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# Global-Mark P/L

Management Document G-170

Title: **Product Certification -  
Chain of Custody of Forest and Tree-Based  
Products - PEFC ST 2002 & 2001**

PEFC Trademark Rules Requirements

Type: **Program Information Brochure**

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## Document Information and Revision History

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<b>Current Revision Author(s)</b>	Herve Michoux

## Revision History

Revision	Date	Author(s)	Notes
1	10/10/13	Herve Michoux	Original Release
2	22/7/2015	Herve Michoux	Updated based on JASANZ new application process
3	16/6/2016	Herve Michoux	Updated during the JASANZ audit
4	14/9/2021	Wayne Tibbits	Update for new PEFC standards

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## 1 Why do we have this document

This document describes the certification program offered by Global-Mark Pty Ltd to clients seeking certification to PEFC ST2002: 2020: Chain of Custody for Forest Based Products - Requirements and versions as amended [ see [www.pefc.org](http://www.pefc.org)]. This document is subject to change without notice. The latest version is on our web site: [www.Global-Mark.com.au](http://www.Global-Mark.com.au).

## 2 What documents/records are needed to understand this program

In order to understand our program you should also access and be aware of the following documents:

- G-00: Welcome Pack
- MSP-00: Introduction to our management systems
- MSP-01: Nomenclature and definitions
- MSP-24: Appeals
- PEFC ST 2002: Chain of custody
- PEFC ST 2001: PEFC trade mark rules requirements
- Application for logo usage licence
- Requirements for Certification Bodies operating Certification against the PEFC International Chain of Custody Standard - PEFC - ST 2003:2012



### 3 Certification process

This program involves:

- Client makes formal application by completing the [client agreement form](#).
- Global-Mark will complete a document review of the company management system (policy and procedures addressing PEFC ST 2002) and will report using a [document review report](#).
- At the Client's request Global-Mark may (this is optional) perform a Pre-Certification review to ensure that the system is in place and is likely to pass the Certification Review. A [pre-certification review checklist](#) is then issued to the Client. This activity is usually completed at the Client's office.
- At the Client's request Global-Mark will then complete the on site certification review: this includes an audit of your operations, visit of sites, interview with staff, review of records, witnessing of activities. A [review report](#) will be issued, with [review findings](#) and a recommendation for or against certification will be made.
- Subject to the above review, Global-Mark will issue a [certificate of approval](#).

### 4 Scheme Description

The objective of Program is to provide any organisation in the wood or forest products supply chain with a transparent set of requirements to implement and demonstrate compliance with system for the tracking of wood or forest products: the origin of which must be from sustainable managed forests (from certified forests to end consumer via the supply chain including ownership, distribution, processing, transportation, manufacturing). CoC Certification Program is an inventory control system that provides traceability and assurances on the origin of wood.

### 5 Specific program definitions

Refer to JASANZ procedure and/or PEFC Standard, Terms and Definitions Section.

Program summary card	
Issue	Program rules/comments
Standards	PEFC ST 2001:2020 PEFC Trademarks Rules - Requirements PEFC ST 2002: 2020 Chain of Custody of Forest and Tree Based Products - Requirements
Any other relevant document	NA
Target audience	Companies involved in harvesting, transportation, primary and secondary processing, manufacturing, re-manufacturing, distribution and sales of wood or forest products, within and/or outside Australia
Global-Mark output document	Certificate of Approval, confirming that the organisation conforms with the CoC requirements, and any supplementary documentation required under the CoC system
Other Global-Mark output document	PEFC Notification Form as provided by Responsible Wood
Certificate validity period	5 years
Certification mark that can be used by the client	Global-Mark logo and PEFC logos, after application to National Governing Body for PEFC or if none then PEFC
Can this make be used on product?	Yes
Periodicity of post certification reviews?	12 monthly
Periodicity of re-certification review	5 years
<b>Steps to and post certification</b>	
Application	✓
Document review	✓
Pre-certification review	Optional
Certification review	✓
Product technical file review	✓
Follow-up review	✓
Post certification review	✓
Re-certification review	✓

**Major nonconformity:** The absence of, or failure to implement and maintain, one or more requirements of the chain of custody standard, that may result in a systemic risk to the function and effectiveness of the chain of custody and/or effects confidence in the client organisation's claims on certified raw material.



**Note:** A major nonconformity may be an individual nonconformity or a number of minor but related nonconformities, that when considered in total are judged to constitute a major nonconformity.

