



## Audit report

### FSC® – Chain of Custody

|   |  |  |
|---|--|--|
| <b>Address:</b>   | <b>Name:</b><br><b>Street:</b><br><b>Postal Code:</b><br><b>City:</b><br><b>Country:</b><br><b>Webpage</b>   | Deqing Jinxuan Wood Industry Co., Ltd.<br>Local name: 德清锦轩木业有限公司<br>(please show local name in FSC database)<br>Certification address and operation address:<br>No.3, Building 69, Block B, Phase II, Wood Veneer Market, Luoshe Town, Deqing County, 313200, Huzhou City, Zhejiang Province, China. |
| <b>Contact person:</b>  | <b>Name:</b><br><b>Phone:</b><br><b>Email:</b>   | Jiaxuan Hu<br>15857290450<br><a href="mailto:892216475@qq.com">892216475@qq.com</a>  |
| <b>Type of audit:</b>   | <input checked="" type="checkbox"/> Certification audit <input type="checkbox"/> Re-Certification audit<br><input type="checkbox"/> Surveillance audit <input type="checkbox"/> Re-Audit/other audit type<br><input checked="" type="checkbox"/> On-site audit <input type="checkbox"/> Desk-/Remote audit (justification needed in chapter 1.2) |  |
| <b>Date of audit:</b>   | 2023-03-10   |  |
| <b>FSC certificate number:</b>  | TUVDC-COC-888284<br>TUVDC-CW-888284  |  |
| <b>Validity period:</b><br>(for surveillance audit only and as given in FSC database) |  |  |
| <b>FSC license number:</b><br>(for surveillance audit only)                           |  |  |
| <b>Certification Body:</b>  |  |  |
| <b>DIN CERTCO</b><br>Alboinstraße 56<br>12103 Berlin<br>Germany                       | <b>Phone:</b><br><b>Fax:</b><br><b>E-mail:</b><br><b>Web:</b>  | <b>+49 30 7562 1131</b><br><b>+49 30 7562 1141</b><br><a href="mailto:service-forst@dincertco.de">service-forst@dincertco.de</a><br><a href="http://www.dincertco.de">www.dincertco.de</a>   |

## 1 Scope of Certification

### 1.1 Customer Information

Please fill in the following table.

Table 1:

|  |  |
|--|--|
| Access to Label Generator needed?<br>(only applicable for main evaluation)   | <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No<br><br>Please provide the e-mail-adress to be granted access:<br><a href="mailto:892216475@qq.com">892216475@qq.com</a>                            |
| Type of certificate  | <input type="checkbox"/> Single certificate<br><input checked="" type="checkbox"/> Single certificate (Multiple site)<br><input type="checkbox"/> Multi-site-certificate<br><input type="checkbox"/> Group certificate |
| Number of employees  | 10   |
| Revenue  | CNY 2,187,105  |
| Forest Products Turnover   | CNY 2,187,105  |
| Turnover category according to FSC-POL-20-005 AAF<br>Based on Forest Products Turnover. Once not available, based on total Revenue | Class: 1   |
| Start date of fiscal year  | 2022-01-01   |
| End date of fiscal year  | 2022-12-31   |
| Activity of certificate holder for entry in FSC database   | <input checked="" type="checkbox"/> Trader<br><input type="checkbox"/> Processor   |
| FSC Control system   | <input type="checkbox"/> FSC Credit system<br><input type="checkbox"/> FSC Percentage system<br><input checked="" type="checkbox"/> FSC Transfer system  |

## 1.2 Overview of sites/Surveillance plan

Table 2: Audit planning

Names according to list of participants

| SUB-CODE | Company (including all sites)   | Activity                        | Certification /Re-certification | 1. Surveillance | 2. Surveillance | 3. Surveillance | 4. Surveillance |
|----------|---|---------------------------------|---------------------------------|-----------------|-----------------|-----------------|-----------------|
| A        | Deqing Jinxuan Wood Industry Co., Ltd.<br>Registered address: No. 31, Dagutian, Luoshe Village, Luoshe Town, Deqing County, 313200, Huzhou City, Zhejiang Province, China.<br>Certification address and operation address: No.3, Building 69, Block B, Phase II, Wood Veneer Market, Luoshe Town, Deqing County, 313200, Huzhou City, Zhejiang Province, China. | Trader with physical possession | 2023-03-10<br>Jiayu Wang        |                 |                 |                 |                 |
| A        |   |                                 |                                 |                 |                 |                 |                 |

|  |
|--|
| Auditor/s: Jiayu Wang<br>Qualification: Bachelor of Forestry, six years of experience as an auditor. |
| Justification, once remote or Desk-audit:<br>N.A.  |

Legend:

|          |  |
|----------|--|
| Sub-code | Sub-certificate number for groups and multi-site   |
| Activity | Flexible description of the activities, e.g. Production, Storage, Assembling, Shaping etc. |

**1.3 Scope of Certificate**

Please enter information, as will be displayed on the FSC database.

