# FSC产销监管链认证规则

# FSC Chain of Custody Certification Regulations

受控

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| 前言 | FOREWORD |
|---|---|
| 本文件由上海砺鼎认证有限公司（以下简称：SLC）技术部编写，由上海砺鼎认证有限公司总经理批准。 | This document is developed by the Technique Dept. of Shanghai Leading Certification Co., Ltd. (hereinafter referred to as SLC) and has approved by the SLC General Manager. |
| 本文件是一种规范性文件，适用于根据 ASI 授信的 FSC 认证项目要求，为客户执行 FSC 监管链认证服务的上海砺鼎审核员和技术专家。 | The document is a normative for SLC HO auditors and specialists performing certification cervices for clients on FSC chain of custody certification under the ASI accreditation of FSC Certification Program. |
| 这份文件是上海砺鼎的知识产权。本文件的再印、循环或使用，或其任何部分，只能由上海砺鼎认证有限公司提供。 | This document is intellectual property of SLC. Reprinting, circulation or using of this document or any its parts are available only by SLC authority. |
| 本规则的检查副本是在 LC-2-04 文件的要求下进行管理的。 | The check copy of the Manual is managed under the requirements of LC-2-04. |

| 范围 | Scope |
|---|---|
| 本监管链认证规则 （以下简称规则），在相关的 Forest Stewardship Council®(FSC) (以下简称 FSC)规范文件的适用要求下制定。规则为审核人员提供依据上海砺鼎的程序进行评估的指导。规则包括对检查表的执行指南、文件的指南和 FSC 的解释、识别、分析、分类和解决不符合的情况;根据 FSC 要求和上海砺鼎程序要求的报告文件。 | This Manual for Chain of Custody (herein after Manual) certification developed according to requirements of Forest Stewardship Council®(FSC) (herein after FSC) applicable documents and relevant normative documents. The Manual provides guidance for the auditors to conduct evaluations in accordance with SLC procedures and normative documents. The Manual includes guidance on implementation of checklists, guidance on documentation and interpretations of FSC ND, identifying, analysing, categorizing and resolving nonconformities; reporting documents according to applicable FSC requirements and SLC procedures. |

| 引用标准 | Normative references |
|---|---|
| 该规则是按照下列规范文件的当前版本的要求开发的: | The Manual has been developed in compliance with the requirements of current versions of the following normative documents: |
| ISO/IEC 17021-1 Conformity assessment. Requirements for bodies providing audit and certification of management systems<br>ISO/IEC 17020 General criteria for the operation of various types of bodies performing inspection<br>ISO/IEC 17065 Conformity assessment — Requirements for bodies certifying products, processes and service<br>FSC-STD-01-002 FSC Glossary of Terms<br>FSC-STD-20-001 General requirements for FSC accredited certification bodies<br>FSC-PRO-20-004 General Requirements for an FSC Training Program<br>FSC-STD-20-011 Chain of Custody Evaluations;<br>FSC-STD-40-003 Chain of Custody Certification of Multiple Sites;<br>FSC-STD-40-004 Chain of Custody Certification<br>FSC-DIR-40-004 FSC Directive on Chain of Custody Certification;<br>FSC-DIR-20-011 Directive for Chain of Custody Certification<br>FSC-STD-40-004a FSC Product Classification. FSC Standard Addendum<br>FSC-STD-40-007 Sourcing Reclaimed Material for Use in FSC Product Groups or FSC Certified Projects;<br>FSC-STD-50-001 Requirements for Use of the FSC Trademarks by Certificate Holders;<br>FSC-POL-20-005 Annual Administration Fee (AAF)<br>FSC-POL-01-004 Policy for the Association of Organizations with FSC<br>FSC-PRO-01-017 Participation of external observers in on-site FSC certification audits and / or ASI assessments<br>FSC-PRO-20-003 Transfer of FSC Certificates and License Agreements.<br>FSC-STD-40-005 V3-1 EN Requirements for Sourcing FSC Controlled Wood<br>FSC-DIR-40-005 FSC Directive on FSC Controlled Wood<br>FSC Interpretations General<br>FSC Interpretations Chain of Custody<br>FSC Interpretations Trademark<br>FSC Interpretations Controlled Wood | |

| 术语、定义和缩写 | Terms, definitions and abbreviations |
|---|---|
| 本规则使用规范文档中提供的术语和定义，这是规则的基础，而在 FSC-STD-01-002 FSC Glossary of Terms。 | This Manual uses terms and definitions presented in the normative documents, which were the base for the Manual, and in FSC-STD-01-002 FSC Glossary of Terms. |
| 缩写 | Abbreviations |
| FSC: Forest Stewardship Council;<br>ASI: Accreditation Services International<br>HCVF: High Conservation Value Forests;<br>COC: Chain of Custody;<br>CW: Controlled Wood; | FSC: Forest Stewardship Council;<br>ASI: Accreditation Services International<br>HCVF: High Conservation Value Forests;<br>COC: Chain of Custody;<br>CW: Controlled Wood; |

| 1. 通用要求 | 1. General provisions |
|---|---|
| 1.1 上海砺鼎的主要目标和方针在 LC/M-2018 中概述。 | 1.1 The main objectives and policy of SLC are outlined in LC/M-2018. |
| 1.2 上海砺鼎为组织提供 FSC 监管链认证服务，服务的区域：全球(俄罗斯和白俄罗斯除外) | 1.2 SLC provides services for Organizations on FSC chain of custody certification, the service covers Global (excluding Russia and Belarus) |
| 1.3 组织的认证是基于以下标准进行的:<br>监管链认证依据 FSC-STD-40-004 标准，以及其他 FSC 规范性文件(FSC-STD-40-003; FSC-STD-40-007; FSC-STD-40-005 等.). | 1.3 Certification of Organizations is carried out based on the declared area:<br>- Chain of custody certification against FSC-STD-40-004; and other applicable FSC ND (FSC-STD-40-003; FSC-STD-40-007, FSC-STD-40-005, etc.). |
| 1.4 上海砺鼎签发的监管链证书提供了可靠的保证，证明证书范围内的所有监管链操作符合相关 FSC 规范性文件的所有适用要求。 为了提供这样的保证，上海砺鼎应： | 1.4 A chain of custody certificate issued by SLC provides a credible guarantee that all chain of custody operations within the scope of a certificate conform to all applicable requirements of the relevant FSC normative documents. In order to provide such a guarantee, SLC shall: |
| a) 要根据一个或多个运营地点，分析和描述被评估的产销监管链操作和/或集团或多地点证书; | a) analyze and describe the Chain of Custody operation and/or Group or Multi-site certificate to be evaluated in terms of one or more operational sites; |
| b) 确认有一个控制系统能够确保每个运营场实施所有适用的要求，包括作为外包协议一部分的再生材料验证计划和承包商的非认证供应商， 在评估范围内; | b) confirm that there is a control system in place capable of ensuring that all the applicable requirements are implemented by every operational site, including non-certified suppliers as part of reclaimed-material verification programs and contractors as part of outsourcing agreements, within the scope of the evaluation; |
| c) 在适用的情况下，对操作场所，非认证供应商，承包商，文件，管理记录进行抽样，并与人员进行面谈,足以验证控制系统在整个证书范围内有效和一致地实施; | c) where applicable, carry out sampling of operational sites[1], non-certified suppliers[2], contractors, documents, management records, and interviews with personnel sufficient to verify that the control system is being implemented effectively and consistently across the whole scope of the certificate; |
| d) 确认组织在规定的时间表内充分解决了任何不符合。<br>注：除非标准中另有规定，否则 FSC 规范框架的监管链要求旨在应用于监管链操作的现场级别。 | e) confirm that any nonconformity is adequately addressed by the organization within the established timelines.<br>NOTE: The chain of custody requirements of the FSC normative framework are designed to be applied at the site level of a chain of custody operation, unless otherwise specified in a standard. |
| 1.5 本规则包括所有适用的 FSC 规范性文件处理监管链认证服务。主要的认可标准是 FSC-STD-20-001，还有: | 1.5 The Manual includes requirements of all applicable FSC ND published on the FSC website (ic.fsc.org) for SLC as an accredited certification body (CAB) in respect |

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| -针对审核组织监管链的标准：FSC-STD-20-011，FSC-DIR-20-011 | of FSC certification. The main accreditation standard is FSC-STD-20-001, and also:<br>- for evaluation of Organizations on chain of custody is FSC-STD-20-011, FSC-DIR-20-011 |
| 1.6 通知客户<br>LC-2-19 中概述了通知受影响客户的一般要求<br>邮件给客户的行为是根据 LC-2-19 进行的。 | 1.6 Informing of SLC clients<br>General requirements for the informing affected clients are outlined in LC-2-19.<br>Mailing to clients is carried out in accordance with the LC-2-19. |
| 1.6.1 根据 LC-2-19，上海砺鼎总部的专家应在减少，暂停或撤销其 FSC 认可范围后三十（30）个日历日内通知受影响的客户，告知客户其认可范围已经减少，暂停或撤销。应通知客户，他们必须在六（6）个月内寻求新的认证机构，以保证其认证有效（如适用）。<br>如认可暂停期限超过 6 个月，应按 INT-STD-20-001_53 相应延长受影响客户的转证期限，并要求在认可暂停期届满前完成转证。技术部应根据实际认可决定记录具体期限，通知客户，并同步 2.2 合同和 2.3 转证安排；不得据此自行延长证书有效期。 | 1.6.1 According to LC-2-19, responsible specialist of HO shall inform affected clients within thirty (30) calendar days after the reduction, suspension or withdrawal of their scope of FSC accreditation, that their accreditation scope has been reduced, suspended or withdrawn. The clients shall be informed that they have to seek a new certification body within six (6) months to keep their certification valid, as applicable.<br>Where accreditation suspension exceeds six months, apply INT-STD-20-001_53 to extend the affected organizations' transfer timeline accordingly, requiring completion before that suspension expires. Record the actual deadline from the accreditation decision, notify organizations and align Sections 2.2–2.3. This does not itself extend certificate validity. |
| 1.6.2 技术经理应在被批准的机构批准此类变更的三十（30）个日历日内通知所有受影响的客户 FSC 认证要求的变更或其影响认证要求的程序机构，包括排除任何 FSC 和上海砺鼎要求或活动的理由。该要求在 FSC 认证协议中与每个上海砺鼎客户明确。 | 1.6.2 Technical manager shall inform all affected clients of changes to FSC certification requirements or its own procedures affecting certification requirements, within thirty (30) calendar days that such changes are approved by the approval body, including the rationale for excluding any of FSC and SLC requirements or activities.<br>This requirement is specified in the FSC certification agreement with each SLC client. |
| 1.6.3 FSC 和上海砺鼎发邮件给受影响的证书持有者，并注明变更，并在上海砺鼎网站上发布信息。 | 1.6.3 Mailing of FSC and SLC to affected certificate holders with indication of the changes as well as by posting information on SLC website |
| 1.6.4 上海砺鼎审核员应通过邮件方式通知。 为此，上海砺鼎总部员工应通知相关客户，这些变更适用于此。 有关的记录应保留并应要求提交给上海砺鼎总部。 | 1.6.4 SLC auditor which it is applicable shall be informed by mailing. For this purpose SLC HO responsible employee shall inform the relevant clients, to which these changes apply. Records on this shall be retained and submitted to SLC HO at the request. |
| 1.7 如果一个新版 FSC 标准与旧版 FSC 标准相矛盾，则根据以下情况，按照适用的 FSC 规范性文件进行工作：<br>- 在同一标准的两个版本中，规则之间存在着明显的矛盾。在这种情况下，当证书持有者转换为新版本标准时，必须应用新的规则。<br>- 不同的规范性文件准则之间存在着明显的矛盾。在这种情况下，两个规则在各自标准的范围内都是有效的(参考上面的例子)<br>不同的规范性文件的规则之间存在着矛盾。在这种情况下，新规则取代了旧规则。 | 1.7 If a newer FSC standard contradicts an older FSC standard, the work is carried out in accordance with the applicable FSC ND requirements, based on the following situations:<br>− There is a perceived contradiction between rules in two versions of the same standard. In this case the new rule must be applied once the certificate holder has transitioned to the new version of standard.<br>− There is a perceived contradiction between rules in different ND. In this case both rules are valid in the context of the scope of the respective standard (see examples above)<br>− There is a contradiction between rules in different ND. In this case the newer rule supersedes the older rule. |

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| 1.8 监管链认证工作的主要阶段:<br>- 和组织申请人进行一般了解<br>- 初审<br>- 年度监督审核<br>- 复审 | 1.8 The main stages of work on chain of custody certification:<br>- preparation for the audit of the Organization-applicant;<br>- main evaluation;<br>- annual surveillances;<br>- Recertification |
| 1.9 管理体系控制。<br>技术经理应将本规则及配套程序建立对应清单，覆盖要求的全部作业程序，并统一合同、人员管理、审核工具、报告和决定模板。内部审核应覆盖新/修订 FSC 要求及所有认证服务外包机构，由熟悉 FSC 要求的人员实施；管理评审应分析内审及其计划的有效性。认证机构自身的不符合项应记录原因、纠正/纠正措施、期限、责任及验证结果。 | 1.9 Management-system controls. The technical manager shall map this manual to supporting procedures, covering all operational procedures and aligning contracts, competence controls, audit tools, reports and decision templates. Internal audits shall cover new/revised FSC requirements and all outsourced certification-service bodies, using personnel knowledgeable in applicable FSC requirements. Management review shall analyse the effectiveness of internal audits and their programme. SLC nonconformities shall record causes, corrections/corrective actions, deadlines, responsibilities and verification. |
| 1.9.1 所有参与认证的人员应在利益冲突出现或可预见时书面申报；技术经理组织无冲突人员评估并采取回避、更换或其他控制措施，保留申报和处置记录。应形成并实施反腐败方针；培训、审核不得提供企业专用解决方案。公正性保障机制至少每年开会一次，记录意见及上海砺鼎的回应。所有接触保密资料的人员均应签署保密协议，包括行政、外聘及评审/决定人员。各类 FSC 记录应完整、保护、检索及留存，并确保 ASI/认可机构可调阅。 | 1.9.1 All certification personnel shall disclose actual or foreseeable conflicts in writing. The technical manager shall arrange an impartial assessment and recusal, reassignment or other controls, retaining declarations and actions. SLC shall document and implement an anti-corruption policy; audits and training shall not provide company-specific solutions. The impartiality mechanism shall meet at least annually and record its advice and SLC responses. All personnel accessing confidential information, including administrative, contracted, review and decision personnel, shall sign confidentiality agreements. All FSC records should be complete, protected, retrievable and retained, with access available to ASI/accreditation bodies. |
| 1.10公开信息。<br>指定人员应在上海砺鼎自己的网站公布认可范围、认证服务外包机构名单、FSC 证书查询及标准文件入口，并公布投诉和申诉的提交渠道、处理步骤、时限及升级途径。认证服务外包机构也应在自己的网站公布投诉和申诉程序信息，不能仅以关联公司网站代替。应提供业务所在国的当地语言；适用公开认证概要时，还应满足相应语言要求。 | 1.10 Public information. An appointed person shall publish on SLC's own website its accreditation scope, outsourced certification-service bodies, links to FSC certificate search and requirements, and complaint/appeal channels, steps, timelines and escalation routes. Outsourced service bodies shall also publish complaint/appeal procedure information on their own websites; an affiliated company's website alone is insufficient. Information shall be available in the local language of the country of operation and meet applicable public-summary language requirements. |
| 1.11 指定受理人登记投诉/申诉，取得问题描述、支持证据和提交人联系方式，确认收到并在 2 周内给出初步答复及处理安排，持续告知进度；在收到后 3 个月内调查指控并明确拟采取的全部处理措施。由未参与相关审核且无利益冲突的人员审查/批准处理结论，通知关闭结果及可进一步向 ASI、最终向 FSC 提出的途径。按要求保护投诉人身份；匿名或未证实为投诉的不满意见作为利益相关方意见在下次审核处理。所有投诉向 FSC 登记；若 FSC 系统不可用，按 FSC 模板于次年第一季度提交上一年度汇总。 | 1.11 The appointed recipient shall register complaints/appeals, obtain a description, supporting evidence and submitter contact details, acknowledge receipt, provide an initial response and proposed follow-up within two weeks, and keep the submitter informed. Allegations shall be investigated and all proposed concluding actions specified within three months of receipt. Personnel uninvolved in the relevant audit and free of conflicts shall review/approve the outcome. Notify closure and the route to ASI and ultimately FSC. Protect the complainant's identity when requested. Anonymous or unsubstantiated dissatisfaction shall be handled as stakeholder comments at the next evaluation. Register all complaints with FSC; if its system is unavailable, submit the annual overview on FSC's template in the first quarter of the following year. |

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| 2. 预认证阶段<br>技术经理决定由上海砺鼎总部执行预认证工作。<br>指定的专家检查是否有必要的文件作为进行审核的依据，如果适用：<br>- 与客户之间的合同。 | 2. Pre-certification stage<br>Technical manager decides to conduct pre-certification by the HO SLC.<br>The assigned specialist check the availability of necessary documents that act as a basis for carrying out of evaluation, if applicable:<br>- a contract between the client. |
| 2.1 申请评审 | 2.1 Application review |
| 2.1.1 填写申请表的要求在 LC-2-10 中规定。 | 2.1.1 Requirements for filling in the application are specified in LC-2-10. |
| 2.1.2 开始组织策划认证工作的开始基于上海砺鼎通过模板接收填写的申请：LC-FSC-R-01。<br>应分析认证申请是否符合可接受性标准：<br>- 对于监管链（COC）：从单个组织，具有多个站点或组织组的组织接收。 | 2.1.2 The basis for start of planning certification works of Organization is the receiption by SLC a filled application using templates: LC-FSC-R-01.<br>Applications for certification shall be analyzed for compliance with Acceptability criteria:<br>- For chain of custody (COC): received from a single organization, organization with multi-site or group of organizations. |
| 2.1.2 如果上海砺鼎收到组织的申请，并与客户组织的负责代表建立正式沟通; 收集尽可能多的关于客户要求的信息，并将其发送给上海砺鼎总部。 | 2.1.2 If the application from Organization was received by SLC, and establish official communication with the responsible representative of the customer's Organization; collect as much information as possible on the customer's requirements and send it to SLC Head office |
| 2.1.3 上海砺鼎总部收到的申请应转交给指定的专家，该专家负责分析申请。<br>需要关注：<br>-上海砺鼎不得凭借其已向该组织颁发的其他林业体系认证，省略任何评价活动。<br>-若组织已被 FSC 系统封禁，认证机构应驳回该组织的认证申请。 | 2.1.3 An application received by SLC HO shall be sent to specialist who puts the task to analyze the application.<br>Note:<br>-SLC shall not rely on the certification of other forestry schemes that it has granted to the organization to omit any evaluation activity.<br>-SLC shall reject the application for certification by an organization that has been blocked from the FSC. |
| 2.1.4 收到并注册的申请必须包含足够的信息，以便根据适用的 FSC 认证要求规划和执行认证过程。<br>上海砺鼎与申请人之间任何已知的理解分歧，包括就适用的规范性要求达成协议;<br>确定认证范围;<br>上海砺鼎具有执行所需认证活动的能力、能力和资源。 | 2.1.4 Received and registered an application must contain sufficient information for planning and carrying out the certification process according applicable FSC certification requirements.<br>Any known differences in understanding between the SLC and the applicant is resolved, including agreements on the applicable normative requirements;<br>The scope of certification is defined;<br>SLC has the competence, capability and resources to perform the required certification activities. |
| 2.1.5 执行分析后，负责的专家使准备并向组织地址发送响应（决定）。适用于认证的适用标准在公共上海砺鼎网站上可以获取。 | 2.1.5 After performed analysis responsible specialist prepares and sends a response (decision) to the Organization address. It is pointed applicable standards for the certification on publicly available SLC web-site. |
| 2.1.6 如果适用，要求申请人提供有关过去五（5）年内所有先前或现有证书或证书的信息，以及有关最新 FSC 审核或其他森林认证计划的可用报告。 | 2.1.6 If applicable the Applicant is requested information about all previous or existing certificates or certifications, as well as available reports on the latest FSC evaluations or other forest certification schemes over the past five (5) |

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| 上海砺鼎将拒绝已经有效或暂停 FSC 证书所涵盖的管理单位或场所的认证申请，除非转机构认证过程除外。 | years.<br>SLC will reject applications for certification of management units or sites that are already covered by a valid or suspended FSC certification, except where a certification transfer process according to FSC-PRO-20-003 is ongoing. |
| 2.1.7 申请表评审结果，森林经理应考虑到本组织和作为认证机构的上海砺鼎的要求，确定所需工作执行的可能性（包括文件分析和组织 - 申请人提交并从第三方提供的任何其他信息）。 | 2.1.7 On results of the application review, forest manager shall determine the possibility of required works execution (including an order of analysis of documents and any other information presented by Organization-Applicant and received from the third parties) taking into account requirements of the Organization and SLC as a Certification body. |
| 2.1.8 如果组织认可的标准版本没有适用，则本组织必须在其首次申请之日前遵守其要求。 | 2.1.8 In case the version of the standard applicable by the organization for certification didn't inured, the Organization has to comply with its requirements by the date of its initial application. |
| 2.2 法律和合同问题<br>在签订认证协议前，应要求组织与 FSC Global Development 签署许可协议。<br>上海砺鼎和组织之间的认证合同应使用表格模板：LC-FSC-R-01 。 | 2.2 Legal and contractual matters<br>Before entering into a certification agreement, Organization shall be required to obtain a signed License Agreement with FSC Global Development.<br>Certification contract between SLC and the Organization shall use the template LC-FSC-R-01. |
| 2.3 转机构认证<br>在 LC-3-RZ-03FSC-01 中描述了在认证机构之间转移 FSC 证书的规则和上海砺鼎要求。 | 2.3. Transfer of certification<br>The order and SLC requirements for transfer of FSC certificates between certification bodies is described in LC-3-RZ-03FSC-01 |
| 2.4 文件阶段<br>报告文件管理的一般要求在 LC-2-10 文件中概述。<br>应由组织以电子和/或印刷形式保存在上海砺鼎的文件:<br>- 本组织对监管链的认证的申请;<br>- 对组织申请表的评审作出答复（决定）;<br>- 与 FSC GD 的许可协议副本<br>- 与客户的协议 | 2.4 Documents for the stage<br>The general requirements for management of reporting documents are outlined in LC-2-10.<br>Documents which shall be kept at SLC in electronic and/or printed form from Organization:<br>- Application of the Organization for the certification of chain of custody;<br>- Response (decision) upon the review of Application of the Organization;<br>- Copy of Licence agreements with FSC GD<br>- direct agreement with the client |
| 3.认证阶段 | 3. Certification stage |
| 3.1 一般要求 | 3.1 General requirements |
| 3.1.1 工作由上海砺鼎总部进行。 | 3.1.1 The work is carried out by the SLC HO. |
| 3.1.2 审核时间的要求根据 LC-2-17-FSC 确定。<br>注：审核时间的确定参见附件 6。 | 3.1.2 Requirements for evaluation duration are determined according to the LC-2-17-FSC.<br>NOTE: See Annex 6 for determination of audit time. |
| 3.1.3 FSC 审核持续时间的初步计算由专家经理执行，并发送给经理批准。 | 3.1.3 Preliminary calculation of FSC evaluation duration is carried out by specialist and send it to technical manager for approval. |
| 3.2.审核组 | 3.2 Audit group |

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| 3.2.1 审核组形成<br>指定的专家可以提出审核小组的组成，在这种情况下，他会将其发送给技术经理进行审批。<br>为了组建审核小组，及其成员（包括技术专家及其资格）的要求定义如下：<br>- 一般要求，<br>- 组长和成员的资格要求， | 3.2.1 Audit group forming<br>An appointed specialist may propose the composition of the audit team, in this case he sends it to the technical manager for approval.<br>Order of forming an audit team and requirements for its members including technical experts and their qualification are defined in:<br>- General requirements,<br>- Qualifications requirements for team leader and audit team members, |
| 3.2.2 审核组最低要求：<br>每个审核组应包括：<br>- 一个审核组应该总是包括一个有资格的审核员和审核组长。审核组可以由一个单独的有资格的审核员组成，同时也是审核组长。 | 3.2.2 Minimum requirements for the audit team<br>An audit team shall always include:<br>- An audit team shall always include a qualified auditor and audit team leader. The 'team' may consist of a single qualified auditor who is then also the leader of the 'team'. |
| - 至少一名审核组员有流利的审核发生地方的官方语言，或者有一个指定的独立的翻译，翻译不能是被审核组织的员工或咨询顾问，或者有流利的企业语言，如果客户提供书面的声明，确认符合以下要求：<br>i- 所有相关 FSC 要求的记录和程序文件由企业语言书写和理解；并且<br>ii- 所有的管理人员和那些和 FSC 职责相关的人员能够用企业语言沟通<br>iii- 对于所有评估，排程人员应确保同一审核员对客户的连续审核不超过三(3)次，但下列情况除外:：<br>关于对客户进行超过三（3）次连续审核的任命审核员的决定应当是合理的，为什么轮换审核员是不可能或不可行的，并应证明如何确保公正和客观的证据审核。 | - at least one team member who is fluent in the main language of the district/state in which the evaluation takes place, or a designated independent interpreter, who is not an employee or consultant of the Organization under evaluation or fluent in the corporate language, if the client provides a written declaration that confirms that all of the following criteria are met:<br>i - all relevant records and procedures relating to FSC requirements are written and understood in the corporate language; and<br>ii - all management staff and those with FSC responsibilities can communicate fluently in the corporate language.<br>iii For all evaluations the scheduler shall ensure that that no client is audited by the same auditor on more than three (3) consecutive audits, with the exception of the below-listed cases:<br>The decision on appointment of the Auditor on more than three (3) consecutive audits of the client shall be justified, why it was not possible, or feasible to rotate the auditor and shall demonstrate how an impartial and objective evidence based audit is ensured. |
| 审核组的资质可以通过一名或多名技术专家来补充。在这种情况下，应遵循以下要求：<br>a) 技术专家所花费的时间应在审计计划中单独列出；<br>b) 他们参与审核的范围应仅限于他们被要求完成的任务，并且每位技术专家应被分配到审核组中特定审核员的责任范围内；<br>c) 技术专家应由分配给他们的审核员陪同；<br>d) 如果认为有必要，技术专家可以按照审核组负责人的指示，在无人陪同的情况下进行访谈和其他指定任务；<br>e) 技术专家不得就是否符合认证要求做出结论，也不得将其传达给组织。 | The competence of an audit team may be supplemented by one or more technical expert(s). In this case the following requirements shall apply:<br>a) the time spent by technical experts shall be specified separately in the audit plan;<br>b) their participation in the audit shall be limited to the task they are requested to do, and each technical expert shall be assigned to the responsibility of a specific auditor in the audit team;<br>c) the technical expert(s) should be accompanied by the auditor to whom they are assigned;<br>d) if deemed necessary, the technical expert(s) may be allowed to perform interviews and other specified tasks unaccompanied, as instructed by the audit team leader;<br>e) technical expert(s) shall neither make conclusions on the conformity with certification requirements nor communicate them to the organization. |
| 审核组应具备评估所审查操作流程关键特征的能力，包括 | The audit team shall have the competence to evaluate of |

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| 核实财务信息以及审核 FSC 核心劳动要求。 | the critical characteristics of the operational processes under evaluation including verifying financial information and FSC core labour requirements. |
| 对于森林层面的受控木材审核，审核组应包括：<br>a) 至少一名（1）成员为审核所在地国家的居民，或者为与之具有相似森林条件的邻国的居民；<br>b) 至少一名（1）具备合格森林管理审计员资质的成员。 | For a controlled wood audit at forest level, the audit team shall include:<br>a) at least one (1) team member who is a resident of the country in which the audit takes place or a resident of a nearby country with similar forest conditions;<br>b) at least one (1) team member who is a qualified forest management auditor. |
| 3.2.3 监管链审核小组 | 3.2.3 Audit team at Chain of custody |
| 审核小组应始终包括：<br>- 在上海砺鼎注册的合格的监管链主任审核员，了解审核中的运营流程的关键特征;<br>上海砺鼎应检查并确保所有指定的审核员都具有有效的 CCAA 注册并符合 CNCA / CCAA 的规定。<br>为确保不存在利益冲突，上海砺鼎不得使用提供咨询或受雇于客户的人员（包括以管理身份行事的人员）进行审核，内部审查，批准决议 在咨询或雇佣结束后三（3）年内向该客户提出投诉或上诉。<br>应向被审核组织通报对审核小组的任何特定成员（审核员和/或技术专家）的转让提出申诉的能力。 如果收到申诉，则应同意另外的审核小组。 | A evaluation team shall always include:<br>- a qualified chain of custody lead auditor who is registered in SLC with a knowledge of the critical characteristics of the operational processes under evaluation;<br>SLC shall check and ensure that all appointed auditors have valid CCAA registration and fulfill the regulation from CNCA/CCAA.<br>To ensure that there is no conflict of interest, personnel (including those acting in a managerial capacity) who have provided consultancy, or been employed by a client, shall not be used by SLC to audit, internal review, approve the resolution of a complaint or appeal for that client within three (3) years following the end of the consultancy or employment.<br>The evaluated Organization shall be informed of the ability to appeal against assignment of any particular member (auditor and/or technical expert) of the audit team. If an appeal is received, the audit team shall be additionally agreed. |
| **人员能力要求：**<br>-申请评审人员应具备审核策划能力；<br>-审核员及组长按要求满足学历/经历、培训和受监督审核要求；<br>-评审/认证决定人员须具备相应审核员资格及评估报告和证据的能力；<br>-商标审批人员须通过 FSC 商标培训。<br>应核对既往 FSC 资格及 ASI 登记状态，保留资格证据；每次派组前核验资格、语言、财务信息及核心劳工审核能力和利益冲突。 | Personnel competence requirements:<br>• Personnel conducting application reviews shall be competent in audit planning.<br>• Auditors and audit team leaders shall meet the applicable requirements for education and experience, training, and supervised audits.<br>• Personnel conducting reviews and making certification decisions shall hold the relevant auditor qualifications and be competent to assess audit reports and supporting evidence.<br>• Personnel approving FSC trademark use shall successfully complete FSC trademark training.<br>Prior FSC qualifications and ASI registration status shall be verified, and evidence of qualifications shall be retained. Before each audit team assignment, verify the team's qualifications, language proficiency, competence to verify financial information and assess conformity with FSC core labour requirements, and any potential conflicts of interest. |

