



TÜVRheinland®

DIN CERTCO

Genau. Richtig.



## **Certification scheme**

**Chain of custody of forest based products /  
Chain of Custody (CoC)**

(Edition: November 2017)

## Foreword

DIN CERTCO was founded in 1972 by DIN the German Institute of Standardization e.g. for the awarding of DIN marks and offers the certification of products and persons, services and enterprises on the basis of the DIN Standards and similar specifications.

In order to proof our impartiality, independency and competence, we are voluntary accredited according to DIN EN ISO/IEC 17065. For the satisfaction and trust of our clients, we have furthermore a certified quality management system according to DIN EN ISO 9001.

In conjunction with the General Terms and Conditions of DIN CERTCO, this certification scheme forms the basis for suppliers of products from sustainable forestry to mark their products with the the PEFC-mark.

The certification mark creates consumer confidence, in that an independent, neutral and competent body has carefully examined and assessed the product on the basis of the test criteria. Third-party monitoring, also during the on-going production process, further ensures that the quality of the product is maintained. In this way, the customer receives an added value, which he can take into consideration in deciding on his purchase.

Products from sustainable forestry can be certified on meeting the requirements listed under section 0 according to the procedure described in this certification scheme.

All certificate holders can be viewed on the daily up-dated homepage of DIN CERTCO ([www.dincertco.de](http://www.dincertco.de)).

## Start of validity

This certification scheme comes into effect on 2017-11. All existing certificates remains valid and will be changed as part of the next renewal.

## Amendments

This certification scheme differs from the certification scheme "Verification of the product chain of forest based products" (2011-11) as follows:

- a) Addition of requirements for PEFC D 2002-1
- b) Editorial changes

## Previous Editions

"Chain of custody of forest based products / Chain of Custody (CoC)" (2009-07).

"Chain of custody of forest based products / Chain of Custody (CoC)" (2011-11).

"Chain of custody of forest based products / Chain of Custody (CoC)" (2014-02).

## CONTENTS

<b>1</b>	<b>Scope 4</b>	
1.1	“Products from sustainable forestmanagement”	4
1.2	PEFC-Regional-Label (only applicable for wood from Germany)	4
<b>2</b>	<b>Test and Certification Specifications</b>	<b>4</b>
<b>3</b>	<b>Product Requirements</b>	<b>5</b>
3.1	PEFC certified material	5
3.2	PEFC controlled sources	5
3.3	PEFC-Regional-Label (only applicable for wood from Germany)	5
<b>4</b>	<b>Testing</b>	<b>6</b>
4.1	General Information	6
4.2	Types of Test	6
4.2.1	Initial Test (Type Test)	6
4.2.2	Verification Test (Control Test)	6
4.2.3	Supplementary Test	6
4.2.4	Special Test	6
4.3	Audit Report	7
<b>5</b>	<b>Certification</b>	<b>7</b>
5.1	Application	8
5.2	Conformity Assessment	8
5.3	Issuing a certificate	8
5.4	Publications	8
5.5	Validity	8
5.6	Renewal of the Certificate	9
5.7	Expiry of the Certificate	9
5.8	Alterations/Amendments	9
<b>6</b>	<b>Surveillance by DIN CERTCO</b>	<b>10</b>
6.1	General Information	10
6.2	Audits	10
<b>7</b>	<b>Documentation</b>	<b>10</b>
<b>8</b>	<b>Marketing fee to PEFC Deutschland e. V. or other international members</b>	<b>10</b>

## 1 Scope

### 1.1 "Products from sustainable forestry"

The certification scheme "Chain of Custody for Products from sustainable forestry" applies to products whose raw materials originate from sustainable forestry according to on the PEFC system or where the PEFC Due Dilligence System is implemented. These include wood pulp, paper, cardboard, wooden furniture etc.

The certification scheme presented here lays down the requirements for the product itself as well as for the testing, monitoring and certification of same.

A differentiation between PEFC certified material and material from PEFC controlled sources is made.

