



Procedure

PILOT PROCEDURE FOR PROCUREMENT CLAIMS

FINAL



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CONTENTS

Introduction	4
Objective	4
Scope	4
References	6
Terms and Definitions	7
Abbreviations	8
1. Management system	9
2. Material sourcing	10
3. FSC material accounting	10
4. Compliance with timber legality legislation	11
5. Declaring procurement claims	11
5.1 General rules	11
5.2 Procurement claims options	11
5.3 Restrictions	12
5.4 Eligible inputs	12
6. Requirements for Certification Bodies	13
6.1. General principles	13
6.2. Evaluation requirements	14
6.3 Reporting requirements	15
6.4. Certification summary	17

INTRODUCTION

The FSC normative framework presently permits only output related FSC claims. These claims, whether for B2B or B2C purposes, come under two categories:

- **FSC product claim:** A claim made on sales and delivery documents for FSC-certified or FSC Controlled Wood output products. The FSC claims are: *FSC 100%*, *FSC Mix x%*, *FSC Recycled x%*, *FSC Mix Credit*, *FSC Recycled Credit*, and *FSC Controlled Wood*.
- **FSC promotional claim:** A claim that is used to promote the FSC system or FSC-certified product. For example: 'This table is made from FSC-certified wood'.

However, there are various instances where organizations procure FSC material for their own operations or internal consumption and may not further sell that material onwards as FSC certified but would still like to make a claim about their certified purchases. In these cases, there is currently no clear option for such organizations to make claims about the FSC material they have procured and used.

The FSC Board of Directors at their 89th Board meeting in August 2021, therefore, approved a proposal for pilot testing the certification of procurement claims. This pilot project will be a 2-year process to test the feasibility of procurement claims and their verification based on a streamlined FSC Chain of Custody standard. Organizations can make procurements claims for purchases of FSC raw materials, and semi-finished products for chosen product categories. Procurement claims can also be made for finished products that organizations use for internal consumption, without any external sales.

The data collected from this pilot project will contribute to the revision process of the FSC-STD-40-004 *Chain of Custody Certification* and FSC-STD-20-011 *Chain of Custody Evaluations* standards.

OBJECTIVE

The objective of this procedure is to provide the minimum management, production, and procurement requirements for CoC within an organization to demonstrate that forest-based materials and products purchased as FSC certified originate from well-managed forests and/or controlled sources and any associated claims are legitimate and accurate.

SCOPE

This document details the procedure to be followed by organizations (sections 1-5) and certification bodies (section 6) with respect to sourcing and processing of FSC certified material in order to make an FSC procurement claim. This procedure is standalone and does not have to be used together with FSC-STD-40-004.

Organizations that are already CoC certified to FSC-STD-40-004 only have to follow the clauses of this procedure that are not covered by FSC-STD-40-004 requirements.

Procurement claims can be made by all organizations in the supply chain of forest-based products that have legal ownership of certified input materials/products and perform at least one of the following activities:

- i. purchase and consume FSC material in their operations;
- ii. sell FSC-certified products with FSC claims on sales documents;
- iii. manufacture or change the composition (e.g., mixing or adding forest-based materials to the product) or physical integrity (e.g., re-packaging, re-labeling) of products sold with FSC claims.

Procurement claims can only be made at an organizational, site, or product group level. They cannot be made at the product level.

NOTE: FSC claims are required in cases where subsequent customers want to use the FSC-certified products as input for the manufacturing of other certified products and/or for resale as FSC certified. FSC claims cannot be substituted by procurement claims.

Procurement claims cannot be made (under the scope of this pilot project) by non-certified organizations (e.g., retailers) who promote finished and labeled products. Such organizations should apply for procurement claims under the applicable provisions of FSC-STD-50-002 *Requirements for Promotional Use of the FSC Trademarks by Non-Certificate Holders*.

All aspects of this procedure are considered to be normative, including the scope, effective date, references, terms and definitions, tables, boxes, and annexes, unless otherwise stated.

REFERENCES

The following referenced documents are relevant for the application of this document.