**Minor nonconformity:** A single failure to fulfil the requirements of the chain of custody standard that may result in no systemic risk to the function and effectiveness of the chain of custody and/or effects confidence in the supplier's claims on certified raw material.

**Observation:** An evaluation finding that does not indicate nonconformity. It may be identified by the audit team as an opportunity for improvement.

## 6 Specific program conditions

**Who can we offer services to?** To any company involved in harvesting, transportation, primary and secondary processing, manufacturing, re-manufacturing, distribution and sales of forest or tree-based products.

### Information to be provided to Global-Mark for products covered by chain of custody program

- Applied chain of custody method
- Products covered by the chain of custody, according to the PEFC product categories
- Intended application of PEFC logo (refer to PEFC rules)
- Where the client organisation is using different chain of custody methods for various products or at various sites, in case of multisite organisation, the above information shall be provided for each product and/or site.
- Organisational parameters and details required for the [PEFC or PEFC National Governing Body Notification Form](#). The range of information includes our organisation's: contact details [address, representative, email, phone, website], trademark registration ID, where trademarks are used, turnover of certified product (actual for previous year or estimate for initial year), addresses of all sites in scope of certification, the range of products produced. This is for the purpose of being published along on the [PEFC](#) and [RW](#) online databases to be accessed by members of the public seeking responsibly sourced product.

### Provision of information - Written consent for Global-Mark to release information

Clients and Global-Mark are obliged to provide information to the PEFC Council or a PEFC National Governing Body. By signing the Global-Mark Client Agreement Form, Clients provide written consent to Global-Mark for the information disclosed to the PEFC council or the PEFC National Governing Body.

### Management System:

The organisation seeking certification must have in place a documented management system, and specifically have documented procedures for:

- Internal audits
- Complaints, appeals
- Corrective and Preventive Action

Refer to ISO9001 for details on these requirements: Global-Mark does not expect the organisation to have an ISO9001 style management system in place. The documented management system shall be submitted to Global-Mark for review.

### Objectives of reviews are to determine and confirm:

- The conformity of the client organisation's chain of custody process with the requirements of the chain of custody standard and the relevant Appendix with the definition of the raw material origin and its effective implementation;
- The conformity of the client organisation's management system with the requirements of the chain of custody standard and its effective implementation;
- The conformity of the client organisation's chain of custody process with requirements for the avoidance of raw material from controversial sources where applicable (DDS requirements in the chain of custody standard) and its effective implementation;



- The conformity of the client organisation with the PEFC logo usage rules and its effective implementation; and
- Areas for potential improvement of the client organisation's chain of custody (which are reported as findings).

**Internal audits and management review:**

Global-Mark cannot grant certification until there is sufficient evidence to demonstrate that the arrangements for management review and internal audit have been implemented, are effective and are being maintained, and one complete internal audit and review program covering all processes of the CoC management system has been conducted.

**Our role includes:**

- We are responsible for verifying the whole CoC management system, and the proportion of certified wood and forest product in each link of the certification chain;
- We will validate and monitor the organization's use of CoC marks and marketing claims; and
- We may cancel the organization's right to use CoC marks or make CoC marketing claims where we have transparent and sufficient reasons to conclude that misuse has occurred.

**Non-conformities:**

- Review findings are classed as major non-conformances, minor non-conformances or observations.
- Major nonconformities shall be corrected, and the corrective action(s) verified by Global-Mark before granting an initial certification and at recertification.
- Minor nonconformities shall be corrected, and the corrective action(s) verified by Global-Mark before granting an initial certification.
- All nonconformities identified in the audits shall result in corrective action(s) by the client organisation resolving the nonconformities. The corrective action plan, including a timeframe shall be reviewed and accepted by Global-Mark. The time period for completion of the corrective action(s) for major nonconformities identified in surveillance audits and their verification Global-Mark shall not exceed 3 months. Corrective action(s) for minor nonconformities identified during recertification and surveillance audits shall be verified no later than during the next audit.
- In multi-site organisations, nonconformities found at any individual site, either through the client organisation's internal auditing or from auditing by the certification body, require an investigation take place to determine whether the other sites may be affected. We require the client organisation to review the nonconformities to determine whether they indicate an overall chain of custody deficiency applicable to all sites or not. If they are found to do so, corrective action should be performed both at the central office and at the individual sites. If they are found not to do so, the client organisation needs to demonstrate to the certification body the justification for limiting its follow-up action to the individual sites. During initial and recertification audits, if any site has a nonconformity, certification shall be denied to the whole multi-site client organisation pending satisfactory corrective action. The client organisation is not permitted to exclude from the scope any site with a nonconformity during the certification process.