Table 3:

| Product type                     | Species  | Primary Activity                | Secondary Activity | Main output category  |
|----------------------------------|--|---------------------------------|--------------------|-----------------------|
| W1 wood<br>W1.1 Roundwood (logs) | Rough<br>Acacia mangium;<br>Acer campestre L.;<br>Acer platanoides;<br>Acer pseudoplatanus;<br>Acer rubrum;<br>Acer saccharum;<br>Acer nigrum;<br>Betula pendula;<br>Betula pubescens;<br>Betula platyphylla;<br>Betula nigra;<br>Eucalyptus deglupta Blume;<br>Eucalyptus globulus;<br>Eucalyptus grandis;<br>Fagus sylvatica L.;<br>Fraxinus americana;<br>Fraxinus chinensis;<br>Fraxinus excelsior L.;<br>Hevea brasiliensis;<br>Juglans nigra L.;<br>Juglans regia L.;<br>Larix decidua;<br>Larix gmelinii;<br>Larix kaempferi;<br>Larix sibirica;<br>Picea abies;<br>Pinus armandii Franch.;<br>Pinus caribaea;<br>Pinus contorta;<br>Pinus densiflora;<br>Pinus elliotii;<br>Pinus massoniana;<br>Pinus nigra;<br>Pinus ponderosa;<br>Pinus radiata;<br>Pinus sibirica;<br>Pinus strobus;<br>Pinus sylvestris;<br>Pinus taeda;<br>Populus alba;<br>Populus cathayana;<br>Populus deltoides;<br>Populus lasiocarpa;<br>Populus maximowiczii; | Trader with physical possession | /                  | FSC 100%;<br>FSC Mix. |

|   |   |  |   |  |
|---|---|--|---|--|
|   | <p>Populus nigra;<br/>                 Populus simonii;<br/>                 Populus tomentosa;<br/>                 Populus tremula;<br/>                 Populus tremuloides;<br/>                 Prunus avium;<br/>                 Pseudotsuga menziesii;<br/>                 Quercus alba;<br/>                 Quercus robur;<br/>                 Quercus rubra;<br/>                 Robinia pseudoacacia;<br/>                 Tectona grandis;<br/>                 Ulmus alata;<br/>                 Ulmus americana L.;<br/>                 Ulmus carpinifolia var.sarniensis;<br/>                 Ulmus laevis;<br/>                 Ulmus rubra;</p>  |  |   |  |
| <p>W5 Solid wood<br/>                 (sawn, chipped,<br/>                 peeled)<br/>                 W5.2 Solid<br/>                 wood boards</p> | <p>Acacia mangium; Acer campestre L.;<br/>                 Acer platanoides; Acer<br/>                 pseudoplatanus; Acer rubrum; Acer<br/>                 saccharum; Acer nigrum; Betula<br/>                 pendula; Betula pubescens; Betula<br/>                 platyphylla; Betula nigra; Eucalyptus<br/>                 deglupta Blume; Eucalyptus globulus;<br/>                 Eucalyptus grandis; Fagus sylvatica L.;<br/>                 Fraxinus americana; Fraxinus<br/>                 chinensis; Fraxinus excelsior L.; Hevea<br/>                 brasiliensis; Juglans nigra L.; Juglans<br/>                 regia L.; Larix decidua; Larix gmelinii;<br/>                 Larix kaempferi; Larix sibirica; Picea<br/>                 abies; Pinus armandii Franch.; Pinus<br/>                 caribaea; Pinus contorta; Pinus<br/>                 densiflora; Pinus elliotii; Pinus<br/>                 massoniana; Pinus nigra; Pinus<br/>                 ponderosa; Pinus radiata; Pinus<br/>                 sibirica; Pinus strobus; Pinus sylvestris;<br/>                 Pinus taeda; Populus alba; Populus<br/>                 cathayana; Populus deltoides; Populus<br/>                 lasiocarpa; Populus maximowiczii;<br/>                 Populus nigra; Populus simonii;<br/>                 Populus tomentosa; Populus tremula;<br/>                 Populus tremuloides; Prunus avium;<br/>                 Pseudotsuga menziesii; Quercus alba;<br/>                 Quercus robur; Quercus rubra; Robinia<br/>                 pseudoacacia; Tectona grandis; Ulmus<br/>                 alata; Ulmus americana L.; Ulmus<br/>                 carpinifolia var.sarniensis; Ulmus<br/>                 laevis; Ulmus rubra;</p> | <p>Trader with<br/>                 physical<br/>                 possession</p> | / | <p>FSC 100%;<br/>                 FSC Mix.</p> |
| <p>W7 Veneer<br/>                 W7.2 Sliced<br/>                 veneer</p>   | <p>Acacia mangium; Acer campestre L.;<br/>                 Acer platanoides; Acer<br/>                 pseudoplatanus; Acer rubrum; Acer<br/>                 saccharum; Acer nigrum; Betula<br/>                 pendula; Betula pubescens; Betula<br/>                 platyphylla; Betula nigra; Eucalyptus<br/>                 deglupta Blume; Eucalyptus globulus;<br/>                 Eucalyptus grandis; Fagus sylvatica L.;<br/>                 Fraxinus americana; Fraxinus<br/>                 chinensis; Fraxinus excelsior L.; Hevea<br/>                 brasiliensis; Juglans nigra L.; Juglans<br/>                 regia L.; Larix decidua; Larix gmelinii;<br/>                 Larix kaempferi; Larix sibirica; Picea<br/>                 abies; Pinus armandii Franch.; Pinus<br/>                 caribaea; Pinus contorta; Pinus</p>  | <p>Trader with<br/>                 physical<br/>                 possession</p> | / | <p>FSC 100%;<br/>                 FSC Mix.</p> |