For references without a version number, the latest version of the referenced document (including any amendments) applies:

Chain of Custody Certification Standard FSC-STD-40-004	This is the core standard for FSC CoC certification that specifies the requirements which apply to all CoC certified and applicant organizations with respect to sourcing, processing, labelling, and sale of forest-based products as FSC certified.
FSC Product Classification Addendum FSC-STD-40-004a	This standard addendum stipulates the product type nomenclatures that shall be used by Certificate Holders for the purpose of classifying FSC Product Groups.
Chain of Custody Evaluations Standard FSC-STD-20-011	The objective of this standard is to provide the requirements to be followed by FSC accredited certification bodies (CBs) when auditing CoC organizations against applicable requirements of the FSC normative framework and integrating the findings to come to a reliable certification decision.
Requirements for use of the FSC trademarks by certificate holders FSC-STD-50-001	This standard is mandatory for all FSC certificate holders who are entitled to use the FSC trademarks and sets out how to use the FSC trademarks correctly.
Requirements for Sourcing FSC Controlled Wood FSC-STD-40-005	This standard outlines the requirements for a due diligence system for FSC Chain of Custody certified organizations to avoid material from unacceptable sources.
Chain of Custody Certification of Multiple Sites Standard FSC-STD-40-003	The objective of this document is to provide the conditions and requirements for the establishment and management of Chain of Custody certificates with multiple sites.
Sourcing reclaimed material for use in FSC Product Groups or FSC Certified Projects FSC-STD-40-007	This standard stipulates the requirements that shall be followed by organizations certified according to FSC-STD-40-006 for purchasing, verifying, and classifying reclaimed forest-based inputs (including materials such as bamboo and cork) for use in FSC Product Groups and FSC Certified Projects.
Policy for the Association of Organizations with FSC Policy FSC-POL-01-004	Through this policy FSC expects to be able to identify organizations not committed to the basic fundamentals of responsible forest management and prevent them from misusing their association with FSC.

TERMS AND DEFINITIONS

For the purposes of this document, the terms and definitions included in FSC-STD-40-004 Chain of Custody Certification, FSC-STD-01-002 FSC Glossary of Terms, and the following apply:

Procurement claim: a message using FSC trademarks, to set apart and advertise the purchase or sourcing of FSC certified material or products in relation to the total purchase of forest-based material or products and services of an organization (adapted from ISEAL, Sustainability Claims. Good Practice Guide, 2015).

FSC product claim: A claim made on sales and delivery documents for FSC-certified or FSC Controlled Wood output products. The FSC claims are: *FSC 100%*, *FSC Mix x%*, *FSC Recycled x%*, *FSC Mix Credit*, *FSC Recycled Credit*, and *FSC Controlled Wood*.

Promotional claim: A claim that is used to promote the FSC system or FSC-certified material. For example: 'This table is made from FSC-certified wood'.

Verbal forms for the expression of provisions:

[Adapted from *ISO/IEC Directives Part 2: Rules for the structure and drafting of International Standards*]

- “shall”: indicates requirements strictly to be followed in order to conform with the standard.
- “should”: indicates that among several possibilities one is recommended as particularly suitable, without mentioning or excluding others, or that a certain course of action is preferred but not necessarily required. A ‘should requirement’ can be met in an equivalent way provided this can be demonstrated and justified.
- “may”: indicates a course of action permissible within the limits of the document.
- “can”: is used for statements of possibility and capability, whether material, physical or causal.

ABBREVIATIONS

ASI Assurance Services International

B2B Business-to-business

B2C Business-to-consumer

FSC Forest Stewardship Council

PSU Performance and Standards Unit

1. MANAGEMENT SYSTEM

1.1 The organization shall implement and maintain a management system adequate to its size and complexity to ensure its continuous conformity to all applicable requirements of this procedure, including:

- a. appoint a representative who has overall responsibility and authority for the organization's conformity to all applicable requirements;
- b. implement and maintain up-to-date documented procedures covering the requirements applicable to the scope of this procedure;
- c. train staff on the up-to-date version of the organization's procedures to ensure their competence in implementing the CoC management system;
- d. maintain complete and up-to-date records of the documents that are relevant to demonstrate the organization's conformity with all applicable requirements which shall be retained for a minimum period of 2 (two) years. At a minimum, the organization shall keep records of the following documents as applicable to the scope of procurement claims:
 - i. procedures,
 - ii. product group lists,
 - iii. purchase documents,
 - iv. records of suppliers, complaints, and outsourcing,
 - v. control of non-conforming products.

1.2 The organization shall apply the eligibility criteria specified in FSC-STD-40-003 *Chain of Custody Certification of Multiple Sites Standard* to define its eligibility for single, multisite, or group CoC certification claims.

