



Overview of PEFC Chain of Custody Certification

Based on PEFC ST 2002:2020 and PEFC
2001:2020 standards





Where to find PEFC documents?



Visit PEFC website:

<https://pefc.org/standards-implementation/standards-and-guides>

Visit Preferred by Nature website:

<https://preferredbynature.org/certification/pefc>



Standards for Certificate Holders

- Chain of Custody, PEFC ST 2002
 - Requirements for **chain of custody certification** for forest and tree based products.
 - PEFC chain of custody establishes the link from the forest to the market, tracking forest and tree based products from sustainable sources to the final product.
 - In addition, this standard includes management requirements, including on health, safety and labour issues.
- PEFC Trademarks Rules, PEFC ST 2001
 - Requirements that entities must follow when using the **PEFC trademarks**, in order to ensure accurate, verifiable, relevant, and non-misleading use of the PEFC logo and related claims.
- List of [PEFC Product Categories](#)



Certificate process:

- Certification granted for 5 years
- Certification process starts with **assessment**
- Surveillance audits shall be carried out **annually**
- CB to carry out at least 4 surveillance audits before the expiry date of the certificate.

*Annually means once every twelve months plus or minus three months

- **Certification number composed by CB name abbreviation-PEFC-COC-number, i.e: PBN-PEFC-COC-123456**
- **Signing a trademarks licence contract mandatory** - usage of trademarks voluntarily

PEFC ST 2002: 2020 Contents

Section 1-3: Scope and general information about the standard

Section 4: Management system requirements

Section 5: Identification of inputs and declaration of outputs

Section 6: Chain of custody methods

Section 7: Due Diligence System (DDS) requirements

Appendix 1: PEFC Due Diligence System (DDS) for the avoidance of material from controversial sources

Appendix 2: Implementation of the chain of custody standard by multi-site organisations



PEFC
PEFC/01-00-01 | PEFC ST 2002:2020

Chain of Custody of Forest and Tree Based Products – Requirements



PEFC
INTERNATIONAL
STANDARD

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Management system

- General requirements (4.1)
 - Establish and implement a management system
 - Define the scope by specifying the PEFC product groups
 - Only make correct FSC claims and statements
- Procedures (4.2)
 - The organisation shall establish written documented procedures for its PEFC chain of custody
E.g. Responsibility, material flow, product groups, methods for claims, sale, trademark use, records, internal audits, DDS, outsourcing
- Responsibilities (4.3)
 - Documented organisation commitment
 - ONE person or position overall responsible for compliance with ALL standard aspects
 - Define key personnel for each procedure

Record keeping (4.4)

- Record keeping (4.4)
 - Maintain complete and up-to-date records of the documents that are relevant to demonstrate the organisation's conformity with all applicable certification requirements
 - Retention time for all records shall be at least 5 years
 - **At minimum records shall include: procedures, product group, training records; purchase and sales documents; material accounting records; trademark approvals; records of suppliers, complaints, and outsourcing; records related to a due diligence system; outsourcing; internal audits.**



Management System

- Resource management (4.5)
 - Human resources/personnel
 - Technical facilities
- Inspection and control (4.6)
 - Annual internal audits
 - Management review
- Complaints (4.7)
 - Documented procedures to handle complaints
- Nonconformity and corrective action (4.8)
 - Handle internal and external non-conformities
 - Implement corrective actions
 - Keep records
- Social and OHAS requirements (4.10)
 - Management commitment to comply with the social, health and safety requirements defined in this standard
 - Freedom of association
 - Forced labour
 - Child labour
 - Discrimination
 - Occupational health and safety



Outsourcing (4.9)

