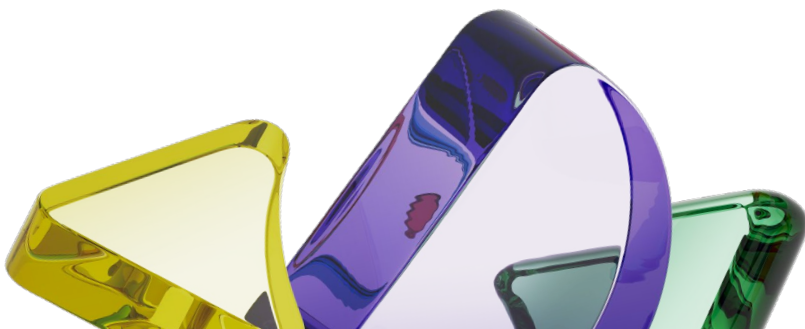


Chain of Custody of Forest and Tree Based Products Client Guidebook



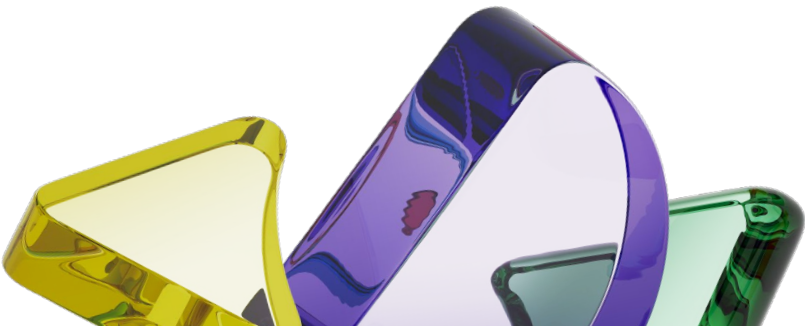
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1 Chain of Custody Certification Guidebook

Thank you for choosing BSI for your certification.

This Guidebook is designed to provide guidance to our clients on the requirements for Chain of Custody for Wood Products certification under the Chain of Custody Scheme and the requirements of AS 4707:2021 and PEFC ST 2002:2020. (the Standard/s).

In Australia, the implementation of the Chain of Custody (COC) Scheme is overseen by Australian Forestry Standard Limited, trading as Responsible Wood. Responsible Wood, the Standard Owner, displays further information about certified Organizations on its website.

The benefits of certification to the COC Standard include recognition that your business supports sustainable forest management and that the forest-based products in your supply chain have been produced in a manner that has been independently verified to conform with internationally recognised sustainability criteria.

Certification to the Standard ensures that all organizations with ownership responsibilities within the wood or forest products certification supply chain have a credible system for tracking wood or forest products originating from certified forests through to the consumer. It also provides your customers with confidence that you are supporting and endorsing sustainable forest management.

This scheme provides traceability through all links between the certified wood source to the consumer including: transportation, primary and secondary processing, manufacturing, remanufacturing, distribution and sales.

BSI will assign a Client Manager who will be your initial point of contact for arranging audits and dealing with any matters that may arise during the period of your contract. While your contract may initially specify a contract term, BSI will continue to provide certification services until you formally advise BSI that you wish the contract to cease.

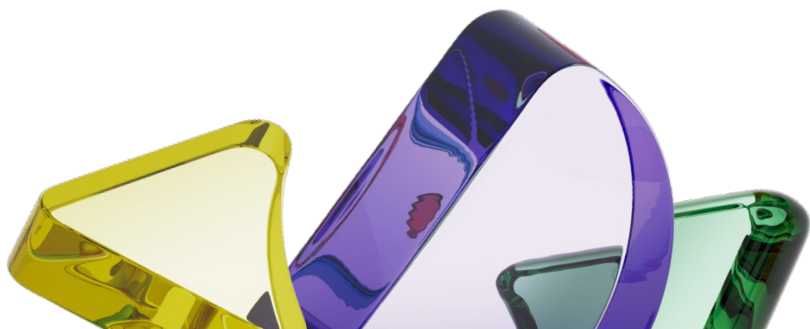
This Guidebook includes additional requirements which complement those in your contract with BSI and forms part of your Certification Agreement.

