



# Rainforest Alliance

## SmartWood Program

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<b>Title:</b>	<b>SmartWood Chain-of-Custody Standard for Forest Management Enterprises (FMEs)</b>
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### A Scope

This standard is applicable for Rainforest Alliance FSC certified FMEs selling only standing timber, stumpage, logs and/or chips produced within a FMU covered by the scope of the certificate. FME certificate scopes that include primary or secondary processing facilities shall include an evaluation against the full FSC Chain-of-Custody (CoC) standard: FSC-STD-40-004 V2. Refer to that separate FSC CoC standard.

### B Standard effective date

This standard shall be effective from 15 March 2009.

### C References

FSC-STD-20-008 V2-1	FSC Forest Certification Reports
FSC-STD-40-004 V2-0	FSC Standard for Chain of Custody Certification
FSC-STD-40-201 V2-0	FSC on-product labeling requirements
FSC-TMK-50-201 V1-0	FSC Requirements for the Promotional Use of the FSC Trademarks by FSC Certificate Holders

### D Terms and definitions

<b>CoC:</b>	Chain-of-Custody
<b>Large scale operation:</b>	>10,000 hectares
<b>FME:</b>	Forest management enterprise
<b>FSC:</b>	Forest Stewardship Council
<b>RA:</b>	Rainforest Alliance
<b>SW:</b>	SmartWood

FSC definitions associated with this standard can be found in the FSC Glossary of Terms FSC-STD-01-002 (July 2004)

## **E Standards and Requirements**

### **1 Quality Management**

- 1.1 FME shall define the personnel/position(s) responsible for implementing the CoC control system.
- 1.2 All relevant staff shall demonstrate awareness of the FME's procedures and competence in implementing the FME's CoC control system.
- 1.3 FME procedures/work instructions shall provide effective control of FSC certified forest products from standing timber until ownership is transferred at the forest gate.  
*Note: For **large scale operations and Group Managers**, CoC procedures covering all relevant CoC criteria shall be documented. Including:*
  - 1.3.1 Procedures for physical segregation and identification of FSC certified from non-FSC certified material.
  - 1.3.2 Procedures to ensure that non-FSC certified material is not represented as FSC certified on sales and shipping documentation.
  - 1.3.3 Procedures to include FME FSC certificate registration code and FSC claim (FSC Pure) on all sales and shipping documentation for sales of FSC certified products.
  - 1.3.4 Recordkeeping procedures to ensure that all applicable records related to the production and sales of FSC certified products (e.g. harvest summaries, sales summaries, invoices, bills of lading) are maintained for a minimum of 5 years.
  - 1.3.5 Procedures to ensure compliance with all applicable FSC/Rainforest Alliance/SmartWood trademark use requirements.

### **2 Certified Material Handling and Segregation**

- 2.1 FME shall have a CoC control system in place to prevent the mixing of non-FSC certified materials with FSC certified forest products from the evaluated forest area, including:
  - 2.1.1 Physical segregation and identification of FSC certified from non-FSC certified material.
  - 2.1.2 A system to ensure that non-FSC certified material is not represented as FSC certified on sales and shipping documentation.
- 2.2 FME shall identify the sales system(s) or "Forest Gate", for each FSC certified product covered by the Chain of Custody system: i.e. standing stock; sale from log yard in the forest; sale at the buyer's gate; sale from a log concentration yard, etc.
- 2.3 FME shall have a system that ensures that FME products are reliably identified as FSC certified (e.g. through documentation or marking system) at the forest gate.

- 2.4 FME shall ensure that certified material is not mixed with non-FSC certified material at any stage, up to and including the sale of the material.

### 3 Certified Sales and Recordkeeping

- 3.1 For material sold with FSC claim the FME shall include the following information on sales and shipping documentation:
- 3.1.1 FME FSC certificate registration code, and
  - 3.1.2 FSC certified claim: FSC Pure

Note: Only FSC Pure (100% FSC certified material originating from the forest under evaluation) claims are allowed within the scope of a FM/COC certificate. If FME plans to produce and sell products with an FSC claim that are manufactured from both FSC certified and non-FSC certified material or combine FSC certified material from the forest under evaluation with FSC certified material from another FSC certified supplier than a separate COC certificate must be obtained from an FSC accredited certification body.

- 3.2 FME shall maintain certification production and sales related documents (e.g. harvest summaries, invoices, bills of lading) for a minimum of 5 years. Documents shall be kept in a central location and/or are easily available for inspection during audits.
- 3.3 FME shall compile an annual report on FSC certified sales for SmartWood containing monthly sales in terms of volume of each FSC certified product sold to each customer.