Written agreement



Certificate Holder's full responsibility

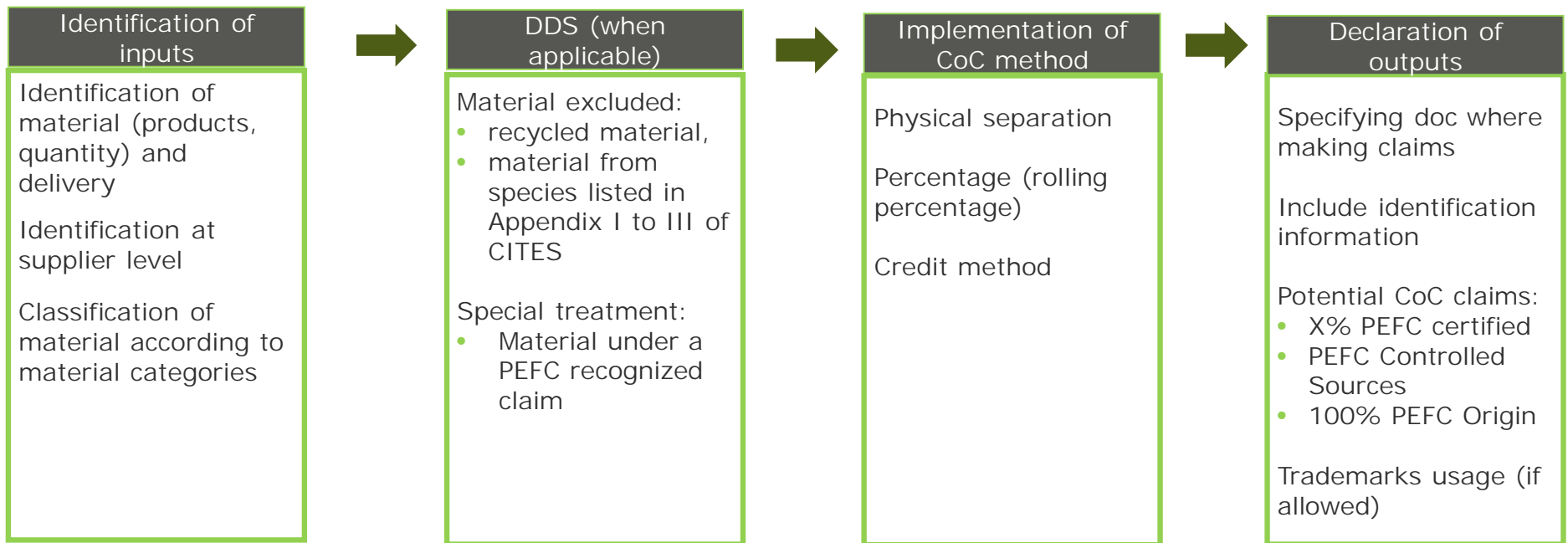


Part of the internal audit



PEFC Chain of Custody management system

PEFC Chain of Custody management system:





Product group (3.30)

Product or set of products with **equivalent input material**, defined by:

Product groups	Examples
Product name/type and category	Outdoor furniture
Type(s) of species	Oak
Chain of custody method	Physical separation
Material category	PEFC certified, neutral material
PEFC claim(s)	100% PEFC certified, 100% PEFC Origin

Equivalent input material (3.11): material that can be substituted with each other without significantly changing the appearance, function, grade, type or value of the output product



Management of the product group

The organization shall:

- Define the **scope** of its CoC certification by **specifying** the PEFC **product groups**
- Include product groups in the organization's **documented procedures**

Keep records relating to product groups of:

- a) all suppliers of PEFC claimed input material
- b) input material
- c) calculation of the certified content, **transfer of the percentage to output products and management of the credit account**, as applicable
- d) products sold/transferred
- e) Due Diligence System
- f) internal audits, periodic review, non-conformities, corrective actions
- g) complaints and their resolution

Identification of input

- Supplier identification
 - In case material must be with PEFC claim
 - Check validity of CoC certification (scope, status...) on [PEFC website](#)
- Product identification
- Quantity of products
- Delivery identification based on date of delivery, delivery period, or accounting period



Identification of input material (5.1)

For all inputs delivered with a PEFC claim the organisation shall verify that the supplier is covered by a PEFC recognised certificate on the PEFC website:


<https://pefc.org/find-certified>


A screenshot of the PEFC 'Find Certified' website. At the top, there is a breadcrumb trail 'Home > Find Certified'. The main heading 'Find Certified' is in a large, bold, green font. Below this, a paragraph states: 'PEFC maintains comprehensive databases to ensure easy access to relevant information about certificate holders, logo and label users, certified products, accredited certification bodies, and endorsed national certification systems.' A search input field contains the placeholder text 'Logo license number, certificate number or company name'. Below the input field are two buttons: a green 'Search' button with a magnifying glass icon, and a white 'Use the Advanced Search' button with a green border. The bottom of the page features a background image of a misty forest with tall evergreen trees.

Home > Find Certified

Find Certified

PEFC maintains comprehensive databases to ensure easy access to relevant information about certificate holders, logo and label users, certified products, accredited certification bodies, and endorsed national certification systems.

