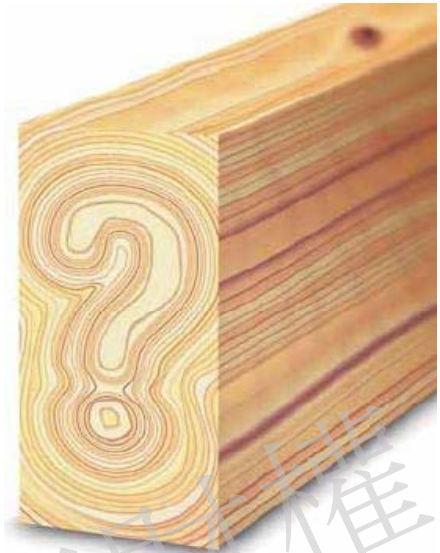


綠色產品產銷監管鏈驗證改版重點說明 (FSC™ COC- Chain of Custody)

Ray Huang 黃炳龍
SGS驗證及企業優化市業群
產品經理
2017/09/27-28



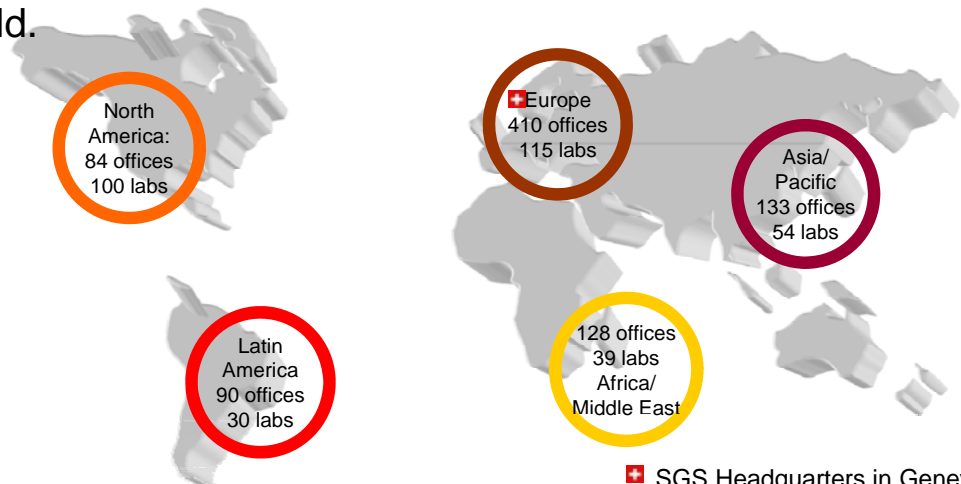
WHEN YOU NEED TO BE SURE

SGS

SGS | SGS Profile

Originally founded in 1878 in Rouen as a French grain shipment inspection house, **SGS** is today the **world's leading** inspection, verification, testing and certification company.

With more than **80,000 employees**, SGS operates a network of over **1,460 offices** and **laboratories** around the world.



SGS Headquarters in Geneva

- SGS 至今在全球已經超過6000張FSC及1032張PEFC證書，台灣已超過200張FSC/COC證書(FSC網站資訊，SGS台灣市佔率約60%)
- 在FM森林管理驗證,到目前為止已經超過254張證書，SGS台灣現已著手引進FM驗證中！
- 我們全球已經有超過200位COC稽核員及35位FM稽核員.(台灣目前有五位專職COC稽核員)



SGS在這快速變化的市場提供客戶更彈性,多種標準驗證的整合性解決方案

何謂『監管鏈(CoC)』驗證？

監管鏈(CoC)驗證是來自於『**獨立的**』、『**有資格的**』及『**可信任的**』**機構及專家**，透過申請機構(公司)『**書面審查**』及『**現場稽核**』來證明申請機構(公司)之：

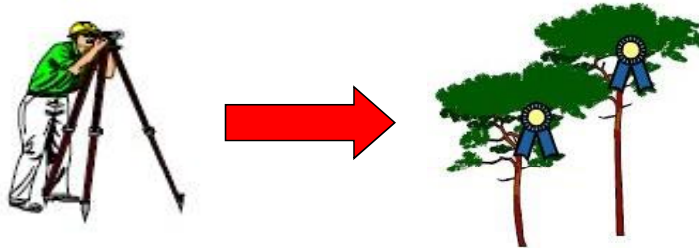
1. 森林來源原料取得、使用、庫存...等帳目管理。
2. 原料及產品之追溯流程。
3. 申請機構(公司)之營運管理流程。

以證明申請機構(公司)之全部流程，完全符合驗證標準之條件。

- 現行的法律機制在克服這些新的趨勢上做得不足
- 取得經濟、社會、生態上的共識及平衡
- 由公正的第三單位設立規範(如FSC、PEFC)及驗證(如SGS)
- 提供消費者在品牌之外，另一個可以辨識的商標，大家一起做環保
- 幫助減緩森林的破壞及地球的暖化，為地球及下一代盡一份心力