### 1.2 PEFC-Regional-Label (only applicable for wood from Germany)

The PEFC-Regional-Label can be used in addition to an existing certification according to the "Chain of Custody for Products from sustainable forestry", if a company set up a chain-of-custody for products from sustainable forestry to use the declaration „Heimisches Holz aus [Name Region]" (freely translated: "local wood from [name of region]" additionally to their chain of custody certification.

## 2 Test and Certification Specifications

The basis for the certification of enterprises with a verification of the product chain for products from sustainable forestry / Chain of Custody (CoC) comprises the requirements laid down in the following documents. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.

PEFC ST 2002	normative document, PEFC International Standards, Chain of Custody of Forest Based Products – requirements
PEFC ST 2003	normative document, PEFC International Standard, Requirements for Certification Bodies operating Certification against the PEFC International Chain of Custody Standard
PEFC D 1004	normative document, Richtlinie für die Verwendung des PEFC-Regional-Labels (free translation – PEFC Regional label logo usage rules)
PEFC ST 2002-1:	normative document, Holzkettennachweis von Holzprodukten – Spezifikationen für das PEFC-Regional-Label (free translation – chain of custody of timber products – specifications for PEFC Regional Label)
PEFC ST 2001	normative document, PEFC International Standard, PEFC Logo Usage Rules – Requirements

- this certification scheme
- the General Terms and Conditions of DIN CERTCO
- the respective schedule of fees of DIN CERTCO

### **3 Product Requirements**

#### **3.1 PEFC certified material**

Wood from sustainable forest management cannot be differentiated from wood from non-sustainable forest management using simple scientific analytical methods. Verification of the CoC must therefore be maintained for products from sustainable forest management, i.e. each organisation in the product chain must maintain the proof that the preliminary products/raw materials used by them originate from sustainable forest management. The requirements of this certification program are not therefore aimed at the individual products but at the organisations in the product chain.

The proof that raw materials or preliminary products from sustainable forest management are used is considered as provided if a valid PEFC forest management certificate or a valid PEFC CoC certificate for a raw material or a preliminary product can be presented. organisations in the product chain must implement a control system in which this proof is recorded. For other material according to the PEFC International Standard PEFC ST 2002 a Due Dilligence System (DDS) in accordance with section 5 of the standard PEFC ST 2002 needs to be in place to minimise the risk of the usage of material from controversial sources.

For the validation of the CoC PEFC has designated two different methods of verifying the CoC. The organisations must select one of the following options:

1. Percentage based method (PEFC ST 2002 section 6.3)

The percentage based method is subdivided into two methods: average percentage method and volume credit method. The percentage of wood from PEFC-certified forests must be controlled throughout the entire production process in both methods. Only the percentage of products which is identical to the percentage of the certified wood used may be declared as certified.

2. Method of physical separation (PEFC ST 2002 section 6.2)

In the case of physical separation it must be guaranteed that the wood from each different origin is kept physically separate from the others in all phases of the transport, the production and the sales.

The method used can be changed depending on the development of the certification or market requirements.

#### **3.2 PEFC Controlled Sources**

As stated in 3.1, other, non-certified material is to be assessed by a PEFC Due Dilligence System. This refers to products, which's input material has been checked according to the requirements mentioned in clause 5.3 and annex 1 clause 2.3 of the normative document PEFC ST 2002. The same rules as mentioned in clause 3.1 of this certification scheme applies.

#### **3.3 PEFC-Regional-Label (only applicable for wood from Germany)**

The PEFC Regional-Label can be used on the basis of a PEFC-CoC-certification. Requirements are:

- Certified material: Forest based materials delivered by:

- Forest owners or forestal merger, who take part in a regional certification of the PEFC-system and who's forest area is located in the corresponding area. The material shall be delivered with the declaration „PEFC-certified“ or „Heimisches Holz aus [Name der Region]“.
  - A company in possession of a CoC-certificate according to PEFC ST 2002 and PEFC D 2002-1. The material shall be declared „Heimisches Holz aus [Name der Region]“. The region shall be one of the same regional accuracy level or a more defined level according to table 1, PEFC D 2002-1.
- The company needs to practice the physical segregation method.