2 Accreditation Status

In Australia and New Zealand, the Joint Accreditation System – Australia and New Zealand (JASANZ) provides Certification Bodies with accreditation to conduct audits to this Standard.

BSI holds accreditation for this standard with JASANZ and your certificate will display the JASANZ logo.

JASANZ routinely conducts audits of BSI and its auditors.



3 The Certification Process

3.1. Initial contact

Following our initial contact, BSI will provide you with a Client Information Form which will give us the information we need to provide a proposal. Once you accept our proposal, BSI will appoint a Client Manager who will be your first point of contact. Your Client Manager will be your primary point of contact with BSI and is responsible for ensuring that our certification/assessment services are delivered to your organization in the most effective manner possible.

The Client Manager will seek to establish a working relationship with your organization and BSI. This includes confirming your certification requirements in terms of the certification or assessment services, standards or codes of practice, locations, and activities and/or products to be included in the scope of certification.

Certification is a two-stage process. Prior to the commencement of the certification process, you may choose to engage BSI to conduct a gap analysis to identify any deficiencies with your management system that would need to be addressed, prior to commencing the certification process.

If you are working with a consultant it is often useful for that person to be involved.

3.2. Initial Assessment (Stage 1 Audit)

In order to gain certification to the Chain of Custody scheme your organization is required to have an initial audit to determine your readiness for certification.

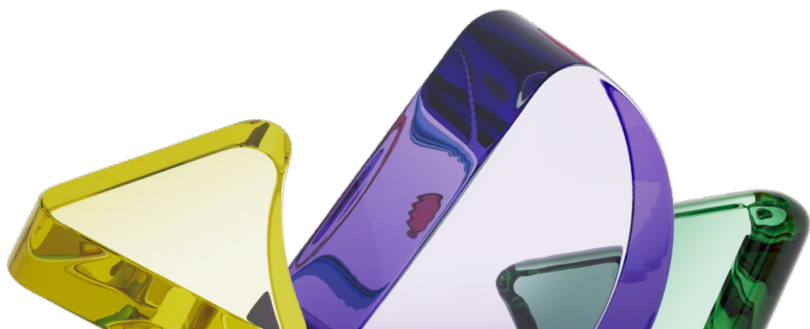
The initial audit will be carried out by a qualified assessor. It is possible to conduct the Stage 1 Audit remotely, however it is preferable for this assessment to be carried out at your site/s. If you have multiple sites, the Stage 1 Audit will include a sample of the sites.

The Stage 1 audit will include a review of your system documentation.

BSI will provide you with a written report which will outline the readiness for the Certification Audit. Any findings from the initial audit must be satisfactorily addressed (closed out) prior to the certification audit.

3.3. Certification Assessment (Stage 2 Audit)

The certification audit must be conducted within four (4) months of the initial audit. If the certification audit is not conducted within this timeframe, BSI may need to redo the initial



audit.

The objectives of the Stage 2 audit are:

- To confirm that your organization adheres to its own policies, procedures & objectives and practices the principals of continuous improvement.
- To confirm that the CoC management system conforms with all the requirements of the applicable CoC standard/s and is achieving your organization's policy objectives for operating an effective CoC management system.
- To verify the proportion of certified wood and forest product under your organization's control.
- Verify that your organization's claim regarding the origin of wood or forest products from a certified forest is supported by an unbroken chain of CoC certificates for each preceding link in the chain back to the certified forest or source of origin.
- To verify that appropriate procedures, controls and guidelines are in place, and roles and responsibilities are defined.