### 4 Outsourcing *(if applicable: reference outline for outsourcing documented procedures available upon request)*

Note: **Outsourcing requirements do not apply to harvesting and/or transportation conducted by contractors.** Outsourcing allowed within the scope of an FM/COC certificate is limited to handling, storage and/or short-term primary processing. Processing is restricted to production of FSC Pure products manufactured from material originating exclusively from FME's forests under evaluation (e.g. custom sawing). A separate CoC certificate that includes outsourcing in the scope must be obtained for all other subcontracted processing arrangements.

- 4.1 FME shall obtain approval from SmartWood prior to initiating outsourcing of handling (e.g. storage, concentration yards) or processing of FSC certified material to subcontractors.
- 4.2 FME control system shall ensure that CoC procedures are followed at subcontracted facilities for outsourcing and FME shall collect signed outsourcing agreements covering all applicable FSC outsourcing requirements per FSC-STD-40-004 V2-0 *FSC Standard for Chain of Custody Certification*.

## 5 FSC/Rainforest Alliance Trademark Use

**Note:** Use of FSC and/or Rainforest Alliance trademarks for promotion or product labeling is contingent on conformance with the following standards: FSC-STD-40-201 *FSC on-product labeling requirements* (version 2.0) and FSC-TMK-50-201 V1-0 *FSC Requirements for the Promotional Use of the FSC Trademarks by FSC Certificate Holders*. Standard references are included in parenthesis below. Trademarks include the Forest Stewardship Council and Rainforest Alliance/SmartWood names, acronyms (FSC), logos, labels, and seals.

### General

- 5.1 FME shall have procedures in place that ensure all on-product and off-product FSC/Rainforest Alliance trademark use follows the applicable policies:
- 5.2 FME shall have procedures in place and demonstrates submission of all FSC/Rainforest Alliance/SmartWood claims to SmartWood for review and approval prior to use, including:
  - 5.2.1 On-product use of the FSC label/RAC seal;
  - 5.2.2 Promotional (off-product) claims that include the FSC trademarks ("Forest Stewardship Council", "FSC", checkmark tree logo) and/or the Rainforest Alliance/SmartWood trademarks (names and seal) (50-201, 2.3).
- 5.3 FME shall have procedures in place and demonstrates that all trademark review and approval correspondence with SmartWood is kept on file for a minimum of 5 years (40-201, 1.10; 50-201, 2.4):

### Off product promotional use

- 5.4 When FSC trademarks are used for promotion of FMUs, FME shall limit promotion to FMUs covered by the scope of the certificate.
- 5.5 In cases that the Rainforest Alliance trademarks are used (50-201, 13.1, 13.2):
  - 5.5.1 The FSC trademarks shall not be at a disadvantage (e.g., smaller size);
  - 5.5.2 The FSC checkmark tree logo shall be included when the RAC seal is in place.
- 5.6 In cases that the FSC trademarks are used with the trademarks (logos, names, identifying marks) of other forestry verification schemes (SFI, PEFC, etc.), SmartWood approval shall be in place (50-201, 3.0)
- 5.7 Use of the FSC trademarks in promotion of the FME's FSC certification shall not imply certain aspects are included which are outside the scope of the certificate (50-201, 1.6).
- 5.8 Use of the FSC trademarks on stationery templates (including letterhead, business cards, envelopes, invoices, paper pads) shall be approved by SmartWood to ensure correct usage (50-201, 12.0).
- 5.9 In cases that the FSC trademarks are used as part of a product name, domain name, and/or FME name, SmartWood approval shall be in place (50-201, 9.0, 10.0).

## **Product labeling**

- 5.10 FME shall have a secure system in place for labeling products that ensures the following (40-201, 1.2):
  - 5.10.1 Only those products originating from forests covered by the scope of a valid FSC certificate are FSC-labeled;
  - 5.10.2 Only those products that meet the eligibility requirements per CoC standard requirements for FSC-labeling are FSC-labeled;
  - 5.10.3 Only the FSC Pure label is used.
- 5.11 FME shall not use the FSC labels together with the logos or names of other forestry verification schemes (40-201, 1.11, 1.13).
- 5.12 FME shall not use the FSC labels together with claims referring to the sustainability of the forest from which the wood is sourced (40-201, 1.11, 1.13).
- 5.13 The FSC label shall be applied to products in such a way that it is clearly visible (40-201, 1.14).