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## **Chain of custody of wood and wood- based products**

*Chaîne de contrôle des produits en bois et à base de bois*



Reference number  
ISO 38200:2018(E)



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## Foreword

ISO (the International Organization for Standardization) is a worldwide federation of national standards bodies (ISO member bodies). The work of preparing International Standards is normally carried out through ISO technical committees. Each member body interested in a subject for which a technical committee has been established has the right to be represented on that committee. International organizations, governmental and non-governmental, in liaison with ISO, also take part in the work. ISO collaborates closely with the International Electrotechnical Commission (IEC) on all matters of electrotechnical standardization.

The procedures used to develop this document and those intended for its further maintenance are described in the ISO/IEC Directives, Part 1. In particular, the different approval criteria needed for the different types of ISO documents should be noted. This document was drafted in accordance with the editorial rules of the ISO/IEC Directives, Part 2 (see [www.iso.org/directives](http://www.iso.org/directives)).

Attention is drawn to the possibility that some of the elements of this document may be the subject of patent rights. ISO shall not be held responsible for identifying any or all such patent rights. Details of any patent rights identified during the development of the document will be in the Introduction and/or on the ISO list of patent declarations received (see [www.iso.org/patents](http://www.iso.org/patents)).

Any trade name used in this document is information given for the convenience of users and does not constitute an endorsement.

For an explanation of the voluntary nature of standards, the meaning of ISO specific terms and expressions related to conformity assessment, as well as information about ISO's adherence to the World Trade Organization (WTO) principles in the Technical Barriers to Trade (TBT) see [www.iso.org/iso/foreword.html](http://www.iso.org/iso/foreword.html).

This document was prepared by Project Committee ISO/PC 287, *Chain of custody of wood and wood-based products*.

Any feedback or questions on this document should be directed to the user's national standards body. A complete listing of these bodies can be found at [www.iso.org/members.html](http://www.iso.org/members.html).

## ISO 38200:2018(E)

### Introduction

This document is intended to provide a framework for implementing a chain of custody system for the purpose of passing on information regarding wood and wood-based products, cork and lignified materials other than wood, such as bamboo, from the source to the finished product. A chain of custody system is a process by which information about materials can be tracked throughout the entire or parts of the supply chain.

This document is designed to provide a consistent basis against which the chain of custody of wood and wood-based products can be assessed.

This document can be used for several purposes. It can facilitate business-to-business communications by providing a common framework that allows businesses to “speak the same language” when describing their chain of custody system. This document is intended to be used by organizations in the supply chain regardless of their size.

This document cannot be used on its own for product claims about the organization’s product(s).

Purchasers can use this document to evaluate the information they receive from suppliers to help identify suitable input material. This information can then be used together with a set of specified criteria to determine whether a product/input material fulfils the conditions for the intended use. Other standards and certification schemes can use this document as a reference regarding chain of custody systems.

This document does not cover forest management but can be used to transfer information about the source of the wood-based product.

# Chain of custody of wood and wood-based products

## 1 Scope

This document specifies requirements for a chain of custody (CoC) of wood and wood-based products, cork and lignified materials other than wood, such as bamboo, and their products.

NOTE The term “material” will henceforth be used throughout this document to denote “raw materials and products from wood, cork and lignified materials other than wood, such as bamboo”, as defined in 3.8.

This document is applicable to material that originates from different categories of input material and can be derived from mechanical, chemical, biological and/or thermal processing or a combination thereof.

A chain of custody relies on a control system to track and handle material throughout the entire supply chain or parts of the supply chain, including transportation, receipt, production, sale, resale and output declaration. This document is intended to enable tracking of material from different categories of source to finished products.

Furthermore, this document also specifies minimum requirements for input material.

This document is not applicable to forest management.

## 2 Normative references

There are no normative references in this document.

## 3 Terms and definitions

For the purposes of this document, the following terms and definitions apply.

ISO and IEC maintain terminological databases for use in standardization at the following addresses:

- ISO Online browsing platform: available at <https://www.iso.org/obp>
- IEC Electropedia: available at <http://www.electropedia.org/>

### 3.1

#### **chain of custody**

process by which information linked to *materials* (3.8) is transferred, monitored and controlled throughout the entire supply chain or parts of the supply chain

### 3.2

#### **wood**

lignocellulosic substance between the pith and bark of a tree or a shrub

[SOURCE: ISO 24294:2013, 3.1, modified — Notes to entry have been deleted.]

