

**ENGINEERED WOOD PRODUCTS ASSOCIATION OF
AUSTRALASIA LIMITED**

SUPPLEMENTARY PROVISIONS

for

CHAIN OF CUSTODY CERTIFICATION

to

AS4707

VERSION 2.1

16 FEBRUARY 2009

CHAPTER ONE - INTRODUCTION

1.0 INTRODUCTION

This document sets out supplementary requirements for Chain of Custody Certification undertaken by Engineered Wood Products Association of Australasia Limited (EWPAA). This document is to be read in conjunction with the Chain of Custody Scheme Rules published by the Australian Forest Service Ltd (AFS) and the Chain of Custody for Certified Wood and Forest Products Standard AS4707.

1.1 Eligibility for Chain of Custody Certification through the EWPAA

Eligibility for Chain of Custody Certification through the EWPAA shall be open to all manufacturers and distributors of wood, wood products and engineered wood products meeting the following requirements.

- (a) Be a member of the EWPAA, or
- (b) Be a bona fide wood or wood product manufacturer situated in either Australia, New Zealand, Fiji, Papua New Guinea, Cook Islands, Kiribati, Nauru, Niue, Solomon Islands, Tonga, Tuvalu, Western Samoa or other geographic area as approved by the EWPAA Board of Directors, and pay a fee for service as determined from time to time by the Australasian Plywood Quality Committee (APQC).
- (c) Be a bona fide distributor, reseller or transporter of wood or wood products situated in either Australia, New Zealand, Fiji, Papua New Guinea, Cook Islands, Kiribati, Nauru, Niue, Solomon Islands, Tonga, Tuvalu, Western Samoa or other geographic area as approved by the EWPAA Board of Directors, and pay a fee for service as determined from time to time by the Australasian Plywood Quality Committee (APQC).
- (d) Be a member of a recognised group which qualifies for certification, has scheme membership approval of the APQC and pay a fee for service as determined from time to time by the Australasian Plywood Quality Committee (APQC). Guidance on Group Certification is detailed in Appendix B

CHAPTER TWO - APPLICATION

2.0 APPLICATION

An application letter including all information listed in Appendix A must be forwarded to the Chairperson of the APQC c/- the Engineered Wood Products Association of Australasia Limited (EWPAA).

CHAPTER THREE - EVALUATION

3.0 PRODUCT EVALUATION

This chapter summarises the evaluation process.

Typically this process will involve a review of the application and two audits, a Stage One and Stage Two audit as detailed below.

3.1 Application Review

The application from the applicant shall be reviewed to ensure the following:

- The EWPAA has the facilities/resources to perform the certification. Factors to consider include, location of the site, number of sites, language requirements, technical competency of the application (i.e. third world country with few educated staff etc)
- Where an application has multiple sites, the following shall be established:
 1. Is the application for group certification? Does the group comply with requirements of the Chain of Custody Scheme Rules defined in Clauses 11.5, 11.6 and 11.7 and Appendix B of this document.
 2. The applying organisation shall be reviewed against all requirements of Annex 2 of the Scheme Rules for multi-site organisations.
 3. Assessment shall not continue until eligibility criteria are met. The applicant shall be informed that certification will not be granted where non-conformances are found in regard to multi-site eligibility criteria.
 4. The level of sampling. This will include a review of information on the complexity and scale of activities covered by Chain of Custody and differences between sites to assist determining the level of sampling.
 5. Has the applicant informed the EWPAA if all sites are ready for certification? The EWPAA must be informed of sites which are not ready so they can be excluded from Certificates.

The applying organisation shall be informed in writing of the number and specific sites selected for sampling.

- The bona fides of the application where they are a non-member or unknown to the EWPAA.
- The need for translators, technical experts, other consulted expertise.
- Any potential conflicts of interest with the applicant.
- A review any legal requirements that may impact on the Chain of Custody management system
- Confirm the availability of the required audit team competencies.