**CoC trademarks:**

The PEFC logo and the PEFC initials are copyrighted material and are internationally registered trademarks owned by the PEFC Council. These trademarks may be used on-product and/or off-product. Global-Mark will advise PEFC or the National Governing Body each time a CoC Certificate is issued, cancelled or withdrawn. The right to use them is issued to the certified organization by PEFC or a National Governing Body if there is one. PEFC provide access through a portal to trademarks that can be used by the certified organisation. When issued with access to the trademarks, the Certified organisation has the right to use them under the conditions of use with respect to technical and graphic requirements. The use of the trademarks is only authorised during the period of CoC certification, and must not be used should the certification be withdrawn or suspended. The production and use of the trademarks is assessed by Global-Mark Pty Ltd at its audits.

There will be a PEFC logo on the issued certificate. Its registration number relates to Global-Mark who has a valid licence to use this. Hence, this trademark only refers to the named organisation conforming with the PEFC certification scheme and does not provide the client organisation with the right to use the PEFC trademarks.



**Multi-site Clients:**

Please refer to our Guide Document: G-02 available on request to Global-Mark. In addition to the requirements of G-02, the multi-site client organisation should demonstrate prior to the audit process that it meets the eligibility criteria in Appendix 2 of PEFC ST 2002. Eligible examples include: organisations operating with franchises, companies with multiple branches or a group of legally independent companies. A multi-site client organisation, which is established as a group of independent legal entities only for the purpose of obtaining and maintaining chain of custody certification, shall only consist of typically small enterprises. Any nonconformities in relation to these eligibility criteria found at an audit will result in the certificate not being issued.

We require from the client, information on the complexity and scale of the activities covered by the chain of custody subject to certification and any differences between sites as the basis for us in determining the level of site sampling and the identified central office function. This “central function” of the client organisation is the contractual partner for the performance of the certification and is to sign the Global-Mark Client Agreement Form, allowing Global-Mark to carry out the certification activities at all sites. A multi-site client organisation must be able to demonstrate its ability to collect and analyse data (including but not limited to items below) from all sites including the central office and its authority over all sites and also demonstrate its authority to initiate change if required:

- chain of custody documentation and chain of custody changes,
- management review
- complaints
- evaluation of corrective actions,
- internal audit planning and evaluation of the results,
- different legal requirements in relation to the avoidance of raw material from controversial sources.

Adding new sites - On the application of a new site or set of sites to join an already certified multi-site network, each new set of sites will be considered by Global-Mark as an independent set for the determination of the sample size. This is limited to 100% of existing sites and with certificate scope. Global-Mark will review the application and information provided to determine if an on-site audit of the additional site(s) is required or if there is sufficient evidence that the sites can be added. After inclusion of the new sites in the certificate, the new sites will be combined with the previous ones for determining the sample size for future post certification or re-certification reviews.

For a multi-site client that is a group of legally independent companies, these rules apply:

- each member in the group must go through the certification process concurrently and must operate on essentially similar documentation and procedures. Each organization must present for initial (and subsequent) audits at the same time;
- the audit duration for each member of the group shall be in accordance with the JASANZ rules (refer to our office for details). If the group numbers change, then the total audit duration (and hence our fees) will change accordingly;
- the legal entity referred to above must be the applicant and act as the contact point and coordinator for all communications and audit planning with the Global-Mark;
- a combined assessment report may be provided covering all organizations in the group; and
- acceptance of a group is at the discretion of the Global-Mark.

**Certificates of Approval:**

One single certificate shall be issued with the name and address of the central office of the client organisation. A list of all the sites, if applicable, to that the certificate relates shall be issued, either on the certificate itself or in an appendix or as otherwise referred to in the certificate.

In multi-site situations:

- If the individual sites are applying different chain of custody methods or definitions of the raw material origin, the application of the chain of custody standard will be clearly stated in the certificate and any appendix for the individual sites.
- Though permitted, sub-certificates will be issued to the organization for each site covered by the certification.



- The certificate will be withdrawn in its entirety, if the central office or any of the sites does not/do not fulfil the necessary criteria for the maintaining of the certificate.
- The list of sites shall be kept updated by the Global-Mark. To this effect, Global-Mark requires the organization to inform it about the closure, establishment, or change in activities of sites. Failure to provide such information will be considered by the certification body as a misuse of the certificate, and it will act consequently according to our procedures as presented in the Welcome Pack (G-00).
- Additional sites can be added to an existing certificate - see “Adding new sites” above.

End of document