1.3 The organization shall commit to the FSC values as defined in FSC-POL-01-004 by signing a self-declaration that the organization is not directly or indirectly involved in the following activities:

- a. illegal logging or the trade in illegal wood or forest products.
- b. violation of traditional and human rights in forestry operations.
- c. destruction of high conservation values in forestry operations.
- d. significant conversion of forests to plantations or non-forest use.
- e. introduction of genetically modified organisms in forestry operations.
- f. violation of any of the ILO Core Conventions, as defined in the ILO Declaration on Fundamental Principles and Rights at Work, 1998.

1.4 The organization shall ensure that complaints received regarding the organization's conformity to the requirements of this procedure are adequately considered, including:

- a. acknowledge receipt of the complaint to the complainant within two (2) weeks of receiving the complaint;
- b. investigate the complaint and specify its proposed actions in response to the complaint within three (3) months. If more time is needed to complete the investigation, the complainant and the organization's certification body shall be notified;
- c. take appropriate actions with respect to complaints and any deficiencies found in processes that affect conformity to the requirements;
- d. notifies the complainant and the organization's certification body when the complaint is successfully addressed and closed.

1.5 The organization shall have procedures in place to ensure that non-conforming material is not included in the calculations for determining the FSC procurement claims.

1.6 The organization shall support transaction verification conducted by its certification body and Assurance Services International (ASI), by providing samples of FSC transaction data as requested by the certification body.

2. MATERIAL SOURCING

2.1 The organization shall maintain up-to-date information about all suppliers who are supplying FSC certified materials, including names, certification code and materials supplied.

2.2 In order to confirm any changes that might affect the availability and authenticity of the supplied material, the organization shall regularly verify the validity and product groups scope of the certificates of their active FSC-certified suppliers through the FSC certificate database (info.fsc.org).

2.3 The organization shall have procedures in place to check the supplier's sale and/or delivery documentation to confirm that:

- a. the supplied material type and quantities are in conformity to the supplied documentation;
- b. the FSC claim is specified;
- c. the supplier's FSC Chain of Custody code is quoted for material supplied with FSC claims.

2.4 In case the FSC certified material was procured from an organization without a CoC claim, the organization shall be able to confirm that material was sourced from FSC certified sources, or previously FSC CoC sources (where the material was previously sold with the FSC claim), and that there has been no mixing.

NOTE: in case of a 'broken chain', the organization should be able to trace the material back to the previous FSC CoC source and confirm the traceability of the material until it reaches the organization.

2.5 The organization may classify material held in stock at the time of the main evaluation by the certification body and material received between the date of the main evaluation and the issue date of the organization's CoC certificate as eligible input, provided that the organization is able to demonstrate to the certification body that the materials meet the FSC material sourcing requirements.

3. FSC MATERIAL ACCOUNTING

3.1 The organization shall maintain up-to-date material records (e.g., spreadsheets) of materials included in the scope of the organization's certification for FSC procurement claims, including purchase document number, date, quantities, and material category including the percentage or credit claim of the material procured.

3.2 The organization shall prepare reports of annual volume summaries (in the measurement unit commonly used by the organization), covering the period since the previous reporting period, demonstrating the quantities of the material claimed under FSC procurement claims are correspond with the quantities of inputs, any existing inventory, and the conversion factors for the product groups if applicable.

4. COMPLIANCE WITH TIMBER LEGALITY LEGISLATION

4.1 The organization shall ensure that the FSC-certified material it uses in its operations complies with all applicable timber legality legislation. At a minimum, the organization shall:

- a. have procedures in place to ensure the import of FSC-certified inputs by the organization complies with all applicable trade and customs laws;
- b. upon request, collect and provide information on species (common and scientific name) and country of harvest (or more specific location details if required by legislation) to direct customers and/or any FSC-certified organizations further down the supply chain that need this information to comply with timber legality legislation. The form and frequency of providing this information may be agreed upon between the organization and the requester.

4.2 If the organization does not possess the requested information on species and country of origin, the request shall be passed on to the upstream suppliers until the information can be obtained.

5. DECLARING PROCUREMENT CLAIMS

5.1 General rules

5.1.1 The organization shall only make procurement claims on FSC certified material that is or has been under legal custody/ownership of the organization at the time of making the procurement claim.

5.1.2 The organization can make procurement claims either at an organizational, site, or product group level.

5.1.3 The organization shall receive external approval from its certification body for the use of the FSC logo trademark with their procurement claims according to Section 5 'Promotional elements' of FSC-STD-50-001.

