

**Member Company Chain-of-Custody Documented Control System:**  
**FSC-certified Wood Products (FSC Pure and FSC Mixed)**

**Member of:**

**The Trust to Conserve Northeast Forestlands  
FSC Group Chain of Custody Certificate  
and FSC Group Controlled Wood Certificate  
SW-COC – 001677/ SW-CW-001677**

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<b>Member Company:</b>	<b>Member Company</b>
<b>Location:</b>	123 Main St., Town, State Zip Code

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**FSC Relevant Standards:**

- FSC-STD-40-004 (version 2.0) *FSC Standard for Chain-of-Custody Certification*
- FSC-STD-40-201 (version 2.0) *FSC On-Product Labeling Requirements*

**Certification Contacts:**

For the Trust to Conserve Northeast Forestlands:

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Site Manager for Member Company:

Site Manager  
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**I. Chain of Custody Management**

A. Responsibilities of The Trust to Conserve Northeast Forestlands

1. The Trust to Conserve Northeast Forestlands (TCNF) is responsible for maintaining the group certification and for representing the interests of its members in communications with the certifying body. TCNF will:
  - a) provide training and tools to assist member companies in managing their chain of custody system according to FSC standards;
  - b) annually monitor member companies and collect required data on production and sales of FSC materials;
  - c) facilitate annual audits by the certifying body;
  - d) respond to corrective action requests made by the certifying body.
  - e) manage the group's use of the FSC trademark.
  - f) Maintain group certification records

## **B. Responsibilities of Member Company**

1. The member company is responsible for complying with the TCNF Group Chain of Custody Manual, the Documented Control System prepared for the member company, and with the FSC standards.
2. The member company will designate a Site Manager who will be the primary contact with TCNF and who will be responsible for managing the member company's chain of custody procedures.

## **II. Purchasing and Receiving**

### **A. Procedures for purchasing FSC-certified material.**

1. FSC certified wood products (plywood and lumber) are purchased from FSC chain of custody certified (CoC) brokers.
  - a. Purchase contracts, invoices, and shipping documents will specify FSC claim and certificate number of each load.
  - b. In accordance with FSC-STD-40-004 (version 2.0) Principle 4.1 Identification of Input, Member Company will be in possession of each supplier's valid FSC CoC certificate, ensure that the material is covered by the scope of each supplier's certificate, and ensure that the material is properly labeled with an FSC claim.
  - c. Member Company will notify TCNF of each new FSC supplier providing input material and verify the status of the certificates through TCNF when contracts or sales are negotiated. Member Company will provide the supplier's certificate code number to TCNF for verification prior to receipt of the material. TCNF will:
    - i. Verify the supplier's certification status and scope of their certificate through [www.fsc-info.org](http://www.fsc-info.org)
    - ii. Notify Member Company within 48 hours of receipt of inquiry.
2. Member Company shall obtain and keep on file an official copy of the FSC certificate for each supplier offering FSC materials.

### **B. Handling of materials upon receipt**

1. Upon receipt of material or prior to further use or processing Member Company will check the supplier invoice and supporting documentation to ensure the following:
  - a. the supplied material quantities and quality are in compliance with the supplied documentation;
  - b. the material category and, if applicable, the associated percentage or credit claim is stated for each product item or for the total products;
  - c. the supplier's FSC Chain of Custody or FSC Controlled Wood code is quoted for material supplied with FSC claims.
1. 2. FSC certified material will be stored with its original label intact and separate from all non-certified material. If the label is removed or the packaging broken each piece of FSC certified material will be clearly identified by writing upon its face or side the FSC claim for the material (FSC Pure or FSC Mixed).

**C. Procedures for recording quantities of certified materials received.**

1. Member Company will maintain a record of the volume of FSC certified materials received by product and species.

2. The accounting record shall include at least the following information:

- a. invoice references;
- b. quantities (by volume or weight);
- c. material category (FSC Pure, FSC Mixed Percentage, or FSC Mixed Credit)

**D. Responsible personnel for purchasing and receiving.**

Site Manager is responsible for procurement of FSC certified materials and maintaining delivery records.

**E. Forms/records used for purchasing and receiving.**

Forms/records will include:

- a. shipping documents and invoices for all shipments received
- b. copy of supplier certificate
- c. accounting record as described in II. C. 2.

**III. Production**

**A. Product Group Schedule**

Member Company will maintain an up-to-date Product Group Schedule that will be publicly available upon request. Member Company will notify TCNF of any changes to the Product Group Schedule should it be modified. The table below contains the Product Group Schedule current as of **June 12, 2009**.