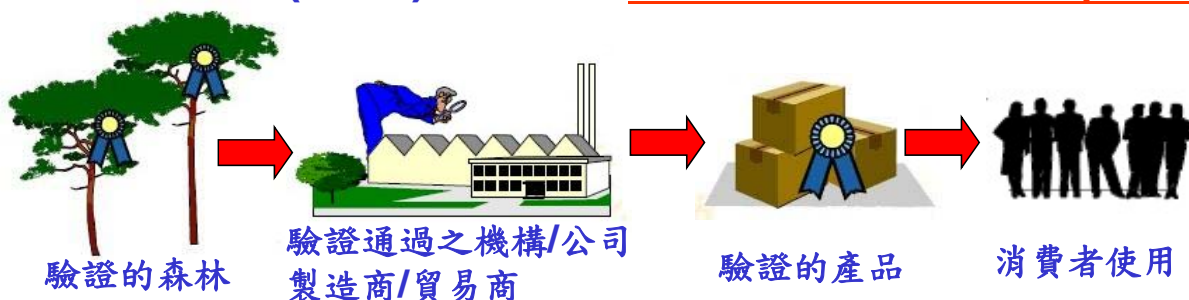


1. 森林管理(FM)驗證目的 確保森林管理之品質



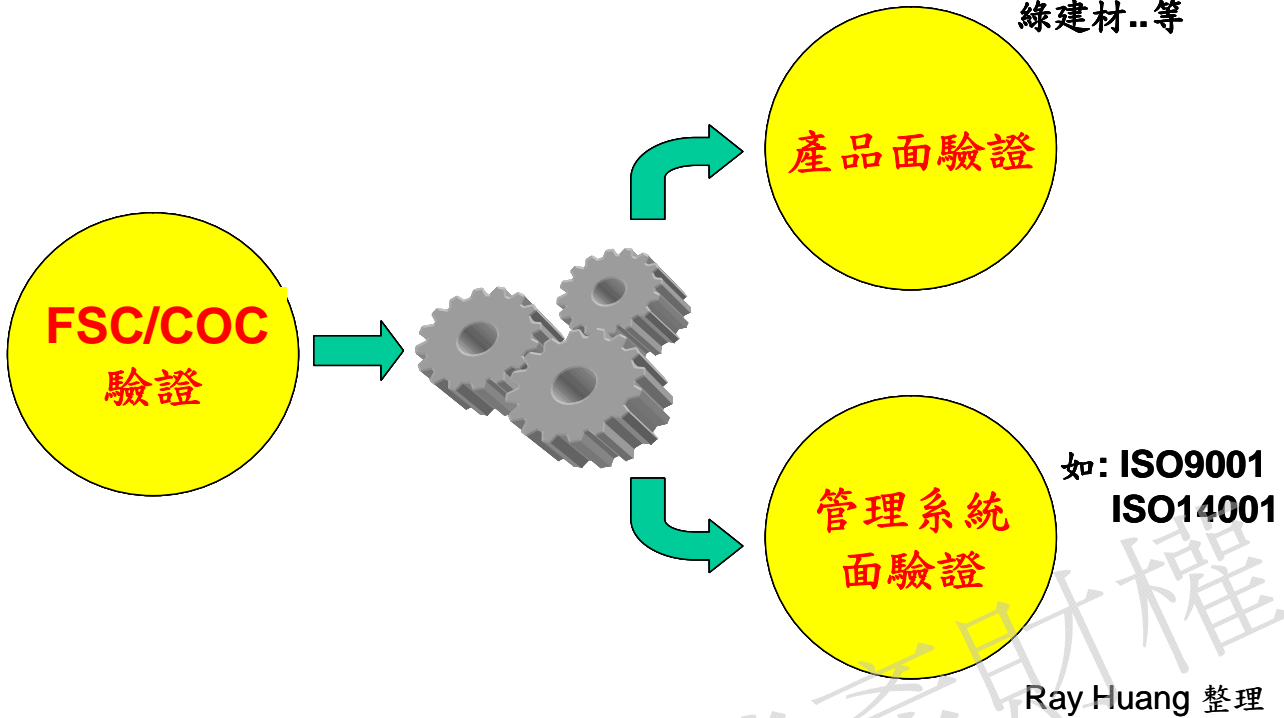
FSC/PEFC驗證機構-如：SGS 驗證森林-天然森林/人工種植林

2. 產銷監管鏈(COC)驗證目的 確保原物料之原產地(來源)



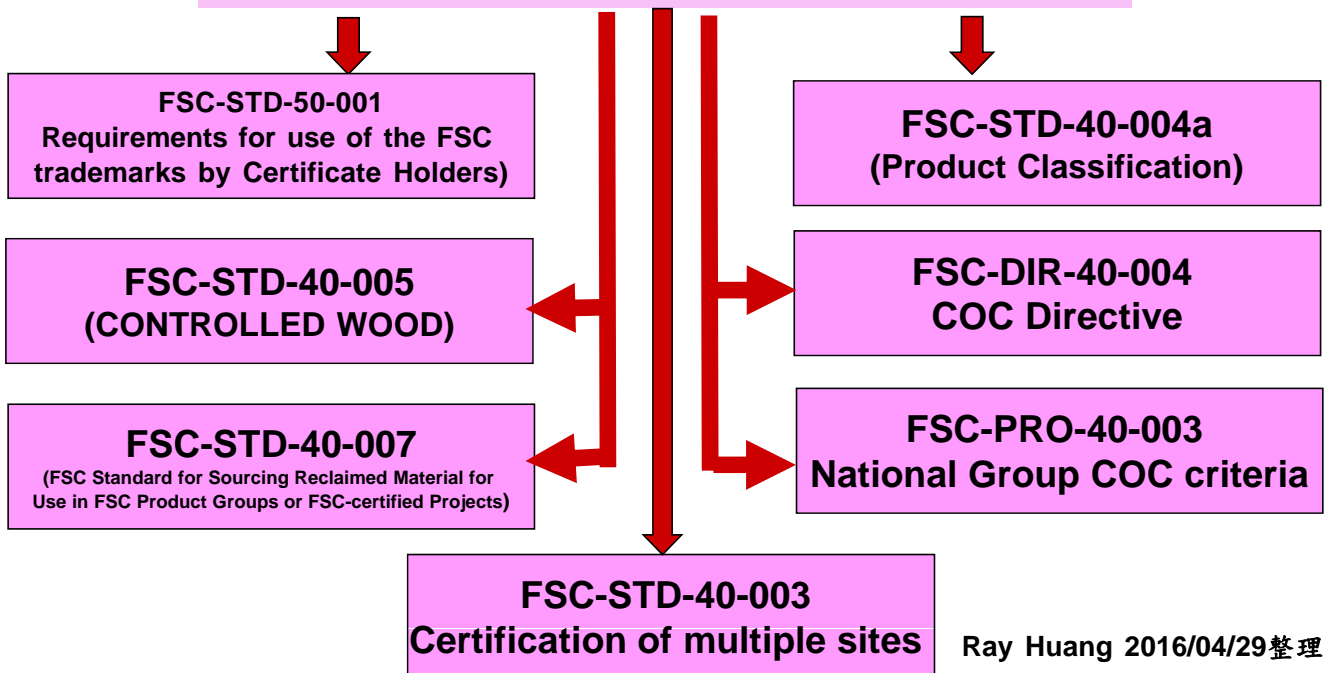
監管鏈(CoC)：追溯和記錄木材和纖維來源之材料所有權與轉換的過程，從驗證森林經過不同的生產與轉換階段- 主要製造商，次要製造商，貿易商和零售商或終端用戶。