At times, a pre-assessment (a site visit prior to commencing the audit process) may be required to ascertain all data required for the application review process. This information as well as any additional observations and discussions shall be formally reviewed as a component of the application review process.

The applicant shall be informed in writing of the outcomes from the application review process. This shall include any requests for additional information, reasons for rejection and requirements for multi-site sampling.

Should the application pass the review process, the applicant shall be provided with an initial estimate of the audit duration in accordance with Annex 1 of the Chain of Custody Scheme Rules and costs involved.

3.2 Audits

Stage One Audit

The Stage One Audit consists primarily of a review of the applicants Chain of Custody Systems including, Chain of Custody Documentation, a review to confirm contract requirements, verification of the scope of the audit, a review of continual improvement processes, information on Chain of Custody processes (procedures, internal audit activities, reviews, document control and corrective/preventative action) and confirm multi-site sampling requirements.

Stage Two Audit

This must be conducted on the applicants' site/s and the objective is to confirm that the applicant conforms to their own policies, objectives and procedures to confirm the Chain of Custody system meets the Chain of Custody Standard, to verify the proportion of certified wood and claims regarding the origin of wood, i.e. an unbroken chain back to a certified forest or source of origin.

Some components of the Stage One audit such as Document Review would typically be performed off site while the Stage Two audit is always performed on site. The Stage One and Stage Two audits may be combined however, it would be usual for the Stage Two audit to be conducted some time after the Stage One audit to allow corrective action resulting from feedback from the Stage One audit to be implemented.

The audits are conducted against requirements of the Chain of Custody Scheme Rules and Chain of Custody Standard AS4707.

3.3 Follow-up

The mill is required to address critical (major) non-conformances prior to qualifying for certification.

Closeout and verification of major non-conformities will usually require on-site verification.

3.4 Certification Decisions

The EWPAA shall develop a detailed evaluation report from data collected during the assessment process.

The report shall summarise all results from the evaluation and any non-conformities, recommendations and opportunities for improvement that the EWPAA has identified as an evaluation.

Based on this report and the supporting evidence collected, the EWPAA shall make a recommendation for certification to the APQC.

The APQC shall make an unbiased decision on approval based upon the evaluation report and EWPAA recommendations.

Upon granting of certification, certification shall remain valid for three (3) years unless, withdrawn or suspended.

CHAPTER FOUR - MAINTENANCE OF CHAIN OF CUSTODY CERTIFICATION

4.0 MAINTENANCE OF CHAIN OF CUSTODY CERTIFICATION

To maintain Chain of Custody Certification a licensee is required to meet the following on an on-going basis -

1. Continue to meet AS4707.
2. Continue to meet the AFS Chain of Custody Scheme Rules.
3. Continue to meet any EWPAAs Chain of Custody Supplementary provisions.
4. Use the AFS Chain of Custody logo in accordance with the AFS Logo Use Rules Manual.
5. Use the EWPAAs Chain of Custody Certification Mark in accordance with requirements of Chapter Six.
6. Make no misleading or deceptive claims.
7. Continue to pay fees, levies and charges set by the EWPAAs.
8. Continue to make all required records and communications including complaints and corrective action available to the EWPAAs on request.
9. The following information must continue to be maintained up to date and made available to the EWPAAs on request.
 - (a) General information concerning the Chain of Custody management system and the activities it covers, and where relevant, human and technical resources.
 - (b) A description of the management system to be certified.
 - (c) A copy of the documentation of the core processes of the Chain of Custody management system.

4.1 Amendments to Chain of Custody

Requests for amendments to Chain of Custody shall be regarded as a new application and shall be processed by the EWPAAs as such. The application review process shall determine the level of pre-qualification required.

4.2 Transfer of Chain of Custody

Transfer of Chain of Custody Certification from one certifying body to another is permitted. The re-assessment/re-certification process shall be in accordance with Annex 3 of the Chain of Custody Scheme Rules.

4.3 Re-Assessment

The Chain of Custody Certification shall be valid for 3 years from the date of initial approval. After the 3 year period each approval must be re-assessed. It is the responsibility of the EWPAA Quality Systems Officer to monitor the Chain of Custody register to ensure that licenses due for renewal are identified.