The organisation can choose out of three levels, described in PEFC D 2002-1. If a level III region is defined, it has to be clearly identifiable and geographically clearly definable. Additionally every new definition of a level III region needs to be approved by PEFC Germany.

## **4 Testing**

### **4.1 General Information**

For the performance of the audits required as the basis for the assessment and certification of the products, DIN CERTCO avails itself of auditors to whom it has awarded recognition.

### **4.2 Types of Test**

#### **4.2.1 Initial Test**

The initial test serves to determine whether the company meets the requirements laid down in section 0 of this Certification scheme and the corresponding PEFC standards.

For the initial certification an on-site audit is carried out by a DIN CERTCO recognized auditor.

#### **4.2.2 Verification Test (Control Test)**

The verification test is conducted repeatedly at determined intervals and serves to ascertain whether the certified control system conforms to the requirements in the production phase.

The test is to be done by one of the DIN CERTCO recognised auditors and must be evidenced on the due date by a test report.

The scope of testing is identical to the one of the initial test.

#### **4.2.3 Supplementary Test**

A supplementary test shall take place when additions, extensions or modifications (see section 5.8) are made to the certified system, which may influence the product's conformity with the pertinent, fundamental requirements.

The type and scope of the supplementary test shall be laid down on a case by case basis by DIN CERTCO in conjunction with the auditor.

#### **4.2.4 Special Test**

A Special Test is conducted when

- defects are detected
- the production has been suspended for a period of more than 6 months
- required by DIN CERTCO - reasons to be specified
- requested in writing by a third party if a particular interest in the maintenance of proper conduct of market procedures in relation to competition or quality is involved.

The type and scope of the special test shall be laid down in accordance with the specific, respective purpose on a case by case basis by DIN CERTCO in conjunction with the auditor.

Should defects be detected in the course of the special test or because of the suspended production, the certificate holder shall bear the costs of the examination procedure.

Should the special test at the request of a third party reveal no defects, the costs shall be borne by said third party.

### **4.3 Audit Report**

The auditor shall inform DIN CERTCO of the audit results in the form of a report.

As a rule, the report may not be older than 6 months on submitting the application. In individual cases, older test reports can be recognized if the auditor provides written confirmation of the current validity of the information given in said report.

The test report must contain at least the following information.

- Name and address of the manufacturer
- Name and address of the applicant (if different from the manufacturer )
- Test basis with date of issue
- Type of test (e.g. type-test, complementary examination, etc.)
- Date of examination
- Test result and assessment
- Name and signature of the person responsible for the audit

## **5 Certification**

Certification in the sense of this certification scheme relates to the assessment of conformity of a system by DIN CERTCO on the basis of test reports submitted by auditors recognized by DIN CERTCO. To this end, the systems to be certified are examined and subsequently monitored in respect of conformity with the requirements laid down in section 2.

## 5.1 Application

Both manufacturers according to § 4 of the Product Liability Act (ProdHaftG) and distributors who, with the written consent of the certificate holder, bring the products onto the market under their own responsibility in the sense of the Product Liability Act, may apply.

The applicant must submit the following documents to DIN CERTCO:

- Application for certification in the original complete with legally binding signature

The applicant shall receive from DIN CERTCO, after receipt of the application, a confirmation of order with a process number and notes regarding the further course of the procedure and, as applicable, queries concerning any missing documents

## 5.2 Conformity Assessment

On the basis of the documents submitted, DIN CERTCO conducts the conformity examination. To this end, in particular, an assessment is made with the aid of the examination report as to whether the system meets the requirements of the Certification scheme and of the PEFC International Standard.

The applicant shall receive written notification from DIN CERTCO in the event of any possible deviations.

## 5.3 Issuing a certificate

Subject to the precondition that the requirements of this certification program are fulfilled, the CoC PEFC-controlled sources certificate can be awarded.

Only on the basis of a valid certificate can the applicant be granted the right to usage of the PEFC logo of PEFC Deutschland e. V. or other international members.