如：電子產品安規驗證
綠建材..等



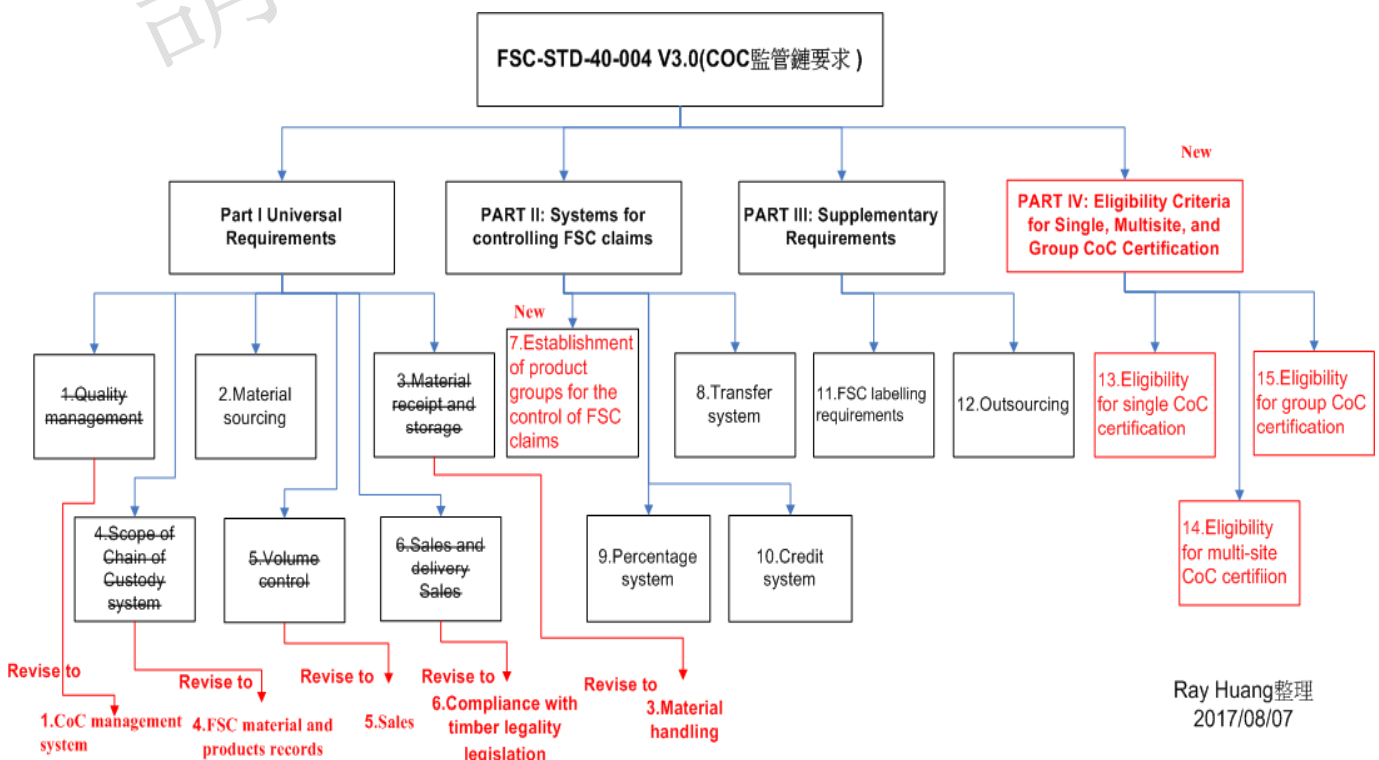
FSC/COC 產銷監管鏈(COC) 標準之基本依據

FSC-STD-40-004(COC監管鏈要求)



Ray Huang 2016/04/29整理

- FSC-STD-40-004 V3.0 (已公布)
- FSC-STD-50-001 V2.0 (Draft 2)
- FSC-STD-40-005 V3.0 (已公布)
- FSC-STD-40-007 V2.1 (已公布)



為何需要申請FSC/COC驗證範圍內 (FSC-STD-40-004 V3定義)?

Box 1. To whom does FSC CoC certification apply?

For a product to be claimed as FSC certified, there must be an unbroken chain of organizations independently certified by FSC-accredited certification bodies covering every change in legal ownership of the product from the certified forest or point of reclamation up to the organization selling it with an FSC claim on sales documents and/or to the point where the product is finished and FSC labelled. CoC certification is therefore required for all organizations in the supply chain of forest-based products that have legal ownership of certified products and perform at least one of the following activities:

- a. sell FSC-certified products with FSC claims on sales documents;
- b. label products as FSC certified;
- c. manufacture or change the composition (e.g. mixing or adding forest-based materials to the product) or physical integrity (e.g. re-packaging, re-labelling) of products sold with FSC claims;
- d. promote FSC-certified products, except finished and FSC-labelled products that may be promoted by non-certificate holders (e.g. retailers) in accordance with FSC-STD-50-002 Requirements for Promotional Use of the FSC Trademarks by Non-Certificate Holders.

NOTE: FSC claims are required in cases where subsequent customers want to use the FSC-certified products as input for the manufacturing of other certified products and/or for resale as FSC certified.

CoC certification is not required for organizations providing services to certified organizations without taking legal ownership of the certified products, including:

- a. agents and auction houses arranging the trade of certified products between buyer and seller;
- b. providers of logistics services, transporting and/or temporarily storing or warehousing certified products without changing their composition or physical integrity;
- c. contractors operating under an outsourcing agreement in accordance with Section 12 of this standard.

何種產品/原料FSC/COC驗證 (FSC-STD-40-004 V3定義)?

Box 2. Which components of a product need to be certified?

All forest-based components that have a functional purpose in the product shall conform to CoC control requirements. A component has a functional purpose if the product's function is compromised by the removal of the component. Forest-based components with secondary functions (e.g. for transportation, protection, or dispensing) may be exempt from CoC control requirements.

NOTE: Packaging that is made from forest-based inputs (e.g. paper or wood) is considered a separate element from the product inside. Therefore, the organization may opt to have either the packaging or its contents certified, or both.

1.1 CoC management system

The organization shall implement and maintain a CoC management system adequate to its size and complexity to ensure its continuous conformity to all applicable certification requirements, including the following:

- a. **appoint a management representative** who has overall responsibility and authority for the organization's conformity to all applicable certification requirements;
- b. **implement and maintain up-to-date documented procedures** covering the certification requirements applicable to the scope of the certificate;
- c. define the key personnel responsible for the implementation of each procedure;
- d. **train staff on the up-to-date version of the organization's procedures** to ensure their competence in implementing the CoC management system;
- e. maintain complete and up-to-date records of the documents that are relevant to demonstrate the organization's conformity with all applicable certification requirements which shall be retained for **a minimum period of five (5) years**. At a minimum, the organization shall keep records of the following documents as applicable to the certificate scope: procedures, product group lists; training records; purchase and sales documents; material accounting records; annual volume summaries; trademark approvals; records of suppliers, complaints, and outsourcing; control of non-conforming products; verification program records for reclaimed material, and records related to a due diligence program for controlled material and FSC Controlled Wood.

1.2 The organization shall **apply the eligibility** criteria specified in Part IV to define its eligibility **for single, multisite, or group CoC certification**.

1.3 The organization shall commit to the FSC values as defined in FSC-POL-01-004 by signing a self-declaration that the organization is not directly or indirectly involved in the following activities:

- a. illegal logging or the trade in illegal wood or forest products;
- b. violation of traditional and human rights in forestry operations;
- c. destruction of high conservation values in forestry operations;
- d. significant conversion of forests to plantations or non-forest use;
- e. introduction of genetically modified organisms in forestry operations;
- f. violation of any of the ILO Core Conventions, as defined in the ILO Declaration on Fundamental Principles and Rights at Work, 1998.

NOTE: This clause will be modified once FSC concludes the revision process of its Policy for Association.

1.4 The organization shall commit to occupational health and safety (OHAS). At a minimum, the organization shall appoint an OHAS representative, establish and implement procedures adequate to its size and complexity, and train its staff on OHAS.

NOTE: Other certifications and enforcement of local legislation on OHAS that cover the elements required in Clause 1.4 may be used as evidence of conformity to this requirement (i.e. the organization may be considered as automatically meeting Clause 1.4.).

1.5 The organization shall ensure **that complaints received** regarding the organization's conformity to the requirements applicable to the scope of the organization's CoC certificate are adequately considered, including the following:

- a. acknowledge receipt of the complaint to **the complainant within two (2) weeks of receiving the complaint**;
- b. investigate the complaint and specify its proposed actions **in response to the complaint within three (3) months**. If more time is needed to complete the investigation, the complainant and the organization's certification body shall be notified;
- c. take appropriate actions with respect to complaints and any deficiencies found in processes that affect conformity to the certification requirements;
- d. notify the complainant and the organization's certification body when the complaint is considered to be successfully addressed and closed.

1.6 The organization shall have procedures in place to ensure **that any non-conforming products** are identified and controlled to prevent their unintended sale and delivery with FSC claims. Where non-conforming products are detected after they have been delivered, the organization shall undertake the following activities:

- a. notify its certification body and all affected direct customers in writing within five business days of the non-conforming product identification, and maintain records of that notice;
- b. analyse causes for occurrence of non-conforming products, and implement measures to prevent their reoccurrence;
- c. cooperate with its certification body in order to allow the certification body to confirm that appropriate actions were taken to correct the non-conformity.