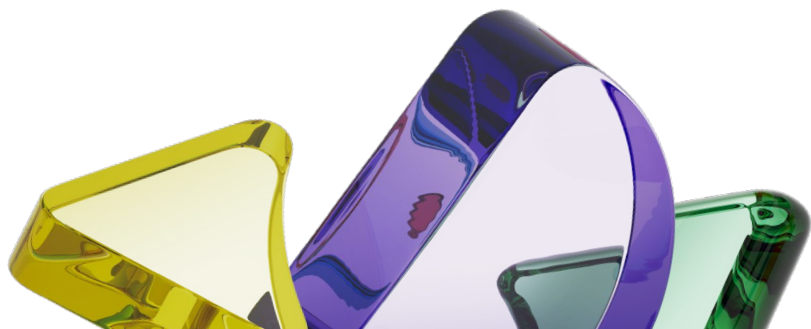
Any non-conformities identified during the audit will be discussed with your team during the assessment as, and when, they are identified. They will be confirmed at the exit meeting. Non-Conformities are categorised as Major, Minor and Observations.

At the conclusion of the audit, the audit team will provide you with a written report which will detail the audit findings. The audit team leader will present these findings to your organization's senior management at the closing meeting.

The audit report will include a summary of the overall compliance of your system with the requirements of the Standard/s. The audit report will include the following information.

- An executive summary of the overall findings (conclusions) on the effectiveness of your system in meeting the requirements of the standard
- Ratings of the non-conformances against each KPI and each standard
- Suggestions for continual improvement
- Positive finding areas
- Times allocated for the activity, number and type of interviews conducted with consumers.

If you are unclear understanding anything in your report, please discuss this with your Client Manager.



BSI will advise you of any non-conformances arising from each assessment. All major non-conformances are required to be effectively addressed or otherwise closed out, before a recommendation for certification can be accepted. The recommendation for certification is made by the auditor. The audit report is then reviewed by an independent qualified report reviewer who will assess the report and approve the recommendation or seek further information.

It is your organization's responsibility to respond to the non-conformities detailed in your audit report by the designated time frame. Failure to do so may result in suspension or cancellation of your certification. You will be required to enter the corrective actions for non-conformities via the BSI Connect Portal.

You will be notified when your certificate has been issued, and it will be available to view the BSI Connect Portal.

A Client Services Officer (CSO) will assist you with access to the BSI Connect Portal.

3.4. Audit findings and non-conformities

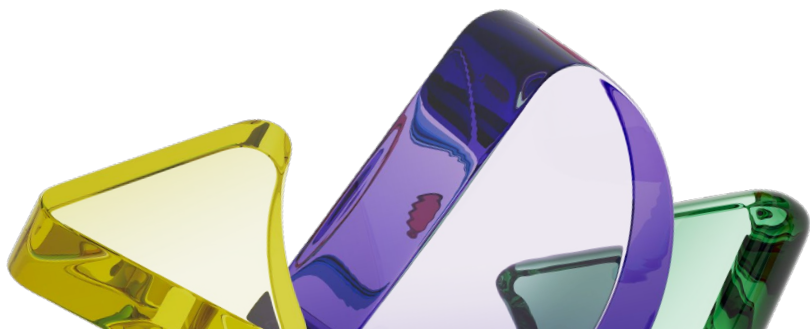
Major Non-Conformances

Major Non-conformances are audit findings where either there is a failure to conform with a requirement of the Standard, the COC Scheme or your own system requirements. This may include any situation where there is significant doubt regarding the ability of your organisation's management system to conform with the requirements.

Where a non-conformance is identified during an audit, the details will be provided in the Assessment Report, and you will be required to submit an action plan via the BSI Connect Portal within a specified timeframe (usually 14 days from receipt of the report). BSI will review the action plan to verify that it has:

- Correctly determined the root cause of the non-conformance;
- Specified any immediate corrective measures;
- Set out a detailed plan as to what needs to be done in order to prevent recurrence; and
- Specified a timeframe for completion as well as responsibility for overseeing the implementation of the action plan.

BSI will review the action plan and confirm if it has been accepted. BSI will then arrange any follow-up audit or assessment activity in order to close out or downgrade the major non-conformance.



Major non-conformances are required to be either closed out or downgraded by the Client Manager within 3 months of the assessment. This may require an on-site visit.

It is not possible to issue, or re-issue a certificate where major non-conformities exist.

Minor Non-Conformances

Minor Non-conformances are audit findings where either there is a partial failure to conform with one or more requirements of the Standard or the COC Scheme.

Where a minor non-conformance is identified during an audit, you will be required to submit an action plan via the BSI Client Portal (as described above).