|                                      |  |                                 |   |                       |
|--------------------------------------|--|---------------------------------|---|-----------------------|
|                                      | densiflora; Pinus elliottii; Pinus massoniana; Pinus nigra; Pinus ponderosa; Pinus radiata; Pinus sibirica; Pinus strobus; Pinus sylvestris; Pinus taeda; Populus alba; Populus cathayana; Populus deltoides; Populus lasiocarpa; Populus maximowiczii; Populus nigra; Populus simonii; Populus tomentosa; Populus tremula; Populus tremuloides; Prunus avium; Pseudotsuga menziesii; Quercus alba; Quercus robur; Quercus rubra; Robinia pseudoacacia; Tectona grandis; Ulmus alata; Ulmus americana L.; Ulmus carpinifolia var.sarniensis; Ulmus laevis; Ulmus rubra;  |                                 |   |                       |
| W8 Wood panels<br>W8.1 Plywood       | Acacia mangium; Acer campestre L.; Acer platanoides; Acer pseudoplatanus; Acer rubrum; Acer saccharum; Acer nigrum; Entandrophragma cylindricum; Eucalyptus deglupta Blume; Eucalyptus globulus; Eucalyptus grandis; Fagus sylvatica L.; Fraxinus americana; Fraxinus chinensis; Fraxinus excelsior L.; Juglans nigra L.; Juglans regia L.; Liriodendron tulipifera L.; Pinus armandii Franch.; Pinus caribaea; Pinus contorta; Pinus densiflora; Pinus elliottii; Pinus massoniana; Pinus nigra; Pinus ponderosa; Pinus radiata; Pinus sibirica; Pinus strobus; Pinus sylvestris; Pinus taeda; Populus alba; Populus cathayana; Populus deltoides; Populus lasiocarpa; Populus maximowiczii; Populus nigra; Populus simonii; Populus tomentosa; Populus tremula; Populus tremuloides; Prunus avium; Prunus serotina Ehrh.; Quercus alba; Quercus robur; Quercus rubra; Tilia americana L; Tilia cordata P.Mill.; Tilia platyphyllos; Ulmus alata; Ulmus americana L.; Ulmus carpinifolia var.sarniensis; Ulmus laevis; Ulmus rubra; | Trader with physical possession | / | FSC 100%;<br>FSC Mix. |
| W8 Wood panels<br>W8.2 Particleboard | Acacia mangium; Acer campestre L.; Acer platanoides; Acer pseudoplatanus; Acer rubrum; Acer saccharum; Acer nigrum; Betula pendula; Betula pubescens; Betula platyphylla; Betula nigra; Eucalyptus deglupta Blume; Eucalyptus globulus; Eucalyptus grandis; Fagus sylvatica L.; Fraxinus americana; Fraxinus chinensis; Fraxinus excelsior L.; Hevea brasiliensis; Juglans nigra L.; Juglans regia L.; Larix decidua; Larix gmelinii; Larix kaempferi; Larix sibirica; Picea abies; Pinus armandii Franch.; Pinus caribaea; Pinus contorta; Pinus densiflora; Pinus elliottii; Pinus massoniana; Pinus nigra; Pinus ponderosa; Pinus radiata; Pinus  | Trader with physical possession | / | FSC 100%;<br>FSC Mix. |