4.3.1 Notification and Re-Assessment Methodology

At least one month prior to the expiration of the certification, the EWPAA shall formally notify the licensee that their certification has come up for re-assessment.

The notification shall include the re-assessment plan including documentation to be revised, dates and times for audits, staff required for the audit, the specific areas and any other relevant requirements.

4.3.2 Re-Assessment Approval

Where there are no outstanding critical or major non-conformances re-assessment may be approved by the APQC

A new approval letter and certification certificate shall be issued.

CHAPTER FIVE - SUSPENSION AND WITHDRAWAL OF CHAIN OF CUSTODY CERTIFICATION

5.0 SUSPENSION AND WITHDRAWAL OF CHAIN OF CUSTODY CERTIFICATION

Chain of Custody Certification may be suspended or withdrawn in any of the following circumstances:

1. If a licensee ceases to be a member of the Engineered Wood Products Association of Australasia Limited or fails to maintain scheme membership approval of the APQC.
2. If the EWPAAs discontinues to provide Chain of Custody Certification services.
3. The licensee voluntarily surrenders Chain of Custody Certification.
4. Unresolved major non-conformances which remain have potential to bring the Chain of Custody Scheme into disrepute.
5. Fraudulent or misleading use of the AFS Chain of Custody Mark or Chain of Custody Certificates.

The EWPAAs General Manager shall draft correspondence to the licensee notifying the reasons for the withdrawal or suspension. Upon withdrawal or suspension the licensee must immediately cease the use of the Chain of Custody certification marks on all certificates, product, advertising and promotional material.

The EWPAAs shall notify the AFS Ltd within five (5) days of suspensions and withdrawal of certification

CHAPTER SIX - USE OF CHAIN OF CUSTODY CERTIFICATION MARKS

6.1 Contract between the Licensee and AFS Ltd

The EWPAA does not license the use of the AFS Chain of Custody Certification mark on behalf of AFS Ltd.

Each certified licensee is required to obtain a license to use the AFS Chain of Custody Certification individually from AFS Ltd.

The AFS Ltd Logo Use Manual available from the EWPAA contains the necessary application forms and a copy of the relevant license agreement.

Where the AFS Chain of Custody Mark is used, the following additional information must be applied:

- a) The AFS registration number
- b) Batch number or equivalent to identify the product the mark applies to
- c) Date of production or issue
- d) Optional Content – the name of the EWPAA, the EWPAA Chain of Custody Certification Mark, name of the licensee

6.2 The EWPAA Chain of Custody Certification Mark

The Chain of Custody Certified site is permitted to apply the following EWPAA Chain of Custody certification mark to all Chain of Custody certified product, stationery and promotional material.



FIGURE 6.1 - EWPAA Chain of Custody Certification Mark

Use of the EWPAA Chain of Custody Certification Mark

1. The Chain of Custody certification mark can only be applied to certified product at the certified site.
2. The licensee shall make no misleading or confusing claims regarding Chain of Custody certification.
3. Where a licensee manufactures or supplies non-certified wood or forest products, the licensee shall not in any way imply that these products are certified

6.3 EWPAA Responsibilities

The EWPAA is responsible for the following:

1. Notifying AFS Ltd of new certificates to allow the issuance of AFS Chain of Custody Certification marks.
2. Monitoring the use by the licensee of Chain of Custody Certification in accordance with the AFS Logo Use Rules Manual.
3. Reporting non-conformities relating to the use of AFS Chain of Custody Certification marks to AFS Ltd.
4. Withdrawing Chain of Custody Certification marks.
5. Advising AFS Ltd on the issue and withdrawal of Chain of Custody Certification marks.
6. Monitoring and control of the use or misuse of Chain of Custody marks including the licensees statements and market claims.
7. The licensee shall seek and receive approval from the EWPAA for every Chain of Custody Certification mark and claim, prior to labels on material first being printed or used.