1.6 The organization shall support transaction verification conducted by its certification body and Accreditation Services International (ASI), by providing samples of FSC transaction data as requested by the certification body.

2. Material sourcing

- 2.1 The organization **shall maintain up-to-date information** about all suppliers who are supplying materials used for **FSC product groups, including names, certification code (if applicable), and materials supplied**.
- 2.2 In order to confirm any changes that might affect the availability and authenticity of the supplied products, the organization shall regularly verify the validity and product groups scope of the certificates of their active FSC-certified suppliers through the FSC certificate database (info. fsc.org).

NOTE: Other FSC platforms synchronized with the FSC certificate database (i.e. the trademark portal and the OCP) may support the organization's conformity to this requirement by sending automatic notifications to the organization in the case of a change in the certificate scope of its suppliers.

2.3 The organization shall have **procedures** in place to check the supplier's sale and/or delivery documentation to confirm that:

- a. **the supplied material type and quantities are in conformity to the supplied documentation**;
- b. **the FSC claim is specified**;
- c. **the supplier's FSC Chain of Custody or FSC Controlled Wood code is quoted for material supplied with FSC claims**.

2.4 The organization shall ensure that only eligible inputs and the correct material categories are used in FSC product groups as defined in Table B.

FSC output claim specified for the product group	Eligible inputs
FSC 100%	FSC 100%
FSC Mix x% / FSC Mix Credit	FSC 100%, FSC Mix x%, FSC Mix Credit, FSC Recycled x%, FSC Recycled Credit, controlled material, FSC Controlled Wood, pre-consumer reclaimed, post-consumer reclaimed.
FSC Recycled x% / FSC Recycled Credit	FSC Recycled x%, FSC Recycled Credit, pre-consumer reclaimed, post-consumer reclaimed.
FSC Controlled Wood	FSC 100%, FSC Mix x%, FSC Mix Credit, controlled material, FSC Controlled Wood.

- 2.5 Organizations sourcing non-FSC-certified reclaimed material for use in FSC product groups shall conform to the requirements of FSC-STD-40-007.
- 2.6 Organizations sourcing non-FSC-certified virgin material for use in FSC product groups as controlled material shall conform to the requirements of FSC-STD-40-005.
- 2.7 Organizations that reclaim materials from primary or secondary processing at their own site may classify the material as the same or lower material category as the input from which it was derived. Materials reclaimed from secondary processing may also be classified by the organization as pre-consumer reclaimed material, except materials that are discarded by a manufacturing process but that can be reused on site by being incorporated back into the same manufacturing process that generated it.
- 2.8 The organization may classify material held in stock at the time of the main evaluation by the certification body and material received between the date of the main evaluation and the issue date of the organization's CoC certificate as eligible input, provided that the organization is able to demonstrate to the certification body that the materials meet the FSC material sourcing requirements.

3. Material handling

3.1 In cases where there is risk of non-eligible inputs entering FSC product groups, the organization shall implement one or more of the following **segregation methods**:

- a. **physical separation of materials;**
- b. **temporal separation of materials;**
- c. **identification of materials.**

4. FSC material and products records

4.1 For each **product group or job order**, the organization shall identify the **main processing steps involving a change of material volume or weight and specify the conversion factor(s) for each processing step or, if not feasible, for the total processing steps**. The organization shall have a **consistent methodology for calculating conversion factor(s) and shall keep them up to date**.

NOTE: Organizations that produce custom manufactured products are not required to specify conversion factors before manufacturing, but they shall maintain production records that enable conversion factors to be calculated.

4.2 The organization shall maintain up-to-date material accounting records (e.g. spreadsheets, production control software) of materials and products in the scope of the FSC certificate, including:

- a. **inputs: purchase document number, date, quantities, and material category including the percentage or credit claim (if applicable);**
- b. **outputs: sales document number, date, product description, quantities, FSC claim, and applicable claim period or job order;**
- c. **FSC percentage calculations and FSC credit accounts.**

4.3 Organizations that are certified to FSC and other forestry certification schemes and that have inputs and outputs that simultaneously carry claims from these schemes shall demonstrate that the quantities of products are not inappropriately counted multiple times.

NOTE: This can be done by establishing a single accounting record for these materials which clearly identifies the quantities of materials and products and the respective certification claim(s) applied to outputs. When this is not possible, the organization should enable the certification body's assessment of this requirement by other means.

4.4 The organization shall prepare reports of annual volume summaries (in the measurement unit commonly used by the organization), covering the period since the previous reporting period, demonstrating that the quantities of output products sold with FSC claims are compatible with the quantities of inputs, any existing inventory, their associated output claims, and the conversion factor(s) by product group.

NOTE: Organizations that make custom manufactured products (e.g. woodworkers, building contractors, construction companies) may present the annual FSC summary reports as an overview of the job orders or construction projects instead of by product group.

5. Sales

- 5.1 The organization shall ensure that **sales documents (physical or electronic)** issued for products sold with FSC claims include the following information:
- a. name and contact details of the organization;
 - b. information to identify the customer, such as name and address of the customer (except for sales to end consumers);
 - c. date when the document was issued;
 - d. product name or description;
 - e. quantity of products sold;
 - f. the organization's FSC certificate code associated to FSC-certified products and/ or FSC Controlled Wood code associated to FSC Controlled Wood products;
 - g. a clear indication of the FSC claim for each product item or the total products as specified in Table C.

FSC output claim specified for the product group	FSC control system		
	Transfer system	Percentage system	Credit system
FSC 100%	√	N/A	N/A
FSC Mix x%	√	√	N/A
FSC Recycled x%	√	√	N/A
FSC Mix Credit	√	N/A	√
FSC Recycled Credit	√	N/A	√
FSC Controlled Wood	√	(see Clause 9.9)	(see Clause 10.10)

Ps: 條文5.2~5.8 為細部定義5.1之規定！

5.9 The organization may opt to **downgrade an FSC output claim** as presented in Figure A. The FSC label shall correspond to the FSC claim made on sales documents, except in the case of retailers selling finished and labelled products to end-consumers.

NOTE: Products that are **100% made of reclaimed materials can only be claimed as FSC Recycled.**

Figure A. Rules for downgrading FSC output claims



6. Compliance with timber legality legislation

6.1 The organization shall ensure that its FSC-certified products conform to all applicable timber legality legislation. At a minimum, the organization shall:

- a. have **procedures** in place to ensure the import and/or export of FSC-certified products by the organization conform to all applicable trade and customs laws¹ (if the organization exports and/or imports FSC products);
- b. upon request, collect and provide information on **species (common and scientific name)** and **country of harvest (or more specific location details if required by legislation)** to direct customers and/or any FSC-certified organizations further down the supply chain that need this information to comply with timber legality legislation. The form and frequency of providing this information may be agreed upon between the organization and the requester;

NOTE: If the organization does not possess the requested information on species and country of origin, the request shall be passed on to the upstream suppliers until the information can be obtained.

- c. ensure that FSC-certified products **containing pre-consumer reclaimed wood (except reclaimed paper)** being sold to companies located in countries where timber legality legislation applies either:
 - i. only include pre-consumer reclaimed wood materials that conform to FSC Controlled Wood requirements in accordance with FSC-STD-40-005; or
 - ii. inform their customers about the presence of pre-consumer reclaimed wood in the product and support their due diligence system as required by applicable timber legality legislation.