Search  OR **Use the Advanced Search**



PEFC claim (3.27)

PEFC official claim

- X% PEFC certified
- 100% PEFC Origin
- PEFC controlled sources

Accepted abbreviation

- X% PEFC

- Examples of wrong PEFC claim usage: ~~PEFC Recycled~~, ~~PEFC Mix~~, ~~PEFC x%~~, ~~PEFC Pure~~, ~~PEFC Credit~~, ~~PEFC CS~~



Accepted translations of the PEFC CoC claims

Official PEFC claim (English)	X% PEFC certified	PEFC controlled sources	100% PEFC Origin
Czech (Česky)	X% certifikováno PEFC	PEFC Kontrolované zdroje	100% původ PEFC
Danish (Dansk)	X% PEFC-certificeret	PEFC godkendte kilder	100% PEFC oprindelse
Dutch (Nederlands)	x% PEFC-gecertificeerd	PEFC gecontroleerde bronnen	100% uit PEFC-bossen
Estonian (Eesti keel)	X% PEFC-sertifitseeritud	PEFC-kontrollitud allikad	100% PEFC-päritolu
Finnish (Suomen kieli)	X % PEFC-sertifioitu	PEFC-kontrolloitu alkuperä	100 % PEFC-sertifioidusta metsistä
French (Français)	Certifié PEFC X %	PEFC Sources contrôlées	Origine PEFC 100%
German (Deutsch)	X% PEFC-zertifiziert	PEFC Kontrollierte Quellen	100% aus PEFC-Wäldern
Italian (Italiano)	X% certificato PEFC	Fonti controllate PEFC	100% Origine PEFC
Japanese (日本語)	X%PEFC認証	PEFC管理材	100%PEFC由来
Latvian (Latviešu valoda)	X% PEFC sertificēts	PEFC izsekojami avoti	100% PEFC izcelsme
Malaysia (Bahasa Malaysia)	X% dipersijil PEFC	Sumber terkawal PEFC	100% asal PEFC
Norwegian (Norsk bokmål)	X % PEFC sertifisert	PEFC kontrollerte kilder	100 % PEFC opprinnelse
Portuguese (Português)	X% Certificado PEFC	Fontes Controladas PEFC	100% de Origem PEFC
Slovak (Slovenčina)	X% PEFC certifikované	PEFC kontrolované zdroje	100% PEFC pôvod
Spanish (Español) Argentina, Chile, Uruguay	X% Certificado PEFC	Fuentes Controladas PEFC	100% Origen PEFC
Spanish (Español) Spain	X% PEFC Certificado	PEFC Fuentes Controladas	100% PEFC Origen
Swedish (Svenska)	X % PEFC-certifierad	PEFC Kontrollerade källor	100 % PEFC-ursprung
Thai (ไทย)	ได้การรับรอง PEFC ร้อยละ X	แหล่งที่มีการควบคุม PEFC	แหล่งกำเนิด PEFC ร้อยละ 100

Translated PEFC claims can be used:

- When selling to companies based on the same country or companies based in countries where the same language is spoken;
- And using the claims as per PEFC ST 2002 when selling to companies based in countries where the same language is not spoken

In any case, companies can use the official claims in English



Identification of input material – product identification (5.1.1.b)

Forest and tree-based material

- PEFC claimed material
 - *X% PEFC certified* → PEFC certified material
 - *100% PEFC Origin* → PEFC certified material
 - *PEFC Controlled Sources* → PEFC controlled sources
- Endorsed SFM ST claim from forest owner → PEFC certified material
- Recycled material → PEFC certified material
- Non-PEFC claimed material → Other material