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| **审核员持续资格和暂停恢复：**<br>对包括自由审核员在内的人员进行持续监控：每年按需要完成持续培训、每资格范围至少 3 个现场审核日（最迟次年 3 月底完成），每 3 年至少一次基于监控及见证的绩效评价，保存报告；评审/决定人员的年度现场观察替代方式仅按 FSC-STD-20-001 V5-0 附件 2 表 3 规定使用（本规则附件 8）。ASI 见证不能替代本机构绩效见证要求。未满足持续资格、绩效不足或违反程序（包括贿赂）时，SLC 应暂停相关资格及派组，书面告知问题、关闭期限并更新登记。只有导致暂停的问题关闭并验证后才恢复；现场审核日不足或见证逾期，应重新成功见证。期限内未解决的，SLC 应撤销或缩小其资格范围。审核员资格暂停、恢复、撤销或范围缩减时，应同步更新 ASI portal 中的审核员资格状态及范围。 | **Auditor Continuing Qualification, Suspension and Reinstatement:**<br>Auditors, including freelance auditors, shall be subject to ongoing monitoring. They shall complete continuing training annually, as needed, and at least three (3) on-site audit days per qualification scope per year, no later than 31 March of the following year. Their performance shall be evaluated at least once every three (3) years through monitoring and witnessing, and evaluation reports shall be retained. The alternative of annual on-site observation for reviewers and certification decision makers shall be applied only as specified in Annex 2, Table 3 of FSC-STD-20-001 V5-0 (Annex 8 of this Manual). ASI witnessing shall not replace SLC's own performance-witnessing requirements.<br>Where continuing qualification requirements are not met, performance is inadequate, or procedures are breached, including cases of bribery, SLC shall suspend the relevant qualifications and audit assignments. SLC shall notify the person in writing of the identified deficiencies and the deadline for resolving them, and update the relevant registration records.<br>Qualifications shall be reinstated only after the issues that led to suspension have been resolved and their resolution verified. Insufficient on-site audit days or overdue witnessing shall require a new, successfully completed witness audit. If the issues remain unresolved by the specified deadline, SLC shall withdraw the qualification or reduce its scope. When an auditor's qualification is suspended, reinstated, withdrawn or reduced in scope, the auditor's qualification status and scope in the ASI portal shall be updated simultaneously. |
| 3.2.4 技术专家的附加要求<br>- 技术专家花费的时间应在审计计划中单独规定;<br>- 他们参与审核应限于他们被要求完成的任务，每个技术专家应分配给审核小组中特定审计员的职责;<br>- 技术专家应由分配给他们的审计员陪同;<br>- 如果认为有必要，可以允许技术专家按照审核小组组长的指示，无人陪伴地进行面谈和其他指定任务;<br>- 技术专家不得对符合认证要求作出结论，也不得将其传达给客户<br>如果聘用的技术专家不是全职或兼职的上海砺鼎员工，则他与其他上海砺鼎工作人员一样，需要遵守与证明决定相关的相同的独立性和保密性要求。 | 3.2.4 Additional requirements for technical experts<br>- the time spent by technical experts shall be specified separately in the audit plan;<br>- their participation in the audit shall be limited to the task they are requested to do and each technical expert shall be assigned to the responsibility of a specific auditor in the audit team;<br>- the technical expert(s) should be accompanied by the auditor to whom they are assigned;<br>- if deemed necessary, the technical expert(s) may be allowed to perform interviews and other specified tasks unaccompanied, as instructed by the audit team leader;<br>- technical expert(s) shall neither make conclusions on the conformity with certification requirements nor communicate them to the client<br>In case the engaged technical expert is not a full or part-time SLC employee he is subject to the same requirements relating to independence and confidentiality as other SLC personnel with input into the certification decision. |
| 3.2.5 外部观察人员参与 | 3.2.5 Participation of external observers. |
| a. 外部观察员只有在被审核组织和上海砺鼎的书面批准后才允许参加现场审核。需要 ASI 额外的批准来参加 ASI 的审核。根据 FSC-PRO-01-017 要求; | a. External observers shall only be allowed to participate in on-site evaluation with prior written approval from the auditee Organization and SLC. Additional approval is required from ASI for |

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| | participation in ASI assessments. Requirements are based on FSC-PRO-01-017; |
| b. 作为观察者参与审核的请求应该提交给上海砺鼎，如果适用的话，至少在计划开始之前的 4 周内提交给 ASI. | b. The request to participate in assessment as an observer should be submitted as a written to SLC, and, if applicable, to ASI at least four (4) weeks prior to the scheduled start of the evaluation. |
| c. 参与审核可能会延迟十二（12）个月或更长时间，具体取决于受审核方，上海砺鼎和/或 ASI 的能力，以便更好地规划即将进行的审核。 上海砺鼎应将申请表连同 FSC-PRO-01-017 的副本一起转发给本组织。 组织应有机会拒绝该申请。 拒绝的理由包括：利益冲突;; 有意破坏审核的证据。 | c. Participation in the evaluation may be delayed for twelve (12) months or more depending upon the ability of the auditee, SLC and/or ASI for better planning of an upcoming evaluation. SLC shall forward the application to the Organization together with a copy of FSC-PRO-01-017. Organization shall have the opportunity to reject the application. The grounds for rejection include: a conflict of interest; evidence of an intended disruption of the evaluation. |
| 3.2.6 仅当上海砺鼎满足“FSC 认证转移程序”的相关要求时，方可使用转机构之前已完成的认证相关评价结果。 | 3.2.6 SLC shall only use the evaluation results related to certification conducted prior to the transfer of certification, where the certification body conforms with relevant requirements from Procedure for transfer of FSC certification: |
| 3.2.7 如存在高诚信风险，上海砺鼎应按照“基于风险的评价活动”实施附加评价活动（参见条款 11）。 | 3.2.7 In case of high integrity risk, SLC shall implement the additional evaluation activities in accordance with Risk-based evaluation activities in Clause 11. |
| 3.2.8 上海砺鼎如发现违反《FSC- POL- 01- 004 关联政策》的行为，应发送邮件通知 FSC 国际，邮箱：dispute.resolution@fsc.org 。 | 3.2.8 Where SLC identifies infringements of the <FSC- POL- 01- 004 Policy for Association>, it shall inform FSC International at dispute.resolution@fsc.org . |
| 3.2.9 若上海砺鼎发现存在潜在不符合迹象，应对该事项开展调查，获取是否符合要求的证据。 | 3.2.9 If SLC comes across indications of a potential conformity issue, the certification body shall investigate the matter to secure evidence of conformity or lack thereof. |
| 4.审核总则<br>每个 FSC 审核持续时间的计算由技术经理或具有足够经验和知识的其他专家执行。 | 4. General provisions for evaluations<br>Calculation of each FSC evaluation duration is carried out by technical manager or another specialist having sufficient experience and knowledge |
| 4.1 监管链 | 4.1 Chain of custody |
| 4.1.1 由上海砺鼎发出的 FSC 证书提供可信的保证，证明在证书范围内所有的监管链操作符合相关的 FSC 和上海砺鼎规范文件的所有适用要求。 | 4.1.1 FSC certificate issued by SLC shall provide a credible guarantee that all chain of custody operations within the scope of a certificate conform to all applicable requirements of the relevant FSC and SLC normative documents. |
| 4.1.2 为了提供这样的担保，在认证框架下的审核员应: | 4.1.2 In order to provide such a guarantee, the auditors in framework of certification shall: |
| - 以一个或多个经营地点的方式对被审核的监管链操作和/或集团或多地点证书进行分析和描述; | - analyse and describe the chain of custody operation and/or group or multisite certificate to be evaluated in terms of one or more operational sites; |
| - 确认有一个控制系统，在审核范围内，能够确保所有的可适用的要求都由每个场所实施，包括非认证的供应商作为受控木材和回收材料验证方案的一部分，作为外包协议的一部分的外包商； | - confirm that there is a control system in place capable of ensuring that all the applicable requirements are implemented by every operational site, including non-certified suppliers as part of controlled wood and reclaimed- material verification programs and contractors |

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| | as part of outsourcing agreements, within the scope of the evaluation; |
| - 在适用的情况下，对操作地点、非认证供应商、外包商、文件、管理记录和访谈的人员进行抽样，充分验证控制系统在整个证书的范围内进行有效且一致地执行。 | - where applicable, carry out sampling of operational sites, non-certified suppliers, contractors, documents, management records, and interviews with personnel sufficient to verify that the control system is being implemented effectively and consistently across the whole scope of the certificate; |
| - 确认任何不符合的情况在已确定的时间内被组织充分地解决 | - confirm that any nonconformity is adequately addressed by the organization within the established timelines. |
| 5 审核准备 | 5. Preparation for evaluations |
| 5.1 总则<br>技术经理根据本组织的申请，根据审核时间的初步计算结果，指示指定的专家进行编写审核计划： | 5.1 General provisions<br>The technical manager instruct the appointed specialist to plan the evaluation, based on the results of the preliminary calculation of the duration of the evaluation: |
| - 提供审核小组组长与客户之间的沟通; | - providing communication between the audit team leader and the client; |
| - 确定公正性问题（存在表明组织与审核员之间可能存在利益冲突的情况，这可能影响认证过程的独立性）; | - determination of issues of impartiality (the presence of situations that indicate a possible conflict of interest between the organization and auditor, which may affect the independence of the certification process); |
| - 批准审核日期。 | - approval for the date of the evaluation. |
| 5.1.1<br>在初级阶段，上海砺鼎获得组织活动的初步想法，并找出 FSC 证书发放中的可能的风险点。<br>进行文件评审是为了确定管理体系文件符合标准要求的充分性（如：完整性、严重程度一致性、相互关系、缺乏一致性)<br>审核准备时，审核组长应向组织请求访问关键文件和记录，记录索取、收到及审查情况；必要时取得文件化 CoC 管理体系以确认范围，包括程序、组织结构、投入及库存、产品组、场所/承包商、政策和核心劳工自评。客户预填信息须独立核实。确因保密或资料性质需现场审查的，应记录理由及访问安排；关键资料不足影响策划或充分评价时，调整计划、时间或暂停相应活动，而非假设已符合要求。 | 5.1.1 On the preliminary stage SLC get the preliminary idea of the Organization’s activity and find out possible risk points in FSC certificate issue.<br>Document review is conducted in order to determine the adequacy (i.e., completeness, severity of conformance, interrelations, absence of inconsist- encies) of MS documents to the requirements of declared standard.<br>During preparation, the team leader shall request access to key documents and records and record requests, receipt and review. Obtain the documented CoC system where needed to confirm scope, including procedures, structure, inputs/inventory, product groups, sites/contractors, policies and core-labour self-assessment. Independently verify client-completed information. Where confidentiality or document characteristics require on-site review, document the reason and access arrangements. If missing information prevents adequate planning/evaluation, adjust the plan/time or suspend the affected activity rather than assume conformity. |
| 5.1.2 文件评审的结果，审核组长应该带给组织。 | 5.1.2 The results of documents review the lead auditor shall bring to the Organization |
| 5.1.3 如果评审结果表明本组织的管理体系文件不符合已申报标准的要求，在协议下的进一步计划和执行工作可能会被暂停，直到组织消除所有不符合项。 | 5.1.3 If the review results demonstrate that the Organization's MS documents do not conform to the requirements of the declared standard, further planning and performance of works under the agreement may be suspended until all raised non- conformities are eliminated by the Organization. |
| 5.1.4 由于文件的规格和保密(登记、账本文件)，不能事先 | 5.1.4 The review of the documents which cannot be sent |

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| 将文件送交上海砺鼎的审核，在文件适用的地方直接在审核中进行审核。 | to SLC beforehand due to their specification and secrecy (registration, account documents), takes place during the evaluation directly at the places where these documents are applied. |
| 5.2 监管链 | 5.2 Chain of custody |
| 5.2.1 一般要求<br>技术经理可根据分析组织的记录结果对文件审核做出决定。有可能： | 5.2.1 General requirement<br>Technical manager may take a decision on desk audit based on results of analysis Organization`s records. It is possible for: |
| - 未在自己或租用的设施中实际拥有 FSC 认证的材料/产品或 FSC 受控木材的网站，并且不对产品进行标记，更改，存储或重新包装（例如销售办事处）； | - Sites that do not take physical possession of FSC-certified materials/products or FSC Controlled Wood in their own or rented facilities, and do not label, alter, store or re-package the products (e.g. sales offices); |
| - 成品和标签产品的存储地点，以及认证机构通过初步实物检查确认不存在将 FSC 认证产品与其他材料混合的风险的地方。（即仅存储 FSC 认证产品的网站）。在证书的五年期间，上海砺鼎应至少对这些储存场地进行一次实物检查。 | - Storage sites of finished and labelled products, and where the certification body has confirmed through an initial physical inspection that there is no risk of mixing FSC certified products with other materials. (i.e. sites that only store FSC certified products). SLC shall conduct physical inspection of these storage sites at least once during the five years duration of a certificate. |
| 但是，根据对现有证据的分析，上海砺鼎可自行决定是否有权在认证的任何时候就现场审核作出决定，即使满足上述所有要求，以确保对证书的信任。 | However, SLC at its discretion has the right to make a decision on on-site audit, even when all requirements specified above are satisfied, at any time of certification, based on the analysis of the available evidence to ensure confidence in a certificate. |
| 监管链审核范围由参数决定： | Chain of Custody evaluation scope is determined by the parameters: |
| -经 FSC- STD -40-004 认证的组织:该组织执行的场所、产品组、过程或活动(包括参与多点或组证书的场所和承包商)以及对这些过程或活动进行审核的适用的 FSC 规范性文件。 | - organizations certified according to FSC-STD-40-004: site(s), product group(s), processes or activities performed by the organization (including participating sites of multisite or group certificates and contractors) and applicable FSC normative document(s) against which these processes or activities are audited. |
| 上海砺鼎应根据其文件化程序确定完成组织监管链控制系统每项评估所需的审核时间，涵盖适用于证书范围的所有要求。 | SLC shall determine, in accordance with its documented procedures, the auditing time needed to accomplish each evaluation of the organization's chain of custody control system, covering the requirements that are applicable to the scope of the certificate. |
| 5.2.2 FSC 专家应完成对审核范围内所包含的操作场所的分析和描述，以及管理所需的结构和系统。需要进行这种分析和描述的结果，作为后续审核管理结构和对审核范围内的业务地点进行抽样的基础。<br>注：应评估的地点和场所清单参见附件 5。 | 5.2.2 FSC specialists shall complete an analysis and description of the operational sites included in the scope of the evaluation, as well as the structures and systems in place for their management. The results of this analysis and description are required as the basis for subsequent evaluation of the management structure and for sampling the operational sites included in the scope of the evaluation.<br>NOTE: See Annex 5 for the list of locations and sites for evaluation. |
| 5.2.3 多站点或一组参与站点的认证（FSC-STD-40-003）<br>根据抽样计划，允许对场地或监管链操作进行取样。<br>对于每次预定的审核，指定的专家应根据有关场地的信息准备相关审核场地样本，并由客户要求提供证书范围. | 5.2.3 Certification of multi-site or group of participating sites (FSC-STD-40-003)<br>Sampling of sites or chain of custody operations is permitted according to sample scheme.<br>For each scheduled audit the appointed expert shall |

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| 在没有正当理由的情况下，上海砺鼎应避免在连续进行审核时访问同一个场所。除了在每次审核期间有关的抽样地点，还应对总部进行审核。 | prepare a sample of audited sites concerned based on the information on sites concerned and covered by the scope of certificate.<br>SLC shall avoid visiting one and the same sites concerned in consecutive performance of audits when there are no justified reasons. In addition to the sampled sites concerned during each audit SLC shall audit the Head office. |
| 5.2.4 单一认证<br>包含在单一监管链证书范围内的所有站点都应在年度审核框架内进行全面审核 | 5.2.4 Single certification (FSC-STD-40-004)<br>All sites included in the scope of a single chain of custody certificate should undergo a full evaluation by in framework of annual evaluation. |
| 当有外包流程时，在审计计划的框架内，指定的专家会要求提供承包商名单。 本组织提供有关承包商和认证范围内已执行活动的数据。 | When there are outsourcing processes, within the frameworks of audit planning the appointed MSTC specialist requests a list of contractors. The Organization provides data on contractors and the performed activity within the certification scope. |
| 5.2.5 回收材料供应商（FSC-STD-40-007）<br>在二级材料供应商“消费后”或“消费前”，指定的专家或执行场所作为审核计划的一部分的情况下，要求提供二级材料供应商清单，其中本组织提供认证范围内相关供应商的数据。 | 5.2.5 Suppliers of reclaimed materials (FSC-STD-40-007)<br>In the presence of secondary materials suppliers "post " or"pre" the consumer, the appointed specialist as part of the evaluation planning, requests a list of secondary materials suppliers, where the Organization provides data on relevant suppliers within the certification scope. |
| 6.审核 | 6. Evaluations |
| 6.1 一般要求 | 6.1 General requirements |
| 6.1.1 审核目的一般是根据 FSC 和上海砺鼎的适用标准/规范性文件的要求，对其效率的审核以及在应用认证范围的框架。<br>客户的流程和产品应根据 FSC 规范性文件中规定的适用要求进行审核。 FSC 要求的所有解释均由 FSC 国际中心自行决定。<br>上海砺鼎审核员应根据 FSC-STD-20-011 及相关规范性文件对产销监管链认证进行审核。 | 6.1.1 The evaluation purpose in general is the definition of compliance of the claimed certification scope of the Organization against the requirements of the applicable standards/normative documents of FSC and SLC, the assessment of its efficiency and the ability to reach the specified purposes within the frames of the applied certification scope. The processes and products of a client shall be audited against the applicable requirements specified in the FSC normative documents. All interpretations of FSC requirements are at the sole discretion of the FSC International Center.<br>SLC auditor shall conduct audits for chain of custody certification in accordance with FSC-STD-20-011 and related normative documents. |
| 6.1.2 审核过程本身考虑审核小组通过观察，雇员访谈，文件审查和记录收集客观证据的工作，以便进一步分析和审核。 | 6.1.2 The evaluation process itself considers the work of the audit team on collection of objective evidence through observation, interviewing of employees, review of documents and records for further analysis and evaluation. |
| 6.1.3 每位审核员应在审核过程中（例如口头）收到的最重要的观察结果（包括在相关的审核报告模板中）中保存记录。应进一步注意确切说明可能存在的不合格事实并进一步检查和分析。即使它们未包括在主要问题清单中，也应认为这些事实是重要的。在所有情况下，都应对其进行彻底审查和分析。 | 6.1.3 Every auditor shall keep records in checklists (which are included into relevant evaluation report templates) of the most important observations received (e.g. orally) during the evaluation. Additional attention shall be paid to exact identification of the facts indicating potential non-conformity and subject to further additional examination and analysis. It shall be considered that such facts are significant even in case where they are not included in the list of main questions. In all cases, they shall be thoroughly reviewed and analyzed. |

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| 6.1.4 组长应监督每位审核员和技术专家对要求的完整和准确满足。 | 6.1.4 Team leader shall monitor the full and exact fulfilment of requirements by each auditor and technical expert. |
| 6.1.5 通过访谈获得的信息应通过与从其他独立来源收到的类似信息（如观察，测量和记录）进行比较来检查。此外，在与利益相关者协商期间收到的信息可以根据其充分性和对当前审核总结果的检查结果的进一步记录进行重新检查。<br>只有在评论提供符合或不符合适用的 FSC 和上海砺鼎要求的证据时，才能更改审核组长的认证决定（建议），并由客观证据进行推理和支持; | 6.1.5 Information acquired through interviewing shall be examined through its comparison to similar information received from other independent sources such as observations, measurement and records. Besides, the information received during consulting with the stakeholders can be rechecked on the subject of its adequacy and the further record of the results of the check against the total results of the current evaluation.<br>The certification decision (recommendation) of the audit team leader shall only be changed if comments provide evidence of conformity or nonconformity to the applicable FSC and SLC requirements which shall be reasoned and supported by objective evidence; |
| 6.1.6 审核过程包括 3 个阶段：<br>- 首次会议;<br>- 审核;<br>- 末次会议。 | 6.1.6 The evaluation process consists of 3 stages:<br>- opening meeting;<br>- evaluation;<br>- closing meeting. |
| 6.2 审核计划批准 | 6.2 Evaluation Plan Approval |
| 6.2.1 审核计划及其附件应在审核前至少三（3）个工作日提交给客户和本组织管理层代表进行熟悉和批准。在审核计划中反映了主要参数。 | 6.2.1 The evaluation plan and its annex shall be presented to the client and a management representative of the Organization for familiarization and approval at least 3 (three) working days prior to the evaluation. In the Evaluation plan are reflected main parameters. |
| 6.2.2 主任审核员应通过制定审核计划，对每个审核员的审核途径，范围，内容和特定对象的分配进行规划。 | 6.2.2 Planning of the evaluation route, scope, content, and assignment of particular objects to each auditor shall be carried out by the lead auditor by drawing up the evaluation plan. |
| 6.2.3 审核计划通知书应包含：<br>- 审核的时间和日期（小时和分钟）;<br>- 审核的地点（部门，工作场所，职位的识别）;<br>- 作为审核主体的监管链流程;<br>- 在指定的地点和时间向团队的审核员分配和分配责任;<br>- 在最受关注的指定时间和地点审核标准的条款。<br>- 技术专家花费的时间应单独指定 | 6.2.3 The evaluation plan information shall contain:<br>- Time and date of the evaluation (hours and minutes);<br>- The place (identification of the department, the workplace, the position) of the evaluation;<br>- chain-of-custody processes that are the subjects of evaluation;<br>- Allocation and assignment of responsibilities to the auditors of the team at the specified place and time;<br>- Clauses of the standard to be audited at the specified time and place with the most of attention.<br>- the time spent by technical experts shall be specified separately |
| 6.2.4 审核组长必须熟悉每一个审核小组成员的审核计划，亲自签署保密声明。审核组长必须确保，该计划的实施将使审核方案得以满足。 | 6.2.4 The lead auditor must familiarize each audit team member with the evaluation Plan, must take Declarations of confidentiality personally signed. The lead auditor must be confident that implementation of the plan will allow the evaluation program to be fulfilled. |
| 6.2.5 复评应形成足以重新作出认证决定的完整评价。可利用既往有效信息，但不得仅因上次监督结果满意就自动降低适用要求、必要场所或抽样。集团/多场所应重新按风险 | 6.2.5 Replace this clause: re-evaluation shall provide sufficient evidence for a new certification decision. Relevant prior information may be used, but satisfactory surveillance results alone do not permit automatic |

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| 集合和复评类别计算抽样，参见 6.4.2.2；审核时间按 3.1.2 及附件 6 计算。 | reduction of applicable requirements, necessary sites or samples. Recalculate group/multisite samples by risk set and re-evaluation category under Section 6.4.2.2. Determine time under Section 3.1.2 and Annex 6. |
| 6.3 首次会议 | 6.3 Opening meeting |
| 6.3.1 首次会议应该由审核组长策划和体现审核计划，建议首次会议时间不超过 30 分钟。 | 6.3.1 The opening meeting shall be planned and reflected in the Annex to the Evaluation plan by the lead auditor. The recommended duration of the opening meeting is not more than 30 minutes. |
| 6.3.2 组长主持首次会议 | 6.3.2 The lead auditor holds the opening meeting. |
| 6.3.3 首次会议的目的：<br>- 体现审核方案，包括目的、条款、范围、语言和审核标准 | 6.3.3 The purposes of the opening meeting are:<br>- Presentation of the audit program including the purpose, terms, scope, language and the standard containing the evaluation criteria; |
| - 介绍审核组员 | - Introduction of audit team members; |
| - 简介在审核中使用的方法和程序，以及不符合的登记 | - Brief description of methods and procedures to be used during the evaluation and registration of non-conformities; |
| - 审核组和组织代表之间沟通规则和方法 | - To agree the communication order and ways between audit team and Organization representatives; |
| - 确认审核必要条件（房间、交通、沟通等） | - Confirmation of availability of conditions necessary for the evaluation (rooms, transport, communication, etc.); |
| - 介绍审核计划 | - Presentation of the evaluation plan; |
| - 确认组织已经为审核组建立确保足够安全技术的条件和安全应急程序 | - Confirming that the Organization has established conditions for ensuring adequate safety techniques, emergency and security procedures for the audit team; |
| - 确认末次会议以及审核员和组织代表中间沟通会议的时间和日期 | - Confirmation of the time and date of the closing and intermediate meetings of auditors and representatives of the Organization; |
| - 声明保密承诺 | - Declaration of SLC commitment to keep confidentiality; |
| - 确保人员知道，并且组织为审核已经做好准备; | - Ensuring the personnel awareness and the Organization’s readiness for the audit; |
| - 说明架构、形式、满足条件和审核报告发送地址 | - Specification of structure, form, fulfillment terms and addresses of the evaluation report distribution; |
| - 熟悉申诉渠道 | - Familiarization with the appeals routine; |
| - 提问 | - Answering questions. |
| 6.4 主审 | 6.4 Main (certification) evaluation |
| 6.4.1 总则 | 6.4.1 Main provisions |
| 6.4.1.1 审核组必须对组织的管理控制进行明确的分析，以确保所有适用的认证要求都能在整个管理操作范围内实现，包括对关键控制点的识别和分析。 | 6.4.1.1 Audi team shall complete an explicit analysis of the critical aspects of the Organization’s management control required to ensure that all applicable certification requirements are implemented over the full range of management operations, including the identification and analysis of the critical control points. |
| 6.4.1.2 对于大型多站点组织，应审核管理系统的符合性及 | 6.4.1.2 In the case of large multisite organisations it shall |

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| 其在远程办公室的运行情况。 | be evaluated the management systems conformity and their functioning at distant offices. |
| 6.4.1.3 审核小组应收到本组织根据 FSC 和上海砺鼎的规范性文件适用要求，始终如一地有效实施其管理体系的证据。 为此目的，上海砺鼎审核小组应审核： | 6.4.1.3 Audit team shall receive the evidence of the ability of The Organization to implement its management system consistently and effectively in conformity to the applicable requirements of NDs of the FSC and SLC. For this purpose SLC audit team shall audit： |
| - 可用的技术和物质资源（例如 FSC 认证的生产控制系统和技术，隔离材料）； | - The technical and material resources available (e.g. system and technology for the FSC certified production control, segregation materials); |
| - 可用的人力资源（例如，参与管理的人数，他们的培训和经验水平;如果需要，可提供专家建议）。 | - The human resources available (e.g. the number of people involved in management, their level of training and experience; the availability of expert advice if required). |
| - 对于多站点证书，请确定证书范围涵盖的活动的复杂性和规模。 | - For Multi-site certificates identify the complexity and scale of the activities covered by the certificate scope. |
| 注意：此信息应用于审核中心办公室管理证书范围内参与站点数量的能力，并确定其年度增长限制。 | Note: This information should be used to evaluate the central office's ability to manage the number of participating sites within the scope of the certificate and determine its annual growth limits. |
| - 关于具有受控木材范围证书的组织，以确保原材料供应不来自不可接受的来源。 | -in respect of certificates of organizations with controlled wood ability to avoid raw materials' supplies from unacceptable sources. |
| -使用 FSC 商标的能力 | - ability to use FSC trademarks |
| 6.4.1.4 认证机构可以使用的信息 | 6.4.1.4 The certification body may make use of information that is |
| - 由于先前对 FSC 规范性文件的审核和/或与 ISO 等公布的其他标准有关的结果。 | - 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. |
| - 审核小组组长应审核利益攸关方提供的所有收到的信息和意见，并在审核报告中客观地并充分考虑，并在必要时使用现有手段澄清收到的信息（来自开放的互联网资源，通过电话直接沟通，电子邮件，个人会议等）。 | - An audit team leader shall evaluate all received information and comments provided by stakeholders and objectively and substantially consider it in the audit report, and where necessary, clarify the received information using the means available (information from open internet sources, direct communication by phone, e-mail, personal meetings etc.). |
| 6.4.1.5 在没有组织的经理和/或其代表或任何主管在场的情况下，与利益相关者（包括工人，工作人员或分包商）的磋商和访谈必须在保密的情况下进行。 | 6.4.1.5 Consultation and interviews with stakeholders (including workers, staff or subcontractors) shall be carried out in confidence necessarily without the presence of manager(s) and/or their representatives or any supervisors. |
| 注：审核员（访谈员）应确保可以保密提供意见（例如，在没有经理或任何主管的单独房间内）；<br>在所有情况下，认证机构应自行决定本组织是否符合适用的认证要求。 | Note: The auditors (interviewers) shall ensure that comments can be provided in confidence (for instance, in the separate room without a manager or any supervisor);<br>In all cases the certification body shall make its own, independent decision as to whether The Organization complies with the applicable certification requirements. |
| 6.4.2 监管链 | 6.4.2 Chain of custody |
| 6.4.2.1 操作现场的监管链 | 6.4.2.1 Chain of custody at the level of the operational site |

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| 审核组应获取符合适用的认证要求、森林认证方案以及 上海砺鼎文件的相关证据，并且要识别并有效评估供应链系统的所有关键要素。 | The audit team shall obtain evidence of compliance with the applicable certification requirements, forest certification schemes and SLC's document as well as to identify and effectively evaluate all the critical elements of a supply chain system. |
| 审核组应审核范围内的每个运营现场，以便进行直接的，事实的观察，以验证本组织是否符合所有适用的 FSC 和上海砺鼎认证要求，包括： | Audit team shall evaluate each operational site within the scope of the evaluation in order to make direct, factual observations to verify The Organization's conformance to all applicable FSC and SLC certification requirements including: |
| - 在选定用于审核的每个操作现场确定和审核管理文件以及足够多样和数量的记录，以确认管理是否有效并如所述，特别是对于已确定的关键控制点;<br>注：应审核的文件和记录清单参见附件 4。 | a) Identification and assessment of management documentation and a sufficient variety and number of records at each operational site selected for evaluation in order to confirm that management is functioning effectively and as described, particularly with respect to the identified critical control points;<br>NOTE: See Annex 4 for the list of documentation and records to be audited. |
| 对于每个评估功能站点上每种产品类型的所有存档阶段（即材料和产品发生转化的阶段，包括体积、重量和尺寸的变化），都应予以明确标识。 | It shall be identified all stages in chain of custody for each product type on each evaluated functional site, where the transformation of materials and products takes place - the volume, weight, size changes. |
| 对于每个运营站点的每个产品组和/或订单，审核员应要求并评估每个材料/产品加工或转换阶段的相关记录和文件（例如，填写好的订单、电子或其他形式的表格，这些表格由组织支持），以进行可追溯性评估以及在组织的相关文件中对这些产品的比较。这些数据应与材料/产品加工和转换的所有阶段的评估进行对比，这一对比应在与相关人员的访谈中得到确认。 | For each product group and / or job order at each operational site, auditor shall request and evaluate relevant records and documentation for each stage of material /product processing or transformation (for example, filled in job orders, tables in electronic or other form supported by the Organization) for traceability evaluation and comparison of these products in the relevant documents of the Organization. This data shall be compared with the evaluation at all stages of processing \ transformation of materials\products, which should be confirmed during interviews with responsible personnel. |
| 审核组应在以下情况下对非认证产品的销售记录进行审查、分析和收集： | The audit team should review, analyse and collect the sales records for non-certified products in the following situations: |
| - 认证机构收到了一份投诉，该投诉引发了对虚假申报、欺诈行为或认证产品申报数量不实的怀疑。 | - The CB received a complaint that leads to the suspicion of false claims, fraud or incorrectly declared volumes of certified products; |
| -审核员在审核过程中发现了一些证据，这些证据引发了对虚假申报、欺诈行为或认证产品实际产量申报错误的怀疑（包括在关键控制环节中）; | - The CoC auditor comes across evidence that leads to the suspicion of false claims, fraud or incorrectly declared FSC volumes of certified products; (including at critical control points) |
| - 认证机构必须与认可机构合作并为其提供交易验证（TV）方面的支持。 | - The CB is required to cooperate and support Accreditation body in transaction verification (TV) |
| -该认证组织声明，自上次与 FSC 相关的审核以来，尚未有过任何销售行为。 | - The certified organization declared that no sales were made since the last audit connected with FSC |
| -- 检查在被审核组织/场所的不同记录中所发现的供应商清单的完整性和状态（例如，在仓储场所的采购记录中等）。同时，还需利用该组织的管理控制系统来确定实际的供应商木材材料清单、所交付和销售的材料/产品的数量。 | - Check the completeness and status of the list of suppliers found in different records of the audited Organization /site (for example, in records of purchases on storage sites, etc.). At the same time, it is necessary to use the management control system of the Organization to determine actual suppliers |