NOTE: Organizations applying option c (i) above may apply the requirements for co-products outlined in FSC-STD-40-005.

c

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國際主要木材合法性法案

法案	美國(Lacey Act.) 雷斯法案修正案	歐盟 (EUTR) 木材法案	澳大利亞(AILPA) 禁止非法砍伐法案
生效時間	2008年5月22日。	2013年3月3日。	2012年11月。
適用對象	所有供應鏈上的 營運廠商。	所有率先輸入歐盟 市場的營運商以及 貿易商。	國內進口商與 加工商。
合法性評估系統	盡責調查(DDS)， 不強制執行。	盡責調查(DDS)， 強制執行。	盡責調查(DDS)， 強制執行。

參照: 瀕臨絕種野生動植物國際貿易公約(Convention on International Trade in Endangered Species of Wild Fauna and Flora, CITES)

資料來源: 行政院農業委員會, 資料整理: 尚嫻企管黃顧問

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NOTE: Examples on the application of the product group and FSC control system requirements are provided in Annexes A and B, respectively.

7. Establishment of product groups for the control of FSC claims

7.1 The organization shall establish product groups for the purpose of controlling FSC output claims and labelling. Product groups shall be formed by one or more output products that:

- a. belong to the same product type in accordance with FSC-STD-40-004a;
- b. are controlled according to the same FSC control system.

7.2 The following additional conditions apply for the establishment of product groups under the percentage and/or credit system:

- a. all products shall have the same conversion factor. If not, they may still be grouped under the same product group, but the applicable conversion factors shall be applied to the corresponding products for the calculation of the amount of output products that can be sold with FSC percentage or FSC credit claims;
- b. all products shall be made of the same input material (e.g. pine lumber) or same combination of input materials (e.g. a product group of veneered particle boards, where all products are made of a combination of particle board and veneer of equivalent species).

NOTE: An input material and/or species of wood of a product group may be substituted by another material and/or species provided that they are equivalent. Variations of material or product dimension or shape are accepted within the same product group. Different types of wood pulp are considered as equivalent input materials.

7.3 The organization shall maintain an up-to-date list of product groups specifying for each:

- a. the product type(s) of the output products in accordance with FSC-STD-40-004a;
- b. the applicable FSC claims for the outputs. The organization may also indicate products that are eligible to carry the FSC Small and Community Label if the organization wants this information to be public in the FSC certificate database;
- c. the species (including scientific and common names), where the species information designates the product characteristics.

8. Transfer system

Table D. Possible combinations of FSC input claims and resulting output claims when applying the transfer system

Inputs	FSC 100%	FSC Mix Credit	FSC Mix x%	FSC Recycled Credit	FSC Recycled x%	Pre-cons. reclaimed paper	Post-cons. reclaimed wood and paper	FSC Controlled Wood
FSC 100%	FSC 100%			FSC Mix Credit		FSC Mix 100%		
FSC Mix Credit		FSC Mix Credit				FSC Mix Credit		FSC Controlled Wood
FSC Mix x%			FSC Mix x%					
FSC Recycled Credit		FSC Mix Credit		FSC Recycled Credit		FSC Recycled Credit		
FSC Recycled x%					FSC Recycled x%			
Pre-cons. reclaimed paper								No FSC claims allowed
Post-cons. reclaimed wood and paper	FSC Mix 100%	FSC Mix Credit		FSC Recycled Credit		FSC Recycled 100%		
FSC Controlled Wood		FSC Controlled Wood			No FSC claims allowed			FSC Controlled Wood

9. Percentage system

The organization shall calculate and record the FSC% for each claim period or job order by using the following formula:

$$FSC\% = \frac{QC}{QT} \times 100$$

FSC% = FSC percentage

QC = Quantity of claim-contributing inputs

QT = Total quantity of forest-based inputs

Percentage system

Example C: Product groups with a combination of two or more input materials of different material categories.



The FSC claim for the output is calculated as follows:

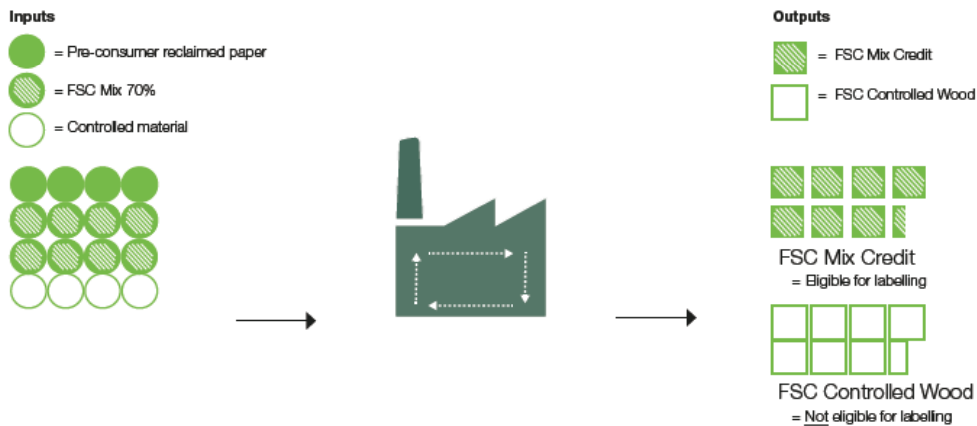
$$\left. \begin{array}{l} 4 \text{ units of FSC 100\% input} \\ 8 \text{ units of FSC Mix 70\% input} \\ 4 \text{ units of controlled material} \end{array} \right\} \frac{(4 \times 1) + (8 \times 0.7) + (4 \times 0)}{4 + 8 + 4} \times 100\% = \frac{4 + 5.6 + 0}{16} \times 100\% = 60\%$$

FSC output claim determination: In the scenario above, the combination of three different types of virgin material (FSC 100%, FSC Mix 70% and FSC Controlled Wood) input result in an FSC Mix claim for the outputs (see definition of FSC Mix).

10. Credit system

Credit system

Example E: Product groups with a combination of two or more input materials of different material categories.



The number of *output* units which can be sold with an 'FSC Mix Credit' claim is calculated as follows:

$$\left. \begin{array}{l} 4 \text{ units of pre-consumer reclaimed paper input} \\ 8 \text{ units of FSC Mix 70\% input} \\ 4 \text{ units of controlled material} \end{array} \right\} (4 \times 1) + (8 \times 0.7) + (4 \times 0) = 4 + 5.6 = \mathbf{9.6 \text{ units of FSC Mix Credit}}$$

The remainder of **6.4 units** can be sold as 'FSC Controlled Wood'.

FSC output claim determination: In the scenario above, the combination of reclaimed material (pre-consumer reclaimed paper) and virgin material (FSC Mix 70% and FSC Controlled Wood) result in an FSC Mix claim for the outputs (see definition of FSC Mix).

11. FSC labelling requirements

11.1 The organization may apply the FSC label on FSC-certified products following the requirements specified in FSC-STD-50-001. The type of FSC label shall always correspond to the FSC claim made on sales documents, as specified in Table E.

Table E. FSC claims and corresponding FSC labels

FSC claims for the outputs	FSC label
FSC 100%	FSC 100%
FSC Mix percentage of at least 70%	FSC Mix
FSC Mix Credit	FSC Mix
FSC Recycled wood - percentage of at least 70% post-consumer reclaimed	FSC Recycled
FSC Recycled paper - no threshold applies	FSC Recycled
FSC Recycled Credit	FSC Recycled

12.1 The organization may outsource activities within the scope of its certificate to FSC-CoC-certified and/or non-FSC-CoC-certified contractors.