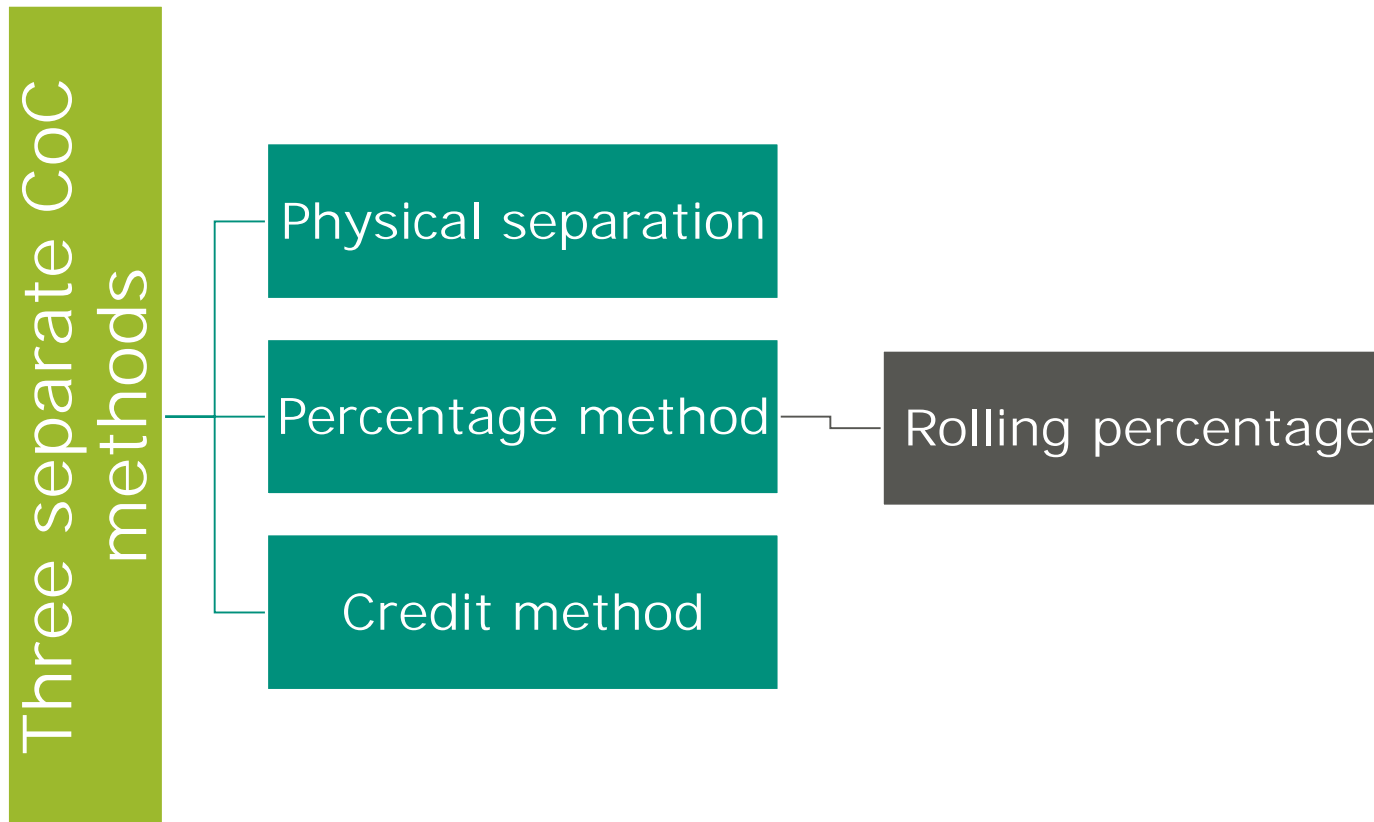
Non-forest and tree-based material → Neutral material



Declaration of outputs and sales (5.2)

- Specify the document where declaration of outputs are made
- Include the following info:
 - PEFC customer identification
 - the organisation's name as the supplier of the material
 - product identification
 - quantity of product(s)
 - date of delivery / delivery period / accounting period
 - the applicable PEFC claim specifically for each claimed product covered by the documentation
 - certificate number (PBN-PEFC-COC-#####)
- 3 potential CoC claims (X% PEFC certified, 100% PEFC Origin, PEFC Controlled Sources)

Chain of Custody methods





Physical separation method (6.3)



Ensure separation at all stages of processing



Previous suppliers can have used other methods

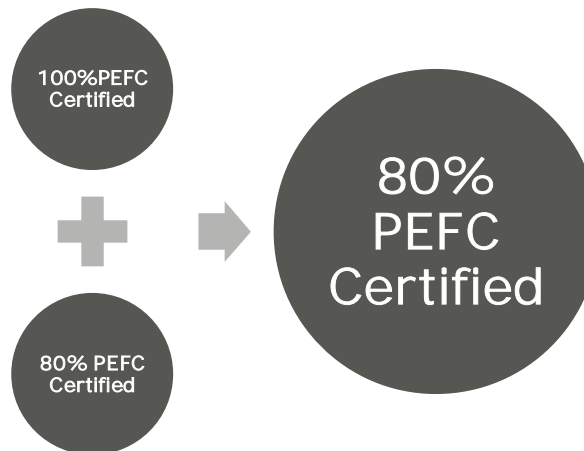


Means of separation:

separate storage,
marking, distinguishing product
characteristics or
production time.