<b>FSC Product Group</b>	<b>Product Type and Code</b>	<b>FSC Claim</b>	<b>Species</b>	<b>Input Material Categories</b>	<b>Control System for FSC Claims</b>	<b>Sites</b>
Wood Cabinets	381 Furniture	FSC Pure FSC Mixed	2. Acer spp. 40. Betula spp.	FSC Pure FSC Mixed	Transfer	Town, State
Wood Furniture	381 Furniture	FSC Pure FSC Mixed	2. Acer spp. 195. Juglans spp. 275. Populus spp. 277 Prunus spp.	FSC Pure FSC Mixed	Transfer	Town, State
Turned Wood Bowls	31912 Tableware and kitchenware of wood	FSC Pure FSC Mixed	2. Acer spp. 40. Betula spp. 195. Juglans spp. 275. Populus spp. 277 Prunus spp.	FSC Pure FSC Mixed	Transfer	Town, State

## **B. FSC-Pure Production**

1. Member Company produces custom wood cabinets, furniture, millwork, and turned bowls from a variety of species and materials. Products produced with an FSC claim will be produced as an individual and separate order. With the exception of minor components all wood inputs will be FSC certified.
  - a. Member Company will identify minor components of the product that will not be FSC certified.
    - i. Solid wood veneer used as visible face veneer on top of other materials and components made from species listed in CITES Appendices I, II or III shall not be designated as minor components.
  - b. Member Company will ensure that the quantity of material entering minor components which have been identified as exempt from requirements for Chain of Custody control and labeling constitute less than 5% the weight or volume of the virgin and reclaimed materials in the product.
2. Member Company will ensure that during production, other than in the case of the use of minor components, FSC certified input material will be kept separate from and will not be mixed with non-certified materials.
3. Member Company will record the volume of FSC certified materials used in the production of each product.
4. Excess FSC certified material not used in the production of the product will be labeled on its face or side with the FSC claim for the material (FSC Pure or FSC Mixed).

## **C. Responsible personnel for production.**

Site Manager

## **D. Forms/records used for production**

1. Quantities/volumes of FSC-Pure materials used in production per FSC product group are recorded and available in summary format.

## **IV. Finished Product Handling and Sales**

### **A. Identification of Finished FSC-certified Products**

Member Company will be using FSC Pure or FSC Mixed claims. Finished certified products will be identifiable from non-certified products by the invoice.

### **B. Recording Quantities of Finished FSC-certified Products**

Quantities of FSC certified products sold are recorded separately and summarized by Product Group.

### **C. Invoices and Shipping Documents**

1. All invoices issued for outputs sold with FSC claims will include the following information:

- a. name and contact details for Member Company;
- b. name and address of the customer;
- c. date when the document was issued;
- d. description of the product;
- e. quantity of the products sold;
- f. the TCNF FSC Chain of Custody code;
- g. clear indication of the FSC claim for each product item or the total products

2. When copy of invoice is sent separate from product shipment the shipping documents will include:

- a. name and contact details for Member Company;
- b. name and address of the customer;
- c. date when the document was issued;
- d. description of the product;
- e. quantity of the products sold;
- f. the TCNF FSC Chain of Custody code;
- g. clear indication of the FSC claim for each product item or the total products

3. The certificate code is:

**SW-COC- CODE**

**D. Responsible Person for Finished Product Handling and Sales**

Site Manager

**E. Forms/records used for Finished Product Handling and Sales**

1. Summaries of quantities and volumes of finished certified products as described in IV. B.
2. A copy of each invoice and shipping document.

**V. Labeling / Logo Use**

**A. Types of labels or other marks that will be used on finished certified products.**

Member Company may use on-product labels.

**B. Procedures for use of the SmartWood and/or FSC logos.**

Member Company will not use the FSC, SmartWood, or Rainforest Alliance logo or name for any on-product label or off-product promotional use without prior approval of SmartWood through TCNF. Member Company will submit drafts of on-product labels or off-product use to TCNF who will submit them to SmartWood for approval. TCNF will inform Member Company of SmartWoods response.

- C. Responsible personnel for labels and logo use.**  
Site Manager is responsible for monitoring all label and logo use.

## **VI. Record Keeping**

### **A. Procedures for maintaining records pertaining to certification.**

1. The following records will be maintained by Member Company:
  - a. Purchasing and receiving records
    - i. Supplier FSC certificates
    - ii. Invoices and shipping documentation
    - iii. Quantities and material categories
  - b. Production records
    - i. Product Group Schedules
    - ii. Summary of quantity/volume of FSC material used in production
  - c. Sales and shipping records
    - i. Summaries of quantities and volumes of certified products sold
    - ii. Invoices and shipping documentation
  - d. Label and logo use records
    - i. Label/logo use requests
  - e. Training records
    - i. Agenda and proceedings of training sessions
    - ii. Attendance lists
2. Reports and summary concerning certified materials will be kept for a period of five years.

### **B. Procedures for compiling annual audit data for SmartWood auditors.**

Annual FSC Certified volume summaries will be prepared for certified product purchases, inventory and sales of FSC Credit Material for annual audits.

## **VII. Training**

- A. All personnel involved in purchasing, receiving, production, sales, and recordkeeping will be trained in the appropriate elements of the Chain of Custody system used at the mill and administrative office
- B. Member Company will train new employees as needed on the appropriate elements of the Chain of Custody system used at the site.
- C. Member Company will maintain records of the training provided to staff in relation to implementation of this standard. The agenda and proceedings of trainings will be kept on file for 5 years.