’s DDS:</b>	<p>A system for evaluating the relevance, effectiveness, and adequacy of the DDS, according to the scope and scale of the organization’s operation is implemented. The means of verification of risk assessments and control measures established by the organization include:</p> <ul style="list-style-type: none"> <li>✓ A mechanism for verifying risk designations against available sources of information and applicable requirements</li> <li>✓ Field verification at the forest level and on-site verification of suppliers in the supply chain with a scope and sampling pool relevant for the DDS under evaluation. The sampling pool shall be sufficient to confirm mitigation of risk related to origin and risk of mixing of material with non-eligible inputs.</li> <li>✓ Corroborating evidence provided by the organization with independent sources when possible.</li> </ul>

<b>Changes Affecting Certification:</b>	<p>The Certification Body consider changes and circumstances affecting certification, including changes initiated by the client and decide upon the appropriate action in accordance with the requirements of FSC® applicable requirements for evaluation and issuance of certificates including extension or reduction of the scope of certification. Records include the rationale for excluding any of the above activities. Such circumstances may be armed conflicts or epidemics that hinder the certification body in implementing its FSC® accredited certification program in order to confirm the validity of certification.</p> <p>Clients that were certified prior to the effective date of approval of a new or revised applicable FSC normative document shall be audited against the requirements of the new or revised document in accordance with the applicable transition requirements.</p>
<b>Complaints and Appeals:</b>	<p>The Certification Body responds to complaints and appeals in the same language that is used or agrees with the complainant on the language used. An initial response, including an outline of the proposed course of action to follow up on the complaint or appeal is provided within two (2) weeks of receiving a complaint or appeal. The allegations are investigated and the proposed actions in conclusion to the complaint or appeal are specified within three (3) months of receiving the complaint or appeal. The complainant is notified about the decision taken on the complaint.</p> <p>A complainant has the opportunity to refer their complaint to ASI, if the issue has not been resolved through the full implementation of the certification body's own procedures, or if the complainant disagrees with the conclusions reached and/or is dissatisfied by the way the complaint was handled. As the ultimate step, the complaint may be referred to FSC®.</p> <p>Anonymous complaints and expressions of dissatisfaction that are not substantiated as complaints are treated as stakeholder comments and they are addressed during the next audit.</p> <p>All complaints are registered with FSC®.</p>
<b>Transfer of certificates:</b>	<p>FSC® certificates can only be transferred once within the five years period of validity or else a full FSC® certification evaluation shall take place.</p> <p>FSC® certificates cannot be transferred in the following situations:</p> <ul style="list-style-type: none"> <li>✓ The certificate is suspended</li> <li>✓ Majors CARs have not been closed</li> <li>✓ The parties involved cannot agree on the transfer date</li> <li>✓ Relevant documentation about the certificate holder (records, history of CARs) is not being made available</li> </ul>