No legal claim for the conferral of a certificate or any other statement of conformity exists.

## 5.4 Publications

All certificate holders can be viewed on the daily up-dated homepage of DIN CERTCO ([www.dincertco.de](http://www.dincertco.de)) under <Certificate Holders>. Manufacturers, users and consumers use this research possibility for obtaining information on certified products.

It is also possible to view contact details of the certificate holders (telephone, telefax, e-mail, homepage).

## 5.5 Validity

The certificate is valid for a period of 5 years. For organisations that are certified under the multi-site provision, DIN CERTCO can limit the period of validity to 3 years. In order for the certificate to remain valid beyond the specified date, a renewal must be applied for in good time at DIN CERTCO before the period of validity expires.



## 5.6 Renewal of the Certificate

If the certification shall continue to apply beyond the date shown on the certificate, an up-to-date, positive test report and an application for renewal must be submitted in good time to DIN CERTCO. On the basis of the documents submitted, DIN CERTCO conducts the conformity examination.

Proof of conformity with the requirements of the test and certification specifications according to section 2 shall be provided within the scope of an initial test according to section 4.2.1.

## 5.7 Expiry of the Certificate

In the event that the new Standard conformity examination according to section 4 has not been completed before expiry of the validity period, the certificate expires without the necessity for explicit notification from DIN CERTCO. We will send a note about this to PEFC.

Furthermore, the certificate can also expire if:

- the surveillance according to section 4.2.2 is not performed punctually or completely,
- the certificate is misused by the certificate holder,
- the requirements laid down in the Certification scheme as well as the PEFC documents or its accompanying documents are not fulfilled,
- the certification fees are not paid on the due date
- the prerequisites for the issuing of the certificate are no longer fulfilled

## 5.8 Alterations/Amendments

The certificate holder is obliged to notify DIN CERTCO of all alterations to the system without delay. The auditor in conjunction with DIN CERTCO shall decide on the scope of an examination that shall be conducted according to section 4.2.3 and whether it is a matter of a substantial alteration.

The certificate holder remains obliged to notify of any changes in the formal details (e.g. certificate holder or his address).

## 6 Surveillance by DIN CERTCO

### 6.1 General Information

The constant surveillance of the certified company during the entire duration of the certification period is an integral component of the certification itself. On the basis of the documents submitted, DIN CERTCO conducts the conformity examination. The surveillance shall be performed at regular intervals of 1 year.

DIN CERTCO examines the conformity of the system with the requirements laid down in the certification scheme.

### 6.2 Audits

Within the framework of audits, DIN CERTCO, or one of its authorised auditors, inspects the manufacturing and testing facilities to verify the conformity with the requirements of the PEFC standards. For these monitoring processes the certificate holder must provide all documents, proofs, confirmations and/or certifications required for the maintenance of the PEFC CoC certificate.

A separate, special monitoring report shall be issued on the results of the audit.

Should the results of the audit prove insufficient, the applicant shall be informed accordingly without delay. In this case, the scope of additional measures needed to fulfil all requirements shall be determined between the certification body and the applicant. Should the applicant be unable to implement the necessary measures, the procedure shall be terminated. If the documents are not provided on time or are insufficient, DIN CERTCO reserves the right to suspend or cancel the certificate after a given timeframe.

## 7 Documentation

Detailed information and all instructions regarding CoC certification can be called up on the homepage of PEFC Deutschland e. V. at [www.pefc.de](http://www.pefc.de) under the link <PEFC in the product chain>.

## 8 Marketing fee to PEFC Deutschland e. V. Fehler! Textmarke nicht definiert. or other international members

On 01/01/07 an annual notification fee was introduced by PEFC Germany (further information at [www.pefc.de](http://www.pefc.de)). In the following, other international members introduced marketing fees also.

To determine the amount of the fee, the applicant is obliged to declare the organization's annual turnover in the application. The charge based on the turnover figures is levied at the initial certification so that the basis for calculation remains constant over the 3 or 5-year lifetime of the certificate.

For multi-site certifications the annual fee is payable per site.