

CHAIN OF CUSTODY
Certification Report

Indiana Department of Natural Resources



INTRODUCTION

SCS Global Services is accredited to offer PEFC, FSC®, SBP, RW, and SFI certification. Through our well-developed network of subsidiary offices, representatives and contractor auditors, SCS offers timely and cost-effective Chain of Custody services around the world.

This report is to be kept confidential between SCS Global Services, the audit team and the certificate holder. The report presents the findings of the SCS auditor who has evaluated your organization's systems and performance against the applicable Chain of Custody standard(s).

If you have any questions, comments, or concerns about SCS's Chain of Custody services, please feel free to contact any member of our staff.



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SECTION 1: ORGANIZATION DESCRIPTION

CONTACT INFORMATION	
Contact Name	Jeff Settle
Street Address	402 West Washington Street, Room W296
City, State, Country	Indianapolis, IN
Zip or Postal Code	46204
Phone/Cell	812-526-9266
Email Address	jsettle@dnr.in.gov
Website	-

GENERAL DESCRIPTION OF ORGANIZATION ¹	
<p>The group certificate is managed by Indiana Department of Natural Resources and is comprised of 61 members. The member businesses include loggers, sawmills, veneer mills, veneer and lumber brokers, architectural millwork companies, panel fabricators/converters, corrugated and paper box manufacturers and HPL distributors.</p>	
Total Number of Sites Included in the Certificate (excluding outsourcers)	68

SECTION 2: CERTIFICATE SCOPE

Forest Stewardship Council (FSC)- N/A

SCOPE		ISSUE DATE	EXPIRY DATE
CHAIN OF CUSTODY CODE	SCS-COC-002041	13 th January 2019	12 th January 2024
CONTROLLED WOOD CODE	SCS-CW-002041 <input type="checkbox"/> N/A		
TRADEMARK LICENSE CODE	FSC-C002017		
APPLICABLE STANDARDS	<input checked="" type="checkbox"/> FSC-STD-40.003 - Multiple Sites/Group		
	<input checked="" type="checkbox"/> FSC-STD-40.004 - Chain of Custody; FSC-STD-50.001 – Trademark Use		
	<input checked="" type="checkbox"/> FSC-STD-40.005 - Controlled Wood Sourcing		
	<input type="checkbox"/> FSC-STD-40.007 - Reclaimed Material		
<p>This group certificate covers the logging, hauling and the production and trade of logs, lumber and veneer using the transfer, percentage or credit systems. In addition, this certificate covers the production and</p>			

¹ Describe operations, products, organizational structure, customers, supply chain, sites and sub-sites, and any additional relevant information.

distribution of secondary wood products using the transfer, percentage, and credit systems. It also covers a due diligence system for the control of wood sourced from the Province of Ontario in Canada, all U.S. states east of and adjacent to the Mississippi River (31 states), and the states of Washington and Oregon.

Programme for the Endorsment of Forest Certification (PEFC)- N/A

SCOPE		ISSUE DATE	EXPIRY DATE
CHAIN OF CUSTODY CODE	SCS-PEFC/COC-#####		
APPLICABLE STANDARDS	<input type="checkbox"/> PEFC ST 2002:2013 - Chain of Custody; PEFC ST 2001:2008 - Logo Usage		

Sustainable Forestry Initiative (SFI)- N/A

SCOPE		ISSUE DATE	EXPIRY DATE
CHAIN OF CUSTODY CODE	SCS-SFI/COC-#####		
CERTIFIED SOURCING CODE	SCS-SFI/CS-#####		
APPLICABLE STANDARDS	<input type="checkbox"/> SFI 2015-2019 Section 3 - Appendix 1. Certified Sourcing		
	<input type="checkbox"/> SFI 2015-2019 Section 4 - Chain of Custody		
	<input type="checkbox"/> SFI 2015-2019 Section 5 – Trademark Use		

Other Scheme - N/A

SCHEME NAME	ISSUE DATE	EXPIRY DATE
CERTIFICATION CODE		
SCOPE DESCRIPTION		
APPLICABLE STANDARDS		

SECTION 3: FSC PRODUCT GROUP LIST* – N/A

Product Code <i>(per FSC-STD-40-004a)</i>	Species of Material Outputs <i>(Common name)</i>	Species of Material Outputs <i>(Latin name)</i>	Primary Activity <i>(choose number(s) from table below)</i>	Secondary Activity <i>(choose number(s) from table below)</i>	FSC Output Claim <i>(FSC 100%, FSC Mix X%, FSC Mix Credit, etc.)</i>
W1, W1.1	Eastern Redcedar Norway Spruce Jack Pine Shortleaf Pine Red Pine Eastern White Pine Scots Pine Loblolly Pine Virginia Pine	<i>Juniperus virginiana</i> <i>Picea abies</i> <i>Pinus banksiana</i> <i>Pinus echinata</i> <i>Pinus resinosa</i> <i>Pinus strobus</i> <i>Pinus sylvestris</i> <i>Pinus taeda</i> <i>Pinus virginiana</i>	5		FSC 100%, FSC Mix Credit, FSC Mix X%, FSC Controlled Wood