Physical separation method (6.2)

- Material with different certified content may be used as input in the same PEFC product group. **Input lowest certified content = certified content of the output.**



- PEFC certified material and PEFC controlled sources material may be combined in the same PEFC product group. **Output claim is "PEFC controlled sources".**

Inputs

5t 100% PEFC Certified
5t PEFC Controlled Sources



Output

10t PEFC Controlled Sources



Percentage method (6.3)



Certified content of a PEFC product group
is calculated for a specified claim period



Based on the input material included in
the PEFC product group

Percentage method (6.3)

- Used to calculate the certified content of PEFC products groups for which PEFC certified and PEFC controlled sources material were used as input material
- Calculation of certified content (6.3.2)

$$\text{Certified content (Cc)} = \frac{\text{Volume of PEFC certified material (Vc)}}{\text{Volume of PEFC certified material (Vc)} + \text{Volume of FC controlled sources material (Vcm)}} \times 100$$

- *Neutral material is not considered in the calculation of the certified content.*
- *The certified content is calculated based on a single measurement unit used for all material covered by the calculation.*
- *Vc= quantity of certified content of the input material. The rest of the input material, will be considered PEFC controlled sources material.*
- *The certified content calculated for a PEFC product group shall be used as percentage in the PEFC claim “X% PEFC certified”.*

Example:

- Inputs: 1t "75% PEFC certified" + 1t "100% PEFC certified"
- Certified content (Cc) =
$$\frac{(750 + 1000)}{((750 + 1000) + 250)} \times 100$$
- Certified content (Cc) =
$$\frac{1750}{2000} \times 100 = 87,5\%$$
- Claim (2 t): "87,5% PEFC certified"
- On-product label allowed



Percentage method (6.3)

- Example: Printer producing a PEFC certified magazine
- Group product: magazine, with mix of non-PEFC certified paper (cover) and 100% PEFC certified paper (pages), percentage method, input material categories: PEFC certified and PEFC controlled sources
- Input material:
 - Cover: Paper non-PEFC certified (30 grams) - so PEFC Controlled sources (after going through DDS)
 - Pages: Paper 100% PEFC certified (300 grams)
- Certified content: $300 / (300 + 30) * 100 = 90,9\%$ PEFC certified
- On-product label allowed



Percentage method vs physical separation

- Same example for physical separation: Printer producing a book
- Group product: magazine, with mix of non-PEFC certified paper (cover) and 100% PEFC certified paper (pages), physical separation method, input material categories: PEFC controlled sources and PEFC certified
- Input material:
 - Cover: Paper non-PEFC certified (30 grames) – so PEFC Controlled sources (after going through DDS)
 - Pages: Paper 100% PEFC certified (300 grames)
- No calculation of Cc, lowest Cc is used
- CoC claim: PEFC controlled sources
- On-product label NOT allowed



Percentage method: Rolling percentage (6.3.4)

- Percentage method may be applied as rolling percentage
- Calculation of certified content:
 - Input period
Time period over which the **certified content** is calculated, **max 12 months**
 - Claim period (3.4)
Time period for which the certified content of a product group is determined, **max 3 months**

Example: *An organisation that has chosen a 3-month claim period and a 12-month input period calculates the certified content for the coming three months based on the input material procured in the previous 12 months.*

Credit method (6.4)

Total quantity of credits accumulated shall not exceed the sum of credits entered into the credit account during the last 24 months

May be expanded if average production period is longer

Credit account for each PEFC product group

multiple product groups → multiple credit accounts

different sites can use the same credit account

Cross-site percentage and credit calculations

Centralised
percentage or credit
calculation



- Per PEFC product group
- Not limited geographically
- No requirements for contributions by the sites
- No physical possession requirement

Certified content and output products (6.4.6)

- Two ways for calculating credits:

1. **Certified content*** and volume of output products of the relevant claim period

Credits (single unit) = Output volume * certified content

2. Certified input and input/output ratio (**verifiable***)

Credits (single unit) = Certified input * input/output ratio

- Can spend credits „partially“ *

*The organisation can use 7 units of credits to sell 7 units as 100% PEFC certified, or to sell 10 units as 70% PEFC certified.