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| | wood materials list, delivered and sold volumes of materials/products. |
| - 在选定用于审核的每个运营现场对足够多样化和数量的员工和承包商进行访谈，以验证本组织是否符合所有适用的认证要求。至少应进行面谈，以验证培训措施，并了解审核中的不同地点的个人责任。面试官应确保可以保密地提供意见（例如，在没有直接上级的情况下在单独的房间内）； | b) Interviews with a sufficient variety and number of employees and contractors at each operational site selected for evaluation in order to verify the Organization's conformance to all applicable certification requirements. As a minimum, interviews shall be conducted to verify training measures and understanding of individual responsibilities at different locations across the operation under evaluation. The interviewer shall ensure that comments can be provided in confidence (e.g., in a separate room in the absence of immediate superiors); |
| c) 至少需要进行访谈，以核实培训措施以及各参与方对各自职责的理解情况，涵盖正在审核的整个运营过程中的各个地点。 | c) As a minimum, interviews shall be conducted to verify training measures and understanding of individual responsibilities at different locations across the operation under evaluation |
| 在进行远程审核时，审核人员还需特别留意被审核对象，确保进行访谈时能保密，并确保在没有其他员工在场的情况下提供意见。例如，可以通过个人手机直接沟通，或者通过视频通话来实现这一点，审核人员还应确保附近没有其他人出现。 | When conducting remote audits, the auditor shall additionally pay attention to the interviewee to the need to conduct the interview confidentially and make sure that comments are guaranteed to be provided without the presence of other employees. This can be insured for example by direct communication via a personal phone, or through a video call, and the auditor should make sure that nobody else is presented nearby. |
| d) 审核本组织对所有适用的纠正措施请求的实施情况 | d) Evaluation of The Organization's implementation of all applicable Corrective Action Requests |
| e) 审查本组织和/或上海砺鼎收到的所有关于不合规的投诉，争议或指控; | e) Review of all complaints, disputes or allegations of non-conformities received by The Organization and/or SLC; |
| 注：如果审核显示违反 FSC-POL-01-004 第 1 节的证据或通过从利益相关方收到的不符合投诉、争议或申诉来揭示证据，审核员应在审核中记录违规证据报告并告知 FSC International 有关不遵守 FSC 政策的可能性，以便进一步审核。 | NOTE: If the evaluation reveals evidence of violations of FSC-POL-01-004 Section 1 or detect the evidence for example by revising (evaluation) complaints, disputes or claims of nonconformity received from stakeholders, Auditors shall record evidence of violations in the audit report and to inform FSC International about the potential for non-compliance with FSC policy on Association for further evaluation. |
| 对同时违反适用认证要求的事实，仍应依该认证要求开具不符合项，不能以等待 FSC 调查代替认证活动。 | Where the same facts also breach applicable certification requirements, raise the relevant certification nonconformity; awaiting a policy investigation does not replace certification action. |
| - 对选定用于审核的所有场址进行实地检查，包括检查在认证范围内开展业务活动的所有场所; 可在以下情况下进行文件审核： | f) Physical inspection of all sites selected for evaluation, including inspection of all locations where operational activities under the scope of the certification scope is carried out; Desk audits may be conducted where: |
| i. 该场所不会在自己或租用的设施中实际拥有 FSC 认证的材料或产品，受控材料或 FSC 控制的木材，也不会对产品进行标记，更改，储存或重新包装（例如销售办事处）； | i. the site does not take physical possession of FSC-certified materials or products, controlled material, or FSC controlled wood in their own or rented facilities, and does not label, alter, store, or repackage the products (e.g. sales office); |
| ii. 该场所仅用于存储成品和标签产品，并且认证机构通过初次实地检查确认不存在将 FSC 认证产品与其他材料混合的风险（例如，该场所仅存储 FSC 认证产 | ii. the site is used for storage of finished and labelled products only, and where the certification body has confirmed through an initial physical inspection that there is no risk of mixing FSC-certified products with |

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| 品）。 认证机构应在证书的五年期限内至少对这些储存场地进行一次实地检查; | other materials (e.g. the site only stores FSC-certified products). Certification bodies shall conduct physical inspection of these storage sites at least once during the five-year duration of a certificate; |
| 注意：即使满足上述中规定的所有要求，认证机构也没有义务进行文件审核。 最初或在任何时候，认证机构可以自行决定在必要时进行实地考察，以确保对证书的信任。 | NOTE: Certification bodies are not obliged to conduct desk audits, even when all requirements specified above are satisfied. At its own discretion, initially or at any time, the certification body may decide to carry out site visits where and when necessary to ensure confidence in a certificate. |
| g)与 FSC 认证相关的任何材料或产品的采购和销售文件 | g) Purchasing and sales documentation of any materials or products related to FSC certification |
| h)确认 FSC 认证或 FSC 受控木材的输入由有效的 FSC 产销监管链证书涵盖，并提供适用的 FSC 声明和认证代码; | h) Confirmations that inputs described as FSC- certified or FSC Controlled Wood were covered by a valid FSC Chain of Custody certificate and supplied with the applicable FSC claims and certification codes; |
| i) 必须仔细核查并确认销售发货单中的证书代码已正确填写，尤其是在客户证书从另一家认证机构转至上海砺鼎的情况下，还要确保在上海砺鼎证书的新有效期内，新的代码填写无误； | i) It is necessary to check sufficiently and make sure that the certificate codes are correctly specified in the shipping documents for sale, especially if applicable in case when the client`s certificate transferred to SLC from another CB and make sure that the new code is specified correctly within the new validity period of the SLC certificate; |
| 核实在被审核组织/场所的不同记录中（如仓库区域的采购记录等）所发现的供应商名单的完整性和状态。有必要利用该组织的管理控制系统来确定木材材料的实际供应商名单、所交付和销售的材料/产品的数量。 | Verify the completeness and status of the suppliers list found in different records of the audited Organization /site (such as purchase records at the storage areas etc.). It is necessary to use the management control system of the Organizatio to determine the list of actual suppliers of wood materials, delivered and sold volumes of materials/products. |
| 为了验证该组织在年度总结报告中所给出的数值的准确性。同时，有必要要求提供销售文件，而非随意为之，而是要系统地进行，以便建立某一时间段内投入与产出材料之间的关系。所要求的销售文件总数足以评估从接受到销售的整个材料和产品流动链的可追溯性，针对每个选定的交易方或主体。为了实现可追溯性，需要在每个验证点记录此信息，并将其与材料和产品在流动/转换过程中其他阶段的指标进行比较。还需要评估组织内部的可追溯性。 | To verify the correctness of the numerical values represented by the Organization in the annual summary volume report. At the same time, it is necessary to request d sales documentation not randomly, but on a systematic basis in order to establish the relationship between input and output materials for a certain period of time. The total number of requested sales documents is sufficient to evaluate the traceability of the entire chain of movement of materials and products from acceptance to sale for each selected counterparty or party. For traceability, it is necessary to record this information at each verification point and compare it with the indicators at other stages of its movement /transformation. Internal traceability within the Organization needs to be assessed. |
| k) 控制 FSC 声明的系统评估：对于百分比和信用系统，需审查各产品类别在证书范围内输入百分比和/或信用的计算情况；对于转换系统，需审查一定样本的认证产出记录，并确认这些记录可追溯至认证的投入；对于项目认证：需核实项目（或其组成部分）中仅使用了符合条件的材料，并且关于这些材料的 FSC 声明是真实且准确的。 | k) Evaluation of systems for controlling FSC claims: for percentage and credit systems, review of calculations of input percentages and/or credits for each product group within the scope of the certificate; for transfer systems, review of a sample of records of certified outputs, and confirmation that these can be traced to certified inputs; for project certification: verification that only eligible materials were used in projects (or components thereof) and the FSC claims made on them are true and correct; |
| l)正确使用 FSC 商标（用于产品上和宣传用途）以及“FSC 受控木材”声明，包括在隔离标识、销售和运输文件中的使用； | l) The correct use of the FSC Trademarks (on product and promotional use) and the ‘FSC Controlled Wood’ claim in segregation marks, sales and transport documentation; |

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| m)人员培训记录检查（例如培训材料和参加人员名单）。 | m) review of personnel training records (e.g. training materials and list of participants). |
| 在以下情形中，由于以下原因，对选定进行评估的地点进行实地检查是无法实现或不可行的：<br>- 审核人员面临健康和/或安全风险（可通过可核实的公开来源证明，例如官方旅行警告或限制），或者<br>- 组织（证书持有者/认证机构）的健康和安全政策或公共当局实施了旅行限制，或者<br>- 存在其他不可抗力事件，认证机构可申请豁免，以用远程审核代替现场审核。豁免申请将根据具体情况逐一评估。申请应包括：<br>i. 公司的证书代码<br>ii. 证书所涵盖的活动范围（产品及流程）；<br>iii. 存在妨碍现场审核的情况的证据（例如：官方旅行警告）；<br>iv. 按要求提供的其他补充信息。<br>注意：若 FSC 针对特定情况已发布有效的豁免规定，则本条款不适用。 | In situations where physical inspection of sites selected for evaluation is not possible or viable due to:<br>- demonstrated health and/or safety risk to auditors (demonstrated through verifiable public sources, e.g. official travel warnings or restrictions), or<br>- travel restrictions imposed by organizational (certificate holder/ certification body) health and safety policies or public authorities, or<br>- other demonstrated events of force majeure, the certification body may apply for a derogation to replace an on-site audit with a desk audit. Derogation applications will be evaluated on a<br>case by case basis. The application shall include:<br>I. certificate code of the company<br>Ii. activities under the scope of the certificate (products and processes);<br>Iii. evidences of circumstances preventing the onsite audit (e.g. an official travel warning);<br>iv. other additional information, as requested.<br>NOTE: In case of existing active derogations issued by FSC for specific situations, this clause is not applicable. |
| 6.4.2.2 审核集团和多地点监管链证书 | 6.4.2.2 Evaluation of group and multisite chain of custody certificates |
| 审核组织对多个站点/组织组织的监管链的一般要求，采样站点的方法由总部文件规定。 | General order for the assessment of Organization`s chain of custody with multiple sites / group organizations, the approach to sampling sites are regulated by OH document. |
| 在每次审核时，认证机构应审核中央办公室管理证书参与地点数量的能力，并根据当时参与站点的数量批准年度增长率达到 100％的限制。评价。 | At each evaluation, the certification body shall evaluate the ability of the central office to manage the number of participating sites of the certificate and approve an annual growth rate up to a limit of 100% based on the number of participating sites at the time of the evaluation. |
| 如果证书在初审时有 20 个或更少的参与站点，则上海砺鼎可以根据中央办公室管理更多参与站点的能力来批准高于 100％的增长率。 | Where a certificate has 20 or fewer participating sites at the time of the main evaluation, the SLC may approve a growth rate higher than 100%, based on the demonstrated capacity of the central office to manage a higher number of participating sites. |
| 如果中央办公室希望增加证书范围内的参与站点数量超过批准的年增长率，认证机构应在增长恢复之前根据 FSC 要求审核中央办公室和新站点的样本。 | If the central office wants to increase the number of participating sites in the certificate scope beyond the approved annual growth rate, the certification body shall audit the central office and a sample of the new sites according to FSC requriement before the growth resumes. |
| 在包含新参与地点的审核中，认证机构应在扩展范围审计与上海砺鼎下一次审核之间建立新的增长限制。在发布不符合项时，应在总部和参与现场之间存在差异。 | In the audit for inclusion of new participating sites, the certification body shall establish a new growth limit for the period between the expansion-of-scope audit and the next evaluation by SLC. In issuing nonconformities differences shall be made between the level of head office and participating site. |
| 添加到证书范围的新参与站点仅在上海砺鼎将新站点添加到已注册证书的 FSC 数据库后才被视为已认证。 | New participating sites added to the certificate scope shall only be considered certified after SLC has added the new |

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| 上海砺鼎应在收到中心办公室审核报告之日起一周内将新站点输入数据库。 | sites to the FSC database of registered certificates.<br>SLC shall enter new sites into the database within one week of the date of receipt of the central office's audit report. |
| 注： 上海砺鼎不被要求去更改和批准中央办公室的审核报告 | NOTE: SLC is not required to revise and approve the central office's audit reports. |
| 注：在特殊情况下,中央办公室的代表可能把一切所需的相关文件、报告、记录、和规则带到不是组织办公室的场所，供审核员评审, ,这并不能影响组织监管链链控制系统的审核质量。 | NOTE: In exceptional cases, the central office's representative may take all of the relevant required documentation, reports, records, and manuals to a location other than the organization's office for review by the auditor, provided that this does not affect the quality of the assessment of this material and the organization's chain of custody control systems. |
| 上海砺鼎应选择参与场所的样本，以评估是否符合适用的 FSC 规范性文件。 上海砺鼎应将参与场所划分为两组：正常风险参与场所和高风险参与场所（FSC-STD-20-011 参见术语和定义），应使用以下公式单独抽样： | SLC shall select a sample of the participating sites for evaluation of conformance to the applicable FSC normative documents. SLC shall divide the participating sites into two sets of sites: normal-risk participating sites and high-risk participating sites (see Terms and definitions in FSC-STD-20-011), which shall be sampled separately by using the following formulas: |
| a) 针对主要评估，监督评估和重新评估：<br>y =R √ x，其中：<br>y =认证机构要审核的参与场所数量（四舍五入到整数上限）<br>R =风险指数（见审核计划附录 3）<br>x =正常风险或高风险参与场所的总数<br>注：在监督评估的情况下，自上次认证机构评估以来根据第 6.6.1.6 条款，没有任何 FSC 活动的参与场所不需要包括在样本中（公式中的值'x'） 抽样。 | a) for main evaluations, surveillance evaluations, and re-evaluations:<br>y = R √x, where:<br>y = number of participating sites to be audited by the certification body (rounded to the upper whole number)<br>R = risk index (see Table A)<br>x = total number of normal-risk or high-risk participating sites<br>NOTE: In the case of surveillance evaluations, participating sites which have not had any FSC activity according to Clause 6.6.1.6 since the previous certification body evaluation do not need to be included in the population of sites (value 'x' in the formula) from which the sample is drawn. |
| b）纳入新的参与场所（超出批准的年增长率）：<br>y =R √ n，其中：<br>y =认证机构要审核的参与场所数量（四舍五入到整数上限）<br>R =风险指数（见审核计划附录 3）<br>n =要添加到证书范围的新的正常风险或高风险参与场所的数量 | b) for the inclusion of new participating sites (beyond the approved annual growth rate):<br>y = R √n, where:<br>y = number of participating sites to be audited by the certification body (rounded to the upper whole number)<br>R = risk index (see Table A)<br>n = number of new normal-risk or high-risk participating sites to be added to the certificate scope |
| 在认证机构两次评估之间被纳入认证范围的场所，应与上一次评估时已纳入认证范围的场所一起抽样。 | Sites that have been incorporated into the certificate scope in the period between the certification body's evaluations shall be sampled together with the sites that were already in the scope during the previous evaluation. |

**Table A. Matrix for determination of R (risk index) 确定R（风险指数）的矩阵**

Note: R (risk index) is obtained by summing-up the scores given to the group or multisite certificate under evaluation.

注：R（风险指数）是通过汇总进行评估的集团或多站点证书的分数得到的

| RISK FACTOR 风险因素 | | Score 分数 | Score Given |
|---|---|---|---|
| **Ownership** | All participating sites have common ownership<br>所有参与场所都拥有共同所有权 | **0.1** | |

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| | **所有权** | Participating sites do not have common ownership 参与场所没有共同所有权 | **0.2** | |
| | **Certificate size 证书规模** | 0–20 participating sites / 0–20 分场所 | **0.2** | |
| | | 21–100 participating sites/21-100 分场所 | **0.3** | |
| | | 101–250 participating sites/ 101-250 分场所 | **0.4** | |
| | | 251–400 participating sites/ 251-400 分场所 | **0.5** | |
| | | > 400 participating sites/> 400 分场所 | **0.6** | |
| | **Central office's performance 中央办公室绩效** | No CAR issued to the central office in the previous evaluation 中央办公室在上次审核中没有不符合项 | **0.1** | |
| | | Not applicable (there was no previous evaluation) 不适用（没有之前审核） | **0.1** | |
| | | Only minor CARs in the previous evaluation 之前审核仅有轻微不符合项 | **0.2** | |
| | | 1–2 major CARs in the previous evaluation 在之前审核有 1-2 个严重不符合项 | **0.3** | |
| | | 3 or more major CARs in the previous evaluation 在之前审核有 3 个或以上严重不符合项 | **0.4** | |
| | **Audit type 审核类型** | Annual surveillance evaluation 监督审核 | **0.1** | |
| | | Re-evaluation 复评审核 | **0.2** | |
| | | Main evaluation 初审 | **0.3** | |
| | | Audit for inclusion of new participating sites in the certificate 审核中包括有新分场所加入 | **0.3** | |
| | **TOTAL (R=sum of the scores given)/ 合计** | | | ∑ |

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| 如果在监督审核或复评时将新参与场所添加到多场所或联合认证证书的范围内，则应将其视为独立集合，确定样本大小，并根据上述条款的要求进行抽样。 在证书范围内包含新的参与场所后，应将新的参与场所添加到现有场所，以确定未来监督审核或复评的样本大小。 | If new participating sites are being added to the scope of a multisite or group certificate at the time of a surveillance evaluation or re-evaluation, they shall be considered as an independent set for the determination of the sample size, to be sampled according to the requirements detailed in above clause. After inclusion of new participating sites in the certificate scope, the new participating sites shall be added to the existing ones to determine the sample size for future surveillance evaluations or re-evaluations. |
| 上海砺鼎应选择特定的参与场所，以达到评估所需的抽样数。 在选择过程中，上海砺鼎应包括随机选择的场所，并应确保所选的整体样本代表正在评估的多场所或联合认证，并根据以下要素涵盖范围最广的范围：<br>a) 地理分布；<br>b) 生产的活动和/或产品;<br>c) 参与场地的规模（规模可根据员工人数，产量和/或林产品销售年度营业额确定）;<br>d) 上海砺鼎认为相关的其他标准 | SLC shall select specific participating sites to achieve the required sample number for evaluation. In the selection process, SLC shall include randomly selected sites and shall ensure that the overall sample selected is representative of the multisite or group under evaluation and covers the widest possible range in terms of:<br>a) geographic distribution;<br>b) activities and/or products produced;<br>c) size of participating sites (size may be determined by the number of employees, production volumes, and/or annual turnover of forest product sales);<br>d) other criteria, as deemed relevant by SLC |
| 除非有明确和合理的理由，否则上海砺鼎应避免在连续审核中访问相同的参与场所（例如，这被认为是必要的，为了评估纠正措施或收到的有关组织的投诉）。 | SLC shall avoid visiting the same participating sites in consecutive audits, unless there are clear and justified reasons for doing so (e.g. this is deemed necessary for the evaluation of corrective action requests or complaints received about the organization). |
| 除选定的参与场所外，中心办公室还应在每次审核中由上 | The central office shall be audited by SLC in each evaluation in addition to the selected participating sites. |

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| 海砺鼎进行审核。 | |
| 注意：在特殊情况下，中央办公室的代表可以将所有相关的所需文件，报告，记录和规则带到组织办公室以外的地点供审核员审查，但前提是这不会影响审核材料和组织的监管链控制系统的质量。 | NOTE: In exceptional cases, the central office's representative may take all of the relevant required documentation, reports, records, and manuals to a location other than the organization's office for review by the auditor, provided that this does not affect the quality of the assessment of this material and the organization's chain of custody control systems. |
| 对于联合和多场所证书的监督审核，上海砺鼎应评审和评估：<br>a）参与场所清单;<br>b）参与场所的变化率（新站点，已离开证书的站点）;<br>c）中央办公室管理系统管理证书范围变更的能力，包括证书范围内运营地点的规模，数量或复杂程度的增加;<br>d）自上次认证机构监督以来，组织向参与场所发送的正式通信和书面文件;<br>e）中央办公室审核记录;<br>f）中央办公室发布的任何纠正措施请求的记录，包括跟踪和关闭证据; | For surveillance evaluations of group and multisite certificates, SLC shall review and assess:<br>a) the list of participating sites;<br>b) the rate of change of participating sites (new sites, sites that have left the certificate);<br>c) the capacity of the central office's management system to manage any change in scope of the certificate including any increase in size, number, or complexity of operational sites within the scope of the certificate;<br>d) formal communication and written documents sent to participating sites by the organization since the previous certification-body surveillance;<br>e) records of the central office's audits;<br>f) records of any corrective action requests issued by the central office, including follow-up and close-out evidence; |
| 注：自上次审核以来的文件和记录可以在现场访问之前提交给上海砺鼎进行评审。 | NOTE: Documentation and records covering the period since the previous evaluation may be submitted to the SLC for review prior to a site visit. |
| 6.4.2.3 审核外包协议里外包方 | 6.4.2.3 Evaluation of contractors operating under outsourcing agreements |
| 本组织所属的风险类别是根据 FSC-STD-20-011 中提供的关于本组织承包商可用性及其活动分析结果的数据确定的。访问这些场所的必要性的决定。 | Categories of risks, to which the Organizations belong, are determined based on FSC-STD-20-011 on the availability of the Organization's contractors and the results of their activity analysis. The decision on the necessity to visit the sites is made. |
| 应监控整个外包安排的监管链系统，以确保符合 FSC 规范文件的所有适用要求，并控制被组织或外包方混合、替换或虚假声明的风险。 | It shall be monitored that the Chain of Custody system applied throughout outsourcing arrangements to ensure conformance to all applicable requirements of the FSC normative documents, and that the risks associated with mixing, substitution or false claims by The Organization or the contractor are controlled. |
| 应对来自认证组织或分场所的，在外包活动执行中使用的监管链控制系统进行风险评估。有下列各项指标之一的，已认证或不认证的外包商安排，应列为"高风险":<br>a) 组织外包所有或大部分产品的生产过程；<br>b) 外包方混合不同的原料输入（如：FSC 100%和受控木材）<br>c) 外包方对产品贴 FSC 商标<br>d) 外包方在外包加工后不返还 FSC 认证产品<br>e) 跨国外包，该国家 CPI 指数低于 50 | It shall be conducted a risk assessment of the Chain of Custody control system used during outsourcing activities performed off-site from the certified organization or Participating Site. An outsourcing arrangement with a certified or not certified contractor shall be classified as 'high risk' if any of the following indicators apply:<br>a) The Organization outsources all or most of the manufacturing processes of a product;<br>b) Contractor mixes different input materials (e.g. FSC 100% and Controlled Wood);<br>c) Contractor applies the FSC label to the product;<br>d) a contractor does not physically return the FSC- |

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| | certified product to the contracting organization after outsourcing;<br>e) activities are outsourced to an organization in another country with a Transparency International Corruption Perception Index (CPI) lower than 50. |
| 即使在没有被认为是“高风险”的情况下，如果有任何被外包方不适当增加或混合的风险，上海砺鼎也可能需要在外包商的场所内进行现场审核。 | Even in cases that are not considered ‘high risk’ as per the indicators above SLC may require on-site audits at contractor’s facilities if any risk of improper additions or mixing by the contractor is identified. |
| 即使一个以上的高风险指标适用于外包活动，认证机构也可以批准低风险，如果污染低风险可以通过以下各项指标来证明：<br>a) 产品被永久的贴标或标识，外包方不能改变产品（如热烫印，印刷物）<br>b) 产品被托盘包装，或其他维护成一个安全单元，在外包方不能打开；<br>c) 外包方式被雇佣的服务里不包含生产或转换认证产品（如：仓库，储藏，分发和物流）<br>d) 外包方式一个 FSC 认证的组织，在其证书范围内外包服务有书面的程序文件。 | Even when one or more of the above high-risk indicators apply to the outsourced activity, the certification body may approve the low risk categorization if a low risk of contamination may be demonstrated through any of the following indicators:<br>a) The product is permanently labelled or marked in a way that the contractor cannot alter or exchange products (e.g. heat brand, printed materials);<br>b) The product is palletized, or otherwise maintained as a secure unit that is not broken apart during outsourcing;<br>c) The contractor is employed for services that do not involve manufacture or transformation of certified products (e.g. warehousing, storage, distribution, logistics),<br>d) The contractor is an FSC certified organization that includes documented procedures for outsourcing services within the scope of its certificate. |
| 对于高风险情况，认证机构应进行实地检查作为审核的一部分(初审、监督审核和复审)，根据标准 FSC-STD-20-011 对组织监管链证书范围内的外包过程中的外包方进行抽样。在多场所或集团证书的情况下，外包方选择和分场所选择应保持一致，抽样审核符合 FSC 监管链标准。 | For high risk situations, the certification body shall undertake as part of evaluation (main evaluation, surveillance and re-evaluation) a physical inspection of a sample of contractors to be included in outsourced processes or activities in the scope of The Organization’s Chain of Custody certificate according to the sampling criteria (FSC-STD-20-011). In the case of Multi-site or Group certificates, selection of contractors shall be coordinated with the selection of the Participating Sites which have been sampled for evaluation of conformance to the FSC Chain of Custody standards. |
| 如果组织想在认证机构审核期间在其证书范围内包括新的高风险外包商，则认证机构应根据 FSC-STD-20-011 抽样新外包方，进行扩范围的审核并对其进行实地检查。 | If Organization wants to include new high-risk contractors in its certificate scope in the period between the certification body evaluations, the certification body shall conduct an expansion of scope evaluation and conduct a physical inspection of a sample of the new contractors according to FSC-STD-20-011. |
| 抽样数（y）应至少为高风险外包商数量的平方根（x），四舍五入到下一个整数：$y = \sqrt{x}$ | The sampling number (y) shall be at minimum the square root of the number of high-risk contractors (x), rounded to the next whole number: $y=\sqrt{x}$ |
| 注：对于外包过程持有自己的 FSC 产销监管链证书的外包商以及自上次认证机构评估以来未向组织提供外包服务的外包商不需要由缔约方的认证机构进行评估，因此不需要加上上述公式中承包商（x）的数量。 | NOTE: Contractors that hold their own FSC chain of custody certificate for the outsourced process and contractors that did not provide outsourcing services to the organization since the last certification body’s evaluation do not need to be evaluated by the contracting party's certification body and therefore do not need to be added to the number of contractors (x) in the formula above. |
| 认证机构应审核在外包过程中用于 FSC 认证产品生产的材料输入、输出和运输文件的记录。 | The certification body shall evaluate records of material inputs, outputs, and transport documentation associated |

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| | with material used in the manufacture of FSC-certified products during outsourcing. |
| 对非 FSC 认证承包商，应另按 ADV-STD-20-011-16 V2-1 评价核心劳工风险，不能只评价混料风险。有证实投诉或上次相关不符合项时判为高风险；低风险判定须满足该建议第 1.3 条或有第 1.4 条可核实依据。低风险至少文件审查，高风险现场审核；低/高风险总体分别计算抽样，合并时保证两类风险均被充分覆盖。对 FSC 批准验证体系的适用豁免须核实有效性及覆盖范围，保存评价和抽样记录。 | Assess non-FSC contractors' labour risk separately under ADV-STD-20-011-16 V2-1. Substantiated complaints or previous relevant nonconformities trigger high risk; low risk requires verified justification under its Clauses 1.3–1.4. Use document review for low risk and on-site auditing for high risk, with separate sampling populations or justified balanced combined coverage. Verify any approved-scheme exemption and retain records. |
| 6.4.2.4 审核回收材料的供应商审核方案 | 6.4.2.4 Evaluation of supplier audit programs for reclaimed materials |
| 对于拥有供应商审核方案的组织或参与场所，上海砺鼎应对供应商场所进行年度现场验证审核，除非组织的供应商审核由其他 FSC 认可的认证机构执行。 认证机构应选择评估作为最小（y）0.8 倍的平方根（y =0.8 √x）四舍五入到上部整数，其中“x”是参与场所在当前审核周期中审核的供应商数量 （根据 FSC-STD-40- 007 V2-0 的第 4.1 条）。 | For organizations or participating sites that have a supplier audit program, SLC shall carry out annual on-site verification audits of the supplier sites, unless the organization's supplier audits were carried out by another FSC-accredited certification body. The certification body shall select for evaluation as a minimum (y) 0.8 times the square root (y=0.8 √x) rounded to the upper whole number, where 'x' is the number of suppliers audited by the participating site in the current evaluation period (according to Clause 4.1 of FSC-STD-40- 007 V2-0). |
| 注 1：对于联合和多场所证书，供应商审核样本的计算应在参与场所水平进行。 | NOTE 1: For group and multisite certificates, the calculation of the supplier audit sample shall be conducted at the participating-site level. |
| 注 2：上海砺鼎无需审核当前审核周期内被参与场所审核的相同场所。 | NOTE 2: SLC are not required to audit the same sites audited by the participating sites in the current evaluation period. |
| 6.4.2.5 FSC 认证木材（FSC-STD-40-005 V3-1） | 6.4.2.5 FSC Controlled Wood (FSC-STD-40-005 V3-1) |
| 6.4.2.5.1 与利益相关方的征询 | 6.4.2.5.1 Stakeholder consultation |
| 6.4.2.5.1.1 利益相关方征询要求仅适用于组织的首次评估以及后续的重新评估，以及当材料来自未经评估的区域、具有特定或未明确风险的区域（根据适用的 FSC 风险评估）时。<br>在审核框架内，如果可能的话，应对 FMU 和供应商进行实地评估，并进行咨询<br>- 与直接利益相关方举行会议<br>- 当地利益相关方，例如但不限于当地行政机构代表、林业部门代表、原住民、当地社区代表、非政府组织代表。当存在客观原因时，个人会议可改为通过电话进行的访谈。 | 6.4.2.5.1.1 Stakeholder consultation requirements apply only for the first evaluation and subsequent re-evaluations of the organization, as well as where material is sourced from unassessed areas, areas with specified or unspecified risk according to the applicable FSC risk assessment.<br>Within the frameworks of the audit, field evaluations of FMU and suppliers, if possible, there shall be conducted consultations<br>– meetings with directly involved parties<br>– localstakeholders, e.g., but not limited to, representatives of local administrations, forestry, indigenous peoples, local communities, NGOs. When there are objective reasons, personal meetings may be substituted with interviews via phone. |
| 6.4.2.5.1.2 上海砺鼎与利益相关方进行沟通，以获取有关受控材料的信息，以验证其是否符合森林认证方案和上海砺鼎的规范文件的适用要求。沟通活动应根据组织的尽职调查系统（DDS）的规模和规模大小来开展，该系统会考虑供应区域的数量和距离，以及受控材料及活动链中所包含的受控实体的数量。为此，将执行以下操作： | 6.4.2.5.1.2 SLC conducts consultations with stakeholder to obtain information on controlled material to verify its conformity to the applicable requirements of forest certification scheme and SLC normative documents. Consultations shall be held in accordance with the size and volume of the organization's due diligence systems (DDS), which takes into account the number and distance of the supply areas, as well as the number of controlled entities included in the chain of controlled material andactivities. For this purpose the following is performed: |