Baldcypress	<i>Taxodium distichum</i>		
Tamarack	<i>Larix laricina</i>		
Boxelder	<i>Acer negundo</i>		
Red Maple	<i>Acer rubrum</i>		
Silver Maple	<i>Acer saccharinum</i>		
Sugar Maple	<i>Acer saccharum</i>		
Yellow Buckeye	<i>Aesculus flava</i>		
Ohio Buckeye	<i>Aesculus glabra</i>		
Ailanthus	<i>Ailanthus altissima</i>		
European Alder	<i>Alnus glutinosa</i>		
Yellow Birch	<i>Betula allagheniensis</i>		
River Birch	<i>Betula nigra</i>		
Bitternut Hickory	<i>Carya cordiformis</i>		
Pignut Hickory	<i>Carya glabra</i>		
Pecan	<i>Carya illinoensis</i>		
Shellbark Hickory	<i>Carya laciniata</i>		
Shagbark Hickory	<i>Carya ovata</i>		
Mockernut Hickory	<i>Carya tomentosa</i>		
Catalpa	<i>Catalpa speciosa</i>		
Hackberry	<i>Celtis occidentalis</i>		
Persimmon	<i>Diospyros virginiana</i>		
American Beech	<i>Fagus grandifolia</i>		
White Ash	<i>Fraxinus americana</i>		
Black Ash	<i>Fraxinus nigra</i>		
Green Ash	<i>Fraxinus</i>		
Blue Ash	<i>pennsylvanica</i>		
Honeylocust	<i>Fraxinus</i>		
Kentucky Coffee	<i>quadrangulata</i>		
Butternut	<i>Gleditsia triacanthos</i>		
Black Walnut	<i>Gymnocladus dioica</i>		
Sweetgum	<i>Juglans cinera</i>		
Yellow Poplar	<i>Juglans nigra</i>		
Osage-orange	<i>Liquidambar</i>		
Cucumber	<i>styraciflua</i>		
Red Mulberry	<i>Lyriodendron tulipifera</i>		
Blackgum	<i>Maclura pomifera</i>		
Ironwood	<i>Magnolia acuminata</i>		
Paulownia	<i>Morus rubra</i>		
American Sycamore	<i>Nyssa sylvatica</i>		
Eastern Cottonwood	<i>Ostrya virginiana</i>		
Large-tooth Aspen	<i>Paulownia tomentosa</i>		
Quaking Aspen	<i>Platanus occidentalis</i>		
Black Cherry	<i>Populus deltoides</i>		
White Oak	<i>Populus grandidentata</i>		
Swamp White Oak	<i>Populus tremuloides</i>		
Scarlet Oak	<i>Prunus serotina</i>		
Northern Pin Oak	<i>Quercus alba</i>		
Southern Red Oak	<i>Quercus bicolor</i>		
Cherrybark Oak	<i>Quercus coccinea</i>		
Shingle Oak	<i>Quercus ellipsoidalis</i>		
Overcup Oak	<i>Quercus falcata</i>		
Bur Oak	<i>Quercus pagoda</i>		
Blackjack Oak	<i>Quercus imbricaria</i>		

	Swamp Chestnut Chinkapin Oak Pin Oak Chestnut Oak Northern Red Oak Shumard Oak Post Oak Black Oak Black Locust Black Willow Sassafras Mahogany Teak Basswood American Elm Red Elm Rock Elm	<i>Quercus lyrata</i> <i>Quercus macrocarpa</i> <i>Quercus marilandica</i> <i>Quercus michauxii</i> <i>Quercus muehlenbergii</i> <i>Quercus palustris</i> <i>Quercus prinus</i> <i>Quercus rubra</i> <i>Quercus shumardii</i> <i>Quercus stellata</i> <i>Quercus velutina</i> <i>Robinia pseudoacacia</i> <i>Salix nigra</i> <i>Sassafras albidum</i> <i>Tilia americana</i> <i>Ulmus americana</i> <i>Ulmus rubra</i> <i>Ulmus thomasii</i>			
W2	As above	As above	6	As above	As above
W3	As above	As above	6	As above	As above
W4	As above	As above	10	As above	As above
W5	As above	As above	10	As above	As above
W6	As above	As above	6	As above	As above
W7	As above	As above	10	As above	As above
W8	As above	As above	10	As above	As above
W9	As above	As above	10	As above	As above
W10	As above	As above	10	As above	As above
W11	As above	As above	6	As above	As above
W12	As above	As above	10	As above	As above
W13	As above	As above	10	As above	As above
W14	As above	As above	10	As above	As above
W15	As above	As above	10	As above	As above
W16	As above	As above	10	As above	As above
W17	As above	As above	10	As above	As above
W18	As above	As above	10	As above	As above
W19	As above	As above	10	As above	As above
P4	As above	As above	10	As above	As above
P5	As above	As above	10	As above	As above

*Please include the most up-to-date PGL. Hit tab in the last box to add rows.