Rolling percentage method vs credit method

- Applicable Cc to the output period:
 - same Cc for all the output products produced during the claim period
 - Cc up to the company, according to the available credits in the account
- Max input period
 - 12 months for percentage system
 - 24 months of accumulated credits for credit system method
- Max output product
 - 3 months for percentage system
 - Nothing for credit system

- Mechanism for the avoidance of material from **controversial sources**
- Risk-based approach
- Delivering **credibility** and **transparency**

Structure of the DDS:

1. **Chapter 7, requirements 7.1.2 a and b** of the main body of the standard: relevant for all organisations **ONLY using PEFC claimed material***

**(requirement 7.1.2 c is relevant for all organisations)*

2. **Appendix 1 (normative)**: relevant for organisations using **NOT PEFC claimed material**

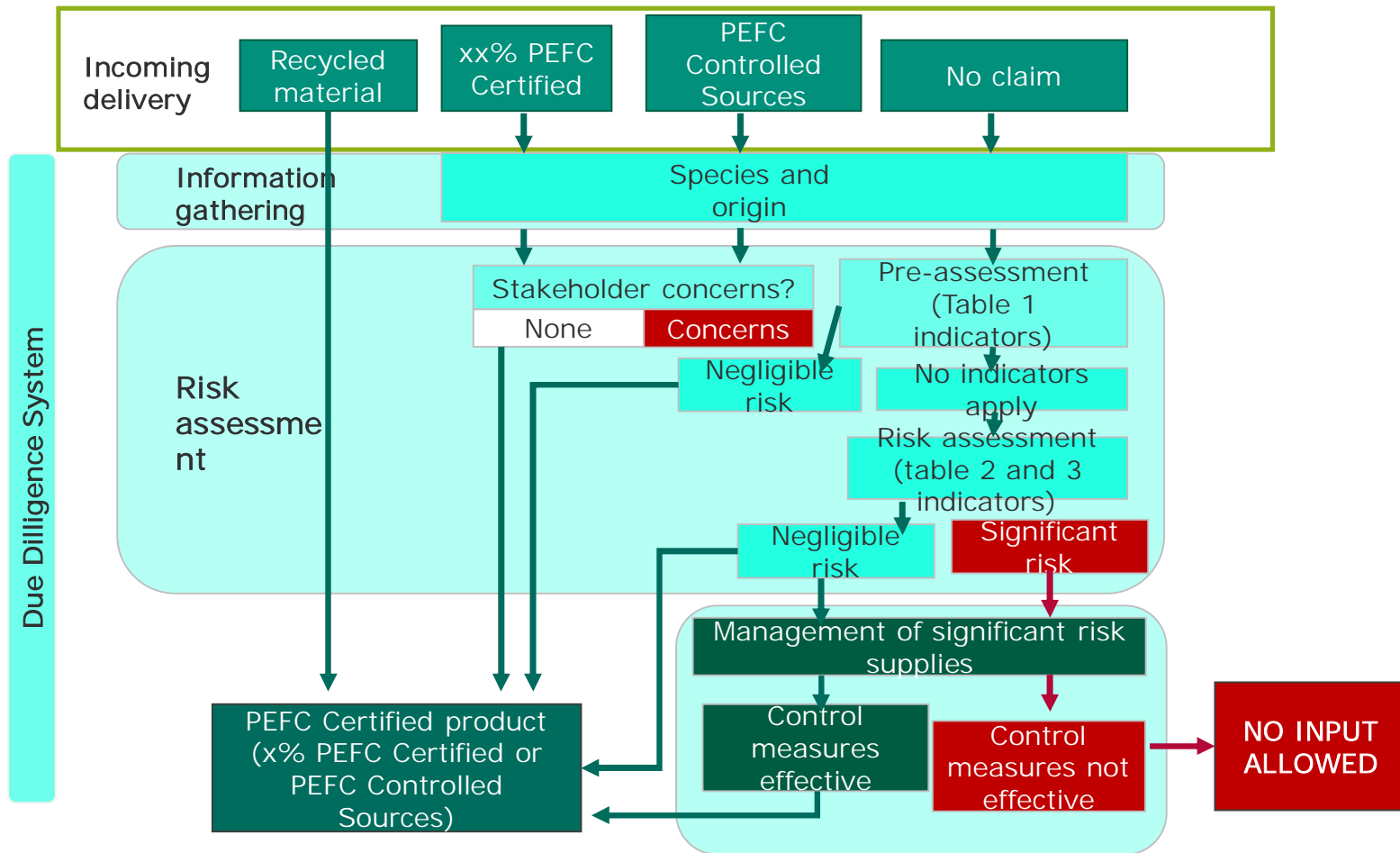
Scope of DDS

- For all material used in PEFC product groups
- Except for:
 - **recycled material** (which comply with PEFC's definition of recycled material, requirement 3.15)
 - raw material originating from species listed in **Appendix I to III of CITES** shall comply with applicable legislation relating to CITES
- **Implementing DDS:**
 - gathering information
 - risk assessment
 - management of significant risk supplies

Chapter 7: Simplified application

In case of PEFC claimed material following steps should be followed:

1. On request, the organisation shall provide the relevant information as per Step 1 of DDS: Access to information (Appendix 1, clause 2)
2. If there are substantiated concerns, these need to be followed according to step 3 of DDS (Appendix 1, clause 4)
3. Commitment and procedure to not put material on the market which is NOT covered by the CoC system but knowingly from controversial sources. If substantiated concerns, step 4 of DDS (Appendix 1, clause 4)



No placement on the market (Appendix 1, p 6.1 -6.3)

- Forest and tree-based material/products from unknown sources or from controversial sources shall not be included in a PEFC product group
- Where it is known that forest and tree-based materials/products **originate from illegal sources** -> shall not be placed on the market
- **Substantiated concerns** that forest and tree-based materials/products **originate in illegal sources** -> it shall not be placed on the market until the concern has been resolved



Types of certifications

- Individual certification
 - all of the activities relating to the organisation's chain of custody are carried out at the same site
- Multi-site certification
 - Activities are carried out on more than one site
 - Central office for planning, control, management
 - Sites where activities are carried out

"a central office at which activities are planned, controlled and managed and a network of sites at which activities are carried out"

Types of Multi-site Organisations (2.3)

- Multi-site organisations may cover:

- a) Organisation with franchises or companies where sites are linked through:
 - Common ownership
 - Common management
 - Other organisational link (not membership in association)
- b) **Producer Group**: group of independent legal enterprises (established for the purpose of Chain of Custody certification)

Group members requirements:

- Are located in the same, single, country
- Have maximum 50 employees (full time employees equivalent)
- Have maximum of 10,000,000 € OVERALL turnover

Internal audit programme (3.2.2)

- Prior to the Certification Body evaluation:
 - Audit of all the sites and central office, on site or remotely, where a remote verification is feasible.
 - Audit of any new site (according to previous requirement, either on-site or remotely)



Adding sites to an existing certificate

1. Client organisation informs Certification Body in advance, including number of sites to add (limited to 100% of n. existing sites)
2. Provides Certification Body with:
 - CoC procedures covering additional sites, CoC method and products
 - internal audit report for the site(s) considered
3. Certification Body reviews internal audit and determines if additional information needed



PEFC Trademark use

- PEFC logo and labels, chain of custody claims on-product and PEFC initials
- PEFC ST 2001, PEFC Trademarks Rules – Requirements
- In order to enable the organisation to use the PEFC trademarks in accordance with the PEFC Trademarks Rules, the organisation shall obtain a **valid trademark license** from the PEFC Council or another PEFC authorised body
 - The licence can cover several sites when they are part of a single legal entity

PEFC ST 2001:2020 Trademark Rules Contents

Sections 1-3: Scope, Normative References, Terms & Definitions,

Section 4: Ownership of PEFC Trademarks

Section 5: Scope of the PEFC Trademarks

Section 6: PEFC Trademarks Usage Requirements

Section 7: PEFC Trademarks Technical Requirements

Section 8: Graphic Requirements of the PEFC Labels

Appendix 1: Alternative Promotional Label Messages

Appendix 2: Examples of Wrong PEFC Label Usages



PEFC ST 2001:2020

PEFC Trademarks Rules – Requirements



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www.pefc.org



Ownership of PEFC Trademarks– Chapter 4

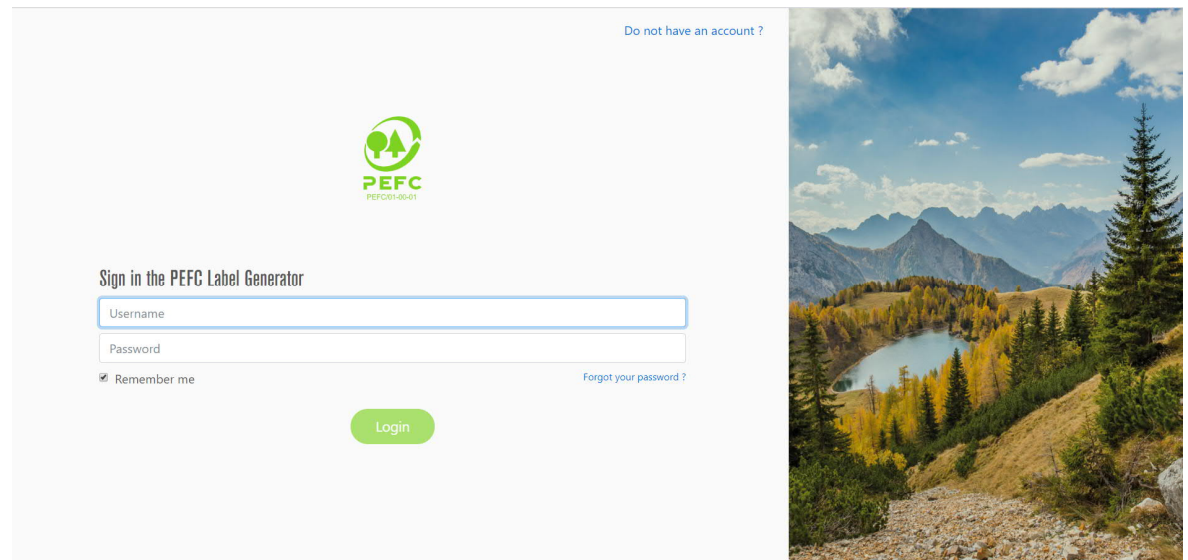
Two registered trademarks of PEFC that belong to the PEFC Council

