



## ADDENDUM

to FSC Procedure FSC-PRO-40-004

# Minor Components Derogation Application and Evaluation Form

FSC-PRO-40-004b (Version 1-1) EN

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## FORM FOR MINOR COMPONENTS DEROGATION APPLICATIONS AND EVALUATIONS

FSC-PRO-40-004b (Version 1-1) EN

Published April 26, 2010

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### NOTES ON USE OF THIS FORM

This form shall be used by applicants for derogations related to the use of non-eligible input material in minor components as part of FSC product groups. Applications can be submitted for the use of non-eligible input material in minor components constituting between 1% and 5% of the volume or weight of the virgin and reclaimed materials in an 'FSC Pure' or 'FSC Mixed' assembled product (to be) certified according to "FSC-STD-40-004 Version 2: FSC Standard for Chain of Custody Certification" to the responsible FSC-accredited certification body.

Submitted forms will be evaluated by the certification body for compliance with "FSC-PRO-40-004: Minor components derogation applications" or forwarded to the FSC Policy and Standards Unit accordingly.

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## I. APPLICATION

The fields within this section of the form shall be completed by the applicant for a minor component derogation. The evaluator will check the completeness and appropriateness of the information provided and may provide comments relevant for the final evaluation decision (shaded columns of sections I-C and I-D).

NOTE: Information required by fields marked with an asterisk (\*) will be published in FSC-PRO-40-004a.

### A. General application information

**Applicant:**

Organisation:	[legal name]
Certificate code:	[if applicable]
Country*:	
Address:	
Contact person:	
Position:	[Job title]
Email:	

**Component / product:**

Minor component*:	[name / technical term]
Used in product(s)*:	[name / technical term]

### B. References to supplementary documentation

NOTE: Please list all supplementary documentation that has been submitted for consideration with this derogation application.

Document title	Related clause of FSC-PRO-40-004
[document title]	[clause no.]

## C. Procedural requirements

Column to be filled in / checked by:	
– [n/a]	<b>EVALUATOR</b>
<b>1</b>	<b>General</b>
1.1	Application refers to a single minor component. <input type="checkbox"/> [Comments] <small>Checked</small>

## D. Specific / technical requirements

NOTE: Please provide references to any documentation which is considered relevant for a criterion and included in the derogation application.

Column to be filled in by	
APPLICANT	EVALUATOR
<b>2</b>	<b>Technical specifications</b>
2.1	<p><u>Product description</u></p> <p>a) General description [General description of the product(s) that the minor component is used in. If more than one minor component shall be used in the product, provide the relevant information.]</p> <p>b) <i>product type(s)*</i> [code according to the FSC product classification in FSC-STD-40-004a]</p> <p>c) FSC <i>product group</i> claim <input type="checkbox"/> 'FSC Pure'      <input type="checkbox"/> 'FSC Mixed'</p> <p>d) use of on-product FSC label <input type="checkbox"/> yes      <input type="checkbox"/> no</p> <p style="text-align: right;"><b>Product is covered by certificate scope.</b> <input type="checkbox"/> <small>Checked</small></p>
2.2	<p><u>Minor component</u></p> <p>a) general description</p> <p>b) common trade name*</p> <p><i>Please check whether the component falls within one of the generic material derogations listed under Section 1 of FSC-PRO-40-004a. If so, please provide the exact trade name as specified there.</i></p> <p>c) function within the product</p> <p>d) volume/weight – in total: – as percentage of the overall volume or weight of the virgin and reclaimed materials in the product:</p>

