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**INDUSTRY STANDARD OF THE
PEOPLE'S REPUBLIC OF CHINA**

LY/T 2281-2014

**China Forest Certification Chain of Custody Certification
Review Guidelines**

中国森林认证 产销监管链认证审核导则
(English Translation)

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Foreword

This document is in accordance with the provisions of GB/T 1.1-2020 "Guidelines for Standardization Work Part 1: Structure and Drafting Rules for Standardization Documents" drafting.

This document replaces LY/T 2281-2014 "China Forest Certification Chain of Custody Certification Review Guidelines", and LY/T 2281-2014 in comparison, except for structural adjustments and editorial changes, the main technical changes are as follows.

--- Added terms and definitions "Chain of Custody Audit", "Audit Criteria", "Audit Evidence" and "Audit Findings" (see 3.1, 3.2, 3.3, 3.4);

--- Changed the "audit method" (see Chapter 5, Chapter 4 of the 2014 edition);

--- Added "audit type" (see Chapter 6);

--- Changed the "audit preparation" (see 7.2, 5.2 of the 2014 edition);

--- Changed the "audit implementation" (see 7.3, 5.3 of the 2014 edition);

--- Changed the "audit report" (see 7.7, 5.6 of the 2014 edition);

--- Changed the "verification method", the order and content of the documents were changed according to GB/T 28952-2018, and the verification of each standard the method has been simplified, sorted out and written again (see Chapter 8, Chapter 6 of the 2014 edition).

Please note that some contents of this document may refer to patents. The issuing agency of this document assumes no responsibility for identifying patents.

1 Scope

This document provides audit principles, audit methods, audit types, audit activities and verification methods for Chain of Custody certification.

This document is applicable to guide certification bodies to carry out chain-of-custody certification audits in accordance with GB/T 28952-2018.

2 Normative references

The contents of the following documents constitute the essential provisions of this document through normative references in the text. Among them, dated references for documents, only the version corresponding to the date is applicable to this document; for undated reference documents, the latest version (including all amendments) is applicable to this document.

GB/T 19011-2021 Management System Audit Guidelines GB/T 28952-2018 China Forest

Certification Chain of Custody

3 Terms and Definitions

The following terms and definitions defined in GB/T 28952-2018 apply to this document.

chain of custody audit an independent third-party certification body obtains audit evidence and conducts an objective evaluation to determine that the audited party meets the requirements of the chain of custody.

A systematic, independent and documented process for reviewing the extent of criteria.

audit criteria A set of policies, procedures or procedures that Chain of Custody certified auditors use to compare audit evidence Require.

Note: Including GB/T 28952-2018 and other national or industry standards related to chain of custody certification review.

audit evidence Chain of custody Records, factual statements or other information that are relevant to the chain of custody audit criteria and can be verified.

Note 1: The audit evidence can be qualitative or quantitative, and is used by the auditor to evaluate whether the audit object complies with the chain of custody certification audit criteria.

Note 2: Audit evidence mainly comes from stakeholder interviews, document review, on-site inspection of processing sites, measurement or other methods within the audit scope the results obtained.

audit findings the result of an evaluation that compares the collected chain-of-custody certification audit evidence against the audit criteria.

Note 1 to entry. Audit findings are made on the basis of audit evidence in accordance with audit criteria. The audit findings are the basis for the preparation of the audit report.

Note 2 to entry. Audit findings indicate compliance or non-compliance. If the audit criteria are selected from laws and regulations or other requirements, the audit findings can be expressed as compliance or non-compliance.

audit conclusion audit conclusion the results of an audit taking into account the audit purpose and all audit findings.