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| 6.4.2.5.1.3 该组织将已识别出的利益相关者名单发送给上海砺鼎，在此基础上，上海砺鼎根据该组织尽职调查系统（DDS）的规模和范围，与利益相关方进行沟通，以验证其是否符合相关要求。 | 6.4.2.5.1.3 The organization sends the list of identified stakeholders to SLC, using which SLC performs consultation with stakeholders in accordance with the size and scope of the due diligence system (DDS) of the organization, in order to verify its conformity to the applicable requirements. |
| 6.4.2.5.1.4 在那些设有国家 FSC 办事处或网络合作伙伴的国家和地区，由 FCP（FSC 认证计划）的专家负责与该地区/国家的潜在利益相关方进行联系。<br>同时，要求已获认证的组织提供其所识别和定义的、可供参考的利益相关方名单。 | 6.4.2.5.1.4 In those countries and regions where the National FSC office or network partner are presented, assigned specialist of FCP (FSC Certification Program) contacts potential stakeholders for this region/country.<br>The certified organization is also requested to provide the list of stakeholders which it has identified and defined for consultation. |
| 6.4.2.5.1.5 上海砺鼎应当确定并直接邀请受影响的各利益相关方参与此次咨询活动。可根据额外信息来源（如媒体、互联网等）的使用情况和参与程度对清单进行补充和完善。<br>在地方层面，利益相关者名单包括当地组织、感兴趣的团体或个人。对于大型组织，名单还包括国家级和地区级的利益相关者组织。 | 6.4.2.5.1.5 SLC shall identify and invite directly affected stakeholders to participate in the consultation. The list may be clarified and added based on the use and involvement of additional information sources (e.g. Media, internet etc.).<br>On the local level the list of stakeholders includes local organizations, interested groups or individuals. For large organizations the list includes stakeholder organizations of national and regional level. |
| 必须邀请相关的 FSC 网络合作伙伴参加 | Invitation of relevant FSC network partners is mandatory. |
| 负责人员应向所在地区没有设立 FSC 地区办事处的国家/地区的 FSC 国际公司索取该 FSC 网络合作伙伴的联系信息。 | The responsible specialist shall request and obtain contact information for the FSC Network Partner at FSC International in the country / region where FSC Regional Office does not exist. |
| 6.4.2.5.1.6 所有已确定的利益相关方均应收到有关咨询流程的通知，通知内容还应包括以下内容：国家 FSC 办公室/网络合作伙伴； | 6.4.2.5.1.6 All identified stakeholders shall receive a notice of the consultation process, distribution shall also include an appropriate: national FSC office/network partner; |
| 6.4.2.5.1.7 征询的形式应包括当地的文化习俗，并且可以不限方式地进行： | 6.4.2.5.1.7 Forms of consultations shall include local cultural customs and may be conducted, without limitation: |
| 在审核之前或审核过程中以个体或小组形式进行的即时谈判； | in the form of immediate individual or group negotiations before or during evaluation; |
| 由当地协调人协助组织的个人或团体会议，该协调人应被视为与申请人无关的第三方； | individual or group meetings, organized with the help of local mediator, who shall be the third party in respect to the applicant; |
| 在实地考察和现场访问期间，对管理人员、员工和承包商进行有目的性访谈； | target interviews with managers, employees, contractors during field and on-site visits; |
| 审核过程中的访谈； | interviews during the evaluation; |
| 以书面形式进行的沟通，并附有针对预先确定的一系列具体问题的书面意见请求。 | written communications with requests for comments in writing regarding predetermined list of specific questions. |
| 应与利益相关者进行访谈，但需满足以下条件：利益相关者能够自由提供相关信息；除非事先与被访谈者进行过相关讨论。 | Interviews with stakeholders shall be conducted under the conditions of possible confidential provision of information by stakeholders, unless beforehand otherwise discussed with an interviewee. |
| 6.4.2.5.1.8 关于咨询过程的公示，应包括咨询期间的日期和活动详情。通知方式应确保相关利益方能够获取有关咨 | 6.4.2.5.1.8 Publication about the consultation process including dates and activities in the scope of the consultation. Means of notification shall ensure that |

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| 询的资料； | interested stakeholders can access information about the consultation; |
| - 上海砺鼎网站上的在线新闻 | - Online news on SLC's website |
| -在源头地区运营的环保及环境组织的网站。 | - websites of environmental and environmental protection organizations operating in the regions of origin. |
| 此外，所有被明确列为直接受影响方的各方均会收到由上海砺鼎发出的直接通知，通知中包含参与协商的邀请。 | In addition, all so identified directly affected stakeholders are provided with a direct notice from SLC with an invitation to participate in consultations. |
| 注 1：向直接受影响的利益相关者发出邀请旨在确保他们能直接了解咨询过程，并增强他们的参与度；而向公众发布通知则旨在为感兴趣的利益相关者提供更多参与的机会。 | NOTE 1: Invitation of directly affected stakeholders aims to ensure they are directly informed about the consultation process and to increase their engagement, whilst public notification aims to provide additional opportunity for engagement of interested stakeholders. |
| 注 2：咨询工作只能在直接受影响或感兴趣的各方自愿参与的前提下进行。 | NOTE 2: Consultation can only be conducted based on voluntary engagement of directly affected or interested stakeholders. |
| 上海砺鼎应向参与方提供符合 FSC-STD-40-005 要求的该组织 DDS 的书面摘要的访问权限。 | SLC shall provide participating stakeholders with access to the written summary of the organization's DDS conformant to the requirements of FSC-STD-40-005. |
| 在评估前至少提前六周，应采用有效且符合文化习惯的邀请、通知和咨询方式。例如，可以通过以下方式确保这一点：在上海砺鼎的网站上发布公告，同时在个人见面会时进行说明；通过电话、电子邮件或信件进行个人联系；在国家和/或当地媒体以及相关网站上发布通知；在当地广播中发布通知；在当地的传统公告板上发布通知等。 | minimum six weeks prior to the evaluation, with the use of effective and culturally appropriate means of invitation, notification, and consultation. This is ensured, for example, by, but not limited to: an announcement via the SLC's website, additionally during personal meetings; personal contacts by phone, email, or letter; notice published in the national and/or local press and on relevant websites; local radio announcements; announcements on local customary notice boards etc. |
| 注意：审核团队负责人在准备检查工作时，进行了验证 DDS 工作，相关结果已记录在相应的检查表报告中。 | NOTE: Verification summary DDS performed by the head of the audit team in preparation for the inspection, the results are recorded in the corresponding check list report. |
| 征询可能包括要求就预先设定的一系列具体问题提交书面意见。推荐的模板内容包括： | Consultation may include a request for written comments on a predetermined set of specific questions. Recommended template - includes, in particular: |
| - 相关方提出的一项请求，即希望获得同意以公布其意见； | - a request of stakeholders for consent to publication of their comments; |
| -为利益相关方提供一个保密分享意见的机会。这一做法应在整个认证过程中得到保证，包括但不限于在审核期间。 | - provision of stakeholders with the opportunity to share comments confidentially. This approach shall be ensured throughout the entire certification process, including, but not limited to, during audits. |
| 审核组长应评估所收到的所有信息以及利益相关方提供的意见，并在审核报告中客观且充分地予以考虑。如有必要，还可利用现有手段（如公开的互联网信息、电话直接沟通、电子邮件、个人会面等）来澄清所收到的信息。 | An audit team leader shall evaluate all received information and comments provided by stakeholders and objectively and substantially consider it in the audit report, and where necessary, clarify the received information using the means available (information from open internet sources, direct communication by phone, e-mail, personal meetings etc.). |
| 上海砺鼎应客观且有意义地评估利益相关方提供的信息和意见。只有当这些意见能提供符合或不符合适用森林认证方案及 上海砺鼎要求的证据时，认证决定才会受到影响，而这些证据必须经过推理并有客观依据的支持。 | SLC shall evaluate information and comments provided by stakeholders objectively and meaningfully. The certification decision shall only be affected if comments provide evidence of conformity or nonconformity to the applicable forest certification scheme and SLC |

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| | requirements which shall be reasoned and supported by objective evidence; |
| 在做出认证决定后， 上海砺鼎会向所有参与咨询过程的各方发送一份回复，并在 30 天内将他们对决定的反馈以及对其反馈的考量说明一并告知他们； | After making a certification decision SLC sends a response to all stakeholders which participated in the consultation process and shared their comments within 30 days with an explanation of how their comments were taken into account; |
| 上海砺鼎应保存咨询过程的相关记录，包括所识别的利益相关者、参与咨询的各方及其意见的记录，以及证明咨询活动符合森林认证方案及 上海砺鼎所适用要求的证据。上海砺鼎指定的员工将所有收到的意见保存在 ERP 系统中（在相关客户档案中），并在审核前提供给指定的团队负责人，之后（如果这些意见是在审核之后收到的）也会提供，直至做出认证决定为止。 | SLC shall maintain records of the consultation process, including records about stakeholders identified, stakeholders which participated in the consultation and their comments, and evidence that the consultation was carried out in line with the applicable requirements of forest certification scheme and SLC. The appointed employee of SLC saves all received comments in ERP (in a relevant client file) and provides them to the appointed team leader prior to the audit, as well as afterwards (if such comments were received after the audit) until a certification decision is made. |
| 上海砺鼎会从独立来源（例如但不限于：www.globalforestregistry.org、ic.fsc.org、www.worldwildlife.org/biomes、www.globalwitness.org、www.eia-international.org、www.telapak.org、http://www.euflegt.efi.int/home、www.transparency.org、wwf.panda.org、www.eldis.org、www.cites.org、www.intactforests.org、www.cbd.int，http://www.fao.org/docrep/008/ae574e/AE 574E00.HTM）获取并预审核相关信息及新闻网站上的内容）。所收到的信息将被转交给审核组长。 | SLC performs collection and pre-review of the information from independent sources (e.g., but not limited to: www.globalforestregistry.org, ic.fsc.org, www.worldwildlife.org/biomes, www.globalwitness.org, www.eia-international.org, www.telapak.org, http://www.euflegt.efi.int/home, www.transparency.org, wwf.panda.org, www.eldis.org, www.cites.org, www.intactforests.org, www.cbd.int, http://www.fao.org/docrep/008/ae574e/AE 574E00.HTM) information and news portals). The received information is forwarded to the audit team leader. |
| 6.4.2.5.2 风险评估的评估 | 6.4.2.5.2 Evaluation of risk assessments |
| 6.4.2.5.2.1 与产地相关的风险评估 | 6.4.2.5.2.1 Risk assessment related to origin |
| 在对某一组织的审计和文件审查过程中，上海砺鼎会核实所采用的适用 FSC 风险评估方法是否正确。如果获得认证的国家 FSC 计划提供了其国家或地区的解释或指导内容，那么它将具有优先权。可在 www.fsc.org 或 http://www.globalforestwatch.org 上查询国家 FSC 计划的列表。验证工作基于 FSC 控制木材的 5 个类别进行。 | During an audit and document review of an Organization SLC verifies the correct use of applicable FSC risk assessments. If an accredited National FSC initiative offers its national or regional interpretation or guidance, then it has the priority. Search of the list of national FSC initiatives is performed at www.fsc.org or http://www.globalforestwatch.org. Verification is done based on 5 categories of FSC controlled wood. |

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| | | 1. National risk assessment (NRA) developed according to FSC-PRO- 60-002V3-0 shall be used by the organization if it exists.<br>按照 FSC-PRO-60-002V3-0 标准制定的国家风险评估（NRA）应该被组织使用，如果存在的话。 |
| | | 2. Centralized national risk assessment (CNRA) Shall be used if completed for all five controlled wood categories, wherethereisnoNRAdevelopedaccordingtoFSC-PRO-60-002V3- 0, and instead of an NRA developed according to FSC-PRO-60-002 V2-0.<br>若对所有五种受管制的木材类别均完成了全国性风险评估（CNRA），且尚未依据 FSC-PRO-60-002V3-0 制定 NRA，而需采用依据 FSC-PRO-60-002 V2-0 制定的 NRA 时，则应使用集中国家风险评估（CNRA）。 |
| | | 3. National risk assessment (NRA) developed according to FSC-PRO- 60-002 V2-0 shall be used if there is no NRA developed according to FSC-PRO- 60-002 V3-0 or completed CNRA, and shall not be used after 31 December 2017. |

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| | | 如果尚未完成符合 NRA 开发的 FSC-PRO- 60-002 V3-0 标准或完整的集中国家风险评估（CNRA），则应使用按照 FSC-PRO- 60-002 V2-0 制定的 NRA；并且自 2017 年 12 月 31 日起不得再使用。 |
| | | 4. Simplified risk assessment<br>May only be conducted while waiting for the delivery of the NRA or CNRA, and shall not be used after 31 December 2017. OR<br>Extended Risk Assessment<br>May only be conducted for unassessed risk areas where there is no FSC risk assessment available.<br>简化版风险评估<br>只能在等待国家风险评估报告（NRA）或集中国家风险评估报告（CNRA）送达期间进行，且不得在 2017 年 12 月 31 日之后使用。或者<br>扩展风险评估<br>仅适用于尚未进行风险评估的区域，且这些区域不存在 FSC 风险评估结果可用的。 |
| 或者依据 FSC-STD-40-005 标准进行实施。应采用供应区域中所列出的最高风险评估结果（从根据 FSC-PRO-60-002 V3-0 制定的国家风险评估（NRA）开始）。关于已批准的 NRA 列表以及用于制定 NRA 的 FSC-PRO-60-002 版本的信息，请参阅 FSC-PRO-60-02b《FSC 批准的受控木材文件清单》。 | | The hierarchy of the risk assessments that may be used for the implementation of FSC-STD-40-005 standard. The highest listed risk assessment that exists for the supply area shall be used (beginning with National risk assessment (NRA) developed according to FSC-PRO-60-002 V3-0). For the list of approved NRAs, as well as information about the version of FSC-PRO-60-002 used for NRA development see FSC-PRO-60-02b List of FSC Approved Controlled Wood Documents. |
| 当组织因自身无法控制的情况需要延长其根据已批准的风险评估调整数据处理系统的期限时，上海砺鼎可以批准单次最长两个月的延期。上海砺鼎 会考虑并分析组织提出的延长该期限的理由。延长的理由不包括在数据处理系统范围内规划或安排活动时出现的问题。上海砺鼎对此类情况执行记录（通过 上海砺鼎的决定执行，并在上海砺鼎记录）。 | | SLC may extend the period during which the organization shall adapt the DDS to approved risk assessments for a single exceptional extension of up to two months when justified by circumstances beyond the control of the organization. SLC consider and analyze the circumstances for increase of this period provided by the organization. Justifiable circumstances for an extension exclude problems in planning or scheduling activities in the scope of the DDS. SLC executes records on such circumstances (executed through a decision of SLC, documented in SLC). |
| 上海砺鼎应当核实该组织的风险评估及风险分类是否充分且合理，包括以下内容： | | SLC shall verify whether the organization's risk assessment and risk designations are adequate and justified, including whether: |
| - 风险评估遵循了所有适用的要求；<br>- 所使用的信息来源是独立、客观且足以证明风险分类的充分依据；<br>- 评估的地理范围与供应区域相适应；<br>- 风险分类是基于风险评估中所使用的来源而合理且可验证的；<br>- 风险说明包含了足够的信息，以便能够制定出有效的控制措施；<br>- 按照要求与专家进行了沟通；<br>- 以往负责组织风险评估的专家符合专家资格的最低要求（FSC-STD-40-005 V3-0 附件 C）；<br>- 结合风险评估按照要求进行管理；<br>-风险定级是通过使用独立且客观的信息来源并以证据为依据来证明其合理性的。 | | - the risk assessment follows all applicable requirements;<br>- the sources of information used are independent, objective, and sufficient to justify risk designation;<br>- the geographic scale of the assessment is adequate to the supply area(s);<br>- the risk designation is justified and verifiable based on sources used in the risk assessment;<br>- the risk specification includes sufficient information to allow the development of adequate control measures;<br>- consultations with experts have been conducted as required;<br>- experts used to conduct the risk assessment of Organization meet the Minimum requirements for expert qualifications (Annex C of FSC-STD-40-005 V3-0);<br>- joint risk assessments are managed as required;<br>-the risk designation is justified with evidence by using independent and objective sources of information. |
| -风险评估与 FSC 全球森林注册库公开提供的信息一致； | | - the risk assessment is consistent with the publicly |

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| 或者<br>- 如果该组织对风险的界定与 FSC 全球森林注册库有所不同，那么这种风险界定将通过使用其他独立且客观的信息来源来提供证据支持。 | available information on the FSC Global Forest Registry; or<br>- where the organization designates risk differently from the FSC Global Forest Registry, the risk designation is justified with evidence by using other independent and objective sources of information. |
| 该风险分类是基于可靠的证据，并通过独立且客观的信息来源得以确定的。 | the risk designation is justified with evidence by using independent and objective sources of information. |
| 上海砺鼎应核实该组织是否已审查其风险评估的持续正确性和相关性，并在必要时进行修订。这包括在使用来自位于低风险区域且因暂停而失去认证资格的 FSC 认证管理单位的材料时，对风险评估进行审查（参见 FSC-STD-40-005 中的风险评估部分，附件 A，第 1.5.3 和 1.5.24 条）。 | SLC shall verify whether the organization has reviewed the continued correctness and relevance of its risk assessment and made revisions where necessary. This includes reviewing the risk assessment when using material originating from FSC-certified management units located in low-risk areas that lose their certified status due to suspension according to Risk assessment by the organization (Annex A, Cl. 1.5.3 and 1.5.4, in FSC-STD-40-005). |
| 如果风险评估过程及风险认定符合相关要求，上海砺鼎应批准该组织对其现有供应区域所进行的风险评估，以及/或者将其扩展至新的供应区域。 | SLC shall approve a risk assessment conducted by the organization for its existing supply area, and/or extended to new supply areas, if the risk assessment process and risk designation meet the applicable requirements. |
| 上海砺鼎应将该组织参与 FSC 纤维测试计划（联系邮箱：fiber-testing@fsc.org）的相关情况通知给 FSC 供应链诚信计划部门，如适用的话。 | SLC shall notify the FSC Supply Chain Integrity Program (fiber-testing@fsc.org) regarding participation of the organization in the FSC Fiber Testing Program, where applicable. |
| 如果证实某一组织的风险评估结果与另一组织针对同一区域的风险评估结果相矛盾，那么经过更严格、更准确和/或更谨慎评估得出的结果应占主导地位。 | If it is confirmed that the results of an organization's risk assessment contradict the results of another organization's risk assessment for the same area, the risk assessment that has been conducted with a higher level of scrutiny, accuracy, and/or precaution shall prevail. |
| 上海砺鼎应查阅 FSC 数据库中公布的风险评估报告，以确定与不同风险类别相关的潜在冲突。 | NOTE: SLC shall consult published risk assessments on the FSC database in order to identify potential conflicts related to different risk designations. |
| 如果上海砺鼎收到有关风险评估的评论或投诉，上海砺鼎应将其转交给负责制定国家风险评估（NRA）的机构。如果这些评论涉及国家风险评估（NRA），则应发送至 NRA 中指定的负责机构。如果涉及集中式国家风险评估（CNRA），则应直接将评论发送给 FSC。 | If SLC receives comments or complaints about a risk assessment, SLC shall forward them to the responsible body developed NRA. If comments are related to a national risk assessment (NRA), they should be sent to the responsible body indicated in the NRA. If they are related to a centralized national risk assessment (CNRA), comments should be sent directly to FSC. |
| 上海砺鼎应核实在材料运抵组织之前，其在运输、加工和储存过程中与不合格输入材料混合的风险评估是否与 DDS 的范围相适应，并且具有合理性。 | SLC shall verify whether the risk assessment related to the mixing of material with non-eligible inputs during transport, processing, and storage before the material reaches the organization is adequate to the scope of the DDS and justified. |
| 6.4.2.5.2.2 与混合材料相关的风险评估 | 6.4.2.5.2.2 Risk assessment related to mixing material |
| 根据组织所提供的表格信息，将对受审核组织的受控监管链的复杂程度进行评估。 | Information under the form is requested from the organization to assess complexity of controlled chains of custody of the organization being audited. |
| 表格：受控供应商、管理单元（MU）：现场数据与抽样 | Form: Controlled suppliers, management units (MU): onsite data and sampling |
| 由指定的专业现场审核员对所获取的信息进行初步分析，并根据供应商或分包商的数量计算出在审核期间需走访的 | An appointed specialist FCP conducts initial analysis of the information obtained, calculates the sample of |

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| 组织样本数量。此信息在审核开始前会提交给审核组长。 | organizations, based on the number of suppliers or subcontractors, which shall be visited during the audit. This information is submitted to Audit Team Leader prior to the audit. |
| 6.4.2.5.3 对组织尽职调查系统（DDS）的评估 | 6.4.2.5.3 Evaluation of the organization's Due Diligence System (DDS) |
| 在基于认证范围的审核框架内，并在组织运营范围内，审核团队应评估组织设计的 DDS 在以下方面的相关性、有效性和充分性： | Within the frameworks of the audit based on certification scope and in the scope of the Organization's operations Audit team shall evaluate the relevance, effectiveness, and adequacy of DDS designed by the Organization in respect of: |
| 符合所有适用森林认证计划和上海砺鼎的相关版本标准，且符合所选定的认证范围。 | conformity to all relevant versions of applicable NDs of forest certification schemes and SLC according to the applied certification scope, |
| 所制定的措施在避免从不可接受或存在争议的来源采购材料方面的有效性 | effectiveness of the developed measures to avoid sourcing material from unacceptable / controversial sources, |
| 在 DDS 完整方面，涵盖了所有分支机构、独立站点、直至森林采伐区域的各个链条，包括所有有权在森林认证计划范围内做出决策的相关人员。 | DDS completeness in respect of accounting of all subdivisions, separate sites, chains controlled down to forest material harvesting areas, including all involved personnel authorized to make decisions in respect of work within the forest certification scheme. |
| 在基于该组织所提供的数据和证据所制定的审计框架内，审核团队还确定并证明了用于验证该组织所确定的风险分类及控制措施的方法，其中包括但不限于： | Within the frameworks of the audit based on data and evidence provided by the Organization, Audit team also determines and justifies means to verify risk designations and controls, determined by the Organization, which include without exclusions: |
| 一种用于对照现有信息来源和适用要求来验证风险分类的机制。在验证框架内，组织的 DDS 在风险分类（已确定、未确定、低风险）的部分进行了审查。 | a mechanism for verifying risk designations against available sources of information and applicable requirements. Within the frameworks of verification the Organization's DDS is reviewed in the part of risks classification: determined, undetermined, low. |
| 在国际、国家和次区域层面，其数据均会与全球森林监测系统（http://www.globalforestwatch.org）进行比对核实。 | At international, national and sub-regional levels it is verified against Global Forest Watch http://www.globalforestwatch.org |
| 在风险评估的框架内，地球上任何区域内的任何一片领土在确定为低风险之前，均应被该组织视为高风险区域。如果该领土的条件不足以使其符合低风险区域的所有规定要求，那么评估的层面应降低。风险评估的层面应进一步降低，直至评估条件达到一致。在某些条件一致的情况下，风险评估可以在国家层面进行；而在一个国家内部存在不同条件的情况下，评估可能只能在地区/地方层面或生态区域子集的层面上进行。如果能够在国家或州一级确定“低风险区域”，则无需在更低的级别（例如地区级别）进行再次评估。如果无法在更大范围（国家或州）进行可信的低风险认定，则需要在更低级别（例如地区级别）进行风险评估；但如果有可信的低风险认定能够在更大范围（国家或州）进行，则无需在更低级别进行评估。 | Within the frameworks of risk assessment any territory in any area of the planet shall be considered by the Organization as high risk until low risk can be determined. If conditions at the territory are not sufficiently homogeneous for this territory to meet all outlined requirements for low-risk region, the scale of assessment shall be decreased. The scale of risk assessment shall be further decreased until the assessed conditions are homogeneous. Under certain homogeneous conditions risk assessment may be possible at a national level, whereas under heterogeneous conditions within a country assessment may be only possible at a district/local level or at the level of subsets of ecoregions. If “low risk region” determination can be made at the national or state level there is no need to do another assessment at a lower level (e.g., district level). A lower level (e.g. district level) risk assessment is only needed if no credible low-risk designation at a larger (national or state) scale can be conducted; |

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| 现场验证包括在森林层面进行的审核以及对供应链中供应商的现场核查，其范围和抽样池应与所评估的 DDS 相关。抽样池应足以确认与原产地风险以及材料与非合格/有争议的输入材料混合的风险相关的风险得到降低。抽样计算、抽样方法和审核持续时间的计算中根据 ND 进行：<br><br>审核组应审查组织的 DDS、程序和记录，以确保位于木材采购区域的所有森林管理单元（FMU）均被包括在内，并且在每个 FMU 内进行现场检查作为控制措施/验证程序，以根据适用的现行标准减轻原产地风险。如果现场检查是强制性的控制措施/验证程序，则组织应有选择进行现场检查的伐木地点的标准，同时考虑到各种受管制木材/受管制来源可能存在的风险，以及评估符合当地法规的标准。例如，如果货物是从地理位置和功能上不同的采伐区域（如疏伐、完全砍伐、卫生砍伐）进行运输的，那么组织方应当考虑到这一点，并将不同类别的采伐区域纳入实地检查范围。审核团队在对采伐场地进行实地审计时，在访谈中应针对当地法规的遵守情况提出具体的技术问题。 | field verification, which includes audits at the forest level and on-site verification of suppliers in the supply chain, with a scope and sampling pool relevant for the DDS under evaluation. The sampling pool shall be sufficient to confirm mitigation of risk related to origin and risk of mixing of material with non-eligible / controversial inputs. Sampling calculation, approach to sampling and audit duration calculation are conducted in according to ND:<br><br>The audit team shall review the organization's DDS, procedures and records to ensure that all FMUs located in the wood sourcing area are included, and that field inspections are conducted within each FMU as a control measure / verification program to mitigate the risks of origin in accordance with the applicable current standard. In case if field inspections are a mandatory control measure / verification program, the organization should have criteria for selecting logging sites for field inspections, taking into account the possible risks for the various categories of controlled wood / controlled sources, as well as criteria for assessing compliance with local legislation. For example, if deliveries are made from geographically and functionally different cutting areas (e.g., thinnings, clear cuttings, sanitary cuttings), the organization should take this into account and include different categories of logging areas into field inspections. The audit team shall use specific technical questions during the interview in relation to compliance with local legislation when conducting a field audit of logging sites. |
| 此外，根据组织在审计前按照表格 LC-FSC-13 提供给上海砺鼎的信息，审核团队会选定某些受控供应商和 FMU 进行审核。根据审核过程中从组织和相关方获取的信息，这种抽样方式可能会进行调整。（分包商）风险最高且有合理依据的分包商应被选中接受审核。在可能的情况下，审核团队应根据组织提供的信息和被审核的（分包商）自行选择并组织实地审核对象。审核团队对审核对象的选择和实施安排独立做出决定。在可能的情况下，上海砺鼎会将该组织提供的证据与独立来源的信息进行比对核实。 | Also based on the information provided by the Organization to SLC prior to the audit according to form LC-FSC-13, the Audit Team Leader selects certain controlled suppliers and FMU, which will be verified during the audit. Depending on the information obtained during the audit from the Organization and stakeholders, this sampling may be corrected. (Sub)contractors with the highest possible and justified risk shall be selected for the audit. When possible, Audit team shall select and organize verifications field objects independently based on the information provided by the Organization and the audited (sub)contractor. The decision on the object of the audit and implemented arrangements is made independently by the Audit team. SLC will corroborate evidence provided by the organization with independent sources when possible. |
| 在咨询过程中获取的信息以及来自类似独立来源的信息，在审计过程中都会由 上海砺鼎审核员进行彻底的重新评估。他们会与利益相关者进行交叉访谈，以确保客观性。如果可能的话，会将组织提供的证据与独立来源提供的证据进行对比，并将结果反映在报告中。 | Information obtained during consultations, as well as information from similar independent sources, is thoroughly re-evaluated by SLC Auditors during the audit and cross interview of stakeholders in respect of objectivity, corroborating evidence provided by the organization with independent sources are compared, if possible, and reflected in the report. |
| 上海砺鼎审核团队应评估并确认该组织是否已按照所有适用要求以及 FSC 政策与标准以及 DDS 设计并批准的任何额外的指导进行实施。 | SLC audit team shall evaluate and confirm whether Organization has been implemented for all applicable requirements and any additional guidance provided or approved by the FSC Policy and Standards Unit and DDS as designed. |
| 用于评估 DDS 的所有记录均应随机抽取。在选取样本文件时，上海砺鼎审核组不得受被审核组织工作人员的引导或影响。 | All records used for evaluating the DDS shall be sampled at random. When selecting documents for sampling SLC audit team shall not be guided or influenced by staff of the |

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| | organization. |
| 上海砺鼎审核组应核实有关材料及供应链的信息是否能使组织做到：<br>- 确认材料的来源；<br>- 对材料的来源进行严谨的风险评估；<br>- 对供应链中将材料与不合格的输入材料混合的情况进行严谨的风险评估；<br>- 制定并实施适当的控制措施；<br>- 审查并（如有必要）修订 DDS，以确保其相关性、有效性或充分性。 | SLC audit team shall verify whether information on material and supply chains allows the organization to:<br>- confirm the origin of the material<br>- conduct a robust risk assessment related to the origin of the material;<br>- conduct a robust risk assessment related to mixing material with non- eligible inputs in supply chains;<br>- develop and implement adequate control measures;<br>- review and, if necessary, revise the DDS to ensure its relevance, effectiveness, or adequacy. |
| 这包括核实该组织是否已要求其供应商向其通报任何可能影响风险分类或风险缓解措施的变更情况。 | This includes verification of whether the organization has enforced its suppliers to notify it of any changes affecting risk designation or mitigation. |
| 应当特别关注对组织在已实施且已记录的防混系统方面表现的评估，该系统旨在处理与将来自非合格来源的材料与本组织材料混合相关的风险的获取、评估和缓解问题。 | Special attention should be paid to the evaluation of Organization regarding existing of the implemented and documented DDS covering obtaining, assessment and mitigation of risks related to mixing of material with material from non-eligible sources. |
| 上海砺鼎不会接受仅由组织和/或供应商出具的符合性声明作为证明组织符合相关要求的依据的此类信息或文件。 | SLC shall not accept information or documentation that only consists of a declaration of conformity by the organization and/or suppliers as evidence of the organization's conformity to the applicable requirements. |
| 将对以限制性方式排除该组织提供的机密信息的合理性进行评估，同时需考虑信息的商业敏感性、相关法律法规以及披露所服务的公共利益等因素。 | It shall be evaluated the justification for excluding confidential information provided by the organization in a restrictive way, taking into account business sensitivity of the information, applicable legislation, and the public interest served by disclosure. |
| 6.4.2.5.4 与混合材料相关的风险评估 | 6.4.2.5.4 Risk assessment related to mixing material |
| 审核组根据审核过程中获取的客观书面证据，对组织的 DDS 在风险评估方面进行评估。组织需证明，在运输、加工和储存直至接收至组织手中的整个供应链环节中，与不可接受的输入相关的风险已降至最低，并且组织已基于来自不同来源的证据对其合理性进行了说明。例如但不限于：根据利益相关者的意见、来自独立来源（互联网、政府机构的门户网站、非政府组织等）的数据。所需证据将纳入审计报告中。 | Audit team performs evaluation of the Organization's DDS in respect of risk assessment, based on objective documented evidence obtained during the audit. The Organization shall demonstrate that risk related to unacceptable inputs in chains of custody in transportation, processing and storage until receipt by the organization, is minimized and that the Organization has justified it based on the evidence, obtained from different sources. E.g., but not limited to: based on comments from stakeholders, data from independent sources (Internet, portals of governmental authorities, NGOs, etc.). The required evidence is included into audit report. |
| 6.4.2.5.5 风险缓解措施的评估 | 6.4.2.5.5 Evaluation of risk mitigation |
| 以下列出了可作为控制措施采取的一般行动示例：<br>- 向利益相关者咨询<br>- 寻求专家意见<br>- 文件审核<br>- 检验是否符合当地法规<br>- 供应链审核<br>- 在供应单位层面或供应商现场进行实地核查 | General examples of actions that may be taken as:<br>control measures;<br>are provided below:<br>- Stakeholder consultation<br>- Expert engagement;<br>- Document verification;<br>- Verification of conformity to local legislation;<br>- Supply chain audits; |