NOTE: The organization's outsourcing arrangements are subject to a risk analysis by the certification body and sampling for on-site audit purposes.

12.2 Activities that are subject to outsourcing agreements are those that are included in the scope of the organization's CoC certificate, such as purchase, processing, storage, labelling and invoicing of products.

NOTE: Storage sites are exempt from outsourcing agreements where they constitute stopping places as part of transportation or logistic activities. However, if an organization contracts a service provider to store goods that have not yet been sold to a customer, this is considered as an extension of the storage site of the organization and therefore subject to an outsourcing agreement.

12.3 Prior to outsourcing activities to a new contractor, the organization shall inform its certification body about the outsourced activity, name, and contact details of the contractor.

12.4 The organization shall establish an outsourcing agreement with each non-FSC-certified contractor, specifying at minimum that the contractor shall:

- a. conform to all applicable certification requirements and the organization's procedures related to the outsourced activity;
- b. not make unauthorized use of the FSC trademarks (e.g. on the contractor's products or website);
- c. not further outsource any processing;
- d. accept the right of the organization's certification body to audit the contractor;
- e. notify the organization within the period of 10 business days if the contractor is included in the list of organizations that are disassociated from FSC, in accordance with the FSC-POL-01-004, and therefore subsequently ineligible to provide outsourcing services to FSC-certified organizations.

12.5 The organization shall provide documented procedures to its contractor(s) that ensure the following:

- a. the material under the contractor's responsibility shall not be mixed or contaminated with any other material during the outsourced activity;
- b. the contractor shall keep records of inputs, outputs, and delivery documentation associated with all material covered by the outsourcing agreement;
- c. if the contractor applies the FSC label to the product on behalf of the organization, the contractor shall only label the eligible products produced under the outsourcing agreement.

12.6 The organization shall maintain legal ownership of all materials during outsourcing.

NOTE: Organizations are not required to re-take physical possession of the products following outsourcing (e.g. products may be shipped directly from the contractor to the organization's customer).

12.7 The organization shall identify the invoices of materials sent for outsourcing following the requirements specified in Clause 5.1. Contractors are not required to identify the invoices of materials after outsourcing.

12.8 The organization may act as an FSC-certified contractor providing services to other contracting organizations. In this case, the organization shall include the outsourcing services under the scope of its FSC certificate ensuring that all applicable certification requirements are met.

12.9 When the organization provides FSC-certified outsourcing services to non-FSC-certified contracting organizations, it is acceptable that the contracting organization buys the raw material for the outsourced processes. To ensure that the CoC is not broken, the material shall be transported directly from an FSC-certified supplier to the organization (i.e. the non-certified contracting organization shall not take physical possession of the materials before outsourcing).

PART IV: Eligibility Criteria for Single, Multisite, and Group CoC Certification

Comparison between Single, Multi-site and Group CoC requirements.

Item	Single	Multi-site	Group
All sites shall operate under a common ownership structure	Yes	Not necessarily. Common ownership is required in the scenario specified in Clause 14.1 a)	No
Sites can sell FSC certified products independently	No. Only one site under the scope of the certificate is allowed to invoice FSC products to customers	Yes	Yes
All sites shall be located in the same country	Yes	No	Yes
The organization shall establish a Central Office for the certificate administration and internal monitoring	No	Yes	Yes
The certification body can apply sampling methods for the selection of sites for evaluation	No. All sites under the scope of the certificate shall be annually audited by the certification body	Yes	Yes
Certificate growth	The inclusion of new sites under the scope of the certificate requires audit by the certification body.	The organization may add new sites to the certificate scope at any time, within the growth limits established by the certification body	The organization may add new sites to the certificate scope at any time, within the growth limits established by the certification body

FSC-STD-50-001 V2.0 主要改版內容簡述

FSC-STD-50-001 V2-0 – On product Logo No change, Off product ahs change.



The mark of responsible forestry



(a) FSC logo



FSC® C#####

Forest For All Forever
or
Forest/product-related messaging

(b) Forest For All Forever – full



FSC® C#####

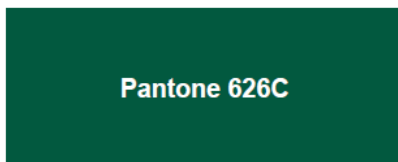
Reference to product promoted and/or forest-related messaging

(c) Forest For All Forever – logo and text



FSC® C#####

Reference to product promoted and/or forest-related messaging



2.4. The green colors for reproduction in print shall be

- a) Dark green: Pantone 626C
- b) Light green: Pantone 368C

2.5. The green colors for reproduction on screen shall be

- a) Dark green: R0 G92 B66
- b) Light green: R114 G191 B66

Reiterating the Chain of Custody Basics

- **Chain of Custody** involves three basic processes: 監管鏈具備個3基本過程:

- **Procurement** of certified materials – including verification of appropriate sources of supply and record-keeping to ensure traceability.

驗證原料的採購—包括供應來源之適當驗證及確保追溯性之紀錄保存

- **Processing and handling** of certified materials – including storage, sorting, grading, manufacturing, and conversion.

驗證原料之加工及管理—包括儲存/分類/分等/製造及其使用率.

- **Sales** of certified goods – including proper record-keeping and documentation of product claims to customers.

驗證產品的銷售—包括產品運送至客戶處之適當紀錄及相關文件

- **Logos** are important to determining the traceability of a product. 商標是用來追溯產品的重要依據

如何參與以獲得COC驗證呢?