Once the action plan has been lodged in the Client Portal, BSI will review it and confirm acceptance, or advise otherwise. Minor non-conformances are required to be closed out at the next assessment.

Observations (Opportunities for improvement)

BSI auditors may make observation which identify opportunities for improvement with respect to the implementation of your management system. BSI auditors are not permitted to make recommendations, however opportunities for improvement are unlikely to be raised if your organisation has no intention or willingness to take any action. There is no requirement for an action plan to be submitted to BSI in relation to any opportunities for improvement documented in a BSI Assessment Report. BSI auditors are likely to note any action taken with respect to opportunities for improvement raised in a previous assessment, in order to acknowledge and affirm your organisation's commitment to continual improvement.

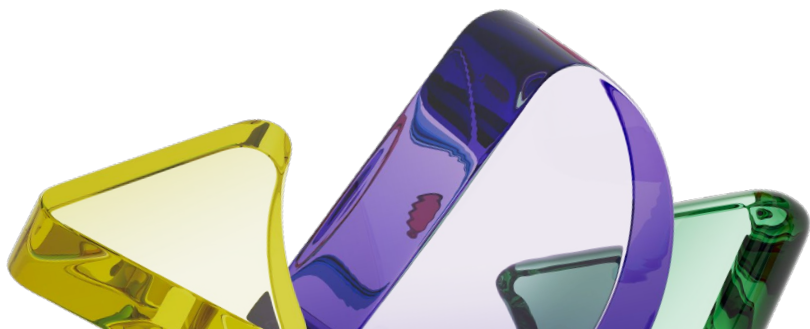
3.5. Certification Decision

Once a certification assessment has been completed, the Audit Plan and Assessment Report are subject to an internal review process prior to certification being granted. This may take several weeks. The aim of the review is to verify the recommendation for certification and make a decision for certification.

The review will require verification and confirmation that any necessary corrective actions have been undertaken.

3.6. Certification documentation

When your organisation has achieved certification, BSI will provide you with a Certificate to verify that your organisation conforms with the requirements of the Standard.



Certificates are issued for five years.

Your certificate will include important information such as your organisation's name, certification number, the standard for which certification has been granted, the scope of certification, the date of certification and the expiry date. The certificate will also display several logos relevant to your certification, including the BSI kitemark logo, the JASANZ logo, the Responsible Wood logo (if appropriate) and the PEFC logo.

The certificate may be accompanied by a schedule of sites and the scope of certification applicable to each site.

The certificate may be displayed wherever you choose, for example on your website where it is available to interested parties.

Should you need to provide a copy of the certificate to another party, it must be provided in its entirety including any schedules.

You are obliged to formally notify BSI of any changes to the information on the certificate such as the business address or ownership. Failure to do so may compromise your organisation's certification status.

BSI provides the certificate in electronic copy via the BSI Connect Portal. BSI also provides a copy of your certificate to Responsible Wood (the Standard Owner). Details of your certificate are provided on the Responsible Wood website and Responsible Wood also provides a copy of your certificate to PEFC. Details regarding your certification status will be published on the Responsible Wood website and the PEFC database.

3.7. Scope of Certification

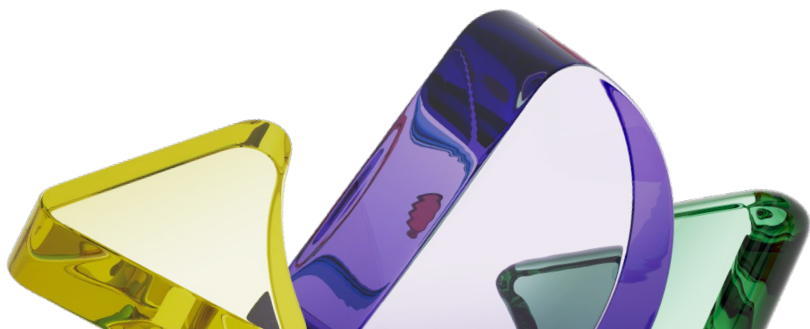
The scope of certification defines the locations and the activities associated with your certificate.