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| - 第三方核查，包括指定所需的各方以及可接受/典范的核查方法<br>- 用于确认物种和/或产地的测试，例如 DNA 测试、同位素测试和纤维测试（例如用于确认《濒危野生动植物种国际贸易公约》所涵盖物种的产地）<br>- 与供应商和次级供应商签订与风险缓解相关的具有法律约束力的协议（例如，符合性承诺、随时进行审计的权利、在一定时间内提供信息的义务）<br>- 供应商和次级供应商的风险缓解培训和能力建设<br>- 将供应商排除在外 | - Field verification at the supply unit level or supplier's site;<br>- Third party verification, including specification of the parties required, and acceptable/exemplary methods of verification;<br>- Tests to confirm species and/or origin, such as DNA tests, isotope tests and fibre tests (e.g. to confirm the origin of species covered by CITES);<br>- Legally binding agreements related to risk mitigation (e.g. conformance commitments with procedures, right to audit at any time, obligations to provide information within a certain time frame) with suppliers and subsuppliers;<br>- Risk mitigation training and capacity building of suppliers and sub-suppliers;<br>- Exclusion of suppliers. |
| 6.4.2.5.6 在审核过程中，审核组会核实控制措施的执行情况，包括该组织是否具备证明以下内容的能力： | 6.4.2.5.6 During the audit Audit team verifies implementation of control measures, including the organization’s capability to demonstrate that: |
| a) 来自未获 FSC-PRO-60-002 认证的非管制区且存在特定或未指明风险的材料的最低要求 | a) minimum requirements for material originating from areas not covered by an NRA approved according to FSC-PRO-60-002 and where there is specified or unspecified risk |
| 与传统人权及公民权利相关（见 FSC-STD-40-005 文件第 4.10 节） | related to traditional and human rights (Cl. 4.10 of FSC-STD- 40-005: |
| 材料不得来自存在大量侵犯原住民或传统民族权利的严重证据的地区，也不得来自存在重大与原住民或传统民族权利相关的冲突的地区，除非冲突各方正在采取受影响的原住民或传统民族所认可的公平且公正的措施来解决冲突，或者受影响的原住民或传统民族已给予自由、事先和知情同意（FPIC），以同意与材料来源相关的管理活动； | Material shall not originate from areas where there is substantial evidence of wide spread violation of the rights of indigenous or traditional peoples or where there is conflict of substantial magnitude pertaining to the rights of indigenous Peoples and/or traditional peoples, unless steps that are recognized by the affected Indigenous Peoples and/or traditional peoples as being fair and equitable are being taken by the conflicted parties to resolve the conflict, or free, prior and informed consent (FPIC) is given by the affected indigenous Peoples and/or traditional peoples for management activities related to the sourcing of material; |
| 该组织应征求一位或多位专家的意见，并就与 FPIC 相关的要求向相关的 FSC 网络合作伙伴寻求意见。 | The organization shall obtain the opinion of one or more experts, and seek the opinion of the relevant FSC network partner(s) on requirements relating to FPIC. |
| 与高保护价值（HCVs）相关 2 - 6 （FSC-STD- 40-005 第 4.11 条） | related to high conservation values (HCVs) 2-6 (FSC-STD-40-005 cl. 4.11) |
| HCV 2（景观级生态系统与镶嵌区）相关材料并非源自完整森林景观区（IFLs）的商业性伐木活动，也不应源自那些因管理活动而导致/加剧了 IFL 分割的区域。 | HCV 2 (Landscape-level ecosystems and mosaics) material is not originated from commercial logging in Intact Forest Landscapes6 (IFLs), and shall not originate from areas where management activities contribute to/increase the fragmentation of IFLs. |
| HCV 3（生态系统与栖息地）相关材料不得源自存在 HCV 的区域，除非已采取了旨在保护生态系统中固有的 HCV 的具体措施（例如，在稀有、受威胁或濒危生态系统的区域进行砍伐作业，旨在保护这些生态系统的范围和价值）。 | HCV 3 (Ecosystems and habitats) material shall not originate from areas where HCVs are present, unless specific measures that are designed to protect the HCV inherent in the ecosystem (e.g. logging in areas of rare, threatened or endangered ecosystems is designed to protect the extent and values of these ecosystems) are in |

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| | place. |
| HCV 4（关键生态系统服务）相关材料并非源自那些为当地社区提供饮用水的已确定或已测绘的流域 7，除非采用森林管理的最佳实践，包括设置水道缓冲区、限制设备使用、修建道路以及防止污染等措施。 | HCV 4 (Critical ecosystem services) material is not originated from identified or mapped watersheds7 that supply local communities with drinking water, unless best practices of forest management are applied, including water course buffers, equipment restrictions, road building, and protection against contamination. |
| HCV 5-6（社区需求 - 文化价值观）的相关材料并非源自存在 HCV 病例的地区，除非有证据表明当地社区和原住民已参与其中，并且他们的需求得到了满足。 | HCV 5-6 (Community needs - Cultural values) material is not originate from areas where HCVs are present, unless there is evidence that confirms that local communities and Indigenous Peoples are engaged, and their requirements are met. |
| 适用的国家风险评估中规定的强制性控制措施； | b) mandatory control measures provided in the applicable national risk assessment; |
| c) 是否使用了 FSC-PRO-60-002 b 附录中列出的 FSC 认证受控木材相关文件； | c) whether applicable approved controlled wood documents listed in FSC- PRO-60-002 b EN List of FSC Approved Controlled Wood Documents were used; |
| d) 该组织是否参考了至少一位专家的意见，以证明针对第 2 类和第 3 类受控木材的控制措施是充分有效的； | d) whether the organization used the opinion of at least one expert to justify the adequacy of control measures for controlled wood categories 2 and 3; |
| 在国家/地区层面，对于受控木材类别 2 和 3 的专业资质（知识）评估应依据相关领域的实际经验、教育背景或相关许可证来确定。 | Expert qualification (knowledge) for controlled wood categories 2 and 3 at the national/regional level shall be assessed based on demonstrated experience and/or education and/or licenses in the relevant area. |
| e) 该组织是否已按照 FSC-STD-40-005 V3-0（附录 B）的要求，就以下情况（如适用）进行了利益相关方的咨询工作： | e) whether the organization has conducted stakeholder consultation according to the requirements of FSC-STD-40-005 V3-0 (Annex B) for the following situations (where applicable): |
| -未明确界定的风险，适用于第 2 类和第 3 类受控木材类别； | - unspecified risk designated for controlled wood categories 2 and 3; |
| -作为应对其他风险的控制措施而进行的咨询； | - consultation conducted as control measure for other risks; |
| -审计团队会核实该组织是否已进行了相关咨询，以确认所实施的控制措施是否与其数据治理标准的范围相适应，且这些措施需获得相关利益方（例如但不限于）的同意，例如是否需要在森林层面增设现场控制措施、是否需要与其他利益方/利益方群体进行咨询、是否需要聘请专家、是否需要分配高级顾问等。 | - Audit team verifies that the Organization has conducted consultations also to verify adequacy of the implemented control measures proportionate to the scope of its DDS, among stakeholders, e.g., but not limited to, the<br>necessity of additional field control at forest level, the necessity to conduct consultations with other stakeholders/ groups of stakeholders, engagement of experts, allocation of HCVs, etc.; |
| f) 供应商层面的控制措施。 | f) control measures at the level of the supplier(s). |
| 控制措施的执行情况审核工作由审核组负责进行，该团队依据组织收集的客观证据开展工作，以确认在最大程度减少不合格材料进入受控供应链方面所设定的目标已达成。 | Audit of control measures' implementation is performed by the Audit team based on objective evidence collected by the Organization confirming that objectives in respect of minimizing the risk of non-conforming materials ingression into controlled chain were achieved. |
| 该组织制定的控制措施可依据 FSC-STD-40-005 V3-1 版中“控制措施制定指南”附录 E 的内容来制定。 | Control measures developed by the organization can be based on “Development guidance of control measures” Annex E of FSC-STD-40-005 V3-1. |
| 6.4.2.5.7 在审核过程中，审核组会评估验证计划的执行情 | 6.4.2.5.7 During the audit Audit team analyzes the |

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| 况，包括该组织展示以下内容的能力： | implementation of verification program, including the organization's ability to demonstrate: |
| 确定整个供应链以及森林管理单位（即所供应批次的来源地）； | - determination of the whole supply chain and forest management unit(s), being the source(s) of the supplied lot; |
| -（必要时）进行现场审计 | - on-site audit, when necessary, |
| -降低风险、采取纠正及预防措施（必要时进行）。 | - decrease of risks, corrective and preventive actions, when necessary. |
| 审核组会根据组织收集的客观证据对验证计划的执行情况进行审核，以确认与降低来自非合格来源的原材料风险相关的目标是否已达成。 | Audit of the implementation of verification program is performed by the Audit team based on the objective evidence collected by the organization, confirming that the objectives related to the decrease of risks of material entering from non-eligible sources, have been attained. |
| 按照受控供应商的抽样程序，以验证受控供应商是否符合森林认证计划及供应链层面的上海砺鼎规范性文件的适用要求，正在对选定供应商组织的场所进行审核，这些场所的混合风险被判定为较高（例如，提供加工材料/产品的企业、拥有实物资产的贸易公司等）。 | In conformity to controlled suppliers' sampling procedure in order to verify controlled suppliers' conformity to the applicable requirements of forest certification scheme and SLC NDs at the supply chain level, audits on the selected supplier organizations' sites, where mixing risk is determined as high (e.g., organizations, supplying processed materials/products, trading houses with physical possession, etc.) are being performed. |
| 客观的审核证据在审核报告中针对每个被审核的组织都有明确说明 | Objective audit evidence is specified in audit report in respect of each audited organization. |
| 6.4.2.5.8 审核组会核实该组织所采取的控制措施是否足够有效, 包含： | 6.4.2.5.8 Audit team verifies adequacy of control measures implemented by the Organization, including |
| a) 针对 DDS 中所识别的每种风险类型，均需提供相应的控制措施样本。抽样比例应由上海砺鼎根据 DDS 的范围来确定并给出合理解释； | a) a sample of each type of control measure for each type of risk identified in the DDS. The sampling rate shall be established and justified by the certification body according to the scope of the DDS; |
| 注意：此类验证的一些示例包括以下内容：如果该组织已将现场验证作为控制措施在供应单位层面予以确立，那么这至少需要由认证机构对部分供应单位进行现场验证（即在森林层面进行审计）；如果该组织已将与利益相关者的协商作为控制措施，那么这至少需要对协商中的样本记录进行验证。 | NOTE: Some examples of this type of verification include the following: if the organization has established field verification at the level of the supply unit as a control measure, this will require, at minimum, a field verification of a sample of supply units by the certification body (audits at the forest level); if the organization has established a stakeholder consultation as a control measure, this will require, at minimum, a verification of sample records from the consultation. |
| b) 应考虑 FSC-STD-40-005 V3-1 附录 E 中所列出的控制措施的实例，这些实例在严格程度和适用性方面均具有参考价值； | b) examples of control measures provided in Annex E in FSC-STD-40-005 V3-1 in terms of rigorousness and applicability, shall be taken into account; |
| c) 该组织进行的内部和外部审计结果应予以考虑； | c) results of internal and external audits by the organization shall be taken into account; |
| d) 由上海砺鼎从利益相关方咨询收集到的评论，以及投诉、申诉和上诉等意见，都将提交给审核组；审核人员应对其进行分析，并评估这些意见在组织制定和应用控制措施过程中所受到的重视程度。 | d) comments received by SLC from stakeholder consultation, as well as comments, complaints and appeals, are submitted to the Audit team; Auditors shall analyze them and the way they were taken into account during development and application of control measures, adopted by the Organization. |
| e)该组织对 DDS 进行审查和修订的过程。 | e) the process of review and revision of the DDS by the |

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| | organization. |
| 6.4.2.5.9 如果该组织已将适用的国家风险评估（NRA）中规定的强制性控制措施替换为其他替代措施，那么应当进行充分性和适当性分析，包括： | 6.4.2.5.9 If the organization has replaced mandatory control measures provided in applicable national risk assessments (NRA) with the alternative ones, there shall be conducted adequacy and sufficiency analysis, including: |
| a) 对替代控制措施进行评估，以确定其是否足够有效，若满足 FSC-STD-40-005 V3-1（第 4.13 条）中规定的条件，则批准这些控制措施； | a) evaluation of the alternative control measures to determine adequacy and, if conditions specified in FSC-STD-40-005 V3-1 (Clause 4.13) are met, approve the control measures; |
| b) 需核实该组织是否已将有关替代控制措施的说明发送给负责维护国家风险评估工作的机构（国家工作组（NWG - 中国 FSC））。此项内容应在报告中予以明确说明。 | b) verification whether the organization has forwarded a description of the alternative control measures to the body responsible for maintenance of the national risk assessment (National Working Group (NWG – FSC China). This shall be specified in the report. |
| 6.4.2.5.10 若该组织已确认法律要求可能与有效的控制措施存在冲突，则认证机构应在这些控制措施实施前予以批准。 | 6.4.2.5.10 If the organization has identified that legal requirements may be in conflict with adequate control measures, the certification body shall approve such control measures before they are implemented. |
| 注意：只有在法律义务阻碍了控制措施的实施的情况下才会产生冲突。如果控制措施达到了法律合规的最低要求，则不被视为存在冲突。 | NOTE: Conflicts only occur where a legal obligation prevents the implementation of control measures. It is not considered a conflict if control measures exceed the minimum requirements for legal compliance. |
| 6.4.2.5.11 若发现某一组织针对同一区域同一类型风险所采取的控制措施与另一组织的控制措施相冲突，则应以更完善、更有效的控制措施为准。 | 6.4.2.5.11 If it is determined that the control measures of one organization contradict the control measures of another organization for the same type of risk in the same area, the control measures that are more robust and effective shall prevail. |
| 6.4.2.6 交易验证 | 6.4.2.6 Transaction verification |
| 6.4.2.6.1 上海砺鼎应配合和支持 ASI 的交易验证活动，及时收集、分析和共享与 FSC 交易有关的相关信息(即尽快提供响应)。 | 6.4.2.6.1 SLC shall cooperate and support ASI's transaction verification activities by collecting, analyzing, and sharing relevant information related to FSC transactions in a timely manner (i.e. by providing a response as soon as possible). |
| 6.4.2.6.2 为支持系统中虚假声明的监控，上海砺鼎应在 FSC 证书数据库中登记以下信息:<br>a)自上次评价以来未申报 FSC 销售数据的组织，自 2026 年 1 月 1 日起，“无 FSC 销售”应作为公开信息录入 FSC 数据库，并注明该状态对应的评审期间。;<br>b)由于组织的虚假声明导致的不合格、暂停、终止和移除的参与场所;<br>c)应由 ASI 调查的组织的建议和辩护(例如，有证据表明有记录对认证机构隐瞒，收到的有关组织的投诉，组织与其贸易伙伴之间潜在的数量不匹配)。 | 6.4.2.6.2 In order to support the monitoring and control of false claims in the system, SLC shall register the following information in the FSC database of certificates:<br>a) organizations that reported no FSC sales since the previous evaluation, from 1 January 2026, record “no FSC sales” publicly in the FSC database, with the evaluation period concerned;<br>b) non-conformities, suspensions, terminations, and removal of participating sites due to false claims made by organizations;<br>c) recommendation of organizations that should be investigated by ASI and the justification (e.g. evidence suggests that records are being hidden from the certification body, complaints received about the organization, potential volume mismatches between the organization and its trading partners). |
| 6.4.2.7 评估 FSC 核心劳工要求 | 6.4.2.7 Evaluation of FSC core labour requirements |
| 6.4.2.7.1 上海砺鼎应验证该组织已采用并实施了包含 FSC 核心劳工要求的政策声明或声明。 | 6.4.2.7.1 SLC shall verify that the organization has adopted and implemented a policy statement, or statements, that encompass the FSC core labour |

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| | requirements. |
| 6.4.2.7.2 上海砺鼎应验证政策声明是否利益相关者获得。 | 6.4.2.7.2 SLC shall verify that the policy statements are made available to stakeholders. |
| 6.4.2.7.3 上海砺鼎应根据组织运作的范围、规模、强度和风险，设计并实施一套体系，以评估组织自我评估和符合 FSC-STD-40-004 第 7 节的相关性、有效性和充分性。上海砺鼎应在其体系中规定、证明和记录自评的验证手段，包括但不限于:<br>a) 针对现有信息来源和适用要求验证自我评价的机制;<br>b)识别并收集与 FSC 核心劳工要求相关并适用于组织/现场的当地国家的法律要求；<br>c)在可能的情况下，由组织提供独立来源的确证证据。(如文件、面谈等)。<br>d)根据先前与 FSC 核心劳工要求相关的审核结果（审核组核对适用劳动法律、用工类型、岗位/班次和历史问题，通过人员名单、年龄/招聘、合同、工资工时、申诉及自由结社资料与保密访谈、现场观察交叉验证）和自我评估，确定每个组织在认证周期内未来审核的频率和抽样要求。<br>e)必要时包括具有特定能力的审核员。 | 6.4.2.7.3 SLC shall design and implement a system for evaluating the relevance, effectiveness, and adequacy of the organization's self-assessment and conformity to Section 7 of FSC-STD-40-004, according to the scope, scale, intensity and risk of the organization's operation. SLC shall specify, justify and document in its system the means of verification of the self-assessments, including, but not limited to:<br>a) a mechanism for verifying self-assessments against available sources of information and applicable requirements;<br>b) identifying the legal requirements related to the FSC core labour Requirements and applicable to the organization/site.<br>c) corroborating evidence provided by the organization with independent sources when possible. (e.g. documentation, interviews etc.)'.<br>d) determining the frequency and sampling requirements of future audits within the certification cycle for each organization based on the results of the previous audit related to the FSC core labour requirements (Audit team check applicable labour law, employment types, roles/shifts and past issues. Cross-check worker lists, age/recruitment, contracts, pay/hours, grievances and freedom-of-association evidence through confidential interviews and observation) and the self-assessment.<br>e) including auditors with specific competencies if needed. |
| 6.4.2.8 由于下列原因，对选定进行评价的场址进行实地视察是不可能或不可行的: | 6.4.2.8 In situations where physical inspection of sites selected for evaluation is not possible or viable due to: |
| a) 向审核员证明存在健康和/或安全风险(通过可核实的公共来源证明，例如官方旅行警告或限制)，或者 | a) demonstrated health and/or safety risk to auditors (demonstrated through verifiable public sources, e.g. official travel warnings or restrictions), or |
| b) 组织(证书持有人/认证机构)健康和安全政策或公共当局施加的旅行限制，或 | b) travel restrictions imposed by organizational (certificate holder/ certification body) health and safety policies or public authorities, or |
| c) 其他可证实的不可抗力事件，认证机构可申请豁免，以文件审核取代现场审核。减损申请将根据具体情况进行评估。申请书应包括:<br>i） 公司的证书号码<br>ii） 证书范围内的活动(产品和过程);<br>iii） 妨碍现场审核的情况的证据(如公务旅行警告);<br>iv） FSC 要求的其他附加信息<br>注:如果 FSC 国际针对特定情况发布了现有的主动豁免，则本条款不适用。 | c) other demonstrated events of force majeure, the certification body may apply for a derogation to replace an on-site audit with a desk audit. Derogation applications will be evaluated on a case by case basis. The application shall include:<br>i) certificate code of the company;<br>ii) activities under the scope of the certificate (products and processes);<br>iii) evidences of circumstances preventing the on-site audit (e.g. an official travel warning);<br>iv) other additional information, as requested by FSC.<br>NOTE: In case of existing active derogations issued by FSC International for specific situations, this clause is not applicable. |
| 6.5 监督审核 | 6.5 **Surveillance** |
| 6.5.1 总则 | 6.5.1 General provisions |
| 6.5.1.1 上海砺鼎应至少每年一次进行监督审核，以监督本 | 6.5.1.1 SLC shall carry out a surveillance evaluation to |

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| 组织是否继续遵守所有适用的认证要求; | monitor The Organization's continued conformance to all applicable certification requirements at least annually; |
| 6.5.1.2 技术经理定义监督审核方案。 | 6.5.1.2 Technical manager defined surveillance audit plan. |
| 6.5.1.3 根据合同确定监视的持续时间和抽样，上海砺鼎与本组织之间的适当协议中规定了要求。控制监督审核的条款：<br>- 按照上海砺鼎总部负责; | 6.5.1.3 Duration and sampling of surveillances are established according to contract, requirements are stated in appropriate agreements between SLCand the Organization. Control of the terms for surveillance evaluations is performed:<br>- By the head of the SLC; |
| 6.5.1.4 在批准新的或经修订的适用 FSC 规范性文件之前获得认证的组织，应根据适用的过渡要求，根据新文件或修订文件的要求进行审核 | 6.5.1.4 Organizations that were certified prior to the effective date of approval of a new or revised applicable FSC normative document shall be audited against the requirements of the new or revised document in accordance with the applicable transition requirements. |
| 6.5.1.5 考虑到季节性工作的灵活性，每年进行一次，每日历年监督不少于一次。证书到期前至少应进行 4 次监视，并且可能更频繁，具体取决于以下因素： | 6.5.1.5 Surveillances are carried out annually not less than once per calendar year taking into account the flexibility in the seasonal work. At least 4 surveillances shall take place before the certificate expires and may be more frequent depending on factors such as: |
| - 经营规模(如经营单位的面积、制造企业的生产数量、或贸易公司的价值和/或营业额); | - the scale of the operation (e.g. the area of an management unit, the quantity of production in the case of a manufacturer, or the value and/or volume turnover in the case of a trader); |
| - 管理单位的资源管理强度; | - the intensity of resource management in the case of a management unit; |
| -管理体系的复杂性（如监管链控制体系） | - the complexity of the management system (e.g. the chain of custody control system); |
| - 集团认证的风险评估结果 | - results of risk assessment in the case of group certification; |
| - 所涉及的操作人员的经验和记录(经理和人员，外包方) | - the experience and track record of the operators involved (managers and personnel, contractors); |
| - 认证机构确认的任何不符合的数量和性质 | - the number and nature of any nonconformities identified by the certification body; |
| - 利益相关方提交的申诉的数量和性质。 | - the number and nature of any complaints submitted by stakeholders. |
| - 对关闭严重不符合的纠正措施的审核 | - The evaluation of corrective action to close major nonconformity |
| - FSC 和 ASI 保留对某些地理区域或认证服务要求更高的监视频率的权利，作为内部风险审核的结果，这些服务被认为是"具有挑战性的"，或与"高"或"特定的风险"有关。 | - FSC and ASI reserve the right to request higher surveillance frequencies for certain geographical areas or certification services that are deemed "challenging" or are linked to "high" or "specified risk" as the result of an internal risk assessment. |
| 6.5.1.6 监督审核免除<br>对监管链<br>对于在 CoC 证书范围内未执行活动的操作或地点，可以免除监督审核(例如，从上次审核以来，没有生产、贴标或销售任何 FSC 认证的材料，并且没有采购受控材料，也没有出售任何 FSC 受控木材)。 | 6.5.1.6 Waive of surveillance<br>For chain of custody:<br>A surveillance evaluation may be waived for an operation or site that did not perform activities under the scope of the CoC certificate (e.g. did not produce, label, or sell any FSC-certified material and did not source controlled material or sell any FSC controlled Wood since the |

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| | previous evaluation). |
| - 当监督审核被免除，上海砺鼎应要求组织签署一个上述情况发生的声明 | - When a surveillance evaluation is waived, SLC shall require the organization to sign a declaration stating that the above circumstances occur. |
| - 该声明应包括组织承诺在此期间维持监管链体系，并要求人员在他们希望生产、贴标或销售 FSC 认证材料、采购受控材料或销售 FSC 受控木材时，尽快通知上海砺鼎 | - The declaration shall contain a commitment by the organization to maintain the chain of custody system during the period in question and for personnel to contact SLC as soon as they wish to renew kinds of activities, related to certification, listed above. |
| - 以下监督审核应由上海砺鼎在上述活动重启后三（3）个月内进行，以确认监管链系统的维护。 | - The following surveillance audit shall be conducted by SLC no later than three (3) months after the restart of the activities listed above to confirm the maintenance of the chain of custody system |
| - 如果监督审核豁免了，那么上海砺鼎在下一次监督审核中应审查所有记录，直至上一次监督审核为止，以确保存证系统得以维持，并且没有任何材料被生产、贴标、销售为 FSC 认证材料、被认定为受控材料，或者按照该组织提交的豁免监督声明所规定的那样被销售为 FSC 受控木材。 | In case when a surveillance was waived at the next surveillance evaluation SLC shall review all records back to the previous surveillance evaluation to ensure that the chain of custody system has been maintained and that no material has been produced, labelled, or sold as FSC-certified, sourced as controlled material, or sold as FSC controlled wood in accordance with the waive declaration presented by the Organization. |
| - 除了第 6.4.2.1 条规定的要求外，认证机构还应至少进行审查和评估： | In addition to the requirements specified in Clause 6.4.2.1, the certification body shall review and assess at minimum: |
| - a) 证书范围的任何变更，包括新的监管链操作或参与场所，以及业务活动的变化; | a) any changes to the scope of the certificate, including new chain of custody operations or participating sites, and changes in business activities; |
| - b) 组织管理体系的变化； | b) changes to the organization’s management system; |
| - c) FSC 认证产品生产和库存记录 | c) FSC-certified production and inventory records. |
| - 免除对上述理由的监督审核的决定是由上海砺鼎提出的，并由上海砺鼎同意。上海砺鼎可能要求进行监督审核，如果这被认为是必要的，以确保对证书的信心。 | - The decision to waive a surveillance evaluation on the grounds described above is taken by SLC HO and agreed with SLC. SLC may require a surveillance evaluation to be carried out if this is considered necessary to ensure confidence in the certificate. |
| - 上海砺鼎不允许豁免超过两次连续的监督审核。 | - SLC shall not waive more than two consecutive surveillance evaluations. |
| - 对于受控木材，不得免除监督评估。 | For controlled wood a surveillance evaluation may not be waived. |
| 6.5.1.7 在监督审核结果中，组长准备一份报告，该报告的格式是，它反映了对认证机构的建议:证书可能(可能不会)被确认(或发布)。在此之后，审核组长将报告发送到上海砺鼎进行评审和验证。 | 6.5.1.7 Upon results of surveillance evaluation the team leader prepares a report which reflects recommendations to the certification body : certificate may (may not) be confirmed (or issued). After this the team leader sends the report to RSLC management for review and verification. |
| 6.5.1.8 当新的或修订的标准生效时，如果满足以下要求，第 6.5.1.6 条可用于监督审核: | 6.5.1.8 When new or revised standards become effective, Clause 6.5.1.6 may be applied for surveillance evaluations, if the following requirements are met: |
| a) 上海砺鼎应在安排的监督审核的定期时间，根据相关的新标准要求对组织的程序进行评估。 | a) SLC shall conduct an assessment of the organization’s procedures against the relevant new standard requirements at the regular time scheduled for the surveillance audit. |

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| b) 评估应安排现场进行，如果：<br>i) 组织的产销监管链体系因要求发生变化而需要调整，如果不加以处理，可能导致重大不符合;<br>ii) 组织将使用新系统来控制特定产品组下的 FSC 声明 (FSC- STD -40-004);<br>iii) 上海砺鼎认为有必要对纠正措施的实施要求或证书范围的变更进行评估。<br>注:目的是确保组织在其 FSC 监管链证书范围内再次开展活动时完全符合新的或修订的标准。 | b) The assessment shall be carried out on-site if:<br>i) the organization's chain of custody system requires adjustments due to the changed requirements that, if left unaddressed, are likely to result in major non-compliances;<br>ii) the organization will use a new system for controlling FSC claims under a specific product group (FSC-STD-40-004);<br>iii) SLC deems this necessary to evaluate the implementation of corrective action requests or a change of the certificate scope.<br>NOTE: The intent is to ensure that organizations are in full compliance with the new or revised standard at the time they again take up activities under the scope of their FSC chain of custody certificate. |
| 6.5.2 监管链 | 6.5.2 **Chain of custody** |
| 5<br>上海砺鼎将进行监督审核，以监测该组织对所有适用的认证要求的持续一致性，至少每年一次，在证书到期前，距离上次审核（上次现场审核或远程审核）日期不超过 15 个月之后。 | 6.5.2.1 SLC shall carry out a surveillance evaluation to monitor the organization's continued conformance to all applicable certification requirements at least annually and not later than fifteen (15) months after previous evaluation (from the previous field visit or desk evaluation) before the certificate expires. |
| 6.5.2.2 注： 对关闭严重不符合要求的纠正措施的审核可能需要在较短的间隔内进行现场审核。 | 6.5.2.2 NOTE: The evaluation of corrective action to close major nonconformity may require on-site audits at shorter intervals. |
| 6.5.2.3 上海砺鼎在监督审核中应至少审核和评审以下内容：<br>- 对证书范围的任何更改，包括新的监管链操作或参与分场所，以及业务活动的变更； | 6.5.2.3 At surveillance SLC shall review and assess at minimum:<br>- Any changes to the scope of the certificate, including new Chain of Custody operations or Participating Sites, and changes in business activities; |
| - 组织管理体系的变化； | - Changes to The Organization's management system; |
| - FSC 认证生产和库存记录 | - FSC certified production and inventory records. |
| 检查销售文件，确保销售文件是纸质或 PDF 文件，或其免于被更改的形式，确保买方不能更改销售文件。 | -check the sales documents, ensure the sales doucments is hard copy or PDF documents, or other format protected from changes, and ensure the sales doucments can not be changed by buyer. |
| 6.5.2.4 以防下次监督审核时免除监督审核，上海砺鼎应审查上次监督审核的所有记录,以确保监管链系统已经被维护,没有 FSC 认证材料生产,贴标,或出售,没有采购受控材料或销售 FSC 受控木材，符合组织提供的免除声明。 | 6.5.2.4 In case when a surveillance was waived at the next surveillance evaluation, SLC shall review all records back to the previous surveillance evaluation to ensure that the chain of custody system has been maintained and that no material has been produced, labelled, or sold as FSC-certified, sourced as controlled material, or sold as FSC controlled wood in accordance with the waive declaration presented by the Organization. |
| 6.5.2.5 对高风险的外包过程，应当将其列入 COC 认证组织的监督审核中。 | 6.5.2.5 Contractors performing outsourcing processes of high risk shall be included to the surveillances of the COC certified Organization. |
| 对集团和多现场证书的监督审核，认证机构应当审查和审核:<br>- 分场所清单； | For surveillance evaluations of Group and Multi-site certificates, the certification body shall review and assess:<br>- The list of Participating Sites;<br>- The rate of change of Participating Sites (new sites, sites |

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| - 分场所变动率（新场所，离开证书的场所）；<br>- 中央办公室的管理系统能够管理证书范围内的任何变更，包括在证书范围内的运营场所的任何规模、数量或复杂性的增加。<br>- 自上次认证机构监督审核以来，该组织向分场所发送的正式通信/书面文件；<br>- 中央办公室的审核记录；<br>- 中央办公室发的任何纠正措施请求的记录，包括跟踪和关闭的证据； | that have left the certificate);<br>- The capacity of the Central Office's management system to manage any change in scope of the certificate including any increase in size, number or complexity of operational sites within the scope of the certificate;<br>- Formal communication / written documents sent to Participating Sites by The Organization since the previous certification body surveillance;<br>- Records of Central Office's audits;<br>- Records of any Corrective Action Requests issued by the Central Office, including follow-up and close-out evidence. |
| 注： 在现场审核前，可以提交给上海砺鼎从上次审核以来的文件和记录，以供查阅。 | NOTE: Documentation and records covering the period since the previous evaluation may be submitted to SLC for review prior to a site visit. |
| 6.6 额外审核 | 6.6 Additional (extra) evaluations |
| 6.6.1 上海砺鼎进行额外审核，当出现以下情况： | 6.6.1. Additional (extra) evaluations may be conducted by SLC in the following cases: |
| - 如果收到关于组织的任何申诉； | - If any information about claims to the Organization is received; |
| - 在恢复被暂停证书有效性的情况下； | - In case of restoration of validity of the suspended Certificate conformity audit of the Organization's system in the scope of surveillance audit is performed (cl. 6.6 of the Manual); |
| - 在已计划的审核之间，管理体系或工作人员有显著变化 | - at significant changes in the management system or staff of the Organization in between of the scheduled evaluations； |
| - 组织请求（如：认证范围的变化） | - Request of organization (e.g. certificate scope is changed) |
| - 关闭不符合项<br>（认证机构应通知客户是否需要进行额外的现场审核以验证是否已纠正不合格。） | - to close nonconformities<br>（The CB shall inform the client if an additional on-site audit is required to verify that nonconformities have been corrected. ） |
| - 应本组织的要求（例如，在更改认证范围时） | - At the request of the Organization (e.g. at the change of the certification scope) |
| 对本组织质量管理体系认证范围的扩展审核可以在下次监督审核期间和通过额外审核时与客户达成协议。 | The audit for extensions to the scope of certification of the Organization's QMS may be conducted on agreement with the client both, during the next surveillance audit and through an additional audit. |
| 在许多情况下，上海砺鼎可能会要求对认证机构进行短期通知或不通知审核，以便对上海砺鼎收到的有关该组织的活动/生产的投诉进行审查，以应对组织中发生的重大变化或在其质量管理体系中，或由于暂停该组织的证书。 | In a number of cases SLC may demand to carry out short – notice or no – notice audit of certified organization in order to review received by SLC complaints on activity/production of this organization in response to major changes, happened in the organization or in its QMS, or as a result of suspending of this organization's certificate. |
| 在这种情况下，由于客户没有机会反对任何成员，因此在批准审核小组时会特别注意审核小组的组成。 | In such cases special attention is paid to consisting of audit team when it is being approved because a client has no opportunity to object to any member of it. |