6.4 The AFS Logo

The use of the AFS logo must comply with the AFS Logo Use Rules Manual, which can be obtained from the EWPAA. These rules include the application procedure to AFS to obtain a licence to use the logo and the associated fees with this licence. AFS Limited will provide the logo and specifications for use on CD once the licence is granted.

6.5 The JAS-ANZ Accreditation Mark

The JAS-ANZ accreditation mark detailed in Figure 6.2 can be used in conjunction with the EWPAA and AFS Certification marks. The JAS-ANZ stamp may be applied to product, stationery and promotional material under the following requirements:

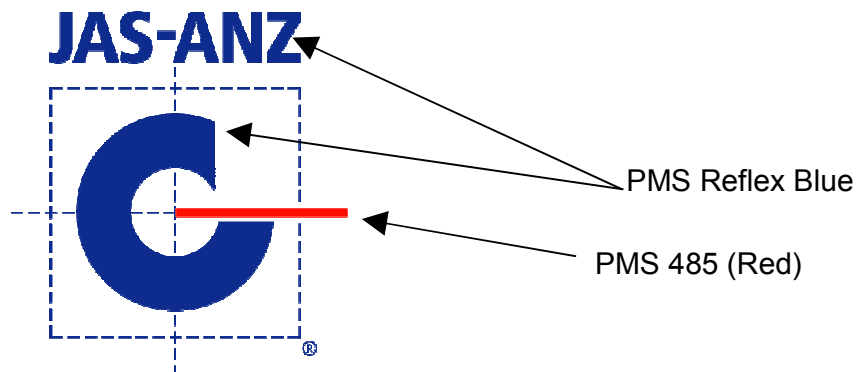


FIGURE 6.2 - JAS-ANZ Accreditation Mark

1. Where practicable, the accreditation mark shall be produced as detailed in Figure 6.2 or in a single colour to conform to existing pre-printed stationery or newspaper and magazine articles.
2. Under no circumstances is the accreditation mark to be reproduced in a colour combination at variance with that detailed in Figure 6.2.
3. The accreditation mark may be uniformly enlarged or reduced but shall be sufficiently large for the wording to be clearly legible.
4. When the accreditation mark is used on products, it may be stamped, moulded or otherwise incorporated in the product and when used on paper, it may be embossed or stamped.
5. The accreditation stamp shall not be used by an accredited body or licensee on any stationery, document and/or publicity material unless it relates in whole or in part to the organisation's accreditation or certification scope.
6. The licensee does not have the right to use the accreditation mark in isolation of the Certification mark to which it relates.
7. The accreditation mark shall not be used in such a way as to suggest that the Accreditation Council, Governments of Australian and New Zealand, or any Government Minister, have certified or approved the activities of the licensee, or in any other misleading manner.
8. The licensee shall ensure that when the accreditation mark is used in association with a certification mark on product, packaging or labelling that the marks are applied in an indelible form.
9. Where a licensee uses the accreditation mark, the licensee shall include:
 - (a) its own name or mark;
 - (b) the certification mark not disproportionately represented with reference to the actual accreditation mark, and positioned in a manner that ensures the relationship between the accreditation mark and the certification mark is obvious.

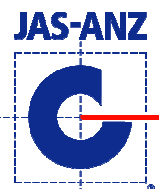
Example of full branding



Text as required by AFS logo use manual



Registration Number: 999
Batch 9876543 16 Dec 08



CHAPTER SEVEN - APPEALS AND COMPLAINTS

7.0 APPEALS AND COMPLAINTS

Appeals and complaints shall be as detailed below.

7.1 Appeals

All licensees have the right to appeal against all decisions taken by the Australasian Plywood Quality Committee, EWPAA staff and EWPAA regarding the implementation and enforcement of the Chain of Custody Scheme Rules, Supplementary Requirements and the Chain of Custody Standard AS4707.