<b>Column to be filled in by</b>	
<b>APPLICANT</b>	<b>EVALUATOR</b>
<p style="text-align: center;">– of all minor components as added percentage: [if applicable]</p> <p>e) species used</p> <p>f) quality of input materials [e.g. grade / sort]</p> <p>g) dimensions</p>	<div style="border: 1px solid black; padding: 2px; margin-bottom: 2px;"><input type="checkbox"/> [Comments] Checked</div> <div style="border: 1px solid black; padding: 2px; margin-bottom: 2px;"><input type="checkbox"/> [Comments] Checked</div> <div style="border: 1px solid black; padding: 2px;"><input type="checkbox"/> [Comments] Checked</div>
<p>2.3 Photograph or technical drawing [please reference and attach]</p>	<div style="border: 1px solid black; padding: 2px;"><input type="checkbox"/> [Comments] Checked</div>
<p><b>3 Material demand and current supply</b></p>	
<p>3.1 Annual material demand: [NOTE: In case of derogation applications for a single job order, please specify accordingly.]</p> <p>Current supplier range and locations. [list main suppliers and geographic location - if international, country level is sufficient]</p>	<div style="border: 1px solid black; padding: 2px; margin-bottom: 2px;"><input type="checkbox"/> [Comments] Checked</div> <div style="border: 1px solid black; padding: 2px;"><input type="checkbox"/> [Comments] Checked</div>
<p><b>4 Market supply analysis</b></p> <p>NOTE: For generic derogations listed under Section 1 of FSC-PRO-40-004a, the applicant does not need to carry out individual market research to demonstrate non-availability of eligible input and may skip this section.</p> <p>Otherwise, activities and market supply analysis are expected to be carried out according to the scale of the applicant's business activities at a regional, national, or global scale.</p>	
<p>4.1 Undertaken activities to source materials for the specified <i>minor component as eligible input</i>. [Please make sure that you provide / attach detailed information of the undertaken activities such as e.g. a list of the contacted suppliers, examples of order requests and the corresponding responses, details of consultations carried out with market experts, FSC National Initiatives or WWF buyers groups, and correspondence / interaction with the relevant industry associations, to name the most important.]</p> <p>Market supply analysis of virgin and/or reclaimed materials suitable for use in the production of the specified minor component.: [Overall results]</p> <p>a) available supply in terms of purchasable quantities</p> <p>b) current and potential <i>supplier</i> range and locations</p> <p>c) <i>material category</i> (FSC-certified, controlled and/or reclaimed material)</p>	<div style="border: 1px solid black; padding: 2px; margin-bottom: 2px;"><input type="checkbox"/> [Comments] Checked</div> <div style="border: 1px solid black; padding: 2px; margin-bottom: 2px;"><input type="checkbox"/> [Comments] Checked</div> <div style="border: 1px solid black; padding: 2px; margin-bottom: 2px;"><input type="checkbox"/> [Comments] Checked</div> <div style="border: 1px solid black; padding: 2px;"><input type="checkbox"/> [Comments] Checked</div>

<b>Column to be filled in by</b>	
<b>APPLICANT</b>	<b>EVALUATOR</b>
<p><b>4.2</b> Demonstration that annual material demand cannot be met by quantities of <i>FSC-certified, controlled</i> and/or <i>reclaimed materials</i> available on the relevant markets::</p> <p>Explanation of in particular the reasons why material used for the minor component cannot be sourced or assessed as <i>controlled material</i> (according to FSC-STD-40-005):</p>	<p style="text-align: center;"><b>[Comments]</b></p> <p style="text-align: center;"><input type="checkbox"/> Checked</p> <hr/> <p style="text-align: center;"><b>[Comments]</b></p> <p style="text-align: center;"><input type="checkbox"/> Checked</p>
<p><b>5 Action plan</b></p>	
<p><b>5.1</b> Describe your stipulated action plan including the following:</p> <p>a) annual targets for the reduction of non-eligible input material used for the specified <i>minor component</i>,</p> <p>b) activities to be carried out in order to reach the specified annual targets.</p>	<p style="text-align: center;"><b>[Comments]</b></p> <p style="text-align: center;"><input type="checkbox"/> Checked</p> <hr/> <p style="text-align: center;"><b>[Comments]</b></p> <p style="text-align: center;"><input type="checkbox"/> Checked</p>

## II. EVALUATION

This section will be completed by the evaluator.

Acronym*:	[acronym, e.g. of certification body]
Evaluation carried out by:	[responsible staff person]
Position:	[job title]

Submission date:	[applicant submission date]
Evaluation date*:	[evaluation date]
Result <sup>1</sup> :	
Expiry date*:	
Rationale:	Summary and justification of findings: ...

## III. PUBLIC SUMMARY

This section will be completed by the evaluator for approved derogation applications only. The information contained herein will be published by FSC under Section 2 of “FSC-PRO-40-004a: List of approved derogations for the use of non-eligible input material in minor components”.

<b>Component:</b>	[common trade name]
<b>Used in product(s):</b>	[product type code] [generic name / technical term]
<b>Country:</b>	[central office of certificate holder]
<b>Approval body:</b>	[acronym or name]
<b>From:</b>	[approval date]
<b>To:</b>	[expiry date]

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<sup>1</sup> If the application is rejected, the *applicant* may:  
 (1) modify the original *derogation* application or provide additional supporting documentation to respond to any issues identified by the evaluator, and then resubmit the *derogation* application. In this case the evaluator will repeat the steps established in this procedure;  
 (2) appeal against the application decision. In this case the provided evidence will be assessed for its relevance to the decision accordingly.