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| 为了执行此类审核，内容和文件形式与本规则条款 3-6 段落中所述的相同。，除了短期通知或无通知审核计划不是针对组织的协议，并且额外审核的结果已在报告中注明。 | Order for carrying out such audits, content and forms of documents are the same as described in paragraphs cl. 3-6 of this Manual, with the exception that the plan of short-notice or no-notice audit is not directed to the organization for agreement, and the results of additional audit are registered in the report. |
| 7. 审核结果 | 7. **Audit results** |
| 7.1 发放不符合项和措施 | 7.1 Issued non-conformities and actions with them |
| 7.1.1 审核组的特别注意，应当对管理体系认证的范围进行分析，由该组织声明的，从范围中免除外包过程的认证和能力。审核员可能使用额外的推荐。 | 7.1.1. Special attention of the audit team shall be drawn to the analysis of the scope of the management system certification, declared by the Organization for certification and competence of exceptions from the scope giving regard to outsorting processes. Additional recommendations which might be used by auditors are given. |
| 7.1.2 在审核过程中，审核员应考虑并讨论他们的所有观察结果，以便使审核组长能够决定哪些是不符合项。 | 7.1.2. After or during the evaluation, the auditors shall consider and discuss all their observations so that the lead auditor would be able to decide which of them are to be presented to the Organization as indication of non-conformity. |
| 7.1.3 在与审核员达成客观证据同意后，再与组织的管理代表达成一致意见后，审核组长应就每一项具体观察结果作出决定，如有必要，应对其差异进行登记。 | 7.1.3. After the objective evidence is agreed with the auditors and then with the Organization's management representative, the lead auditor shall take a decision about every particular observation and, if necessary, shall register the discrepancy. |
| 7.1.4 在登记不符合时，有必要遵守下列原则：<br>- 没有客观证据，就没有不符合项； | 7.1.4. During the registration of non-conformitie it is necessary to follow the following principles:<br>- If there is no objective evidence, there's no non-conformity; |
| - 如果有客观证据，应该要有书面的不符合项； | - If there is an objective evidence, this shall be documented as non-conformity; |
| - 不符合项是不能满足要求，这样如果审核员不能识别，没有不符合项能被登记 | - non-conformity is a failure to fulfill requirements, thus if the auditor cannot identify the requirement, no non-conformity can be registered |
| 7.1.5 审核期间所作的观察总数，应允许审核人员确保组织的活动符合组织审核的 FSC 和上海砺鼎的要求。 | 7.1.5. The total number of observations made during the evaluation shall allow auditors to make sure that The Organization's activity conforms to the requirements of FSC and SLC against which the Organization evaluated |
| 7.1.6 所有组织确定的不符合要记录在不符合的报告中 | 7.1.6 All organization's identified non-conformities to the applicable requirements that shall be recorded in Report of non-conformity |
| 7.1.7 审核组长应审核标准的指标（条款/标准）中提出的每个不符合项，适用于该组织的认证，以及 FSC 和上海砺鼎规范性文件，以确定该不符合项是重大还是轻微。 | 7.1.7 The audit team leader shall assess each nonconformity raised in respect of indicators (clauses/criteria) of standards, applicable to certification of this organization, and FSC and SLC NDs to determine if this nonconformity is major or minor. |
| 7.1.8 单一纠正措施请求不应包括与适用的森林管理标准中的两（2）个或更多标准相关的要求。 | 7.1.8 A single Corrective Action Request shall not include requirements that relate to two (2) or more Criteria from the applied Forest Stewardship Standard. |

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| 7.1.9 如果是暂时性的失误，或者是不常见的、非系统性的，或者不符合的影响在他们的时间和规模上是有限的，并且不会导致在达到相关要求的目标时根本的失效，这个不符合应该是轻微的。 | 7.1.9 A nonconformity shall be considered minor if: it is a temporary lapse, or It is unusual/non-systematic, or the impacts of the nonconformity are limited in their temporal and organizational scale, and it does not result in a fundamental failure to achieve the objective of the relevant requirement. |
| 7.1.10 审核员应确定在审核期间已识别的一系列轻微不符合的数量和影响是否足以证明系统的失效(即管理体系的失效)。如果是这种情况，那么重复的轻微的不符合就构成了一个严重的不符合。 | 7.1.10 Auditors shall determine whether the number and impact of a series of minor non-conformities identified during evaluation is sufficient to demonstrate 'systematic' failure (i.e. failure of management systems). If this is the case then the repeated instances of minor non-conformities shall constitut a major non-conformity. |
| 7.1.11 如果不符合单独或与其他不符合相结合，则会导致或可能导致在审核范围内基本未能达到相关 FSC 规范性文件要求的目标，则不合格应被视为严重不符合。 这种基本的失败应表现为长期存在的不合规，或重复或系统的不合规，或影响广泛的生产（林地\监管链）或大部分工人，或这会影响 FSC 系统的完整性，或者一旦识别并提出，就不会得到本组织的纠正或充分解决。 | 7.1.11. A nonconformity shall be considered major if, either alone or in combination with other non-conformities, it results in, or is likely to result in a fundamental failure to achieve the objective of the relevant FSC ND requirement within the audit scope. Such fundamental failures shall be indicated by non-conformities which continue over a long period of time, or which are repeated or systematic, or affect a wide range of the production (forest land\ chain of custody) or a large proportion of workers, or which impact the FSC system integrity, or are not corrected or adequately addressed by the Organization once they have been identified and raised. |
| 7.1.12 审核员可能在早期阶段识别问题，这个问题还不构成不符合，但是审核员认为，如果客户没有解决这个问题，可能会导致未来的不符合。这样的观察在审核报告中应记录为“观察项”。 | 7.1.12 The auditor may also identify the early stages of a problem which does not yet constitute a nonconformity, but which the auditor considers may lead to a future nonconformity if not addressed by the client. Such observations shall be recorded in the audit report as 'observations'. |
| 7.1.13 在监督审核中发生的 5 或更多严重不符合的情况应被视为客户管理体系的崩溃，应在末次会议后 30 日内作出认证决定，并在决定后 10 日内暂停证书。 | 7.1.13 The occurrence of five (5) or more major nonconformities in a surveillance audit shall be considered as a breakdown of the client’s management system; a certification decision shall be made within 30 days of the closing meeting, and the certificate shall be suspended within 10 days of that decision. |
| 7.1.14 纠正措施要求的具体最大时限应由审核员在开具不符合的不符合报告中规定。纠正措施的条款应与所确认的不一致和风险的临界性相对应。 | 7.1.14 Specific maximum timelines for Corrective Action Requests shall be defined by the auditor issued the non-conformity in form «audit results and corrective action plan». Terms for the corrective actions shall correspond to the criticality of the nonconformity and risks identified. |
| 7.1.15 只有在组织声明消除了已提出的不符合后，审核员才应检查纠正措施的实施情况。分配验证纠正措施和审核其有效性的审核员的职责去参加审核，这是合理的。 | 7.1.15 The auditor shall check implementation of corrective action only after the Organization has stated elimination of the raised non-conformity. It is advisable to assign the functions of the auditor who verifies implementation of the corrective action and assesses its effectiveness to the auditor who took part in the evaluation. |
| 7.1.16 如果在以前的审核中发现的不符合被审核组认为是不充分的，那么就会做出如下决定： | 7.1.16 In case the Organization actions on non-conformities identified within the previous evaluation reduction are considered inadequate by the audit team, then the decision is made: |
| - 对于没有消除的轻微不符合转化成严重不符合，纠正措施实施期限不超过 3 个月; | - about the conversion of the minor non-conformity that was not eliminated to the category of the major non-conformity with the term of corrective actions fulfillment no |

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| | more than 3 months; |
| - 万一严重不符合没有消除，立即建议上海砺鼎停止证书 | - about an immediate recommendation to SLC to stop the certificate in case of major non-conformity not to have been eliminated. |
| 7.1.17 根据审核组长的决定， 在审核报告中规定，审核纠正措施和它的有效性的审核可能会在组织的现场进行，并基于组织提供的数据。组织应被告知，上海砺鼎已注意到纠正措施履行的事实，并对其有效性进行检查，并将在下次定期审核时进行现场检查。 | 7.1.17. Depending on the decision of the lead auditor, stated in the evaluation report, assessment of the corrective action and evaluation of its efficiency may be carried on the site in the Organization and be based on the data presented by the Organization. The Organization shall be informed that SLC has taken notice of the fact of corrective action fulfillment and the inspection of its efficiency would be carried on the site at the next regular evaluation. |
| 7.1.18 上海砺鼎必须声明纠正措施的执行，承认适用于已申报的 FSC 的要求。纠正措施的执行由审核组长或专家确认，并记录在不符合报告中。 | 7.1.18 SLC must state the fulfillment of corrective actions recognizing them adequate to the requirements of the declared by FSC ND. The fulfillment of the corrective action is confirmed by the audit team leader or specialist with a record in Non-Conformity Report stored in the executing location. |
| 7.1.19 纠正措施有效性由上海砺鼎审核员验证，或对组织提供必要的证据和纠正措施进行远程验证，或者在下一次审核时。确认纠正措施有效性的事实在报告中确认。 | 7.1.19 The effectiveness of corrective actions is verified by SLC auditor or remotely on the results of the organization providing the necessary evidence and corrective actions, or during the next evaluation. The fact of verification of the corrective action's effectiveness is confirmed with a record in Report. |
| 7.2 监管链 | 7.2 **Chain of custody** |
| 7.2.1 对集团和多场所审核，对不符合的详述应区分中央办公室和分场所， 当： | 7.2.1 For group and multisite evaluations, the specification of nonconformities shall distinguish between central office level and participating-site level, where: |
| a. 中央办公室不符合可能由下列情况引起： | a. nonconformities at the central office level may be caused by: |
| - 未履行中央办公室职责，如行政管理、内部检查、记录保持、商标使用等，以及有关的 FSC 规范性文件所要求的其他职责; | - failure to fulfil a central office responsibility, such as administration, internal inspection, record-keeping, trademark use, and others as required by the relevant FSC normative document(s); |
| - 未能确保参与场所符合认证机构或中央办公室发出的纠正措施要求。 | - failure to ensure that participating sites conform to a corrective action request issued by the certification body or the central office; |
| - 分场所未能履行责任,足够数量的分场所,程度失效,和/或证明中央办公室控制已经崩溃(例如,识别的不符合已经被中央办公室识别，并开给撒个或更多的分场所，纠正措施要求可能是培训失效或中央办公室支持失效的结果); | - failure of sites to fulfil a responsibility, sufficient in number of sites, extent of the failure, and/or consequences, to demonstrate that central office control has broken down (e.g. where identical nonconformities identified by the certification body are issued to three or more participating sites during an evaluation, the corrective action request may be a result of ineffective training or support by the central office); |
| b 分场所不符合可能由下列情况引起： | b. nonconformities at the participating-site level may be caused by: |
| - 未能履行职责，包括但不限于及时提供充足的信息、对内部纠正措施的有效反馈或商标争取使用; | - failure to fulfil a responsibility, including but not limited to timely provision of adequate information, effective response to internal corrective actions, or correct |

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| | trademark use; |
| - 不符合有关 FSC 规范性文件的适用要求。 | - failure to meet the applicable requirements of the relevant FSC normative documents. |
| 7.2.2 5 个或更多的严重不符合项开给集团或多场所的中央办公室，应该导致全体证书的暂停。 | 7.2.2 Five (5) or more Major non-conformances issued to the Central Office of a Group or Multi-site shall result in suspension of the entire certificate. |
| 7.2.3 5 个或更多的严重不符合项开给集团或多场所的参与地址，应该导致特别分场所证书的暂停， 但是不必导致全体证书的暂停。参与场所的不符合可能导致中央办公室的不符合，当被确定的不符合会影响中央办公室的绩效。 | 7.2.3 Five (5) or more Major non-conformances issued to a Participating Site of a Group or Multi-site by the certification body shall result in suspension of that particular Participating Site, but does not necessarily result in the suspension of the entire certificate. Non-conformities identified at the level of a Participating Site level may result in non-conformities at the Central Office level when the non-conformities are determined to be the result of the Central Office's performance. |
| 7.3 尽职调查制度 | 7.3 Due Diligence System |
| 受控木材 (FSC-STD-40-005 V3-1) | Controlled Wood (FSC-STD-40-005 V3-1) |
| 对于受控材料的评估，审核组长应决定是否发出重大不符合项通知。此类不符合项可能是由于组织未能符合任何适用要求所导致的，包括但不限于以下示例： | For controlled materials evaluations, Audit Team Leader shall make a decision to issue major nonconformity which may be caused by failure of organization to conform to any of the applicable requirements, including but not limited to following examples: |
| -缺乏有效的尽职调查机制； | - lack of an effective due diligence system; |
| -未能合理地将尽职调查制度应用于该组织所拥有或管理的森林资源上； | - failure to legitimately apply the due diligence system to forest resources owned or managed by the organization; |
| 若该组织未能确保其供应商已采取由该组织所确定的、旨在确保其符合森林认证方案标准的纠正措施，则属于违规行为。 | - failure of the organization to ensure that its suppliers have taken corrective action(s) determined by the organization to ensure the organization's conformity to the forest certification schemes standards; |
| -缺乏能够证明材料来源的独立信息； | - absence of independent information that demonstrates the origin of material; |
| -使用与已获批准的国家风险评估指定的低风险标准不一致； | - the use of low-risk designations that differ from those in approved national risk assessments; |
| - 对于次要风险的定义采用了不同于其他组织的定义方式； | - use of definitions of minor risks, different from the definitions of other organizations; |
| -该组织未能证明其风险评估是按照相关要求进行的； | - failure of the organization to demonstrate that its risk assessment has been conducted in accordance with the applicable requirements; |
| -- 有证据表明该组织在风险评估过程中篡改了所使用的信息，以支持低风险认定；注：这包括对来自利益相关者的反馈的考量； | - evidence that the organization has manipulated information used in a risk assessment in order to support a low-risk designation; NOTE: This includes consideration of the feedback received from stakeholders; |
| -在未获得认证机构对组织风险评估的批准的情况下，使用来自未经评估区域的材料； | - use of material originating from unassessed areas without the certification body's<br>approval of the organization's risk assessment; |
| -未能建立并实施适当的控制措施； | - failure to establish and implement adequate control measures; |

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| -缺乏投诉程序，或者未能实施投诉程序； | - absence of, or failure to implement, a complaint procedure; |
| -未能评估和降低在非认证供应链中将材料与不合格投入品混合所带来的风险； | - failure to assess and mitigate the risk related to mixing material with non-eligible inputs in the non-certified supply chain; |
| -未能提供应向公众公开的信息。 | - failure to provide information required to be publicly available. |
| -该组织尚未制定、实施并维护一份符合所有适用森林认证方案要求的文件化数据定义标准，并且也未确保相关要求的落实。无法可靠地保证 DDS 能够在认证范围内有效地、充分地满足所有适用要求。 | - Organization has not developed, implemented and maintained a documented DDS that meets all applicable forest certification scheme requirements and respectively has not ensured the implementation of applicable requirements.<br>There is no reliable guarantee that DDS can efficiently and adequately meet all applicable requirements within certification scope. |
| -供应商层面的相关要求被违反了。 | - supplier-level relevant requirements are violated |
| 7.4 末次会议 | 7.4 Closing meeting |
| 7.4.1 末次会议在审核结束时举行。审核组长被建议在末次会议前与组织代表会面，就审核结果和会议议程达成一致意见。 | 7.4.1. Closing meeting is held at the end of evaluation. The lead auditor is recommended to meet with the representative of the Organization prior to the closing meeting to agree the evaluation results and the agenda of the meeting. |
| 7.4.2 末次会议的目的是，审核组展示结论，基于对该组织的管理体系的审核，并向上海砺鼎管理建议关于管理体系符合 FSC 规范文件要求。 | 7.4.2. The purpose of the closing meeting is the audit team’s presentation of conclusions made based on the evaluation of the Organization's MS with recommendations to SLC management about MS conformity to the requirements of the declared FSC normative documents. |
| 7.4.3 审核组长应该主持末次会议。 | 7.4.3. The audit team leader shall hold the closing meeting. |
| 7.4.4 审核组长应该在末次会议上通知组织代表不符合和观察项，当将审核结果总结出来。所有不符合的最终措辞和分类都记录在提供给组织的不符合的报告中。 | 7.4.4. The audit team leader shall inform a representative of the Organization of non-conformities and observations at the closing meeting where results of the evaluation are summarized. The final wording and grading of all nonconformities are recorded in Reports of nonconformity that are provided to Organization. |
| 7.5 报告文件 | 7.5 Reporting documents |
| 7.5.1 审核结果和纠正措施计划 | 7.5.1 Evaluation Findings And Corrective Action Plan |
| 7.5.1.1 本组织负责根据审计计划确定的条款制定纠正措施，以及此类行为在消除不合规方面的效率。 | 7.5.1.1 The Organization bears responsibility for development of corrective actions within terms established by the Audit plan and for the efficiency of such actions in elimination of non-conformities. |
| 7.5.1.2 本组织在审核过程中以及在闭幕会议后 30 日内或在正式提交给组织之后（如果在审计期间未确定或修订），可以制定纠正措施。 。纠正措施必须足够有效，以确保消除不合规原因和防止此类不合格再次发生的信心。 | 7.5.1.2 Corrective actions can be developed by the Organization both in the course of the evaluation and within 30 days after the closing meeting or after the date when it is formally presented to Organization (if it was identified or revised not during the audit). Corrective actions must be sufficiently effective to assure confidence in elimination of the causes of non-conformities and prevention of re-occurrence of such non-conformities. |

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| 7.5.1.3 发布的不符合项应由本组织在“纠正措施计划”中反映出来，并发送给审核组长进行审核和批准 | 7.5.1.3 Issued nonconformities shall be reflected by the Organization in the "Corrective action Plan" , which is sent to the audit team leader for review and approval. |
| 7.5.1.4 不符合项的处理期限应不超过以下时限： | 7.5.1.4 Nonconformities shall have the following maximum timelines |
| a) 重大不符合项：在认证决定作出之前，应实施纠正和纠正措施（有关认证决定时间表，请参见第 8.1.3 条）；<br>注：重大不符合项可能要求组织立即采取行动。例如：立即停止使用高危农药、违反法律义务、产品不合格、对系统完整性构成风险或造成严重环境损害的活动。<br>b) 轻微不符合项：在认证决定之前实施纠正（有关认证决定时间表，参阅第 8.1.3 条），并在下次监督评审之前实施纠正措施。<br>注：不符合项关闭流程参见附件 7。 | a) Major nonconformity: correction and corrective action to be implemented before the certification decision (see Clause 8.1.3 in the Manual for certification decision timeline);<br>NOTE: A major nonconformity may require immediate action to be taken by the organization<br>e.g., immediate cessation of use of a highly hazardous pesticide, violation of a legal obligation, nonconforming product, risk to the integrity of the system or activities causing serious environmental damage.<br>b) Minor nonconformity: correction to be implemented before the certification decision (see Clause 8.1.3 in the Manual for certification decision timeline) and corrective action to be implemented until next surveillance evaluation.<br>NOTE: See Annex 7 for the flowchart for closure of nonconformities. |
| -审核员可以设定截止不合格的期限低于规定的最后期限 | - Auditor may set a deadline for the closing of non-conformities less than maximum defined deadlines. |
| **7.5.1.5 不符合项逾期和后续措施**<br>在规定期限内未关闭任何不符合项，初审或复评应决定不授予/不重新授予认证，监督审核应决定暂停。已因完成纠正而关闭的轻微不符合项，其纠正措施另列跟踪事项；在下次审核验证，如未充分实施，则开具严重不符合项，并按严重项和认证决定时限处理。 | **7.5.1.5 Nonconformity Expiry and Follow-up Actions**<br>Failure to close any nonconformity within its specified deadline leads to denial of (re)certification at main/re-evaluation or suspension at surveillance. Track corrective actions separately for minor nonconformities already closed by implemented correction. Verify these at the next evaluation; inadequate implementation results in a major nonconformity subject to major-closure and decision deadlines. |
| 7.5.1.6 严重不符合项不得降级为轻微不符合项。 | 7.5.1.6 Major nonconformities shall not be downgraded to minor nonconformities. |
| 7.5.1.7 不符合的描述应在审核所依据的规范性文件要求的条款中定义。<br>在纠正行动计划中，应记录以下内容： | 7.5.1.7 Description of a non-conformity shall be defined in the terms of the normative document requirements against which the evaluation was conducted.<br>In corrective action plan, the following shall be recorded: |
| - 根据本组织的组织结构审核的组织，场地和/或部门的全名； | - The full name of the Organization, site and/or department evaluated according to the organizational structure of the Organization; |
| - 在本组织进行的审核类型 | - Type of the evaluation, conducted in the Organisation |
| - 审核编号 | - Evaluation number |
| - 该部门的审核日期 | - dates of the audit in this department; |
| - 提出不合格的审核员的姓氏和姓名缩写； | - Last name and initials of the auditor who raised the |

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| | non-conformity; |
| - 进行此审核的标准。 | - The standard against which this evaluation is conducted. |
| 7.5.1.8 由审核员填写<br>“不合格/观察”部分应包括： | 7.5.1.8 Filled by auditor<br>«The Nonconformity / Observation» section should include: |
| - 不符合报告的编号； | - № of report of Nonconformity |
| - 主任审核员批准不合格的日期； | - the date of the lead auditor’s approval of the non-conformity |
| - 实施纠正措施的条款。 | - terms for implementation of corrective actions. |
| - 根据上海砺鼎的分类，不合格的严重程度; | - the severity of the non-conformity in accordance with the classification accepted in SLC; |
| 纠正措施的条款应与不合格的关键性和已识别的风险相对应。 | Terms for the corrective actions shall correspond to the criticality of the non-conformity and risks identified. |
| - 不合格状态（已打开或关闭） | - Nonconformity status (opened or closed) |
| - 不合格的截止日期 | - Nonconformity closing date |
| - 分场所（子代码）;<br>标准;条款， | Participating site (sub-code);<br>Standard; Clause, |
| «不合格内容»部分应包括：<br>- 不合格的表述 | «Nonconformity content» section should include:<br>- the formulation of the non-conformity |
| 不合格的表述应：<br>- 基于客观证据; | The formulation of the non-conformity shall:<br>– be based on objective evidence; |
| - 无需进一步澄清并与系统问题有关; | - not need additional clarification and be related to system issues; |
| - 直接，语言正确，如果可能的话，要简短; | - be direct, linguistically correct and if possible brief; |
| - 不重复审核证据或代替它使用。 | – Not repeat the evaluation evidence or be used instead of it. |
| 7.5.1.9 由组织填写<br>«纠正和纠正措施（计划/实现）或合理的和有争议的不符合的不一致»部分应包括： | 7.5.1.9 Filled by Organisation<br>«Corrections and corrective actions (planned/ realised) or reasoned and argument disagreement with nonconformity» section should include: |
| - 纠正措施，消除不合规及其原因; | - corrective actions that will eliminate the non-conformity and its causes; |
| “不合格原因说明”部分应包括：<br>- 不合格的原因; | «Description of the causes of nonconformity» section should include:<br>- reasons of non-conformity; |
| 登记和记录不合格/观察的一般要求： | General requirements for registration and documenting of non-conformity/observation: |
| - 应为每个不合格/观察单独提交报告; | - A separate Report shall be made for each non-conformity/observation; |
| - 每份报告应根据分配的审核编号通过其登记编号进行识别，并在报告第二部分的名称中划掉“不符合”和“不符 | - Each Report shall be identified by its registration number, based on the allocated audit number and crossing out of the words “nonconformities” and |

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| 合”字样; | “nonconformity” in the name of the second part of the Report accordingly; |
| - 不合格必须仅与标准的一个条款相关联。 | - Non-conformity must be correlated with only one clause of the standard. |
| 如果主任审核员提出观察，则将其记录为报告。填写报告的顺序与上述类似。 | In cases where the lead auditor to raise the observation it be documented as a Report. The order of filling in the Report is similar to that described above. |
| 如果纠正措施未按要求完全实施，则不应关闭纠正措施请求。 | Corrective Action Requests shall not be closed out if corrective action has not been fully implemented as requested. |
| 为了关闭开具的不符合项，组织向执行审核的审核员提交不符合关闭的证据。审核员根据他的专业意见作出关于不符合关闭的决定，并通知技术经理和组织。 | To close NCs raised the Organization submits evidence of NC closure to the auditor performing the evaluation. Auditor based on his expert opinion makes a decision on NC closure and inform about it to technical manager and Organisation. |
| 报告须分别记录纠正及纠正措施的内容、期限、证据、验证人/日期和结论；轻微项关闭后仍保留待完成纠正措施及复查状态。 | Record correction and corrective action separately, including deadlines, evidence, verifier/date and conclusion. Keep pending corrective actions and follow-up status after minor closure. |
| 审核员的验证建议应供独立报告评审/认证决定使用。 | Auditor verification recommendations shall support independent review/decision. |
| 缺少有效 TLA 按严重项处理，从失效之日起最多 30 日完成纠正；TLA 已被终止的，另执行 8.5 的终止规则。 | Absence of a valid TLA is a major nonconformity, with correction due within 30 days from its absence; a terminated TLA instead requires the termination action in Section 8.5. |
| 7.5.2 审核报告 | 7.5.2 Report of evaluation |
| 7.5.2.1 一般要求 | 7.5.2.1 General requirements |
| a. 上海砺鼎应按照 FSC-STD-20-011 中关于产销监管链认证报告的报告写作要求，在评审和做认证决定前，将所有审核活动的发现和结论记录在认证报告中。报告模板由技术部门开发和支持。<br>注：评估报告的最低内容参见附件 3。 | a. SLC shall document the findings and conclusions of all audit activities prior to review and decision making in a certification report in conformity with the report writing requirements specified in FSC-STD-20-011 for chain of custody certification reports. Templates of reports are developed and supported by technical department.<br>NOTE: See Annex 3 for the minimum content of evaluation reports. |
| b. 每份报告都需要通过指定一个由三个部分组成的唯一编号进行识别： | b. Every Report is subject to identification by assigning a unique number that consists of three parts divided with dots: |
| - 该数字的第一部分由两个数字组成，与审核日历年的最后两位数字一致; | - The first part of the number consists of two digits coinciding with the last two digits of the calendar year of the evaluation; |
| - 数字的第二部分由三个数字组成：表示审核的序号; | - The second part of the number consists of three digits: mean the sequential number of the evaluation; |
| - 数字的第三部分是 R 和数字，表示审核类型。<br>如：F-23001R0,表示 2023 年第一个项目，是初审 | - The third part of the number is R and digits: mean audit type.<br>Note: For example, F-18001R1 is the first audit in 2023, it is MA audit. |
| c. 根据审核结果，审核小组组长与审核小组成员一起，在收到纠正行动计划后，如果适用，准备报告草案及相应的附件，在 20 个工作日内确认审核结果。无论是否签发了监 | c. Upon the results of the evaluation, the audit team lead together with audit team members, after receiving a Corrective Action Plan, if applicable, prepare the draft |

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| 管链证书，审核结果和结论都应记录在报告中。 | report with corresponding annexes, confirming the results of the evaluation within 20 business days. Evaluation findings and conclusions shall be documented in a report regardless of whether or not a chain of custody certificate is issued. |
| d. 审核结果根据认证方案在审核报告中发布。认证机构确定的所有不符合项应记录在审核报告或相关检查表中。 | d. The results of the evaluation are issued in the evaluation Report according to certification scheme. All nonconformities identified by the certification body shall be recorded in the evaluation report or associated checklists. |
| e. 如果在报告中对多站点/多站点或组认证进行审核，审计员使用规则要求调整组织/组织的差异化和综合描述（为每个参与场所/联合认证成员/一般组织分开）。 | e. If the evaluation is carried out on multi-site/multiple-site or group certification in reports auditors use a rule demanding adjustment of differentiated and integrated description of Organization/Group of Organizations (separate for each participating site/ group member adding for all the Organization/Group of Organizations in general). |
| 注：所有确认或拒绝符合标准要求的文件对于在多站点和组审核情况下审核的每个抽样参与站点，应单独列出审核结果。 | Note: All documents confirming or denying the compliance with the standard requirements The audit findings shall be presented separately for each sampled Participating Site evaluated in the case of Multi-site and Group evaluations. |
| f. 报告中提供的数据应采用公制系统单位，或者应提供用于将数据从其他单位转换为公制系统单位的转换率，以及为使转换成为可能而作出的任何假设。 | f. Data presented in the reports shall be in metric system units, or the conversion rates used to convert data from other units to metric system units shall be provided, together with any assumptions made in order to make conversion possible. |
| g. 应在审核末次会议后 90 天内准备将审核报告的草稿版发送给被审核的组织确认。如有不同意见，本组织应将不合格报告附于报告中。<br>注：报告至少包含全部已识别不符合项及 7.5.1 规定的要素；无论组织是否回复草稿、是否授予认证，均应按 8.1.3 时限作出决定并交付含决定的最终报告。按附件 3 检查报告完整性，记录每次评审的审核时间（人日），并分别呈现已抽样参与场所的发现。 | g. Prepared draft of the Audit report is directed to the evaluated Organization for compliance within ninety (90) days from the audit closing meeting. In case of disagreement the Organization shall attach the Non-conformity report to the Report.<br>Note: The Audit report should include all identified nonconformities and the elements required by Section 7.5.1. Regardless of draft-report feedback or whether certification is granted, make the decision and deliver the final report including that decision within Section 8.1.3 deadlines. Check report completeness against Annex 3, record audit time in person-days for every evaluation, and present findings separately for sampled participating sites |
| 7.5.2.2 监管链报告 | 7.5.2.2 Chain of custody report |
| a. 监管链报告模板：<br>初次审核\监督报告 | a. Chain of custody report templates:<br>main evaluation\surveillance report |
| b. 监管链报告以中文或英语编写，可在客户方便时翻译成任何语言。<br>FSC 和 ASI 保留要求将任何监管链报告翻译成 FSC 的一种官方语言的权利，费用由上海砺鼎承担，以评估 FSC 要求的实施情况。 | b. Chain of custody reports are prepared in Chinese or in English and may be translated into any language at the convenience of the client.<br>FSC and ASI reserve the right to request a translation of any chain of custody report into one of the official languages of FSC, at the expense of SLC, in order to assess the implementation of FSC requirements. |
| c. 除报告文件外，审计小组组长应附上以下关于进行审核的证据（来自组织的文件），并将其发送给上海砺鼎总部供审核员评审： | c. Audit team leader shall attach the following evidences on conducted evaluation (documents from Organization) in addition to reporting documents, and send them to SLC |