5.2 Procurement claims options

5.2.1 All procurement claims shall be reviewed and approved by the certification body for accuracy and credibility.

5.2.1 The examples shown in Table A are not intended to be exhaustive; other alternatives are possible.

Table A: Examples of procurement claims (informative):

Organizational level	We have procured/used 'X' tons/m3 of FSC-certified material in 2022. 'XX'% of our total viscose is from FSC-certified sources.
Site level	Our 'Y' site used 'XX'% of FSC material in our production in 2022 3 out of our 5 sites only use FSC-certified material.
Product group level	'XX'% of the natural latex used in our rubber soles are FSC-certified. We use X% of FSC material in our range of t-shirts.

5.2.3 For organizations making a procurement claim at the organizational/site level, the procurement claim shall be calculated as a simple percentage of the total quantity, volume, or number of eligible input material to the total quantity, volume, or number of the wood and/or wood fibre input/procurement at the organization or at the particular site.

5.2.4 For organizations making a procurement claim at a product group level, the following methodology shall be applied:

- i. The organization shall specify the accounting period for which it is making a single procurement claim
- ii. The organization shall specify the product group at which the procurement claim is being made and undertake the calculations accordingly.
- iii. The organization shall calculate and record the FSC procurement percentage by using the following formula:

$$\text{FSC\%} = \text{QC}/\text{QT} \times 100$$

FSC% = FSC procurement percentage

QC = Quantity of claim-contributing inputs

QT = Total quantity of forest-based inputs

5.2.5 When procurement claims calculation is performed by multiple physical sites, the organization shall apply the percentage system at the level of multiple physical sites. The percentage shall be calculated based on the sum total of the eligible FSC inputs received against the sum total of wood and wood fibre inputs at all applicable sites. The conditions for the application of the procurement system at the level of multiple physical sites are the following:

- a. the percentage calculation shall only be applied to material within the same product group (if the procurement claim is expressed at the product group level).
- b. all sites shall be within the scope of a single or multi-site certificate with a common ownership structure.
- c. all sites shall be located within the same country or the Eurozone.
- d. all sites shall use the same integrated management software.

5.3 Restrictions

5.3.1 The organization shall not make a product specific procurement claim.

NOTE: For finished and labeled/unlabeled products, procurement claims cannot be made under this pilot. Organizations with finished and labeled/unlabeled products should apply for procurement claims under the applicable provisions of FSC-STD-50-002 *Requirements for Promotional Use of the FSC Trademarks by Non-Certificate Holders*.

5.3.2 The procurement claim shall not be transferred or sold forward to any other organization, site, or business (B2B).

5.3.3 Procurement claims shall be restricted to eligible input material and/or finished goods that are consumed internally by the organization.

5.3.4 Organizations shall not use FSC procurement claims in their sales and delivery documentation and shall not pass on their procurement claims downstream in their supply chain.

NOTE: Any sales of FSC certified products with an FSC product claim would be managed under the applicable requirements of the FSC-STD-40-004 standard.

5.4 Eligible inputs

5.4.1 Eligible input refers to material supplied with the following claims:

- i. FSC 100%
- ii. FSC Mix (percentage or credit)
- iii. FSC Recycled (% or credit)
- iv. FSC Controlled Wood

5.4.2 For FSC Mix% or FSC Recycled % inputs, the organization shall use the percentage claim on the supplier invoice to determine the quantity of claim-contributing inputs.

5.4.3 For FSC 100%, FSC Mix Credit, and FSC Recycled Credit inputs, the organization shall use the full quantity claimed on the supplier invoice to determine the quantity of claim-contributing inputs.

5.4.4 Non-FSC-certified reclaimed material (conforming to the requirements of FSC-STD-40-007) can be considered as eligible input for the purpose of accounting for procurement claims.

6. REQUIREMENTS FOR CERTIFICATION BODIES

6.1. General principles

6.1.1. A pilot certificate or a confirmation letter of participation is issued by an FSC-accredited certification body provides a credible assurance that procurement claims issued as part of this pilot conform to all applicable requirements of the relevant FSC normative documents and this procedure. The pilot certificate or confirmation letter at the minimum shall include:

- a. the date of issue of the certificate or confirmation letter;
- b. the name and address of the certification body;
- c. the legal name and registered address of the organization;
- d. a description of the scope of procurement, including a reference to the type of certificate (single, group, or multi-site), a general description of the type of products covered under procurement claims according to FSC-STD-40-004a, and a reference to the procedure that the organization has been evaluated against.
- e. the type of procurement claim: organizational, site, or product group level.
- f. the date of expiry of the certificate or confirmation letter according to the end of the pilot period, i.e., 31 March 2023.