The main scope is generally presented on the front page of the certificate. Where the certificate includes more than one site, the certificate will include a Schedule of sites covered under the certificate. The scope for individual sites may vary from the main scope.

The scope will also include a brief description of your business activities as well as the chain of custody method. Different sites may operate under different methods.

Should there be a change in your business activities, you are required to notify BSI of any change that is relevant to your certification (See section 3.14 Variations to Certification).

If you intend adding new sites or processes to your scope of certification, you must advise BSI. BSI is required to verify that all the requirements of the Standard have been met in



relation to the new sites/activities, prior to the new sites/activities being formally included in the scope of your certificate. This is usually be done at the next scheduled assessment. However, if the additional sites/activities need to be added as a matter of urgency, BSI may need to conduct a special assessment with respect to the new sites/activities, before they can be included in the scope of your certificate.

Clients are obliged to ensure that BSI has been formally briefed in a timely manner when any variations occur. Clients should not wait until the next scheduled assessment to notify BSI. Failure to do so may compromise the organisation's certification status.

3.8. Refusal of Certification/Recognition

In the event that your organization is unable to comply with the requirements of the relevant standard, BSI may refuse to grant certification. The decision to refuse certification, and the grounds for that decision, will be communicated to your organization in writing.

3.9. Surveillance Audits

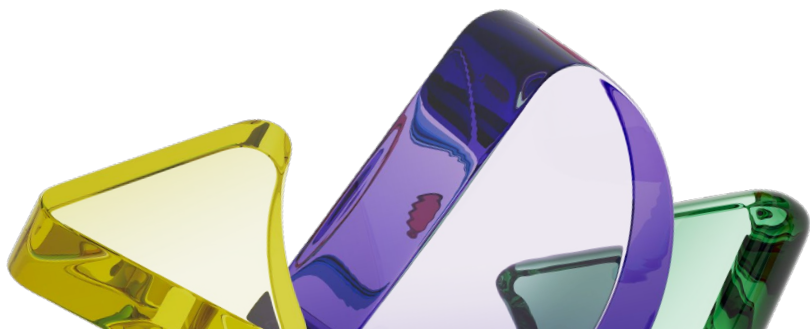
Following initial certification, surveillance audits are conducted at six monthly intervals, until BSI is confident that the system and its processes are well-embedded in the business. After a year or so, BSI will usually relax this to an annual cycle, unless there has been a significant number of non-conformities raised. If you feel that your organisation is ready for annual assessment, this should be discussed with your Client Manager.

Please note that BSI is required to visit your organization annually, generally at 12 monthly intervals (+/- 3 months).

3.10.Re-Assessment Audits

BSI will conduct a reassessment every five years, usually about three or four months prior to the expiry date. For large or multi-site clients, the re-assessment audit may be longer than a surveillance assessment. The duration will be determined in your initial proposal and may be varied according to any changes in your business.

If a reassessment is not conducted prior to expiry of your certificate and a new certificate issued, your certificate will no longer be valid.



3.11.Site Sampling

The CoC scheme rules permit sampling for multi-site clients.

Your proposal will make provision for site sampling and your Client Manager will review and update the sampling plan at each assessment, to account for changes in your business.

3.12.Suspension or Refusal of Certification

When an organization's certification is suspended or refused, the organization shall, for the period of suspension or refusal:

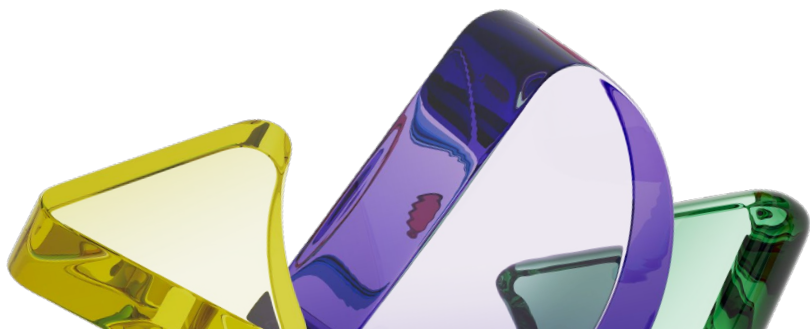
- Withdraw and cease to use any advertising or promotional material that promotes or advertises the fact that the organization is certified
- Ensure that all copies of certificates and scopes of certification are removed from areas of public display and
- Cease to use the certification mark on stationery and other documents including media and packaging that are circulated to existing and potential clients, or in the public domain
- The organization shall advise BSI in writing of action taken with respect to the requirements listed above;
- BSI shall advise the organization in writing of the certification processes that will need to be completed to restore certification; and
- During the period of suspension the organization shall continue to pay all fees levied by BSI.