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| | HO for review by reviewer: |
| - 符合适用认证标准要求的监管链认证规则。 | - COC certification manual that meets the requirements of applicable certification standards. |
| - 批准的组产品列表 | - Approved group product list |
| - 年产量报告 | - Annual report on production volumes |
| - 法人实体的营业执照 | - Business license of the legal entity |
| 注：在初次审核中，如果组织未证明可接受的来料可用，则还应提供模拟记录：<br>- 运输从潜在供应商处购买进料的文件 | Note: in the main evaluation, where the organization has not demonstrated the availability of acceptable incoming material, additionally, simulated copies shall be provided:<br>- Transport documents for the purchase of incoming materials from potential suppliers |
| - 运输成品销售文件 | - Transport documents for the sale of finished products |
| - 在生产周期的每个阶段计算成品转换系数的记录 | - Records on caSLCulation of conversion factors of finished products at each stage of the production cycle |
| 7.5.2.3 无论是否颁发产销监管链证书，上海砺鼎均应按照本标准的要求将其评价结果和结论形成报告。评估报告发送给组织，并应至少包括下表中规定的信息。<br>注:提供信息的顺序可能由上海砺鼎决定。<br>注：评审报告的最低内容参见附件 3。 | 7.5.2.3 SLCshall document its evaluation findings and conclusions in a report according to the requirements specified in this standard, regardless of whether or not a chain of custody certificate is issued. Evaluation reports shall be sent to the organization and shall include at least the information specified in Table below<br>NOTE: The order in which information is presented may be determined by SLC.<br>NOTE: See Annex 3 for the minimum content of evaluation reports. |
| 7.5.2.4 符合 FSC-STD-40-005 V3-1 标准的受控木材 | 7.5.2.4 Controlled Wood on FSC-STD-40-005 V3-1 |
| 审核组长应简要、清晰地提供相关数据，仅在与组织进行正式协调后才可包含机密信息。 | Audit team leader shall provide the data briefly and concise, the inclusion of confidential information only after formal coordination with the Organization. |
| 当组织进行的新或更新的风险评估获得批准后，应在批准后的七个工作日内将认证摘要与该风险评估内容一同更新。 | When a new or updated risk assessment conducted by the organization was approved, the certification summary shall be updated with the risk assessment within seven business days of approval. |
| 该摘要应包含以下信息：<br>- 组织的风险评估；<br>- 供应商类型（例如：主要供应商、次要供应商）；<br>- 对于任何类型的 DDS 现场验证所采用的抽样率的合理性说明；<br>- 用于评估 DDS 的所开发系统的简要描述；<br>- 由审核员进行的利益相关方咨询的概要，包括：进行了利益相关方咨询的地理区域（多个区域）。 | The certification summary shall include information:<br>- Organizations risk assessment;<br>- Supplier type e.g. primary, secondary;<br>- Justification for the sampling rate applied in any type of field verification of the DDS;<br>- Brief description of the system developed for the evaluation of the DDS;<br>- Summary of stakeholder consultation conducted by the RR, including: geographical area(s) for which stakeholder consultation was conducted. |
| 该摘要应以供应区域所在国家的至少一种官方语言，或者供应区域当地土著居民使用的最广泛语言的形式公布，前提是所采购的材料来自已明确或未明确标注为存在风险的区域。 | The certification summary shall be made available in at least one of the official languages of the country in which the supply area is located, or the most widely spoken language of the indigenous people in the supply area, where material is sourced from specified or unspecified risk areas. |

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| 对于涵盖总面积超过 50,000 公顷的区域的证书，其认证应以英语或西班牙语提供。 | The certification summary shall be made available in English or Spanish for certificates that cover a total supply area of more than 50,000 ha in the scope. |
| 该概要应予以公开发布。<br>公开概要应覆盖附件 3 中受控木材评价的适用内容，以及须纠正的不符合项和期限。监督概要须包括审核日期、DDS 重大变化、上次不符合项处理及验证结论、新发现和更新后的认证决定。按适用建议采用“可忽略风险/不可忽略风险”和“缓解措施”术语。 | The certification summary shall be made publicly available.<br>The public CW summary shall include applicable CW evaluation content in Annex 3 and nonconformities/deadlines. Surveillance updates shall cover audit date, significant DDS changes, previous findings and verification, new findings and the updated decision. Use negligible/non-negligible risk and mitigation-measure terminology as required by the applicable advice. |
| 在将认证汇总表上传至 FSC 门户网站以供公众查阅之前，负责的专家会进行以下检查和核实：<br>- 认证汇总表所填写模板的相关性；<br>- 认证汇总表中所提供信息的准确性；<br>- 将认证汇总表翻译成英语或西班牙语（如适用）。 | Before uploading the certification summary for public access in FSC portal, the responsible specialist monitors and verifies:<br>- relevance of the completed templates of Certification summary;<br>- correctness of the information provided in the Certification summary;<br>- translation of the Certification summary into English or Spanish (if applicable). |
| 8 审核评审和认证决定 | 8. **Audit review & Certification decision** |
| 8.1 总则 | 8.1 General provisions |
| 8.1.1 符合性证书颁发或注册的规则在《授予、拒绝、保持、更新、扩大、缩小、暂停或撤销认证管理程序，No.LC/P-18-2018》中说明。 | 8.1.1 The order of Conformity certificates issue or registration is stated in “Granting,Rejecting, Maintenance, Renewal, Extesion, Reduction, Suspension, or Withdrawal Management Procedure/ No.LC/P-18-2018”. |
| 审核组长向上海砺鼎建议作为认证机构的认证决定，该认证机构包含在报告中。 | The audit team leader recommends a certification decision to SLC as a certification body which is included into the report. |
| 上海砺鼎应指派至少一(1)人审核与审核有关的所有信息和结果。评审应由未参与审核过程的人员进行。 | SLC hall assign at least one (1) person to review all information and results related to the audit. The review shall be carried out by person(s) who have not been involved in the audit process. |
| 除非评审和认证决定由同一人同时完成，否则应记录基于评审的认证决定的建议。 | Recommendations for a certification decision based on the review shall be documented, unless the review and the certification decision are completed concurrently by the same person. Recommendations for a certification decision based on the review shall be documented, unless the review and the certification decision are completed concurrently by the same person. |
| 上海砺鼎应对其与认证有关的决定负责，并保留其权力。 | SLC shall be responsible for, and shall retain authority for, its decisions relating to certification. |
| 上海砺鼎应指派一个认证决定实体，根据与审核、评审和任何其他相关信息相关的所有信息做出认证决策。认证决定机构的人员不应参与审核过程。 | SLC shall assign a certification decision making entity to make the certification decision based on all information related to the audit, its review, and any other relevant information. The person(s) of the certification decision making entity shall not have been involved in the audit process. |
| 8.1.2 如果组织满足以下条件，则可以对组织的认证做出正面的认证决定: | 8.1.2 Positive certification decision of certification of Organization can be made if Organization: |

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| -仅在所有不符合项按 7.5.1.4 关闭、组织持有与认证模式相符的最新有效 TLA 且商标权未暂停，并已签署认证协议时，方可授予或重新授予证书。轻微不符合项可保留待完成的纠正措施，但不得保留尚未实施纠正的开放不符合项。 | -Grant or regrant only after all nonconformities are closed under Section 7.5.1.4, the organization holds the latest valid TLA matching its operation model with trademark rights unsuspended, and a certification agreement is signed. Minor corrective actions may remain pending, but an open minor nonconformity without implemented correction may not. |
| - 和上海砺鼎签署了认证协议。 | - signed a certification agreement with SLC. |
| 8.1.3 认证机构应当按照以下最长期限和要求作出认证决定：<br>主要评价<br>-对于监管链和项目评价，应在审核结束会议后的六（6）个月内完成；<br>监督评价和重新评价<br>-审核结束会议后六（6）个月内；<br>注：此时间表同样适用于在评价间隙发现的不符合项，例如因虚假申报或调查而发现的不符合项。在这种情况下，审核结束会议可被不符合项的识别会议所取代。<br>-如果在审核结束会议后三十 (30) 天内出现五 (5) 项或以上重大不符合项；<br>i. 审核员应在审核结束会议上将暂停认证的建议告知认证决策机构或人员；<br>ii. 在作出认证决定后十（10）日内暂停认证。<br>注 1：无论这些重大不符合项是否与新的要求或重大变更的要求有关。<br>注 2：在认证机构正式作出认证决定之前，可以考虑组织提供的针对已发现不符合项的其他证据。 | 8.1.3 The certification body shall make the certification decision according to the following maximum timelines and requirements:<br>For main evaluation<br>-within six (6) months of the audit closing meeting in the case of chain of custody and project evaluations;<br>For surveillance evaluation and re evaluation<br>-within six (6) months of the audit closing meeting;<br>NOTE: This timeline also applies to a nonconformity identified in between evaluations for example because of a false claim or an investigation. In such a case the audit closing meeting may be replaced with the identification of the nonconformity.<br>-in case of occurrence of five (5) or more major nonconformities, within thirty (30) days of the audit closing meeting;<br>i. the auditor shall inform the organization in the audit closing meeting about its recommendation for suspension of certification to the certification decision making body or person; and<br>ii. the certification body shall suspend the certification within ten (10) days of the certification decision being taken.<br>NOTE 1: It is regardless of whether these major nonconformities relate to new or significantly changed requirements.<br>NOTE 2: It is permissible to consider additional evidence from the organization that address identified nonconformities until the certification decision is formalized by the certification body. |
| 8.1.4 最终认证/重新认证决定和颁发证书由上海砺鼎授予的认证决定人员完成。<br>认证决定人须具备 3.2.3 规定的资格、经验和公正性。审核、评审、决定的职责分离按 8.1.1 执行。调查新增信息、等待客户确认或修改分级不得突破 8.1.3 规定的最长期限；应作出并记录适当的批准、拒绝或暂停决定。 | 8.1.4 The final certification/recertification decision and to issue the Certificate is taken by the SLC`s Decision Maker.<br>Decision makers shall meet the qualification, experience and impartiality criteria in Section 3.2.3; a management title alone does not confer competence. Apply Section 8.1.1 separation of audit, review and decision roles. Investigating new information, awaiting client acceptance or changing grading shall not exceed Section 8.1.3 maximum timelines; make and record the appropriate approval, denial or suspension decision. |
| 8.1.5 如果上海砺鼎了解在现场审核实施或审核报告准备期间未考虑的信息，但这可能会影响审核结果，上海砺鼎有权推迟对认证结果做出的决定研究这些信息。 | 8.1.5 In case SLC knows about information that was not taken into account during evaluation fulfillment in the site or evaluation report preparation, but that can influence to the evaluation results, SLC has the right to postpone the decisions made on the certification results for detailed |

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| | studying of such information. |
| 8.1.6 该证书以中文和英文形成并发行，为期 5 年。根据客户与上海砺鼎之间的初步协议，如果有技术可能性，证书也可以用其他语言发布。 | 8.1.6. The Certificate is formed and issued in Chinese and in English for a period of 5 years. On preliminary agreement between the client and SLC and if there are technical possibilities, the Certificate may be issued in other languages as well. The form of the Certificate in Chinese and in English. |
| 8.1.7 FSC 认证的有效期不得超过五（5）年。 | 8.1.7 The period of validity of FSC certification shall not exceed five (5) years. |
| 8.1.8 认证有效期限可延长至最多六（6）个月的特殊延长期，以便在认证机构无法控制的情况下证明其重新审核完成客户。 | 8.1.8 The specified period of validity of certification may be extended for a single exceptional extension of up to six (6) months in order to permit re-evaluation to be completed, when justified by circumstances beyond the control of the certification body and their client. |
| 8.1.9 认证机构应采取以下步骤：<br>上海砺鼎文件记录了这种情况，并且在证书有效期延长决定批准之日起 10（十）天内更新了 FSC 数据库（http://info.fsc.org）中的注册证书清单。 | **8.1.9 The certification body shall take the following steps:**<br>SLC documents such circumstances and within 10 (ten) days from the date of approval of the decision on certificate validity time extension updates the list of registered certificates in FSC database (http://info.fsc.org). |
| 注 1：扩展的合理情况排除了计划或安排审核本身的问题。 | NOTE 1: Justifiable circumstances for an extension exclude problems in planning or scheduling an audit per se. |
| 注 2：条款 8.1.8 不适用于产销监管链项目认证。 | NOTE 2: Clause 8.1.8 does not apply in the context of chain of custody project certification. |
| - 如果认证有效期已过，但本组织未告知其重新认证的意愿，则上海砺鼎指示本组织关于证书有效期到期的正确通知。 | - In case the Certification term of validity expired, but the Organization did not inform about its desire to be re-certified, SLC directs to the Organization proper letter of advice about the certificate validity term expiration. |
| 8.1.10 对于森林管理组织的一致性，应考虑先前的审核结果和利益相关者的意见，上海砺鼎审核员应基于适用的森林管理标准中的监督指标。 | 8.1.10 For forest management Organization's conformity it shall be taking into consideration previous evaluation results and stakeholder comments, and SLC auditors shall be based on indicators for surveillance in the applicable Forest Stewardship Standard. |
| 8.1.11 关于监管链：上海砺鼎根据审核结果和操作符合相关 FSC 规范性文件和上海砺鼎规范性文件中规定的每个适用要求并根据 FSC-STD-20-001 的最新版本作出认证决定。 | 8.1.11 On chain of custody: SLC make certification decisions based on evaluation results and operation's conformity to each applicable requirement specified in the relevant FSC normative document(s) and SLC ND and in accordance with the latest version of FSC-STD-20-001. |
| 8.1.12 上海砺鼎应以书面形式通知本组织根据认证结果作出的决定。 | 8.1.12 SLC shall inform the Organization in writing of the decision taken based on the certification results. |
| 8.2 授予认证 | 8.2 Granting of certification |
| 8.2.1 根据认证或重新认证审核的结果，根据最大时间表和要求，对客户进行授予客户认证及沟通的决定： | 8.2.1 A decision to grant certification and its communication to the client are performed upon results of a certification or a recertification audit with the following maximum timelines and requirements (with respect to the closing meeting): |
| - 针对在监管链审核是 6 个月;到期后，结果被认为是过时的，并且在颁发为本组织进行新的认证审核所必需的证书之前 | - six (6) months in the case of chain of custody evaluations; upon expiration, the results are considered obsolete and before issuance of the certificate necessary |

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| | to conduct a new certification audit for the Organization. |
| 8.2.2 在上述日期，应通知机构关于上海砺鼎认证的决定，并将提交审核报告的最终版本。在传达一个否定的认证决定时，应该提供这样的理由。 | 8.2.2 On the above date, the Organization shall be informed about the SLC certification decision and the final version of the evaluation report shall be sent. When communicating a negative certification decision SLC shall provide the reasons for this. |
| 8.2.3 监管链 | 8.2.3 Chan of custody |
| 8.2.3.1 对于对其控制下的监管链系统负有直接管理责任的组织，应签发证书。在监管链中，证书可以包含多个站点 | 8.2.3.1 A certificate shall be issued to the organization that has direct management responsibility for the chain of custody system under its control. In the chain of custody certificate may be included more than one site. |
| 8.2.3.2 FSC 受控木材代码应发给组织 - 希望在销售和运输文件中提出与 FSC 受控木材有关的 FSC 声明的申请人。对于针对 FSC-STD-40-005，与非 FSC 认证材料采购有关的其他活动（如原产地标识，风险评估，现场验证），不得发布此类代码。<br>代码格式：SLC-CW - ###### - 其中 SLC 是认证机构的首字母，######是认证机构颁发的唯一的六位数字，和相应的监管链证书相同。 | 8.2.3.2 FSC Controlled Wood code shall be issued to an Organization-applicant wishing to make FSC claims related to FSC Controlled Wood in sales and transport documentation. For other activities under FSC-STD-40-005 related to the sourcing of non-FSC certified materials (e.g. identification of origin, risk assessments, field verification) no such code shall be issued.<br>Code form: SLC-CW-###### – where SLC is the initials of the certification body and ###### is a unique, six-digit number issued by the certification body, which shall be the same as for the corresponding chain of custody certificate. |
| 8.2.3.3 在本组织实际拥有合格输入（FSC 认证，FSC 受控木材或回收材料）前，如果有令人信服的证据表明存在可操作的监管链系统，ＣＯＣ证书可以被颁发。<br>在此，本组织应在符合条件的输入库存或 FSC 认证材料的生产开始后立即通知上海砺鼎;除非初次审核未导致与关键控制点管理有关的任何不符合，否则上海砺鼎应在收到此类通知后 3 个月内进行（第二次）现场访问或进行第一次监视。 | 8.2.3.3 A COC certificate may be issued before The Organization has taken physical possession of eligible inputs (FSC-certified, FSC Controlled Wood or reclaimed material) in case of convincing evidence of an operational Chain of Custody system is in place.<br>At this, The Organization shall notify SLC as soon as eligible input stock is available or the production of FSC-certified material has started; and SLC shall carry out a (second) site visit or conduct the first surveillance within 3 months following receipt of such a notification unless the main evaluation has not resulted in any nonconformity related to the management of critical control points. |
| 8.2.3.4 若存在未按要求关闭的违反 FSC-STD-40-005 标准要求的不符合项，则不得颁发 FSC 控制木材证书。 | 8.2.3.4 FSC Controlled Wood certificates shall not be issued if any nonconformity against FSC-STD-40-005 remains unresolved as required. |
| 8.3 证书维持 | 8.3 Maintaining certification |
| 8.3.1 对于管理体系的有效监督审核，下列事物应该被提供。组织应该在确定期限内给上海砺鼎展示管理体系任何变化的信息。 | 8.3.1 For the effective surveillance of MS, the following shall be provided. The Organization shall present the necessary information on any changes in MS to SLC in the established terms. |
| 8.3.2 在根据审核计划的审核前，组织被要求更新数据，包括上一年度的营业额。 | 8.3.2 Prior to the planned evaluation in accordance with an audit plan, Organization is requested Updating data including data on annual turnover for previous year. |
| 8.3.3 上海砺鼎应考虑其他影响认证的变化和情况，包括由客户引起的变更，并根据适用的 FSC 和上海砺鼎要求作出适当的行动。 | 8.3.3 SLC shall consider other changes and circumstances affecting certification, including changes initiated by the client, and shall decide upon the appropriate action in accordance with applicable FSC and SLC requirements including evaluation and the issuance of certificates aimed to extension or reduction of the certification scope. |

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| 注：影响认证的情况如下： 武装冲突或流行病阻碍上海砺鼎实施其 FSC 认证计划，以确认认证的有效性。 | NOTE: Circumstances affecting certification are e.g. armed conflicts or epidemics that hinder SLC in implementing its FSC accredited certification program in order to confirm the validity of certification. |
| 8.3.4 上海砺鼎管理层参照审核组长的建议和批准监督审核结果，决定维持和扩展认证范围。上海砺鼎应记录这个决定。 | 8.3.4 A decision to maintain and extend the scope of certification is made by the SLC management with reference to the recommendations of the audit team leader and approval of the surveillance evaluation results. SLC shall record this decision. |
| 8.3.5 如果在监督审核期间发现了轻微的不合格情况，则本组织应在与不合格报告中规定的上海砺鼎协议的条款中予以消除。 | 8.3.5 If minor non-conformities have been revealed during surveillance evaluation they shall be eliminated by the Organization within the terms agreed with SLC specified in Report of nonconformity. |
| 8.3.6 上海砺鼎应根据从监督活动收集的信息及其评审，指定一（1）名或更多人作出认证决定，以继续，暂停或撤销认证。 | 8.3.6 SLC shall assign one (1) or more person(s) to make the certification decision to continue, suspend or withdraw certification based on information collected from surveillance activities and their review. |
| 8.3.7 只有下列情况，上海砺鼎才能针对一个组织做出关于维持认证的积极决定： | 8.3.7 Positive decision on maintenance of certification shall only be made by SLC if an Organization: |
| a. 符合并继续符合所有上海砺鼎条件以保持认证; | a. conforms and continues to conform with all SLC conditions for maintaining certification; |
| b. 符合上海砺鼎所有有关声明、标识、认证标志或商标的要求; | b. conforms with all SLC requirements regarding claims, logos, certification marks or trademarks; |
| c. 符合所有适用的 FSC 规范性文件的要求，这意味着严重不符合项应在授予证书前关闭；轻微不符合项应在授予证书前纠正，其纠正措施可跟踪至下次监督审核。 | c. Conforms with the requirements of all applicable FSC normative documents, which means that major nonconformities shall be closed before granting of certification and minor nonconformities shall be corrected before granting of certification; their corrective actions may be followed up at the next surveillance audit. |
| d.继续及时支付所有指定的费用和成本; | d. continues to pay all specified fees and costs in a timely manner; |
| e.根据上海砺鼎和 FSC 的要求进行监督; | e. undergoes surveillances as determined by SLC and as required by FSC; |
| f. 持有“FSC 认证计划许可协议”的有效版本，其中不会暂停使用 FSC 商标的权利。 | f. holds a valid version of the ‘License Agreement for the FSC Certification Scheme’, where the right to use the FSC trademarks is not suspended. |
| 8.3.8 本组织的管理体系认证范围的扩展/缩减是基于本组织的自由形式的正式请求，其中指出了变更的理由和所要求的新认证范围。对组织要求的分析应与授予认证的描述类似。 | 8.3.8 Extension/reduction of the Organization’s MS certification scope are based on an official request of the Organization in a free form with indication of the grounds for the alteration and the requested new scope of certification. Analysis of the Organization’s requirements shall be carried out similarly to that described for granting certification.<br>The conditions necessary for the SLC to change the scope of certification shall include the following requirements:<br>a) the change of scope shall not include or result in an extension of the certification’s expiry date beyond the time period for which it was originally granted;<br>b) where applicable, the old certificate shall be returned to the CB or destroyed by the client, and a new |

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| | certificate issued reflecting the change of scope. |
| 8.3.9 上海砺鼎变更认证范围的必要条件应包括以下要求:<br>a) 认证范围变更不得包含或导致证书有效期延长至原授予的有效期之外；<br>b) 上海砺鼎在作出是否批准认证范围变更的决定前，保留对获证作业场所开展现场核查的权利；<br>c) 若上海砺鼎判定本次范围变更在经营面积、管理模式或业务运行层面属于重大变更，必须在批准范围变更前实施现场核查；<br>d) 若范围变更导致组织运营模式（单场所、多场所、集团）发生变更，且组织现行持有的商标许可协议（TLA）不再适配新运营模式：<br>i) 上海砺鼎需根据对应认证类型，启动新版 TLA 签署流程；<br>ii) 组织未持有适配该运营模式的最新版 TLA 前，本次认证范围变更不得生效；<br>e) 适用情况下，客户需将旧证书退回上海砺鼎或自行销毁，由上海砺鼎换发体现最新认证范围的新证书。<br>注 1：集团认证增减参与场所，不视为认证范围变更；除非上海砺鼎判定该变更需要对集团认证持有人的管理体系进行重大调整。<br>注 2：组织所有权、架构或管理体系发生变动时，可能需要申请认证范围变更。 | 8.3.9 The conditions necessary for the SLC to change the scope of certification shall include the following requirements:<br>a) the change of scope shall not include or result in an extension of the certification's expiry date beyond the time period for which it was originally granted;<br>b) SLC reserves the right to inspect the site of the certified operations before deciding whether or not to grant a change to the scope of the certification;<br>c) if SLC considers that a change in scope is significant in terms of area, management or operational implications, SLC shall inspect the site before the change of scope is granted;<br>d) if the change of scope results in a change in operation model (single, multi-site, group) to which the TLA held by the organization is not applicable:<br>i) SLC shall initiate the process of signing the TLA according to the certification type;<br>ii) the change of scope of the certification shall not take effect unless the organization holds the most recent version of the TLA applicable to the operation model (single, multi-site, group);<br>e) where applicable, the old certificate shall be returned to SLC or destroyed by the client, and a new certificate issued reflecting the change of scope.<br>NOTE 1: An increase or decrease in the Participating Sites of a group certification is not considered a change of scope unless, in the opinion of SLC, the change requires significant changes to the group certification holder's management systems.<br>NOTE 2: A change of scope may be necessary as a result of changes in ownership, structure of the organization, or management systems. |
| 8.3.10 如果上海砺鼎从管理或流程位置的角度决定认证范围的变化是必要的，则应在决定认证范围发生变化之前对组织地点进行审核。 | 8.3.10 In case SLC decides that certification scope changes are essential from the point of view of management or processes location, SLC shall then perform evaluation of the Organization sites before making a decision about certification scope changing. |
| 8.3.11 认证范围变更审核本组织可在下次监督期间与组织达成协议并通过额外审核进行。对改变本组织认证范围的审核包括审查组织文件中的修正案和合格评定（见监督）。根据认证范围的变化确定审核范围。 | 8.3.11 Evaluation for certification scope change the Organization may be conducted on agreement with Organization during the next surveillance and through an additional evaluation. The evaluation for altering the scope of certification of the Organization's includes review of amendments in Organization's documents and evaluation of conformity (see Surveillance). The scope of the evaluation is defined, based on changes in the certification scope. |
| 8.3.12 在审核结果的基础上，经上海砺鼎管理层批准后，主任审核员或指定的上海砺鼎专家应审核以前颁发的证书，进行适当的修改， 颁发一个新的证书，该证书被赋予相同的注册号，并且其有效期不会改变（例如，如果撤回的证书在 2024.01.01 之前有效，则证书的有效期也随着认证范围的变化而变化 直到 2024.01.01）前）。如果适用，旧证书应该退回上海砺鼎或客户自行销毁，新证书反应范 | 8.3.12 On the basis of the evaluation results and after approval of the results by SLC management, the lead auditor or the appointed SLC specialist shall review the previously issued certificate, make appropriate amendments and issue a new Certificate which is assigned with the same registration number, and its period of validity does not change (e.g., if the withdrawn Certificate was valid until 01.01.2023, the period of validity |

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| 围的变化。 | of the Certificate with changing of certification scope also be until 01.01.2023). where applicable, the old certificate shall be returned to the CB or destroyed by the client, and a new certificate issued reflecting the change of scope. |
| 8.3.13 由技术部确定修改认证范围的处置函的推荐模板。随着这个上海砺鼎发送请求，返回旧证书。 | 8.3.13 The recommended template for the letter on disposition to amend the scope of certification is defined by technical department. Along with this SLC sends a request that the old certificate shall be returned. |
| 8.4 复评 | 8.4 Re-evaluation |
| 8.4.1 如果需要的证书在证书有效期之外继续，则需要发送一个新申请;需要签署一个新的合同来重新审核。重新审核的工作是根据组织的正式请求执行的。对组织的分析与初审的要求类似。 | 8.4.1. If a need in certificate is continued beyond the period of certificate validity, a new application has to be sent; a new contract has to be signed for re-evaluation process. Works on re-evaluation are performed based on an official request from the Organization. Analysis of the organization's is similar to the requirements for certification evaluation. |
| 8.4.2 重新认证可能是重新审核的结果。 | 8.4.2 Recertification may be granted as the result of a re-evaluation. |
| 8.4.3 重新审核的目的： | 8.4.3 The purposes of a re-evaluation are: |
| - 在前一份证书有效期内，对组织管理体系的一般有效性进行审核; | - Evaluation of general effectiveness of the Organization's MS during the period of validity of the previous Certificate; |
| - 对已声明的标准和管理体系要求的一致性的确定 | - Determination of conformity of the activity to the declared standard and to the MS requirements |
| 8.4.4 重新审核的持续时间和条款在合同中确定。 | 8.4.4. Terms and duration of re-evaluation are determined under the contract. |
| 8.4.5 重新审核包括对组织的管理体系文件的审核和对一致性的审核。重新审核、结构和相关联文件的形式的规则与认证所描述的相似。 | 8.4.5 Re-evaluation includes review of documentation of Organization's MS and audit of conformity. The order of conduction of re-evaluation, structure, and forms of associated documents are similar to those described for certification. |
| 8.4.6 和初审的区别是： | 8.4.6 Differences from the main evaluation are: |
| - 初步认证的报告可能会被实施，考虑到收集的新观察结果，基于对重新认证的建议 | - the report on preliminary certification could be actualized taking into consideration new observations collected, based on which the recommendation about recertification is applied. |
| -多场所复评应按 6.4.2.2 及 FSC-STD-20-011 表 A 的"复评"风险指数重新计算正常风险和高风险场所样本，不得直接沿用年度监督样本数量。 | - in case of the multi-site certification, recalculating normal-risk and high-risk site samples for multisite re-evaluation under Section 6.4.2.2 using the re-evaluation risk score in Table A of FSC-STD-20-011. Do not automatically reuse the annual surveillance sample size. |
| - 如果上海砺鼎采用符合认证的标准，则替代 FSC 初步认可的地区国家或次国家标准，那么新的标准将取代上海砺鼎采用的标准; | - if the SLC adopted standard, which on compliance with the certification was done, is planned to be replaced with the regional national or sub-national standard that was preliminarily accredited by FSC, then this new standard shall replace the SLC adopted standard; |
| - 上海砺鼎不需要提交审核报告进行同行评审。 | - SLC is not required to submit the evaluation report for peer review. |
| 8.4.7 重新授予认证前须依 7.5.1.4 关闭全部严重和轻微不符合项；未按期关闭则不重新授予认证。新决定时限不得 | 8.4.7 Close all major and minor nonconformities under Section 7.5.1.4 before regranting certification; otherwise deny regranting when closure is overdue. The decision |

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| 自动延长原证书有效期；证书例外延期按 8.1.8–8.1.9 规定处理。 | timeline does not automatically extend the old certificate's validity. Any exceptional validity extension shall meet Sections 8.1.8–8.1.9. |
| 8.4.8 重新审核发放证书的规则和 8.2 条款相类似。 | 8.4.8 The order of issuing a Certificate based on re-evaluation results is similar to that set in cl. 8.2. |
| 8.5 认证的终止、缩减、暂停或撤销 | 8.5 Termination, reduction, suspension or withdrawal of certification |
| 8.5.1 如果未能满足认证条件或根据组织的要求，退出或暂停证书的决定，以及在技术经理对认证范围缩小的结果进行暂停或续订后续签。 根据 cl.8 中规定的程序，对 FSC 商标使用的认证文件，公共信息和授权进行活动。 | 8.5.1 In case of a failure to meet the Certification conditions or upon request of an Organization a Decision on withdrawal or suspension of the Certificate, as well as renewal after suspension or renewal upon results of the certification scope reduction is made by the technical manager. In accordance with the procedure stated in cl.8 activities are performed with respect to the certification documents, public information and authorizations for use of FSC trademarks. |
| 8.5.2 证书的条件和规则<br>终止、缩减、暂停或撤销在和组织的相关认证协议中规定。 | 8.5.2 Conditions and order of a certificate termination, reduction, suspension or withdrawal are stated in a relevant certification agreement with Organization. |
| 8.5.3 如果因为超出上海砺鼎的控制，维持认证的决定不能做出，在监督审核末次会议结束后的三个月内，上海砺鼎应决定暂停认证。 | 8.5.3 SLC shall take decision to suspend certification at latest three (3) months after the closing meeting of a surveillance, if a certification decision to maintain the certification cannot be taken due to circumstances beyond the control of SLC. |
| 注： 超出认证机构控制范围的情况可能包括，但不限于，客户或其他方妨碍使用审核发现和/或组织延迟或拒绝接受审核发现或报告。 | NOTE: Circumstances beyond the control of the certification body may include, but are not limited to, the client or other parties preventing the use of audit findings and/ or the delayed or declined acceptance of audit findings or the audit report by Organization. |
| 8.5.4 认证可能暂停的最长期限为十二（12）个月（根据理由并由森林经理决定，时间表可以增加到十八（18）个月，以便组织纠正不合格。在此期限之后，认证应除非所有重大不符合项已成功纠正并进行监督审核，否则应予以撤销。 | 8.5.4 The maximum period that certification may remain suspended is twelve (12) months (upon justification and at the discretion of Forest manager the timeline may be increased to eighteen (18) months to allow Organization to correct nonconformities. After this period, the certification shall be withdrawn, unless all major nonconformities have been successfully corrected and a surveillance audit was conducted. |
| 8.5.5 证书的恢复仅仅是基于消除导致其暂停的原因后。 | 8.5.5 The renewal of the Certificate takes place only based on the elimination of causes that entailed its suspension. |
| 8.5.6 如果证书被撤销，或者被暂停，上海砺鼎会通知该组织关于做出的决定及其原因。通知函应包括:<br>a)关于认证无效状态(暂停或撤销)的明确声明;<br>b)证书正式失效的日期;<br>c)支持认证无效状态的理由，包括但不限于违反认证协议的细节和不符合适用认证要求的证明;<br>d)要求撤销 FSC 商标的所有使用;<br>e)停止使用 FSC 声明的要求;<br>f)在暂停认证的情况下，暂停的最长时间为十二(12)个月(或在特殊情况下长达十八(18)个月)，在此期间之后，认证将 | 8.5.6 In case the Certificate is withdrawn or its validity is suspended SLC informs the Organization in writing about the decision made and its reasons. The notification letter shall include:<br>a) a clear statement about the invalid status of certification (suspended, or withdrawn);<br>b) the date from which the invalid status of certification is official;<br>c) the rationale supporting the invalid status of certification which shall include, but is not limited to, the details of the breach of the certification agreement and the demonstration of nonconformities with applicable |