|  |  |                                 |   |                     |
|--|--|---------------------------------|---|---------------------|
|  | sibirica; Pinus strobus; Pinus sylvestris; Pinus taeda; Populus alba; Populus cathayana; Populus deltoides; Populus lasiocarpa; Populus maximowiczii; Populus nigra; Populus simonii; Populus tomentosa; Populus tremula; Populus tremuloides; Prunus avium; Pseudotsuga menziesii; Quercus alba; Quercus robur; Quercus rubra; Robinia pseudoacacia; Tectona grandis; Ulmus alata; Ulmus americana L.; Ulmus carpinifolia var.sarniensis; Ulmus laevis; Ulmus rubra;  |                                 |   |                     |
| W1 Rough wood<br>W1.1 Roundwood (logs) | Acer campestre L.; Acer platanoides; Acer pseudoplatanus; Acer rubrum; Acer saccharum; Acer nigrum; Carya cathayensis Sarg.; Carya tomentosa; Entandrophragma cylindricum; Eucalyptus camaldulensis; Eucalyptus deglupta Blume; Eucalyptus globulus; Eucalyptus grandis; Eucalyptus urophylla; Fagus grandifolia Ehrh.; Fagus sylvatica L.; Fraxinus americana; Fraxinus chinensis; Fraxinus excelsior L.; Juglans nigra L.; Juglans regia L.; Liriodendron tulipifera L.; Pinus caribaea; Pinus contorta; Pinus densiflora; Pinus elliotii; Pinus massoniana; Pinus nigra; Pinus radiata; Pinus sibirica; Pinus strobus; Pinus sylvestris; Pinus taeda; Populus alba; Populus cathayana; Populus deltoides; Populus lasiocarpa; Populus maximowiczii; Populus nigra; Populus simonii; Populus tomentosa; Populus tremula; Populus tremuloides; Prunus avium; Prunus serotina Ehrh.; Quercus alba; Quercus rubra; Tilia americana L; Tilia cordata P.Mill.; Tilia platyphyllos; Ulmus alata; Ulmus americana L.; Ulmus carpinifolia var.sarniensis; Ulmus laevis; Ulmus rubra; | Trader with physical possession | / | FSC Controlled Wood |
| W7 Veneer<br>W7.2 Sliced veneer        | Acer campestre L.; Acer platanoides; Acer pseudoplatanus; Acer rubrum; Acer saccharum; Acer nigrum; Carya cathayensis Sarg.; Carya tomentosa; Entandrophragma cylindricum; Eucalyptus camaldulensis; Eucalyptus deglupta Blume; Eucalyptus globulus; Eucalyptus grandis; Eucalyptus urophylla; Fagus grandifolia Ehrh.; Fagus sylvatica L.; Fraxinus americana; Fraxinus chinensis; Fraxinus excelsior L.; Juglans nigra L.; Juglans regia L.; Liriodendron tulipifera L.; Pinus caribaea; Pinus contorta; Pinus densiflora; Pinus elliotii; Pinus massoniana; Pinus nigra; Pinus radiata; Pinus sibirica; Pinus strobus; Pinus sylvestris; Pinus taeda; Populus alba; Populus cathayana; Populus deltoides; Populus lasiocarpa; Populus maximowiczii; Populus nigra; Populus  | Trader with physical possession | / | FSC Controlled Wood |

|  |  |  |  |  |
|--|--|--|--|--|
|  | simonii; Populus tomentosa; Populus tremula; Populus tremuloides; Prunus avium; Prunus serotina Ehrh.; Quercus alba; Quercus rubra; Tilia americana L; Tilia cordata P.Mill.; Tilia platyphyllos; Ulmus alata; Ulmus americana L.; Ulmus carpinifolia var.sarniensis; Ulmus laevis; Ulmus rubra; |  |  |  |
|--|--|--|--|--|