### 3.3

#### **wood-based product**

product wholly or partially derived from *wood* (3.2) or wooden components

Note 1 to entry: The product can be the result of mechanical, chemical, biological and/or thermal processing.

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### 3.4

#### **lignified material other than wood**

lignocellulosic *material* (3.8) deriving from the bark of a tree or shrub or from perennial plants which are not able to form *wood* (3.2) due to the lack of a growth layer (cambium)

EXAMPLE Bamboo, rattan.

### 3.5

#### **cork**

protective layer of the cork oak tree (*Quercus Suber* L), which can be periodically removed from its trunk and branches to provide the raw material for cork products

### 3.6

#### **legally harvested material**

*material* (3.8) harvested and traded in accordance with the applicable legislation in the country of harvest

### 3.7

#### **legally procured material**

*material* (3.8) obtained from an *organization* (3.17) that has harvested, processed, and/or traded the material in accordance with the applicable legislation of the countries of jurisdiction, and for which the organization can provide evidence of compliance with the requirements of the Due Diligence System

Note 1 to entry: The Due Diligence System is described in [Clause 7](#).

### 3.8

#### **material**

raw materials and products from *wood* (3.2), *cork* (3.5) and *lignified materials other than wood* (3.4), such as bamboo

### 3.9

#### **certified material**

*verified material* (3.11) received with a certified status and that meets the requirements of a particular certification scheme for which the *organization* (3.17) can provide evidence of third-party certification to that scheme

### 3.10

#### **specified material**

*verified material* (3.11) that meets publicly available documented specific requirements, set by *organization(s)* (3.17) within a *chain of custody* (3.1) and for which the *organization(s)* provide(s) information regarding the requirements as well as evidence of compliance

Note 1 to entry: Examples are given in [Annex H](#).

### 3.11

#### **verified material**

*material* (3.8) for which the *organization* (3.17) can provide evidence of compliance with the requirements of the Due Diligence System

Note 1 to entry: The Due Diligence System is described in [Clause 7](#).

### 3.12

#### **recycled material**

*material* (3.8) that has been recovered, or otherwise diverted, from the waste stream, either from the manufacturing process [i.e. post-industrial recycled materials, but not *in-house scrap* (3.13)] or after consumer use (i.e. post-consumer recycled materials), that is reused in the manufacture of new products, and for which the *organization* (3.17) can provide evidence of compliance with the requirements of the Due Diligence System

Note 1 to entry: Excluded are by-products such as sawmilling by-products (e.g. sawdust, chips, bark) or forestry residues (e.g. bark, chips from branches, roots).

**3.13****in-house scrap**

*materials* (3.8) commonly reused by industry within the original manufacturing process as normal practice

Note 1 to entry: In-house scrap is not *recycled material* (3.12).

[SOURCE: ISO/TR 24699:2009, 3.13]

**3.14****genetically modified organism****GMO**

organism in which the genetic material has been changed through modern biotechnology in a way that does not occur naturally by multiplication and/or natural recombination

[SOURCE: ISO 16577:2016, 3.73]

**3.15****product group**

group of products that share the same or similar physical characteristics

**3.16****conversion factor**

*r*

ratio between input and output *material* (3.8) within a product or *product group* (3.15) passing through a *site* (3.18)

**3.17****organization**

person or group of people that has its own functions with responsibilities, authorities and relationships to achieve its objectives

Note 1 to entry: The concept of organization includes, but is not limited to, sole-trader, company, corporation, firm, enterprise, authority, partnership, association, charity or institution, or part or combination thereof, whether incorporated or not, public or private.

Note 2 to entry: This constitutes one of the common terms and core definitions for ISO management system standards given in Annex SL of the Consolidated ISO Supplement to the ISO/IEC Directives, Part 1. The original definition has been modified by modifying Note 1 to entry.

[SOURCE: ISO 9000:2015, 3.2.1]

**3.18****site**

*organization* (3.17) or part of an organization that carries out manufacturing, storage, trade and/or transportation

**3.19****outsource**

make an arrangement where an external *organization* (3.17) performs part of an organization's function or process

Note 1 to entry: An external organization is outside of the *chain of custody* (3.1), although the function or process is within the scope of the chain of custody.

[SOURCE: ISO 19600:2014, 3.28, modified — Note has been adapted to “chain of custody” topic.]