3.13.Cancellation of Certification

BSI is required to advise Responsible Wood within five (5) working days if a client's certification is suspended or withdrawn, or where there are any changes in decisions relating to the status of certification.

When an organisation's certification is cancelled, the organisation shall immediately:

- Cease any advertising and promotional activities that promote the fact that the organisation holds certification;
- Withdraw and cease to use any advertising and promotional material that promotes the fact that the organisation holds certification;



- Cease to use relevant certification marks in any way to promote the fact that the organisation holds certification; and
- Remove all certificates and pay any outstanding fees.

3.14. Variations to Certification

Your organization is required to advise BSI if there are any significant changes to your organization or changes to the scope of your chain of custody system.

Variations to certification may originate from:

- Variations to the scope of activities or products, e.g. new product groups
- Change of ownership or address
- Change of management
- Change of company name
- Change of ABN etc

BSI will determine if the degree of change is significant to require an additional assessment or if the changes can be assessed at the next schedule audit or if the product requires re-assessment.

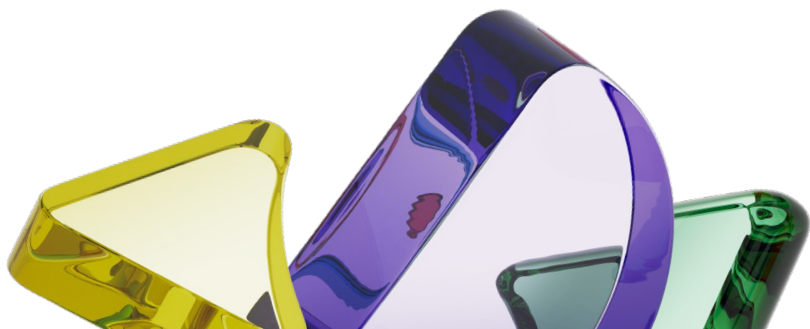
3.15. Reduction in Scope of Certification

When an organization's business activities change, the scope of certification may be reduced. BSI shall issue revised certificates and scopes of certification as appropriate and the certified organization shall:

- Return/remove all superseded certificates
- Ensure that use of the certification mark is adjusted to reflect the reduced scope of certification
- Ensure that all advertising and promotional activities and materials are adjusted to reflect the reduced scope of certification and
- Pay any fees that are applicable for the facilitation of this activity.

4 Use of the BSI Certification Mark

You are entitled to use the appropriate BSI Mark of Trust logo and the JASANZ logo whilst



you maintain certification to this program with BSI.

Use of the logo is subject to Condition and Rules of its application.

5 Use of the JAS-ANZ Accreditation Symbol

Organizations that have been granted certification against AS/NZS 4708 are entitled to use the JASANZ Accreditation Symbol. The rules for the use of this mark are governed by JASANZ. The JASANZ Accreditation Symbol may be used in conjunction with BSI Accreditation marks.

Specifications and Use of the JASANZ Accreditation Symbol are provided [here](#).

6 Use of the Responsible Wood or PEFC Logos

Organizations that are certified to the Chain of Custody Standard/s are eligible to apply to Responsible Wood for a Logo Licence Agreement which permits the use of the Responsible Wood and PEFC Logos. The application forms and fees guide, the rules for use of these logos and the Logo Usage Toolkit are available on the Responsible Wood website.

7 Standard Owner information and Notification Fees

Responsible Wood (RW) is the owner of this Standard. BSI is responsible for reporting information about your organisation to RW from time to time. Please discuss this with your BSI Client Manager or Assessor if you require clarification on these requirements.

