



Backtrack

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1 August 2017



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Policy Applicable To

All CertiSource Staff and Certification Body Staff

Policy Managed By

The CertiSource Programme Director owns this policy and can be approached in relation to this policy:

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Position

Signed

A handwritten signature in blue ink, appearing to be the initials "PW" or a similar stylized representation of the name Paul Wilson.

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1. Policy Background

1.1. Introduction

A backtrack aims to ensure the traceability of a finished timber product back to stump at a harvesting block of a concession.

This policy specifies the minimum standards and guidelines for calculating the backtrack amount and the acceptable quality limits when non-conformities are found.

1.2. Scope

Certification Body carrying out a backtrack on a batch of timber undergoing CertiSource legality certification.

1.3. Definitions

For purposes of this policy, unless otherwise stated, the following definitions shall apply:

<i>Backtrack</i>	An audit process that ensures traceability of a batch of export/sales products back to stump at harvesting block of a concession through all stages of production.
<i>Batch</i>	A known volume of timber ready for export/sales.

2. Policy Standards

2.1 Backtrack Calculation

A backtrack will be carried out on every batch.

The Certification Body will be responsible for developing procedures for calculation of a backtrack. However these procedures must comply with the requirements and minimum guidelines as set out in this policy and use the data in the tables supplied.

At a minimum the following criteria will be used for calculation and formulation of a backtrack:

1. Amounts backtracked from one batch will be calculated against cubic metres (cbm) of export volume;
2. As far as possible backtrack volumes will be calculated from a random selection of pallets of finished product;
3. For every new batch processed, then by default the first shipment of the batch must be included in a backtrack with a minimum of three pallets randomly selected for backtracking. One pallet from the last shipment must be included and randomly selected.
4. ISO 2859: Sampling Procedures for Inspection by Attributes will be used to calculate the backtrack amount;
5. At a minimum volumes will initially be calculated against ISO 2859 Inspection level I Standard;
6. Subsequently a Certification Body may switch between the ISO 2859 Standard Reduced and Tightened levels from Inspection Level I. Switching will be done only in accordance to ISO 2859 specifications.
 - reduced inspection levels will be calculated from the ISO 2859 sampling plan for reduced inspection;
 - tightened inspection will be calculated against ISO 2859 Inspection Level II 'general inspection levels'¹.

The Certification Body will specify criteria for switching between inspection levels. However:

- At a minimum a tightened level (or increased from reduced to normal) must be implemented where three (3) or more minor non-conformances and/or one (1) or more major non-conformance have been identified²;
- A reduced inspection level (or decreased from tightened to normal) cannot be implemented unless three consecutive backtracks are error free.

The table below provides guidance on volumes to be backtracked at Normal, Reduced and Tightened inspection levels in accordance with ISO 2895.

¹ *Inspection level II is prescribed instead of inspection level I sampling plan for tightened inspection because the sampling plans for tightened inspection level I and normal inspection level I are identical except at the very highest volume level and are therefore unlikely to result in an increased sampling plan.*

² *In relation to non-conformances and reduced/tightened inspection levels, the scope of any non-conformance that impacts this decision can be confined to the operational procedures within a manufacturer's Chain of Custody portion of any assessment. So for example non-conformances relating to the legal registration of an entity etc. would not be applicable.*

Table 1: ISO 2895 Inspection Level Volumes

Output volume (cbm)	Backtrack volume (cbm)		
	Normal	Reduced	Tightened
2 - 8	2	2	2
9 - 15	2	2	3
16 - 25	3	2	5
26 - 50	5	2	8
51 - 90	5	2	13
91 - 150	8	3	20
151 - 280	13	5	32
281 - 500	20	8	50
501 - 1200	32	13	80
1201 - 3200	50	20	125
3201 - 10000	80	32	200
10001 - 35000	125	50	315
35001 - 150000	200	80	500
150001 - 500000	315	125	800
500001 +	500	200	1250

2.2 Conversion Rates

Certification Bodies will verify that the final export quantity is derived from realistic and representative source amounts (round wood) by calculating the conversion rates of the products to be backtracked.

Conversion rates are calculated using Indonesian official guidelines as stated in “Decree Dirjen Bina Kehutanan, P9-2013” (Rendeman Kayu olahan industry primer hasil hutan kayu).

Table 2 below includes the official published rates for products. Certification Bodies will be responsible for selecting a conversion rate within the recovery rate range on a case by case basis. Clients undergoing a backtrack must be informed of the rate selected prior to any backtrack implementation.