**3.20****supplier**

*organization* (3.17) that provides a product or a service

EXAMPLE Producer, distributor, retailer or vendor of a product, or provider of a service or information.

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Note 1 to entry: A supplier can be internal or external to the organization.

Note 2 to entry: In a contractual situation, a supplier is sometimes called a “contractor”.

[SOURCE: ISO 9000:2015, 3.2.5]

### 3.21 top management

person or group of people who directs and controls an *organization* (3.17) at the highest level

Note 1 to entry: Top management has the power to delegate authority and provide resources within the organization.

Note 2 to entry: If the scope of the management system covers only part of an organization, then top management refers to those who direct and control that part of the organization.

Note 3 to entry: This constitutes one of the common terms and core definitions for ISO management system standards given in Annex SL of the Consolidated ISO Supplement to the ISO/IEC Directives, Part 1.

[SOURCE: ISO 9000:2015, 3.1.1]

### 3.22 competence

ability to apply knowledge and skills to achieve intended results

[SOURCE: ISO 22301:2012, 3.9]

### 3.23 document

information and the medium on which it is contained

EXAMPLE *Record* (3.24), specification, procedure document, drawing, report, standard.

Note 1 to entry: The medium can be paper, magnetic, electronic or optical computer disc, photograph or master sample, or a combination thereof.

Note 2 to entry: A set of documents, for example specifications and records, is frequently called “documentation”.

Note 3 to entry: Some requirements (e.g. the requirement to be readable) relate to all types of documents, however there can be different requirements for specifications (e.g. the requirement to be revision controlled) and records (e.g. the requirement to be retrievable).

[SOURCE: ISO 9000:2015, 3.8.5]

### 3.24 record

*document* (3.23) stating results achieved or providing evidence of activities performed

Note 1 to entry: Records can be used, for example, to document traceability and to provide evidence of verification, preventive action and corrective action.

Note 2 to entry: Generally records need to be under revision control.

[SOURCE: ISO 9000:2015, 3.8.10, modified, in Note 1 to entry, "formalize" is replaced by "document", in Note 2 to entry, "not" is replaced by "to".]

### 3.25 risk

effect of uncertainty on objectives

[SOURCE: ISO Guide 73:2009, 1.1, modified — Notes to entry have been deleted.]

**3.26****risk management**

coordinated activities to direct and control an *organization* (3.17) with regard to *risk* (3.25)

[SOURCE: ISO Guide 73:2009, 2.1]

**3.27****risk assessment**

overall process of *risk identification* (3.28), *risk analysis* (3.29), and *risk evaluation* (3.30)

[SOURCE: ISO Guide 73:2009, 3.4.1]

**3.28****risk identification**

process of finding, recognizing and describing *risks* (3.25)

[SOURCE: ISO Guide 73:2009, 3.5.1, modified — Notes to entry have been deleted.]

**3.29****risk analysis**

process to comprehend the nature of *risk* (3.25) and to determine the level of *risk*

[SOURCE: ISO Guide 73:2009, 3.6.1, modified — Notes to entry have been deleted.]

**3.30****risk evaluation**

process of comparing the results of *risk analysis* (3.29) with *risk criteria* (3.31) to determine whether the *risk* (3.25) and/or its magnitude is acceptable or tolerable

[SOURCE: ISO Guide 73:2009, 3.7.1, modified — Note to entry has been deleted.]

**3.31****risk criteria**

terms of reference against which the significance of a *risk* (3.25) is evaluated

[SOURCE: ISO Guide 73:2009, 3.3.1.3, modified — Notes to entry have been deleted.]

## 4 General requirements

The following requirements need to be fulfilled by an organization when demonstrating conformity with this document:

- a) management procedures relevant to this document shall be documented and resources shall be adequately allocated;
- b) records shall be kept up to date and provide clear, objective and auditable evidence of conformity with the requirements of this document;
- c) conformity with the requirements for the recording of legal requirements, as specified in 5.3.2, shall be demonstrated;
- d) a Due Diligence System, as specified in Clause 7, shall be implemented to ensure that only legally harvested material and legally procured material can enter the chain of custody;
- e) any input material that contains GMO, with the exception of recycled material for which the presence of GMO is unknown, shall be declared in all steps of the chain of custody;
- f) input and output information shall be given according to Clause 6 and Clause 9 of this document; and
- g) the control methods according to Clause 8 shall be established and implemented as specified in this document.