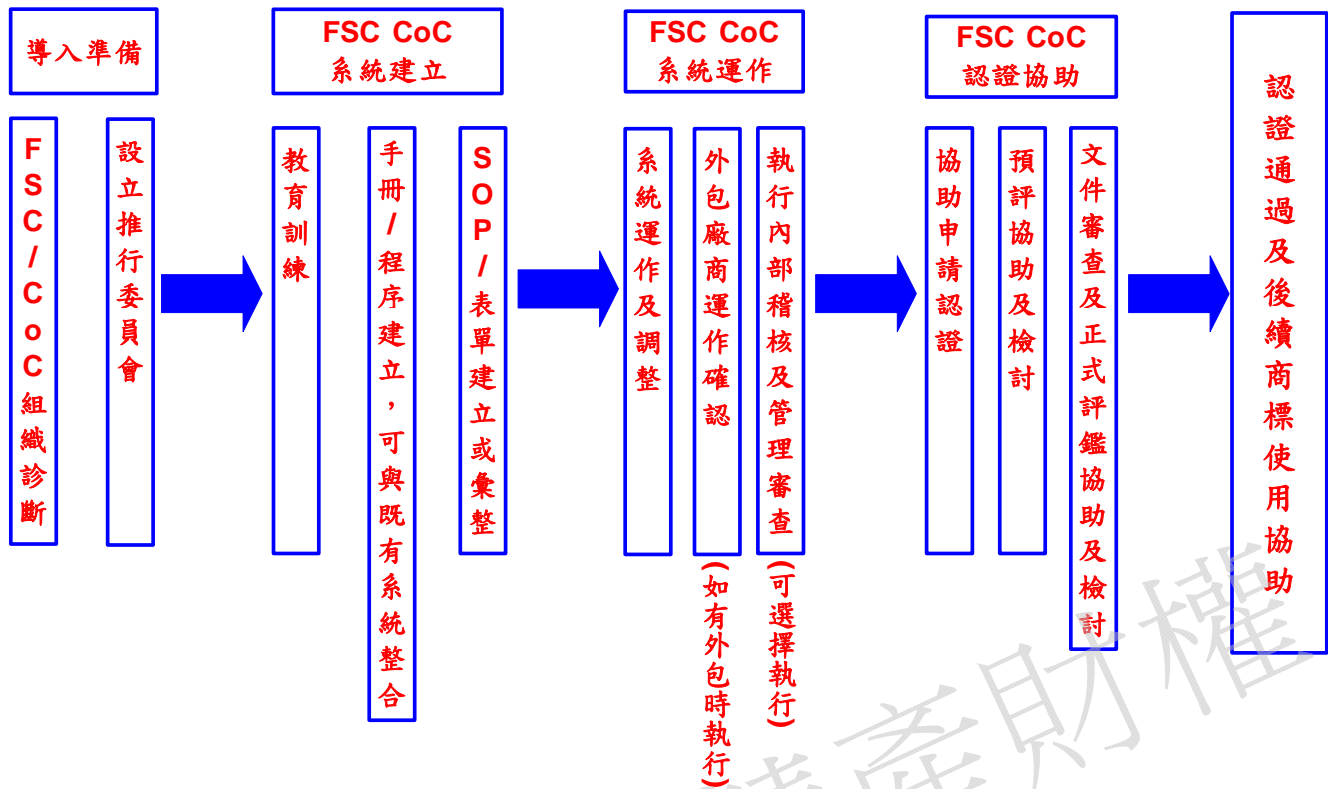
- 對大部分公司來說,COC驗證是一個簡單的流程,它只需短時間建立並很容易管理;如具有ISO9001驗證更佳

- 這個流程的核心是基本的採購、生產、銷售及倉存管理—在大部分的例子中主要在執行相關其平常的標準作業規範,再依據標準的需求作部份修改就足夠

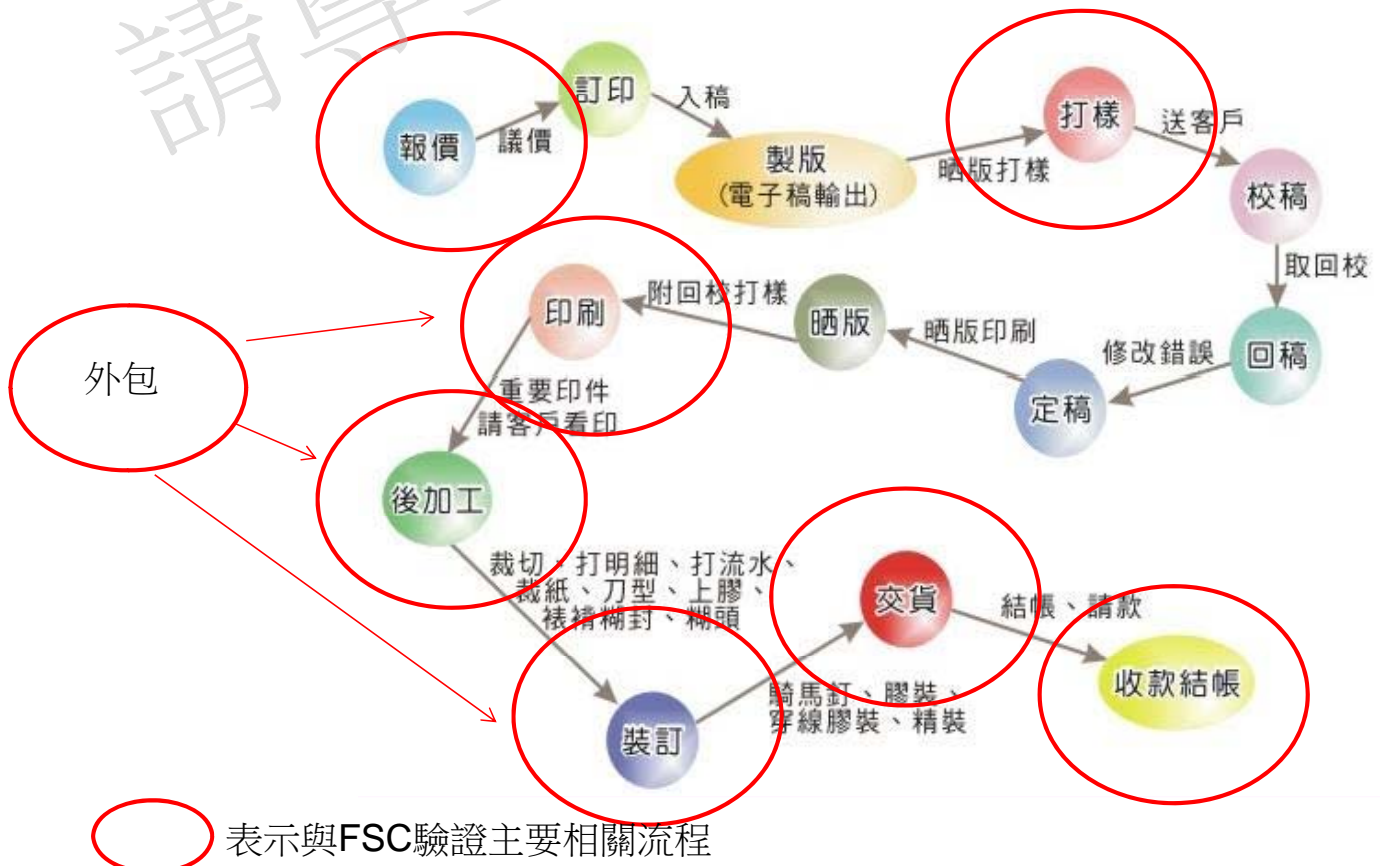
- 對一些已經具備正式操作程序的大公司來說—COC的推動通常只需對已經存在的程序做一些輕微的調整,及加上相關人員的訓練就可以了