(a) Lodgement of Appeals

Appeals may be lodged in writing to the General Manager of the Engineered Wood Products Association of Australasia Limited, PO Box 2108, Fortitude Valley BC, Qld. 4006

(b) Selection of Appeal Committee

The General Manager of the Engineered Wood Products Association of Australasia Limited shall establish an appeals sub-committee. The members selected shall be independent and impartial from the activity under review.

(c) Handling Procedure

It is the responsibility of the appeals committee to determine the outcome of the appeal taking into account the nature and seriousness of the appeal. The appeals committee shall hear the grievances of the appealing party either in person, by proxy or correspondence and hear the response of the certification personnel and make their decision accordingly. All hearings of appeals will be treated in strictest confidence. The appellant shall be provided with a written statement of the appeal findings, which include reasons for the decisions reached.

(d) Records

The EWPAA will maintain a record of all appeals and results of appeals. The applicant shall be provided with a written statement of the appeal findings, which include reasons for the decision reached.

7.2 Complaints and Disputes

The licensee has the right to complain about any activity of the EWPAA, or dispute any findings. A complaint must be made in writing to the EWPAA General Manager. Disputes may be taken by EWPAA over the telephone.

APPENDIX A

APPLICATION

CHAIN OF CUSTODY

APPLICATION FORM

Name of Business:
(if applicable) _____

ABN Number: _____

Name of Chief Executive Officer: _____

Address:

Standard against which Certification is
sought: _____

Anticipated volumes of certified products: _____

Number of Sites to be Certified: _____

Location of Central Site: _____

Sources of Certified Wood:
(AFS, PEFC, FSC, Recycled, Other) _____

Business Type: (Manufacturer, Importer,
Distributor, Reseller, etc.) _____

.....agrees to the following:
(name of business).

- Abide by the Chain of Custody Scheme Rules
- Abide by any supplementary Scheme Rules so developed by the Engineered Wood Products Association of Australasia Limited (EWPAA).
- Acknowledge that the EWPAA is responsible for verifying the Chain of Custody System and the proportion of certified wood in each link of the certification chain.
- Acknowledge the EWPAA will monitor and validate the use of Chain of Custody marks and marketing claims
- Supply any information required by the EWPAA and access to records.
- Provide access to JAS-ANZ assessment teams for the purpose of witnessing EWPAA certification activities.

SIGNED:.....
(authorised representative)

DATE:.....

APPENDIX B

GUIDANCE ON GROUP CERTIFICATION

Group Certification

What is a group?

A group of legally independent companies means a network of typically small independent enterprises associated together for the purpose of obtaining and maintaining chain of custody certification for the whole group. The central office may be an appropriate trade association, or any other properly experienced legal entity that is either nominated for the purpose by a group of intending members or offers a group service managed for the purposes of consistently with this standard. The central office can also be administered by one member of the group.

Group certification is only permitted where all of the following apply:

- the members of the group are all managers of 'small' forests (as defined in the AFS), and have previously been accepted for certification to the AFS as a group;
- the scope of certification is restricted to harvest and transport arrangements from the group forests to one or more mills;
- the EWPAAs can sign an agreement with a legal entity that represents all members of the group. The entity may be one member of the group and shall provide for clear membership and commitment to comply with the Chain of Custody management system covering all the group's members; and
- policies and procedures adopted by the group are endorsed by all members and their agreement is maintained on a consent register.

Rules for group certification:

Each member in the group must go through the certification process concurrently and must operate on essentially similar documentation and procedures. Each organisation 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 Annex 1 of the Chain of Custody Scheme Rules.
- the legal entity referred to above must be the applicant and act as the contact point and co-ordinator for all communications and audit planning with the EWPAAs.
- a combined assessment report may be provided covering all organisations in the group; and
- acceptance of a group is at the discretion of the EWPAAs.

Certification based on auditing of a sample of organisations comprising a group is only permitted where all the requirements of Annex 2 of the Chain of Custody Scheme Rules can be applied to the group. For example, the legal entity referred to above must have the same authority and powers (e.g.) to require all members to take corrective action) as the central office.