Table 2: Timber Conversion Rates

Input	Output	Recover Rate
Round Log	Moulding/Decking	32 - 52 %
Sawn Timber	Moulding/Decking	60 - 73 %
FJ ³ Laminated Board	Moulding/Decking	70- 80%
FJ Stick	Moulding/Decking	68 - 80%
Laminating wood	Moulding/Decking	70 - 80 %
Round Log	FJ Laminated board	40 - 49 %
Sawn Timber	FJ Laminated board	60 - 77 %
Round Log	FJ Stick	19 - 33 %
Sawn Timber	FJ Stick	60 - 70 %
Round Log	Laminating wood	37 - 47 %
Sawn Timber	Laminating wood	65 - 80%

³ Finger Joint

2.3 Non-Conformances

Resulting non-conformances exposed through a backtrack will be issued in accordance with CertiSource Policy 07: Non-Conformance.

Non-conformances can in turn result in a change of certification status as specified in Policy 05: Certification.

3. Related Information

3.1 Related Policies and Documents

This policy has connections to the following CertiSource Policy Statements and external documents.

Policy 05: Certification

Policy 07: Non-Conformance

ISO 2859: Sampling procedures for inspection by Attributes

Decree Dirjen Bina Kehutanan, P9-2013

Rendeman Kayu Olahan Industri Primer Hasil Hutan Kayu (IPHHK), P.09/VI-BPPHH/2013

3.2 Policy Review

To ensure that this policy statement remains relevant it will be reviewed regularly at a minimum frequency of every six months.

Revisions will be made when necessary to provide solutions to any practical problems encountered.

4. Document History

Version	Date Approved	Description
2.00	1 October 2014	<ol style="list-style-type: none"> 1. Programme Manager changed to Programme Director. 2. Section 2.1 sentence: “The Certification Body will be responsible for developing procedures for calculation of a backtrack”. Changed to: “The Certification Body will be responsible for developing procedures for calculation of a backtrack. However these procedures must comply with the requirements and minimum guidelines as set out in this policy and use the data in the tables supplied”. 3. Section 2.4: the requirement for the Certification Body to use a mill’s conversion rates has been changed. Therefore amended the statement: “The Certification Body will, in the first instance, use authorised conversion rates from the manufacturer where a backtrack is being carried out for different products. Where these do not exist or if the Certification Body deems it preferable a generic conversion factor for all products of 1.88 may be used (i.e. 1.88m³ of round wood [logs] is needed to produce 1 m³ of finished product).” To: “The Certification Body will use a generic conversion factor. This will be for all products at a rate of 1.88 (i.e. 1.88m³ of round wood [logs] is needed to produce 1 m³ of finished product)”. 4. Section 3.3 on related SOPs deleted; 5. Definition of backtrack changed from: “An audit process that ensures traceability of logs that arrived in the sawmill through all stages of production”. To: “An audit process that ensures traceability of a batch of export/sales products back to the concession/stump, through all stages of production.” 6. Definition of batch changed from: “A “Batch” is defined as a known volume of logs originating from the same source”. To: “A known volume of timber ready for export/sales.” 1. Section 2.1: “Amounts backtracked from one batch of CertiSource Verified Legal Timber will be calculated against cubic metres (cbm)

- of round wood in a batch”.... Changed to:
 “Amounts backtracked from one batch of CertiSource Verified Legal Timber will be calculated against cubic metres (cbm) of export volume”;
2. The whole section on conversion rates is deleted (section 2.4);
 3. Section 2.3 added sentence: “Non-conformances can in turn result in a change of certification status as specified in Policy 05: Certification”;
 4. Section on AQL deleted. AQL calculations did not make sense in this context. Standard tables are more associated with issues such as car parts.
- 1st December 2014
5. Section 2.2 on conversion rates added. This is a simplified approach replacing previous approach outlined in 2.4 (see point 8 above).
- 2.01 15 August 2015
1. Update contact information and general review;
 2. Round Wood Volume (as definition of batch) changed to Output volume consistently throughout document. Specifically also in table 1 heading.
- 2.02 30 June 2016
1. Transfer to new template
- 3.00 1 August 2017
1. Section 2.2 on conversion rates changed to correspond to official Indonesia Government rates.

Previous table followed FAO guidelines:

Product	Conversion Rates (max)
Decking (solid)	50%
Decking (engineered)	60%
Flooring (solid)	50%
Flooring (engineered)	60%
Finger Jointed Boards	50%
Finger Jointed Sticks	70%

2. Added sentence:

“Table 2 below includes the official published rates for products. Certification Bodies will be responsible for selecting a conversion rate within the recovery rate range on a case by case basis. Clients undergoing a backtrack must be informed of

the rate selected prior to any backtrack implementation”.

3. Effective date added