**Legend:**

|   |   |
|---|---|
| Product Type  | According to FSC-STD-40-004a, Level 2   |
| Trade name  | In national language, if required   |
| Type of wood  | Botanical name according to database  |
| Primary Activity<br>Secondary Activity<br><br><b>ATTENTION:<br/>Please indicate<br/>Primary <u>and</u><br/>Secondary activity</b> | According to FSC Definition:<br>- Logging<br>- Primary Processor<br>- Secondary Processor<br>- Printing and related service<br>- Publishing activity<br>- Trader with physical possession<br>- Trader without physical possession<br>- Retailer<br>- Distributor/Wholesaler<br>- Gathering of non-wood products |
| Material Category   | Material Category according to FSC-STD-40-004   |

Short summary for the documentation on the certificate (if required other languages, please indicate translation, too)

Trade of round wood, solid wood boards, sliced veneer, plywood and particleboard with physical possession.

**1.4 Applicable FSC Standard(s)**

Please tick the applicable standard and add the version of the used standard.

**Table 4:**

|                                     | Code                  | Title   |
|-------------------------------------|-----------------------|---|
| <input checked="" type="checkbox"/> | <b>FSC-STD-40-004</b> | <b>FSC Standard for Chain of Custody Certification V3-1</b>   |
| <input type="checkbox"/>            | FSC-STD-40-003        | Chain of Custody Certification of Multiple Sites V2-1<br>Please add report multi-site 1 to this audit report  |
| <input type="checkbox"/>            | FSC-STD-40-005        | Standard for Company Evaluation of FSC Controlled Wood V3-1<br>Please add report controlled wood to this audit report                                 |
| <input type="checkbox"/>            | FSC-STD-40-007        | Sourcing reclaimed material for use in FSC Product Groups or FSC Certified Projects V2-0<br>Please add report reclaimed material to this audit report |





## 1.5 Amendments since the last audit

Please select:

- FSC database information are accurate and up-to-date. (please verify at info.fsc.org)  
 FSC Database needs adjustments, as given in the following table. Application for amendments needs to be handed in by the organization.

Please indicate any changes and briefly describe:

Table 5:

|                          | Type of Change           | Comment and indication of change |
|--------------------------|--------------------------|----------------------------------|
| <input type="checkbox"/> | Change in address        |                                  |
| <input type="checkbox"/> | Change of contact person |                                  |
| <input type="checkbox"/> | Applicable standard      |                                  |
| <input type="checkbox"/> | Product groups           |                                  |
| <input type="checkbox"/> | Material category        |                                  |
| <input type="checkbox"/> | others                   |                                  |

## 2 The company and its activities

### 2.1 FSC-responsibilities

Please give the name of the main responsible person.

Table 6:

| Task  | Name       |
|---|------------|
| FSC responsible   | Hu Jiakuan |
| Supplier validation   | He Xiaoxu  |
| Material receipt  | He Xiaoxu  |
| Purchase  | He Xiaoxu  |
| Internal process/production   | /          |
| Material storage  | He Xiaoxu  |
| Sales   | He Xiaoxu  |
| Trademark usage   | He Xiaoxu  |
| OHAS  | Hu Jiakuan |
| Take-over of wood in the forest (to be included in the audit in case of FSC CW) | /          |

## 2.2 FSC Volumina input and output

**Annual volumes:**

Please fill in the following table 7, in case of Multi-Site companies once per site. The following information are the minimum requirements for the audit report. Please attach the details per products.

Period: From to

Table 7: Annual volumes FSC

*ATTENTION: Product groups without sales do not have to be listed here.*

*If the previous audit was waived based on missing purchases and sales (compare section 3.3 and 3.4 of FSC-STD-20-011 standard), please check the evidence until the last implemented audit and if necessary list them on a separate table.*

Product groups without sales, initial audit.

|  | Purchase          |           |  | Sales  |           |
|--|-------------------|-----------|--|--------|-----------|
| Product group (including information on species once needed) | Material (amount) | FSC Claim | Product group (including information on species once needed) | Amount | FSC Claim |
|  |                   |           |  |        |           |
|  |                   |           |  |        |           |

The Details of the volumes can be attached.

### **2.3 Description of the system including critical control points**

Short description of Chain-of-Custody system of the company. This shall include information on the Control system including information on traceability and identification, Material sourcing, volume determination and sales/declaration, production process, Labelling. Further points can be added depending on the need to describe the organisatioJians processes.

Critical control points are places or situations in the supply chain where uncontrolled or uncertified material could enter the system.