NOTE: The expiry date requirement does not apply to evaluated and approved procurements claims within the duration of the pilot.

- g. a reference to the FSC certification database (info.fsc.org) for the full list of product groups covered;
- h. the CoC certification registration code issued by the certification body

6.1.2 The certification body shall at minimum enter the information from 6.1.1 in the FSC certification database (info.fsc.org).

NOTE: Certification bodies will be informed once the option to register organizations for procurement claims in the database (info.fsc.org) becomes available.

6.1.3 In order to provide such an assurance, the certification body shall:

- a. analyze and describe the procurement management system and the group or multisite to be evaluated (in case of one or more sites involved in procurement activity).
- b. confirm that the procurement management system in place is capable of ensuring that all the applicable requirements are implemented by every site which is involved in procurement, including contractors as part of outsourcing agreements, within the scope of certification.

- c. where applicable, carry out sampling of sites involved in procurement, contractors, documents, management records, and interviews with personnel sufficient to verify that management procedures for procurement under this pilot are being implemented effectively and consistently across the whole scope of certification.
- d. confirm that any nonconformity is addressed by the organization within the established timelines.

NOTE: Unless otherwise specified in this procedure, all applicable and relevant requirements and definitions provided in FSC-STD-20-001 and FSC-STD-20-011 apply.

6.2. Evaluation requirements

6.2.1. The certification body shall complete an analysis and description of the operational sites included in the scope of procurement, as well as the structures and systems in place for their management.

6.2.2. The certification body shall define the scope of the procurement claims evaluation for procurements undertaken by the organization (including participating sites of multisite or group certification and contractors) and applicable FSC normative document(s) applicable to the which these procurement activities are evaluated.

6.2.3. The certification body shall determine, in accordance with its documented procedures, the auditing time needed to accomplish each evaluation of the organization's procurement management system covering the requirements that are applicable to the scope of the procurement claims and this procedure.

6.2.4. The certification body shall complete an analysis of the organization's procurement management system and operations required to ensure that all applicable requirements are implemented over the full range of applicable procurement activities.

NOTE: In the case of large multisite organizations the requirement to evaluate conformity implies the need to evaluate management systems and their functioning at regional and subregional offices.

6.2.5 The certification body shall evaluate the capacity of the organization to implement its procurement operation consistently and effectively as described. This evaluation shall include:

- a. the technical and material resources available (e.g., system and technology for recording each step of the procurement process).
- b. The personnel available (e.g., the number of people involved in the procurement of FSC material) and their experience.
- c. for group and multi-site certification, the complexity, and scale of the activities covered by the scope of procurement. This information will be used to evaluate the central office's ability to manage the procurement claims process of several participating sites within the scope of procurement and determine its annual growth limits.

6.2.6 The certification body may make use of information that is available as a result of previous evaluations in relation to FSC normative documents and/or in relation to other standards such as those published by ISO. In all cases, the certification body shall make its own independent decision as to whether or not the organization conforms to the applicable requirements.

6.2.7 For surveillance evaluations and certification decisions, the certification body shall apply the applicable requirements of sections 3 and 4 of FSC-STD-20-011 V4-2 *Chain of Custody Evaluations*.

6.3 Reporting requirements

6.3.1 The certification body shall document its findings and conclusions in a report according to the requirements specified in this procedure, The evaluation report shall at least include the information specified in Table B below.

NOTE: The order in which information is presented may be determined by the certification body.

6.3.2. The evaluation report may be written in any language at the convenience of the organization and the requirements of the certification body's decision-making entity.

6.3.3 The evaluation report shall be sent to the organization within fourteen (14) days after the evaluation.

6.3.4 FSC and ASI reserve the right to request a translation of any evaluation report into one of the official languages of FSC, at the expense of the certification body, in order to assess the implementation of FSC requirements.