PRIMARY AND SECONDARY ACTIVITIES INCLUDED IN THE SCOPE					
1	Brokers/Traders with physical possession	5	Logging	9	Retailers
2	Brokers/Traders without physical possession	6	Primary Processor	10	Secondary Processor
3	Distributor/Wholesaler	7	Printing and related service		
4	Gathering of non-wood products	8	Publishing activities		

SECTION 4: RECLAIMED MATERIALS INFORMATION – ☒ N/A

Description of the organization’s verification program for reclaimed materials

(i.e. type of material sourced, material receipt/segregation, supplier audits)

SECTION 5: MULTI-SITE / GROUP INFORMATION – ☐ N/A

General description of how the chain of custody is controlled at the group or multisite level.

The State of Indiana, Department of Natural Resources – Division of Forestry serves as the Group Entity / Group Manager and is responsible for ensuring compliance with the applicable FSC standards, policies, procedures, and guidelines. The Group Entity maintains a COC Procedures Template Manual utilized by group members. The Group Entity developed and updates a Controlled Wood Risk Assessment used by all members that verify controlled material. The Group Manager provides FSC COC training and consultation services to members.

DESCRIPTION	
<p>Management system <i>(e.g. training programs for internal auditors, internal audit schedule, etc.)</i></p>	<ul style="list-style-type: none"> • The management representative is of the group entity is Jeff Settle. • Each member company has its own FSC administrator. • Each member company has an FSC procedures document (Documented Control System or DCS) based on a template provided by the group entity. • Personnel responsibilities and training are documented in the DCS and annual updates. • Records are kept as paper and electronic files for at least five years. • The group’s FSC Product Group List clearly presents each member site’s product codes and control systems.
<p>Material sourcing <i>(i.e. eligible inputs, supplier info, transfer of material between sites, etc.)</i></p>	<ul style="list-style-type: none"> • The suppliers are verified at least annually by the member companies as having valid FSC COC/CW certificates. • 15 companies have controlled material verification programs based on a centralized CW Risk Assessment developed by the Group Entity.
<p>Management of non-conformities</p>	<p>The Group Manager uses internal audit forms, including CAR forms, based on SCS templates. The group uses the same hierarchy of non-conformities as SCS.</p>
<p>Site relationships, addition/removal process</p>	<p>The Group Manager has authority to add/remove participating sites based on eligibility requirements found in Group Entity Procedures.</p>

SECTION 6: CONFIRMATION OF CHANGES

AUDIT TYPE ²	DESCRIPTION OF CHANGES ³	AUDITOR NAME
Annual Surveillance	Since their 2019 audit, IndianaDNR added 4 new members, and 9 members were removed from the group certificate.	Ciara McCarthy

Hit tab in the last box to add rows.

SECTION 7: SUMMARY OF ASSESSMENT

CORRECTIVE ACTION REQUESTS (CARs) – CERTIFICATION DECISION				
Select Standard Assessed	Normative Documents (including related advice notes and interpretations)	# Major CAR(s)	# Minor CAR(s)	# Observation(s)
<input checked="" type="checkbox"/>	FSC-STD-40-004 V3-0 - Chain-of-Custody	-	1	-
	FSC-STD-50-001 V2-0 - Trademark Usage	-	-	-
<input checked="" type="checkbox"/>	FSC-STD-40-005 V3-1 - Controlled Wood	-	-	-
<input type="checkbox"/>	FSC-STD-40-007 V2-0 - Reclaimed Material			
<input checked="" type="checkbox"/>	FSC-STD-40-003 V2-1 - Multiple Sites	-	-	-
<input type="checkbox"/>	PEFC ST 2002:2013 - Chain-of-Custody			
	PEFC ST 2001:2008 - Trademark Usage			
<input type="checkbox"/>	SFI 2015-2019 Section 4 - Chain-of-Custody			
	SFI 2015-2019, Section 5 - Trademark Usage			
<input type="checkbox"/>	SFI 2015-2019, Section 3, Appendix 1 - Certified Sourcing			

² Main Evaluation, Annual Surveillance, Expansion of Scope, Re-evaluation.

³ Please check the organization's details on the FSC website <http://info.fsc.org> to ensure that it is correct and up to date. Per FSC-STD-20-011 v4-0, the information must also be verified with the company to ensure that the details on the FSC website are correct. Clearly indicate in the table if any information is incorrect and what updates are required.

AUDITOR CERTIFICATION RECOMMENDATION	<i>Continued certification is recommended.</i>			
CERTIFICATION DECISION (SCS use only)	FSC	Certification is approved		
	PEFC	Choose an item.		
	SFI	Choose an item.		
	Certification decision(s) by	Melissa Graham	Date of decision(s):	18 September 2020
Allowable size limit and annual growth rate (FSC only): <input type="checkbox"/> Multi-site <input checked="" type="checkbox"/> Group <input type="checkbox"/> N/A, single FSC certificate	<p>The organization may add up to 34 sites to the certificate before the next annual audit (50% growth). * This number is subject to change at subsequent SCS audits.</p> <p><input type="checkbox"/> N/A, no Central Office Audit Program; all sites must be audited by SCS before being added to the certificate.</p> <p>*If additional certified locations or expansion beyond the maximum are desired, please contact SCS.</p>			