- PEFC initials
- PEFC Logo


The PEFC logo and the PEFC initials shall not be accompanied by any symbols to indicate that they are registered trademarks, such as the TM or the “R”

To be used, Organizations shall hold a PEFC trademarks license agreement

- PEFC Label Generator mandatory
 - When organisations get certified against the 2020 version of the CoC ST



Do not have an account ?



Sign in the PEFC Label Generator


Username

Password

☒ Remember me

[Forgot your password ?](#)

Login





PEFC Trademarks Scope – Chapter 5

- On Product
 - a) Direct on tangible product
 - b) Indirect on media or marketing materials
 - c) Direct or indirect material used in production process
- Off Product
 - any usage not covered by on product

PEFC Trademarks usage requirements – Trademark users

Table 1: Overview of the usage

PEFC trademarks user	On-product usage	Off-product usage
Group A: National Governing Bodies	No	Yes
Group B: Sustainable forest management (SFM) certified entities	No	Yes
Group C: Chain of custody certified entities	Yes	Yes
Group D: Other users	No	Yes

Note 1: Group B certificate holders that also hold a **PEFC chain of custody** certificate and therefore belong also to Group C, can use the **PEFC trademarks** on-product.

Note 2: Additional off-product messages to be used, for instance, as forest signs, are suggested in Appendix A to be used by trademarks user Group B.

Note 3: For **retailers** under trademarks user Group D, see also requirement 6.3.4.4.

Technical Requirements – Chapter 7 – On product

- The product the trademarks refer to shall be clear
 - label message or name of product if clarification needed
- To determine percentage of certified material, the complete product shall be considered
- On product usage - 2 labels

PEFC Certified

Minimum 70% certified content



PEFC Recycled

Maximum 99,9% recycled material content



Technical Requirements – Chapter 7 – Off product

- Usage on non-commercial products allowed if:
 - clear; and
 - label message included
- Same requirements for the initials
- Alternative promotional label messages are listed in Appendix 1 of PEFC ST



Elements



1. PEFC logo

2. PEFC licence number

- Is meant to identify the trademarks user

3. Label name

4. Label message

5. Website

- *The trademark shall not be used with the R or TM symbols*

Graphic Requirements

Orientation, Dimensions & Minimum Size

Landscape



Portrait



The ratio and proportions of the PEFC label shall not be modified

Placement

The minimum amount of surrounding clear space in order to ensure the label is uncluttered and easily recognisable



Optional Elements

	PEFC certified label	PEFC recycled label	PEFC off-product label
PEFC logo	No	No	No
Label name	Yes	No	N/A
Label message	Yes *	Yes*	Yes*
PEFC website	Yes	Yes	Yes
Frame	Yes	Yes	Yes

Examples of incorrect label use



Do not change the font of the label elements



Do not change the proportions of the label elements in any way



Do not change the colour of any of the elements of the PEFC label



Do not stretch or compress the PEFC labels in any way



Do not use the PEFC labels with other messages, claims or labels that can be misunderstood or misleading with regard to PEFC



Respect distance between the elements of the PEFC label



Do not move or remove elements that are not allowed to be removed



Do not use the promotional label on-product



Do not use blurred PEFC labels



Respect the minimum amount of clear space (the equivalent to the height of the letter "P" in the logo) between the PEFC label and other labels and elements around the PEFC label



Do not use the PEFC labels with the "TM"



Keep in Touch with Us



Get connected!



www.preferredbynature.org

FSC™ A000535 / FSC accredited certification body | PEFC/01-44-49