#### Table 8:

Deqing Jinxuan Wood Industry Co., Ltd. is a limited company founded in 2018 in Deqing county, China. All staffs base in the operation address, and the registered address is unoccupied. All the processes are finished in this single site. No activity in the registered address, the company is certified as single certificate with two sites.

The company engage in trading round wood, solid wood boards, sliced veneer, plywood and particleboard. The company purchases products from USA, Canada and domestic market, and the company sells to domestic market. The company has a warehouse to store products. The transfer system is adopted. It applied FSC certification of wood related products, and no other activities are performed related with FSC certification.

| <b>Control points</b>             | <b>Description<br/>specification of the critical control points</b>   |
|-----------------------------------|---|
| Traceability and identification   | <p>The company has established manual (JX-CoC-A-2023 Ver. A/0 date: 2023-03-07) and FSC control procedure (FSC/COCP-01~17), including records control, purchase control, sales control and label control. See annex for manual.</p> <p>About the requirements for traceability and identification, it is ensured by accounting record, the related individual sheets, they will record the purchase and sales according to the invoice, contract and other documents. All required information by the FSC standard are included on this documents to ensure the traceability for all following steps (purchase, sales). By cross validation, the traceability can be ensured.</p> |
| Material sourcing                 | <p>The company has established supplier list with supplier information, certificate code, material category and supplied product. The company provided the verification records verified before each purchasing.</p> <p>The company purchased FSC 100% W1.1 Roundwood. The supplier's FSC certificate code and FSC claim were indicated in the simulated supplier invoice, See Annex 7.</p>   |
| Volume determination              | <p>The company provided the purchase summary with date, supplier information, product information, quantity, invoice number, order number and material category. See Annex 9.</p> <p>The company provided the sales summary with date, client information, product information, FSC claim, quantity, order number, invoice number. See Annex 9.</p> <p>The annual summary is in place. The company recorded the quantities of purchased and sold of FSC products, and inventories. See Annex 9.</p>   |
| Production process                | <p>The company is a trader with physical possession, but does not involve any processing.</p> <p>The company has stored FSC products and non-FSC products separately with isolation ropes. During the audit, there are not FSC products stored.</p>   |
| Sales/declaration                 | <p>The company sold FSC 100% W1.1 Roundwood. The company's certificate code and FSC claim were specified in the simulated sales invoice. See Annex 8.</p>   |
| System for controlling FSC claims | <p>The company uses transfer system for all product groups for job order, which has been defined in the manual and product type list. As the simulated orders, the inputs are FSC 100%, the outputs are FSC 100%.</p>   |
| Labelling                         | <p>By interview, organization did not use FSC trademark on product. Organization did not have company website and products catalog, organization did not use FSC off-product trademark.</p> <p>The responsible person understood how to generate FSC logo and the use process, as well as the approval of the certification body before usage.</p>  |

## 2.4 Outsourcing activities included in the scope of the certificate

The organization is having outsourcing activities:

- Yes  
 No

Please list companies and outsourced processes in the table below. Please also name certified companies. In case that for Multi-Site certification some contractor does not work for all participants please indicate the participating site the contractor is working for.

Table 9:

| Company<br>(incl. complete<br>contact data) | Contact person<br>(incl. E-mail address<br>and phone number)<br><br>(can be left out once<br>needed due to data<br>protection regulation) | short description of<br>activity | For Multi-Site/group:<br>which site are they<br>working for? |
|---|---|----------------------------------|--|
|   |   |                                  | Please name "all" or<br>individual participants              |
|   |   |                                  |  |
|   |   |                                  |  |
|   |   |                                  |  |
|   |   |                                  |  |

## 2.5 Non-conforming products

|                                     | Comment   |
|-------------------------------------|---|
| <input checked="" type="checkbox"/> | Neither DIN CERTCO nor the organisation has any information about non-conforming products in relation to the scope of the certificate                       |
| <input type="checkbox"/>            | Yes, non-conforming products were identified. Please add further information in the checklist "COC management system (Part 1, chapter 1 in FSC-STD-40-004)" |

## 2.6 Complaints related to FSC activities – description and evaluation

|                                     | Comment and indication of change  |
|-------------------------------------|---|
| <input checked="" type="checkbox"/> | Neither DIN CERTCO nor the organisation received complaints related to the FSC activities of the organisation.  |
| <input type="checkbox"/>            | DIN CERTCO or the organisation received complaints, disputes or allegations since the last audit related to the organisations FSC activities Please add more details in in the checklist COC management system (Part 1, chapter 1 in FSC-STD-40-004)" |

## 2.7 Risk Assessment

Are all processes well organized and documented?