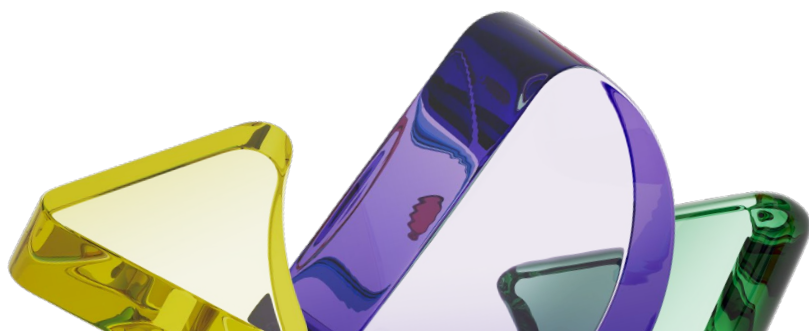
BSI is required to notify RW of any changes in certification (including the issue of new certificates) within 5 business days of any change.

You are also required to provide RW with an annual update confirming your business turnover. This is checked by BSI at each audit.

BSI is required to collect the annual Notification Fee levied by Responsible Wood. The Notification Fee contributes to the cost of running the COC Scheme. It includes the use of the Responsible Wood logos and the PEFC logos.

Please note that you will need to establish a Logo Use Agreement with Responsible Wood prior to the use of the RW or PEFC logos.

The applicable fees are published on the RW website and updated every few years. BSI may charge an administration fee for collecting these fees on behalf of Responsible



Wood.

8 Confidentiality

BSI will treat all information in accordance with the Privacy Amendment (Enhancing Privacy Protection) Act 2012.

9 Additional Obligations

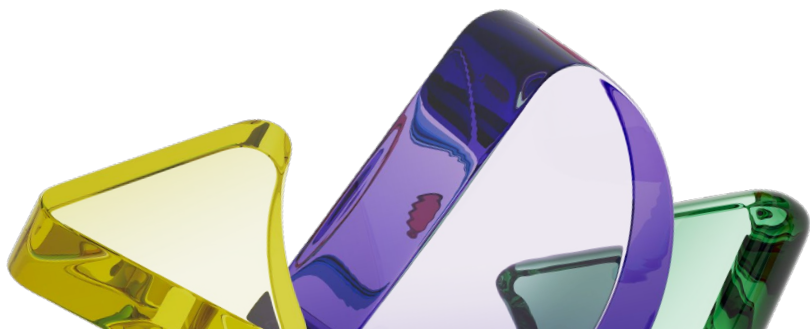
In order to maintain certification, your organisation is responsible for:

- Demonstrating continued conformance with the COC Scheme and Standard;
- Demonstrating compliance with the BSI Standard Commercial Terms and Conditions and obligations as specified in this document as well as other guidance documentation that may be specifically provided from time-to-time;
- Conducting regular internal audit and reviews of your system, with appropriate documentation of such reviews and implementation of any subsequent corrective actions;
- Notifying BSI of any significant changes in the structure (key responsibilities and management system), ownership and operations of your organisation to enable the impact of such changes on the certified ownership system to be evaluated; and
- Notifying BSI of any litigation or serious events or matters that relate to the scope of your certification.
- Notifying BSI of any changes that are made to the sites, scope and activities of your business.
- Notifying BSI of any breach of regulatory requirements relating to the Standard, or any other event that required notification to the regulator within 5 business days.

9.1 Complaints

Your organisation is required to

- a) keep a record of all complaints relating to the requirements of the FMS scheme. These records must be made available to the audit team and BSI when requested. This includes correspondence, recommendations and actions that have been



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requested by RW, other clients, stakeholders, organisation or person to which the complaint relates.

- b) demonstrate that you have taken appropriate action to address these complaints through investigation and correct any deficiencies found. These actions must be documented.
- c) demonstrate that you have taken appropriate action to address these complaints and correct any deficiencies found. These actions must be documented.

9.2 Certification Agreement

Your Organisation is required to meet the requirements of this Certification Agreement (this document). This requires that your organisation remains compliant with the scheme requirements and the conditions of certification at all times.