Table B. Minimum content of evaluation reports

Item	Minimum content required
Cover page	<ul style="list-style-type: none"> a. Name, contact details, and website address of the certification body. b. Date (day, month, and year) of the report. c. Type of evaluation (e.g., main evaluation, surveillance). d. Name, address, and contact details of the organization and contact person. e. Date of issuing the pilot certificate or confirmation letter of participation.
Scope of Procurement claim	<ul style="list-style-type: none"> a. Procurement claim type: organizational, specific site, or product group. b. product group(s) according to FSC-STD-40-004, as applicable. c. For each site (or participating site) within the scope of procurement: <ul style="list-style-type: none"> i. name of the organization; ii. address. d. For group and multisite certification, the identifier or sub-code assigned to each participating site.
Evaluation	<ul style="list-style-type: none"> a. Evaluation date(s). b. Name(s) and qualifications of certification body auditors. c. Total on-site auditing time. d. Reference to the FSC normative documents used, including the version number. <p>NOTE: The certification body shall specify the name and reference number of the procurement procedure.</p>
Evaluation findings for organizations operating under procurement claim pilot	<ul style="list-style-type: none"> a. Brief description of the system by which the organization maintains control over the procurement of all FSC material included on the organization's product group list, covering: <ul style="list-style-type: none"> i. management system; ii. material sourcing;

	<p>iii. material receipt and storage,</p> <p>b. Systematic presentation of findings demonstrating conformity or nonconformity to each element of the procedure</p> <p>NOTE: Summaries of the systematic presentation of findings demonstrating conformity or nonconformity are acceptable, as long as the critical control points are addressed, and conformity with the procedure sections indicated in bold is summarized in a way that allows the decision-making entity to make an informed decision on the overall conformity or non-conformity of the implemented procedure.</p> <p>NOTE: The findings shall be presented separately for each participating site evaluated in the case of multisite and group evaluations.</p> <p>c. Description and review of any complaints, disputes, or allegations of nonconformities received by the organization and/or the certification body.</p> <p>d. Corrective action requests (CARs) issued to the organization as a result of the current evaluation, including grading as major or minor, timelines for conformance, status (open or closed), description of the nonconformity on which the CAR is based. Where applicable, the report shall also include a systematic evaluation of the organization's conformity to CARs issued by the certification body in the previous evaluation.</p> <p>e. For main evaluations and re-evaluations, the certification decision.</p> <p>f. If the claim is suspended or terminated as a result of any evaluation, the justification for this decision.</p> <p>g. Information on FSC-certified procured volumes based on the organization's annual procurement volume summary.</p>
<p>Group and multisite evaluations</p>	<p>a. General description of how the chain of custody is controlled at the group or multisite level.</p> <p>b. Detailed summary of the certification body sampling process, including:</p> <p>i. calculation of the number of participating sites sampled for the audit, according to the sampling methodology in Clause 7.5 of FSC-STD-20-011 V4-2 <i>Chain of Custody Evaluations</i></p> <p>ii. name(s) of the participating site(s) by the certification body.</p>
<p>Annexes</p>	<p>Annexes may include any additional information which supports or confirms the findings or recommendations of the auditor (e.g., photos, copies of invoices, bills of lading).</p>

6.4. Certification summary

6.4.1. The certification body shall develop a certification summary which shall be sent to FSC International (chainofcustody@fsc.org) on completion of the evaluation for procurement claims as per this procedure.

NOTE 1: The inclusion of confidential information is not required.

NOTE 2: The certification summary should be short and concise.

6.4.2. The certification summary shall include at a minimum:

- a. the scope of the procurement claims that can be made by the organization (e.g., organizational level procurement claims, product group level procurement claims, etc.
- b. a list of all nonconformities that the organization is required to correct to maintain its procurement claims, including the time period within which corrective actions shall be made.

6.4.3. The certification summary shall be made available in English.

6.4.4. In the case of surveillance evaluations, the certification summary shall include at least the following information:

- a. the date of the surveillance evaluation;
- b. a description of the actions taken by the organization to correct any nonconformities identified during previous evaluations;
- c. the certification body's conclusions as to whether the actions taken result in conformity to the applicable requirements, and if not, whether the remaining nonconformities are considered minor or major nonconformities;
- d. a description of any further nonconformities identified as a result of the surveillance evaluation and conditions to correct all identified nonconformities.

6.4.5. FSC shall publish information regarding the pilot participants on the FSC website including

- a. list of all the organizations participating in this pilot
- b. their contact details
- c. types of the procurement claim those organizations are permitted to make under this pilot.



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