Yes       No

Is an extensive identification and traceability of the materials based on the standardised measures enabled?

Yes       No

Is the documentation of the control system and of the production comprehensible?

Yes       No

Does the Chain of Custody ensures, that it is unlikely to mix certified and non-certified materials under normal operational conditions?

Yes       No

Please shortly describe.

The company is a trader with physical possession. The company simulated purchased and sold FSC 100% W1.1 Roundwood. The workflows are organized and documented. Within the standard procedures, the purchase and sales documents are guaranteed an identification and traceability of the materials. The risk of mixing is low.

## 2.8 Summary

The results of the audit with regard to the single sections of FSC-STD-40-004 are:

Table 10:

| Topic  | Evaluation                          |                                       |   |  | Identified non-conformities |
|--|-------------------------------------|---------------------------------------|---|--|-----------------------------|
|  | Not applicable                      | Conformity with standard requirements | Partially conformity with standard requirements | Significant deviation from the standard requirements |                             |
| CoC management system (FSC-STD-40-004 chapter 1)   | <input type="checkbox"/>            | <input checked="" type="checkbox"/>   | <input type="checkbox"/>                        | <input type="checkbox"/>                             |                             |
| Material sourcing (FSC-STD-40-004 chapter 2)   | <input type="checkbox"/>            | <input checked="" type="checkbox"/>   | <input type="checkbox"/>                        | <input type="checkbox"/>                             |                             |
| Material handling (FSC-STD-40-004 chapter 3)   | <input type="checkbox"/>            | <input checked="" type="checkbox"/>   | <input type="checkbox"/>                        | <input type="checkbox"/>                             |                             |
| FSC material and products records (FSC-STD-40-004 chapter 4)                             | <input type="checkbox"/>            | <input checked="" type="checkbox"/>   | <input type="checkbox"/>                        | <input type="checkbox"/>                             |                             |
| Sales (FSC-STD-40-004 chapter 5)   | <input type="checkbox"/>            | <input checked="" type="checkbox"/>   | <input type="checkbox"/>                        | <input type="checkbox"/>                             |                             |
| Compliance with timber legality Legislation (FSC-STD-40-004 chapter 6)                   | <input type="checkbox"/>            | <input checked="" type="checkbox"/>   | <input type="checkbox"/>                        | <input type="checkbox"/>                             |                             |
| Establishment of product groups for the control of FSC claims (FSC-STD-40-004 chapter 7) | <input type="checkbox"/>            | <input checked="" type="checkbox"/>   | <input type="checkbox"/>                        | <input type="checkbox"/>                             |                             |
| Implementation of the requirements to the transfer system (FSC-STD-40-004 chapter 8-10)  | <input type="checkbox"/>            | <input checked="" type="checkbox"/>   | <input type="checkbox"/>                        | <input type="checkbox"/>                             |                             |
| FSC – labelling (FSC-STD-40-004 chapter 11)  | <input type="checkbox"/>            | <input checked="" type="checkbox"/>   | <input type="checkbox"/>                        | <input type="checkbox"/>                             |                             |
| Outsourcing (FSC-STD-40-004 chapter 12)  | <input checked="" type="checkbox"/> | <input type="checkbox"/>              | <input type="checkbox"/>                        | <input type="checkbox"/>                             |                             |
| Eligibility for single CoC certification (FSC-STD-40-004 chapter 13)                     | <input checked="" type="checkbox"/> | <input type="checkbox"/>              | <input type="checkbox"/>                        | <input type="checkbox"/>                             |                             |



### 3 Non-conformities

Legend:

|                             |  |
|-----------------------------|--|
| Number:                     | Please do the numbering of the findings in a systematic way including information on the relevant year and independent on the grading of the finding.<br>Example: 2015-01, 2015-02, 2016-01, 2017-01 |
| Deadline:                   | Please name the concrete date (exact day).   |
| Evidences in the audit:     | Please describe the result of audit and the proof.   |
| non-conformity:             | Necessary corrective actions request or standard requirements.   |
| Reference to standard/site: | Please indicate the relevant chapter of the standard.<br>Only for Multi-Site and groups, classification for central office or participant / site or both   |
| Correction:                 | Corrective actions done by the company to close the finding.   |
| Fullfilled:                 | Yes or no – old open non-conformities shall be copied in the list of up-to-date non-conformities.  |

#### 3.1 Previous non-conformities

##### 3.1.1 Overview certification period

In case of re-certification audits, please add the non-conformities from the last audit including information on corrective action measures.