Your organisation is required to implement appropriate changes as communicated by BSI in a timely manner.

9.3 Assessment Scheduling

Your organisation is required to make all necessary arrangements to allow the evaluation and surveillance activities to take place. This includes but is not limited to providing access to: Locations, Personnel (including Contractors and Sub-contractors) as well as Equipment, and Product.

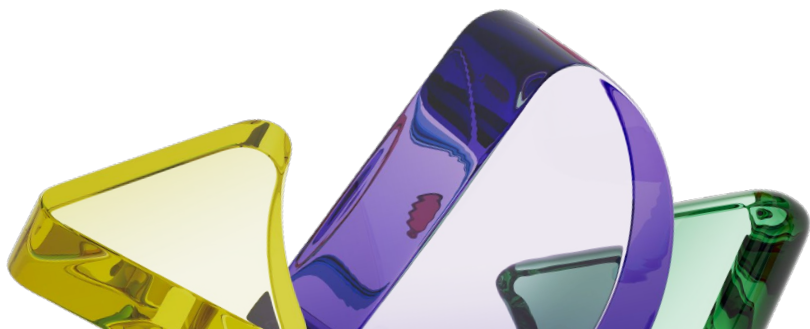
Your Client Manager will be responsible for scheduling each assessment. An Assessment Plan will be developed in consultation with you, prior to each assessment.

Your contract provides details of BSI fees and charges for audit and travel, as well as ancillary costs. BSI will provide you with the opportunity to book and pay for any associated travel and accommodation to reduce costs.

9.4 Misleading Statements

Your organisation is not permitted to use its certification in a manner that could bring the BSI into disrepute. This includes making misleading or unauthorized statements. If you are unsure if a statement could be misleading, you are advised to contact BSI prior to making the statement. Statements include but are not limited to the use of the logo on advertising (including your website) and internal communication.

If your organisation is required to provide copies of its certification documents (i.e. your



certificate) to third parties, these must be reproduced in their entirety. Failure to do so may be misleading to the recipient as to the scope of certification.

9.5 Changes to Circumstances

Your organisation is required to advise BSI of any changes without delay to circumstances that may affect certification. Examples of such changes include but are not limited to;

- Authorised Representative
- Business name (Legal entity) and Trading Name (where applicable), ABN
- Ownership
- Contact details
- Location, site addresses
- Business activity/ies, scope of certification (Products and Processes)
- System Management, Number of employees, covering all shifts and sites (as appropriate)
- Billing Details

9.6 Observers

From time to time, BSI or JASANZ may require an Observer to be in attendance at an audit. This may be related to training of new staff and witness assessment of existing staff. It is a requirement of certification that your organisation allows these activities to occur.

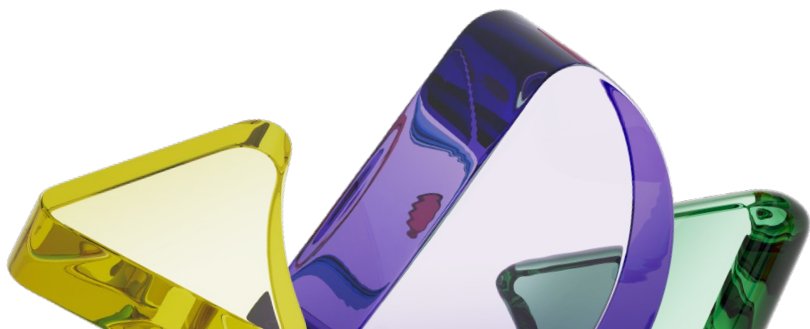
Failure to allow this activity to occur may result in cancellation of your certification.

BSI will, at all times, ensure that the use of observers is kept to a minimum and your organisation will be advised prior to the assessment activity.

The Observer does not take an active part in an assessment.

10. Complaints and Appeals

To raise a complaint or appeal against the service delivery by BSI or audit outcome, please notify technical.anz@bsigroup.com





Revision history

Revision No	Date	Author	Approved By	Changes
4	February 2025	Ross Garsden	Craig Miller	Complete review