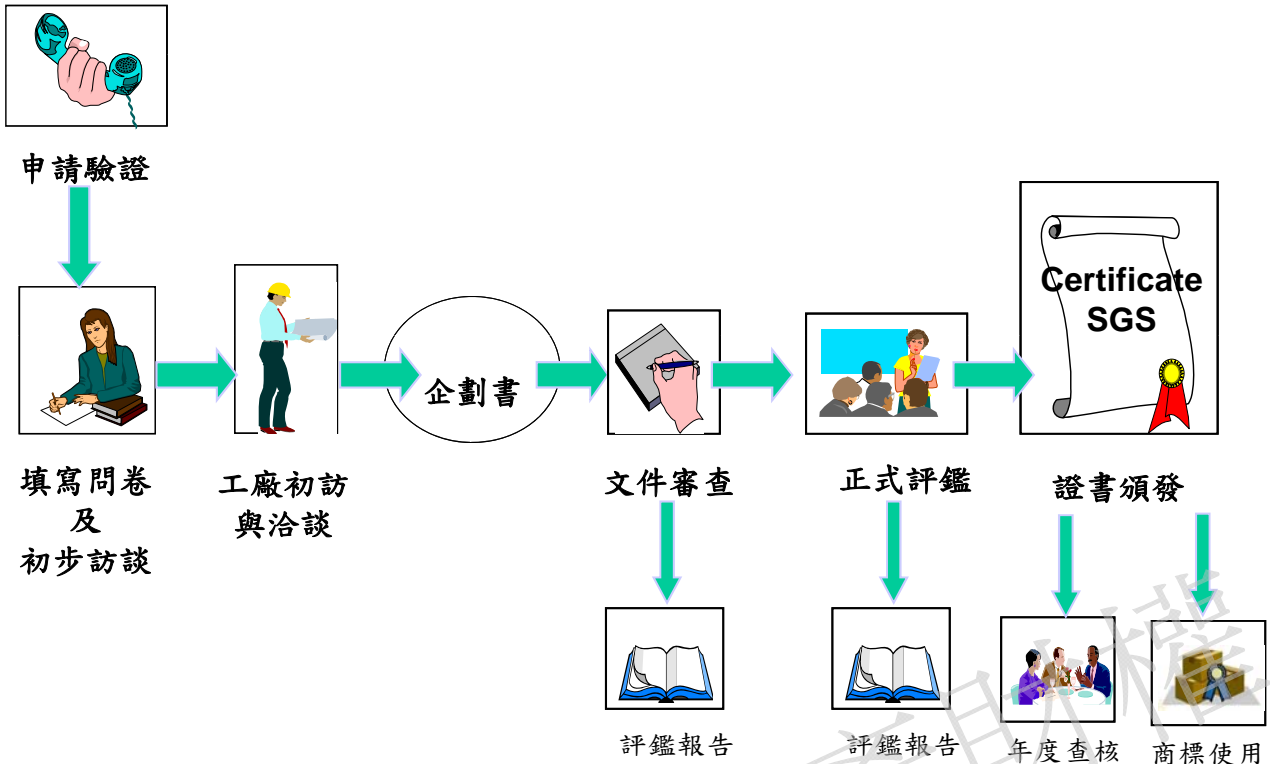
- 對一些尚未具備正式作業程序的公司來說—COC的推動通常只需根據標準需求起草並寫下相關程序,訓練相關人員,並發展一些客製化的紀錄保存系統即可

FSC系統運作流程(建議)



印刷流程示意圖(參考用)





稽核及驗證

- Audit comprises...稽核包涵
 - Application completed by client 正式申請
 - Pre-Assessment (optional) 模擬評鑑 (可選擇)
 - Main Assessment and reporting 正式評鑑及報告
 - Surveillances and reporting 追蹤稽核及報告
- Certificate is for **5 Years** 證書有效期五年
 - **Certificate belongs to certification body** 驗證由驗證單位執行
 - User has right to use logo and to mark products 使用者有權利使用商標及標示在產品上
- Certificate can be suspended if: 證書可能被停權
 - CARs not closed out 缺失未能結案
 - Improper use of certificate or trademarks 證書或商標之使用不正當
 - Surveillance cancelled 未執行追蹤稽核
- Certificate can be withdrawn if: 證書可能被取消
 - reasons for suspension not rectified 停權的原因未被改善
 - financial obligations not met 未繳清相關費用

What does a Chain of Custody Auditor Look For? 什麼是COC稽核員查核的重點?

The key points that auditors check are:
稽核員查核的重點是

That the raw material being purchased is certified and covered by a valid Chain of Custody certificate.

原材料是向一個通過驗證並同時其COC證書是有效的供應者來源採購

That all points where mixing between certified and uncertified material might occur (critical control points) have been identified.

所有可能在驗證及非驗證材料之間產生混淆不清的控制點都已經被標明並控制

That an appropriate, written COC procedure (set of work instructions) has been implemented and staff trained to maintain it.

制定並維持一套適當的COC程序(或作業規範)都已被執行及對作業人員訓練

That adequate records are maintained relating to purchase, production and sale of products.

產品相關的採購生產及銷售的相關紀錄都被維持，並可追溯！

That any use of the relevant trademark (which includes use of the logo and name) complies with the rules of trademark usage

相關商標的使用都符合商標使用的規則(這些包涵商標圖樣及名稱)

A Typical Audit (一般稽核流程)

Opening Meeting 開幕會議

- an introduction of the audit process for your staff
對所有參與會議的成員介紹稽核的過程相關事項

Desk Review 文件審查

- an overview of your company and your prepared system with key staff
確驗全公司及與相關人員檢視系統建立之符合性
- Review of your written CoC procedures, training records, document examples, record-keeping systems, etc.
審查制訂的COC程序書,訓練紀錄,既有文件範例,記錄保存系統,...等等

Tour of the Plant 廠地參觀

- The auditor will inspect your system from end to end – generally beginning with the receiving dock, proceeding through material handling and processing operation, and ending with shipping.
稽核員會做一個全面性的確驗,一般是由收料處原料搬運過程及加工作業及最後的出貨作業
- Staff will be interviewed to verify system implementation.
相關人員將被面談以確驗系統推行之符合性

Purchasing, Sales, Production, Marketing, Trademark Use 採購、銷售、生產、市場行銷及商標之使用

- Staff in these areas will be interviewed and systems reviewed.
相關人員之作業將被面談及系統符合性之審查

Closing Meeting 閉幕會議

- The auditor will summarize and present the audit findings & recommendation. 稽核員將做總結及報告稽核發現和推薦與否之解說

SGS Forestry Team and Contacts

- 我們在大多數的國家都有辦公室你可就近直接取得我們的服務

北區：張紘瑋經理，0932-909-076，alan.chang@sgs.com

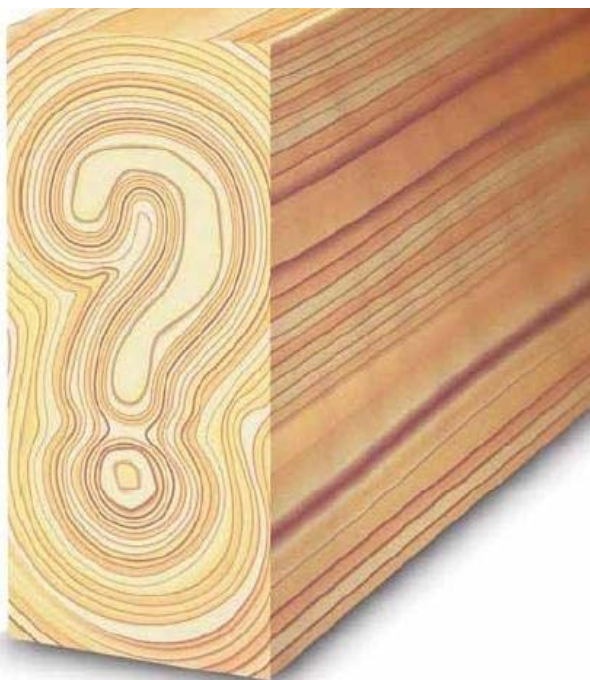
中區：吳務嘉經理，0963-149-058，alan.wu@sgs.com

南區：曹易昌經理，0963-149-070，yc.tsao@sgs.com

- 需要更多資訊請拜訪我們的網站及聯繫我們

WWW.SGS.COM/forestry

Thank you and Any questions?



SGS COC 產品經理

Ray Huang 黃炳龍

SGS驗證及企業優化學業群

ray.huang@sgs.com