Not applicable, no non-conformities identified, nor corrective measures required

Table 11:

| Number | Time line | Evidences in the audit | Reference to standard/ Site | non-conformity according to FSC Standard (negative sentence of standard requirement) |
|--------|-----------|------------------------|-----------------------------|--|
|        |           |                        |                             |  |
|        |           | <b>Correction</b>      | <b>fulfilled</b>            |  |
|        |           |                        |                             |  |
| Number | Time line | Evidences in the audit | Reference to standard/ Site | non-conformity according to FSC Standard (negative sentence of standard requirement) |
|        |           |                        |                             |  |
|        |           | <b>Correction</b>      | <b>fulfilled</b>            |  |
|        |           |                        |                             |  |

### 3.2 Current non-conformities

#### 3.2.1 Major non-conformities

Not applicable, no non-conformities identified, nor corrective measures required

Table 12:

| Number | Timeli<br>ne | Evidences in the audit | Reference<br>to<br>standard/<br>Site | non-conformity according<br>to FSC Standard (negative<br>sentence of standard<br>requirement) |
|--------|--------------|------------------------|--------------------------------------|---|
|        |              |                        |                                      |   |
|        |              | <b>Correction</b>      | <b>fulfilled</b>                     |   |
|        |              |                        |                                      |   |
| Number | Timeli<br>ne | Evidences in the audit | Reference<br>to<br>standard/<br>Site | non-conformity according<br>to FSC Standard (negative<br>sentence of standard<br>requirement) |
|        |              |                        |                                      |   |
|        |              | <b>Correction</b>      | <b>fulfilled</b>                     |   |
|        |              |                        |                                      |   |

#### 3.2.2 Minor non-conformities

Not applicable, no non-conformities identified, nor corrective measures required

Table 13:

| Number | Timeline | Evidences in the<br>audit | Reference<br>to<br>standard/<br>Site | non-conformity<br>according to FSC<br>Standard (negative<br>sentence of standard<br>requirement) |
|--------|----------|---------------------------|--------------------------------------|--|
|        |          |                           |                                      |  |
|        |          | <b>Correction</b>         | <b>fulfilled</b>                     |  |
|        |          |                           |                                      |  |
| Number | Timeline | Evidences in the<br>audit | Reference<br>to<br>standard/<br>Site | non-conformity<br>according to FSC<br>Standard (negative<br>sentence of standard<br>requirement) |
|        |          |                           |                                      |  |

|  |  |                   |                  |  |
|--|--|-------------------|------------------|--|
|  |  | <b>Correction</b> | <b>fulfilled</b> |  |
|  |  |                   |                  |  |

**3.2.3 Observations**

Not applicable, no observations made

Table 14:

| <b>Observation</b> | <b>Reference to standard/ Site (once applicable)</b> | <b>Description</b> |
|--------------------|--|--------------------|
|                    |  |                    |
|                    |  |                    |

#### 4 Certification recommendation of the Auditor(s)

Based on the audit results and compliance of the examined operation in terms of stipulations and standards of FSC and DIN CERTCO, the auditors give the following recommendation:

Table 15:

| Findings  | Decision/Measures  |                                     |
|---|--|-------------------------------------|
| No found of non-conformities  | No action required. Certificate can be issued or remains valid.  | <input checked="" type="checkbox"/> |
| Limited number of minor Non-conformities  | The necessary corrective actions have to be implemented by the company on time. Certificate can be issued or remains valid.  | <input type="checkbox"/>            |
| A limited number of minor findings and/or major findings but not to the extent that conformity of the product with the standards may be endangered. | The necessary corrective measures have to be implemented by the company on time. The certificate remains valid.<br><br><u>Main/Re-evaluation:</u><br>Due to the major non-conformities, the certificate can only be issued once suitable corrective action have been implemented.      | <input type="checkbox"/>            |
| Finding(s) to the extent that conformity with the standard will be endangered.  | The necessary corrective measures have to be implemented by the company on time. The certificate shall be suspended.<br><br><u>Main/Re-evaluation:</u><br>Due to the major non-conformities, the certificate can only be issued once suitable corrective action have been implemented. | <input type="checkbox"/>            |

The next surveillance audit shall take place Mar. 2024.

2023-03-17

Name of lead auditor Jiayu Wang

Signature

Jiayu Wang