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| 被撤销。 | certification requirements;<br>d) the requirement to withdraw all uses of the FSC trademarks;<br>e) the requirement to stop making FSC claims;<br>f) in the case of suspended certification, the information that the maximum duration of suspension is twelve (12) months (or in exceptional cases up to eighteen (18) months, and after this period, the certification will be withdrawn. |
| 8.5.7 上海砺鼎应保留客户已收到通知信的证据(如客户的书面确认收据、邮寄服务送达的收据)。 | 8.5.7 SLC shall keep the evidence that the client has received the letter of notification (e.g. client's written acknowledgement of receipt, delivery receipt from the mail service). |
| 8.5.8 有关证书的暂停或撤销的信息，在上海砺鼎的认证组织的注册系统里阐明，连同暂停/撤销的日期。 | 8.5.8 Information on the suspension or withdrawal of the certificate is stated in SLC's register of certified Organizations along with the date of suspension/withdrawal. |
| 8.5.9 如暂停或撤销证书，应在 3 日内，在 FSC 数据库(http://info.fsc.org)中更新证书的状态，并说明暂停或撤销的日期和原因。 | 8.5.9 In case of suspension or withdrawal of certificate within 3 (three) days the status of the certificate shall be updated in the database of registered FSC certificates (http://info.fsc.org), and date and reason for suspension or withdrawal shall be stated. |
| 8.5.10 取消证书后，客户应停止在文件上使用 FSC 声明，并自行从其产品，文件，广告或营销材料中删除 FSC 名称，缩写，徽标，上海砺鼎合格标志或 FSC 商标的所有使用。 | 8.5.10 After withdrawal of certificate, the client shall stop to make FSC claim on document and remove all uses of FSC's name, initials, logo, SLC conformity mark or FSC trademarks from its products, documents, advertising or marketing materials at its own expense. |
| 8.5.11 如出现以下情况，上海砺鼎最迟应在监督审核末次会议后六（6）个月内暂停认证：<br>a) 开放的不符合项未在规定时限内关闭；<br>b) 因超出上海砺鼎控制范围的情况，无法做出维持认证的认证决定。<br>注 1：上述情况不包括认证机构人员短缺。<br>注 2：超出认证机构控制范围的情况可能包括但不限于：组织或其他方阻止使用评价结果，和/或组织延迟或拒绝接受评价结果或评价报告。<br>注：本要求也适用于两次评价之间识别的不符合项，例如因虚假声明或调查所致。此时六（6）个月时限自识别该不符合项之日起计算。 | 8.5.11 The certification body shall suspend the certification at latest six (6) months from the audit closing meeting of a surveillance evaluation, if:<br>a) open nonconformities have not been closed within the specified timeline;<br>b) a certification decision to maintain the certification cannot be taken due to circumstances beyond the control of the certification body.<br>NOTE 1: Circumstances may not include a shortage of the certification body personnel.<br>NOTE 2: Circumstances beyond the control of the certification body may include, but are not limited to, the organization or other parties preventing the use of evaluation results and/or the delayed or declined acceptance of evaluation results or the evaluation report by the organization.<br>NOTE: This requirement also applies to nonconformities identified in between evaluations for example because of a false claim or an investigation. In this case the timeline refers to 6 months from the identification of such nonconformity. |
| 8.5.12 当上海砺鼎收到来自 FSC 或 ASI 的证据，表明组织违反了其认证协议要求（如 FSC-STD-20-001 第 4.1.2.1 e) 和 m) 条所规定）时，上海砺鼎应暂停该组织的认证，直至组织满足相关要求（即提供信息或给予访问权限）。 | 8.5.12 In the event of the certification body receiving evidence from FSC or ASI, of a breach of the organization's certification agreement requirements as specified in Clause 4.1.2.1e) and m), the certification body shall suspend the organization until the requirements are met by the organization (i.e. information or access is |

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| | granted). |
| 8.5.13 当 TLA 被终止时，应在收到 FSC 通知后 3 日内终止受影响认证。若上海砺鼎在不缩小认可范围的情况下终止某国家/地区全部客户认证，应至少提前 6 个月通知组织寻找其他认证机构。 | 8.5.13 When a TLA is terminated, terminate the affected certification within three days of FSC notification. If SLC terminates all organizations in a country/region without reducing its accreditation scope, give at least six months' notice to seek another certification body. |
| 8.5.14 如果上海砺鼎在组织前次证书到期、终止或撤销后十二（12）个月内对组织实施了主评审，则上海砺鼎应考虑组织前次证书到期、终止或撤销时尚未关闭的所有重大和轻微不符合项。 | 8.5.14 If the certification body has conducted the main evaluation of the organization within a period of twelve (12) months from the expiry, termination or withdrawal of the organization's former certification, then the certification body shall consider any major or minor nonconformities which had not been closed at the time of expiry, termination or withdrawal of certification. |
| 8.5.15 在组织由其他认证机构颁发的现有证书到期或终止后，上海砺鼎可随时依据 FSC 认证要求进行完整评审，并据此向组织授予 FSC 认证。在此情况下，上海砺鼎应请求迁移 FSC 认证数据库记录，而不是创建新条目。 | 8.5.15 The certification body may grant an FSC certification to the organization at any time after expiry or termination of the organization's existing certification with another certification body, based on a full evaluation according to FSC certification requirements. In such a case the certification body shall request the migration of the FSC certification database records instead of creating a new entry. |
| 8,5,16 在记录迁移日期之前，上海砺鼎应向 FSC（database@fsc.org）提交请求，说明其拟分配给该组织的认证代码。 | 8.5.16 Prior to the date of migration of records, the certification body shall submit a request to FSC (database@fsc.org) containing the certification code they would like to allocate to the organization. |
| 8.5.17 识别不符合项后，应执行本规则第 7 章中分级、纠正与纠正措施、期限、验证关闭及报告要求，并结合第 8 章认证决定和暂停/撤销要求 | 8.5.17 Upon identification of nonconformities, the grading, correction and corrective actions, timelines, verification for closure and reporting requirements in Clause 7 of this manual shall be implemented, together with the certification decision and suspension / withdrawal requirements set out in Clause 8. |
| 8.5.18 SLC 变更认证范围所需满足的条件应执行 8.3.9 条款。 | 8.5.18 The conditions necessary for SLC to change the scope of certification shall include Clause 8.3.9 |
| 8.6 证书恢复 | 8.6 Reinstating certification |
| 8.6.1 如果所有重大不符合项都得到纠正，上海砺鼎可在暂停后恢复认证; 如果认证暂停超过十二（12）个月，并且监督审核已经进行。 | 8.6.1 SLC may reinstate certification after suspension if all major nonconformities have been corrected; and in cases where certification has been suspended for more than twelve (12) months, a surveillance audit has been conducted. |
| 8.6.2 如果在暂停后恢复认证或认证范围缩小作为恢复条件，上海砺鼎应对正式认证文件，公共信息和授权使用 FSC 商标进行所有必要的修改。 | 8.6.2 If certification is reinstated after suspension or if the certification scope is reduced as a condition of reinstatement, SLC shall make all necessary modifications to formal certification documents, public information and authorizations for use of FSC trademarks. |
| 8.7 认证组织的注册和结果的公布 | 8.7 Registration of certified organisations and publication of results |
| 8.7.1 上海砺鼎对已经获得认证和已经被承认符合所声称标准要求的组织保持登记和注册。上海砺鼎主管负责在 FSC 数据库（info.fsc.org）中组织、维护和填写认证组织的注册表。上海砺鼎负责保持其数据录入和公开摘要认证报告的准确性和更新。 | 8.7.1 SLC keeps account and registration of Organizations that have gained certification and have been recognized as conforming to the requirements of the declared standards. The Director of SLC bears responsibility for organization, maintenance, and filling of the Register of certified Organizations in the FSC |

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| | certification database (info.fsc.org). SLC is responsible for keeping their data entries and public summary certification reports accurate and up-to-date. |
| 8.7.2 关于注册，以下信息要指示： | 8.7.2 In the Register, the following is indicated: |
| - 组织名称-证书持有者 | - Organization name – owner of the certificate; |
| - 注册编号(SLC-COC-######) | - Registration code (SLC-COC-######); |
| - 组织所在国家 | - The state of the Organization; |
| - 认证范围 | - Scope of certification; |
| - 认证体系依据的标准 | - Standard against which system is certified; |
| - 证书发放日期 | - Date of issuing the Certificate; |
| - 证书有效状态 | - Status of validity of the Certificate. |
| 8.7.3 如果 FSC 宣布在线注册服务出现故障，上海砺鼎应在认证决定后十（10）天内通知 ASI 和 FSC 已经授予的认证或重新认证。 | 8.7.3 In the case of FSC announcing a malfunction of the on-line registration service, the SLC shall inform ASI and FSC that certification or recertification has been granted within ten (10) days of the certification decision |
| 8.7.4 SLC-2-12 概述了证书的注册，内容，格式和尺寸的基本要求<br>产销监管链证书应包括：<br>a） FSC 标志，不得小于上海砺鼎的标识;<br>b） 上海砺鼎的名称和地址;<br>c） 客户的法定名称和注册地址;<br>d） 认证范围的描述，包括对证书类型（单一，组或多站点）的参考，根据 FSC-STD-40- 004a 认证所涵盖产品类型的一般描述以及对 根据 FSC-STD-20-007 和 FSC-STD-20-011 的定义，对客户进行评估的具体规范性文件。 对于项目证书，认证范围应包括是否已授予部分或全部项目认证的规范;<br>e） 提供 FSC 认证数据库（info.fsc.org），以获取认证所涵盖的产品组的完整列表;<br>f） 明确声明证明书应保留其签发证书的财产，并且证书和证书的所有副本或复制品应根据认证机构的要求予以退还或销毁;<br>g） 认证签发日期;<br>h） 认证到期日期连同免责声明“此认证的有效性应在（info.fsc.org）上进行验证”；<br>注 1：有效期限要求不适用于项目产销监管链认证。<br>i） 证书号码（重发证书或续签证书）；<br>j） 上海砺鼎的指定的个人签名;<br>k） 免责声明：“此证书本身并不构成证书持有人提供的特定产品是 FSC 认证[或 FSC 受控木材]的证据。当在销售和交付文件中明确说明所要求的 FSC 声明时，证书持有者提供，运输或出售的产 | 8.7.4 Basic requirements for registration, content, format and dimensions of Certificates is outlined in SLC-2-12.<br>The certificate shall include:<br>**a)** the FSC logo, which shall be no smaller than the logo of the SLC;<br>**b)** the name and address of the SLC;<br>**c)** the legal name and registered address of the client;<br>**d)** a description of the scope of certification, including a reference to the type of certificate (single, group or multi-site), general description of the type of products covered by the certification according to FSC-STD-40-004a and a reference to the specific normative document that the client has been evaluated against, as defined by FSC-STD-20-007 and FSC-STD-20-011 accordingly. In the case of project certificates, the scope of certification shall include the specification of whether partial or full project certification has been awarded;<br>**e)** a reference to the FSC certification database (info.fsc.org) for the full list of product groups covered by the certification;<br>**f)** a clear statement to the effect that the certificate shall remain the property of the CB that issued it, and that the certificate and all copies or reproductions of the certificate shall be returned or destroyed if requested by the CB;<br>**g)** the date of issue of the certification;<br>**h)** the date of expiry of the certification together with the disclaimer “The validity of this certification shall be verified on (info.fsc.org)”;<br>NOTE 1: The expiry date requirement does not apply for project chain of custody certification.<br>**i)** an issue number (for re-issued or renewed certificates);<br>**j)** the signature of the individual(s) of the SLC assigned such responsibility;<br>**k)** a disclaimer stating: "This certificate itself does not constitute evidence that a particular product supplied by the certificate holder is FSC certified [or FSC |

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| 品只能被视为证书涵盖范围。<br>l） 认证机构颁发的认证注册码和表格 | Controlled Wood]. Products offered, shipped or sold by the certificate holder can only be considered covered by the scope of this certificate when the required FSC claim is clearly stated on sales and delivery documents";<br>**l)** the certification registration code issued by the CB and of the form (see Table 1 below): |
| 8.7.5 对于审核/重新审核的积极决定，在证书颁发给组织之前，森林认证项目经理或另一个专家在 FSC 数据库 (http://info.fsc.org).中登记该证书。 | 8.7.5 In case of positive decision on evaluation /re-evaluation and before the certificate issue to Organization, FCP manager or another specialist registers the certificate in FSC certificate data-base (http://info.fsc.org). |
| 8.7.6 在 FSC 数据库中，要录入正在颁发(已颁发)证书和证书持有者的所有指定数据。 | 8.7.6 In the FSC database it is carried out the entering of all specified data on an issuing (issued) certificate and certificate holder. |
| 8.7.7 在输入证书及其持有者的所有必要数据后，另一个被指定为该审核报告文件分析的雇员，控制输入数据的相关性和正确性。这样就可以对输入数据进行交叉检查。输入数据的正确性也必须通过认证组织使用该链接进行确认：http://info.fsc.org | 8.7.7 After ntering of all necessary data on the certificate and its holder, another employee appointed for the analysis of reporting documents for this evaluation, controls the relevance and correctness of the entered data. Thus the cross-checking of entered data is carried out. The correctness of the entered data must be confirmed also by certified organization using the link http://info.fsc.org |
| 8.7.8 为清楚起见，认证机构不得对授予不同法人实体的有效认证使用相同的代码（即认证机构不会向 A 公司授予 XXX-COC-123456 产销监管链认证，以及 FM 认证 XXX-FM- 123456 到公司 B）。 | 8.7.8 For reasons of clarity the CB shall not use the same code number for valid certifications granted to different legal entities (i.e. the CB would not grant a chain of custody certification XXX- COC- 123456 to company A, and an FM certification XXX-FM-123456 to company B). |
| 8.7.9 对于每个认证，只应向中央办公室/集团实体颁发一（1）组或多站点证书，并在证书本身或附录中或在证书中另行提及所有参与站点的列表 | 8.7.9 For each certification only one (1) group or multi-site certificate shall be issued to the central office / group entity with a list of all Participating Sites either on the certificate itself or in an appendix or as otherwise referred to in the certificate |
| 8.7.10 集团或多站点证书上指定的范围应明确表示所涵盖的产品和流程/活动由参与站点网络执行，而不一定由每个站点执行。 | 8.7.10 The scope specified on the group or multi-site certificate shall make clear that the covered products and processes/ activities are performed by the network of Participating Sites, and not necessarily by each of them. |
| 8.7.11 除了第 8.7.4 条要求的信息外，任何措辞，包括符合性声明，都必须事先得到 FSC 的书面批准。 | 8.7.11 Any wording, including the claim of conformity, to be included on certificates in addition to the information as required in Clause 8.7.4 is subject to prior written approval by FSC. |
| 8.7.12 监管链(FSC-STD-40-004 V3-1)<br>上海砺鼎应通过及时收集，分析和共享与 FSC 交易相关的相关信息，即尽快提供响应，合作并支持 ASI 在上海砺鼎认证的客户 - 证书持有者的交易验证活动。 为此目的，应 ASI 的要求，上海砺鼎应在与 ASI 商定的期限内提供所要求的信息。<br>为了支持 FSC 系统中虚假声明的监视和控制，上海砺鼎应在 FSC 数据库中更新如下信息： | 8.7.12 Chain of custody (FSC-STD-40-004 V3-1)<br>SLC shall cooperate and support ASI's activities on transaction verification of clients-certificate holders, certified by SLC, by collecting, analyzing, and sharing relevant information related to FSC transactions in a timely manner, i.e. by providing a response as soon as possible. For this purpose upon request from ASI, SLC shall provide the requested information within the term agreed with ASI.<br>In order to support the monitoring and control of false claims in FSC system, SLC shall register the following information in the FSC database: |
| a）自上次审核以来报告上海砺鼎没有 FSC 销售的客户; | a) clients that reported SLC no FSC sales since the previous evaluation; |

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| b）由于组织提出的虚假声明和/或欺诈行为导致参与网站不合格，暂停，终止和删除; | b) non-conformities, suspensions, terminations, and removal of participating sites due to false claims and/or fraud made by organizations; |
| c）推荐应由 ASI 调查的客户，及理由（例如：来自认证机构的证据表明记录隐藏，收到的关于组织的投诉，组织与其贸易伙伴之间潜在的数量不匹配）。 | c) recommendation of clients that should be investigated by ASI and the justification (e.g. evidence suggests that records are being hidden from the certification body, complaints received about the organization, potential volume mismatches between the organization and its trading partners). |
| 8.7.13 控制木材（FSC-STD-40-005） | 8.7.13 Controlled Wood (FSC-STD-40-005) |
| 在完成认证状态的注册后，有关受控木材评估的认证摘要将发布在 FSC 数据库网站（http://info.fsc.org）上。认证摘要的编制和发布应遵循以下规定：<br>a) 对于涵盖该范围内超过 50，000 公顷总供应面积的证书，应使用英语或西班牙语进行编制和发布；并且<br>b) 该供应区域所在国家的至少一种官方语言，或者该供应区域当地土著居民中使用最广泛的语言，前提是所采购的材料来自特定或非特定的风险区域。 | A certification summary for the controlled wood evaluation shall be published on the FSC database at http://info.fsc.org upon registration of the certification status. The certification summary shall be made and published in:<br>a) English or Spanish for certificates that cover a total supply area of more than 50,000 ha in the scope; and<br>b) at least one of the official languages of the country in which the supply area is located, or the most widely spoken language of the indigenous people in the supply area, where material is sourced from specified or unspecified risk areas. |
| 8.7.14 除非另有规定，上海砺鼎会将试点项目下临时授予的认证录入 FSC 认证数据库。 | 8.7.14 SLC shall register the certification granted temporarily as result of a pilot test, in the FSC certification database, unless otherwise specified. |
| 9. FSC 商标及宣传 | 9. FSC trademarks and promotion |
| 9.1 许可证、证书及标志的使用 | 9.1 Use of license, certificates and marks of conformity |
| 上海砺鼎将按照认证方案的规定，对许可证、证书、标志以及任何用于表明产品已通过认证的其他标识的拥有、使用和展示进行管控。 | SLC exercises the control as specified by the certification scheme over ownership, use and display of licenses, certificates, marks of conformity, and any other mechanisms for indicating a product is certified. |
| 在文档或其他宣传资料中，若出现对认证方案的错误引用，或对许可证、证书、标志或任何用于表明产品已获认证的其他机制的不当使用情况，将采取适当的措施予以处理。 | Incorrect references to the certification scheme, or misleading use of licenses, certificates, marks, or any other mechanism for indicating a product is certified, found in documentation or other publicity, are dealt with by suitable action. |
| 此类措施可能包括纠正措施、吊销证书、公布违规行为，以及在必要时采取法律行动。 | Such actions can include corrective actions, withdrawal of certificate, publication of the transgression and, if necessary, legal action. |
| 9.2 商标使用控制 | 9.2 Control of trademarks of use |
| 9.2.1 对于证书持有者使用商标的审批及控制程序，包括森林认证和标签认证的相关要求均已明确。 | 9.2.1 SLC and forest certification scheme requirements for order of approval and control of trademarks use by certificate holders are defined. |
| 9.2. 上海砺鼎负责监督所有砺鼎部门对森林认证计划商标的使用情况。由上海砺鼎指定的专家负责审核、确认并将其纳入上海砺鼎备案登记，同时为证书持有者和所有砺鼎部门批准商标设计方案。 | 9.2.2 SLC monitors the use of forest certification schemes trademarks by all SLC units. Appointed specialist from SLC, qualified and introduced into SLC register, approves the trademark layouts for certificate holders and all SLC units. |
| 9.2.3 在进行初审、监督审核和再认证时，审核组应监督客 | 9.2.3 At the time of the certifications, surveillance evaluations and re-evaluations audit team shall control the |

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| 户对森林认证方案商标的使用情况，包括产品上的使用和宣传推广中的使用：<br>- 通过抽样审核来检查商标使用情况；<br>- 处理客户被发现或报告的商标滥用情况。<br>所收集的所有证据都将反映在相关的审核报告中。 | forest certification scheme trademark use by the clients, both on-product and promotional uses by:<br>- sampling auditing the trademark use;<br>- addressing cases of detected or reported trademark misuses by the clients.<br>All collected evidences is reflected in the relevant evaluation report. |
| 在监督和再认证审核过程中，应对商标的使用情况以及森林认证方案的声明进行审核。<br>在初次审核中，应评估任何预期或预计的商标使用情况以及森林认证方案声明的内容。 | The use of trademarks and claims of forest certification schemes shall be evaluated during the surveillance and re-certification audits.<br>During the initial audit any intended or estimated use of trademarks and forest certification scheme claims shall be evaluated. |
| 9.2.4 经批准的森林认证体系商标的使用及执行范例应与客户的其他文件一同存放在 上海砺鼎，以电子或纸质形式保存。相关责任人是森林认证项目经理。 | 9.2.4 The approved examples of execution and use of the forest certification schemes trademarks are to be stored in SLC along with other client's documents in soft and/or hard copy. The responsible is the FCP manager. |
| 9.2.5 在每次对客户进行审核（包括初审、监督、再认证）时，均需通过审核检查商标的正确使用情况以及在隔离标志、销售及运输文件中的“FSC 控制木材”声明是否符合要求。 | 9.2.5 The correct use of the Trademarks and the 'FSC Controlled Wood' claim in segregation marks, sales and transport documentation shall be checked by audit teat at each evaluation of client (certification, surveillance, re-certification). |
| 9.2.6 当证书被终止、暂停或证书被撤销时，上海砺鼎应告知客户不得再使用这些商标或 FSC 声明。<br>若为暂停情况，上海砺鼎应监督客户是否符合所有必要的要求。 | 9.2.6 When the certification is terminated, suspended or the certificate is withdrawn, SLC shall inform the client that no further use of the trademarks or claims is permitted.<br>In case of suspension, SLC shall monitor the client's conformity to all the necessary requirements. |
| 9.3 由上海砺鼎作为认证机构对商标的使用情况 | 9.3 Use of the trademarks by SLC as certification body |
| 9.3.1 对于作为认证机构的 上海砺鼎使用 FSC 商标进行推广宣传的程序及要求，依据的是 FSC-STD-50-001 和 FSC 促销许可证持有者商标使用指南中的相关规定。 | 9.3.1 Procedure and requirements for promotional use of FSC trademarks for SLC as a certification body are based on the requirements of FSC-STD-50-001 and FSC Trademark Use Guide for Promotional Licence Holders. |
| 9.3.2 由上海砺鼎及其附属机构对商标进行的推广使用（例如用于推广认证服务），均包含在 上海砺鼎的认证协议以及商标使用许可协议之中。 | 9.3.2 Promotional use of the trademarks by SLC and its affiliate offices, for example, for promotion of certification cervices, is covered by the SLC accreditation agreements along with the license agreement on use of the trademarks. |
| 9.3.3. 对于由上海砺鼎或其附属机构用于推广 FSC 商标的活动，需提交相关使用申请以及使用示例。此类申请须经 FSC 项目经理批准，如有必要，该经理还会通过电子邮件（地址：info@fsc.org）发送审批请求。 | 9.3.3. For promotional use of FSC trademarks by SLC or its affiliate offices an application for such use together with the example of use shall be approved by FCP manager, who, if necessary, sends a request for approval to e-mail: info@fsc.org; |
| 上海砺鼎的附属机构（分支机构、子公司等）可以在获得上海砺鼎认可范围内，并经上海砺鼎批准的框架内使用上海砺鼎批准的森林认证计划商标，或者通过上海砺鼎的 FSC 项目经理管理员向森林认证计划的所有者提出申请。 | SLC affiliate offices (branch, subsidiary offices etc.) can use the forest certification scheme trademarks approved by SLC within the framework of SLC accreditation with permission of SLC or apply to forest scheme owner via FCP manager of SLC. |
| 9.3.4. 上海砺鼎仅能推广其获得认证所涵盖的服务和活动。<br>认证所涵盖的认证活动信息已列在网站上。 | 9.3.4. SLC are eligible to promote only services and activities covered by the accreditation of SLC.<br>Certification activities covered by accreditation are listed on the website. |
| 9.3.5 在证书上以及在由上海砺鼎所制作的任何宣传材料、 | 9.3.5 The forest certification scheme logo together with the |

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| 培训资料或与认证相关的文件中，均应使用森林认证计划的标志以及为上海砺鼎颁发的许可证编号。 | licence code issued for SLC shall be used on certificates and in any publicity, training materials or documents used by SLC in connection with certification. |
| 9.3.6 所有上海砺鼎附属办事处均代表上海砺鼎提供认证服务。在任何使用商标或在宣传材料中提及森林认证方案的情况下，相关材料上都应显著标明：“与 上海砺鼎合作提供 FSC 认证服务”。 | 9.3.6 All SLC affiliate offices delivered certification services on behalf of SLC every use of trademarks or referent to forest certification scheme in promotional materials shall visibly feature the words: “delivering FSC certification cervices in association with SLC” on the materials. |
| 9.3.7 作为认证机构的上海砺鼎可以在名片上使用 FSC 商标（例如 FSC 宣传面板），并附上说明：“获 FSC R 认证的认证机构”。 | 9.3.7 SLC as a certification body can use the FSC trademarks (e.g. FSC promotional panel) on business cards with a statement: “FSC R accredited certification body”. |
| 9.3.8 为推广认证服务，上海砺鼎可设置一个宣传模板，并使用双方事先商定的带有森林认证方案所有者的宣传模板。 | 9.3.8 For promotion of certification services SLC can place the promotional panel using an template of the promotional panel pre-agreed with forest scheme owner. |
| 9.3.9 宣传模板及其组成部分： | 9.3.9 The promotional panel and its elements: |
| - FSC 的树形标志，<br>- FSC 网站地址：www.fsc.org（或 FSC 商标服务提供商的网站）<br>- FSC 商标许可代码 A######<br>- 宣传语：“负责任的林业标志”或其他经 FSC 商标服务提供方或 FSC 国际公司批准的表述。<br>因篇幅原因，宣传语和网站地址可省略。其他措辞和附加信息需获得 FSC 的批准。 | - FSC “checkmark-and-tree” logo,<br>- FSC website address www.fsc.org (or website of a service provider for the FSC trademarks)<br>- FSC trademark license code A######<br>- Promotional statement “The Mark of Responsible Forestry” or other claim approved by FSC trademark service provides or FSC International.<br>The promotional statement and website address may be omitted for space reasons. Alternative wording and extra information require approval from FSC. |
| 9.3.10 在宣传材料中，仅应使用森林认证计划的商标模板或宣传模板。若上海砺鼎愿意添加有关森林认证计划的更多信息，应通森林项目经理提交给森林计划所有者以获得批准。 | 9.3.10 Only a forest certification scheme trademark template or the promotional panel should be used in promotional materials. If SLC wishes to include more information about forest certification scheme, this shall be submitted for approval to forest scheme owner via FCP manager. |
| 9.3.11 商标标识（大写字体的“R”或“™”），用于表示 FSC 商标在拟分发宣传材料的国家中的注册状态（依据附件 1 商标注册清单），其应： | 9.3.11 Trademark symbols (R or ™ in superscript font), which represent the registration status of an FSC trademark in the country in which promotional materials are to be distributed (according the Annex 1 Trademark Registration List) shall: |
| a) 与 FSC 标志的使用一同进行 | a) accompany the use of the FSC logo, |
| b) 在任何文本中的首次出现或任何重要使用中，将其添加到“FSC”这一缩写前或与“森林管理委员会”这一名称一起使用（例如，Forest Stewardship Council R）。 | b) be added to the initials “FSC” or the name ≪Forest Stewardship Council≫ for the first or any important use in any text (for example, Forest Stewardship Council R). |
| 9.3.12 图形规则。<br>标识或宣传面板的尺寸、字体、颜色和布局的使用应符合森林认证方案的要求。 | 9.3.12 Graphic rules.<br>The use of the logo or promotional panel for size, font, color and placement shall meet the forest certification scheme requirements. |
| 所有宣传模板的要素都必须清晰可辨。 | All elements of the promotional panel shall be legible. |
| 9.3.13 作为认证机构的上海砺鼎可以将森林认证计划的商标用于办公用品上的宣传，包括名片、文件模板和宣传材料。使用这些商标进行宣传的示例包括：上海砺鼎的信头 | 9.3.13 SLC as a certification body can use the forest certification scheme trademarks for promotion on stationery, including business cards, on document templates and promotional materials. Examples of using |

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| 纸；上海砺鼎的网站（上海砺鼎网站的内部部分、外部部分、上海砺鼎代表处和分支机构的本地网站）；上海砺鼎及其附属公司的新闻通讯、新闻稿和其他信息材料；演示文稿、培训辅助材料和培训材料。 | the trademarks as a promotional panel: SLC letterheads; SLC web-sites (closed part of SLC website, external part of SLC website, local websites of SLC representative and branch offices); newsletters, press-releases and other information materials of SLC and its affiliates; presentations, training aids and training materials. |
| 9.3.14 若上海砺鼎使用了 FSC 标识，则其使用仅限于获得 FSC 国际颁发的有效许可证的情况之下。 | 9.3.14 Where the SLC makes use of the FSC logo, the use is only carried out based on a valid license issued by FSC International. |
| 9.3.15 上海砺鼎向组织明确表示，所颁发证书上的森林认证方案标识仅表示该机构符合认证方案的要求，并不赋予该组织使用森林认证方案商标的权利。 | 9.3.15 SLC makes clear to the Organization that the forest certification scheme logo on the issued certificate only refers to the Organization's compliance with the certification scheme requirements and does not provide the Organization with the right to use the forest certification scheme trademarks. |
| 10 《FSC 年度管理费支付程序》 | 10 Procedure for payment of the FSC Annual Administrative Fee |
| 10.1 一般原则 | 10.1 General principles |
| 10.1.1 FSC 根据在 FSC 认证数据库中由上海砺鼎提供的信息，在以下确定日期计算并开具发票：<br>1 月 1 日<br>4 月 1 日<br>7 月 1 日<br>10 月 1 日 | 10.1.1 FSC calculates and invoices SLC as per the information provided by SLC in the FSC Certification Database on the determination dates:<br>1 January<br>1 April<br>1 July<br>1 October |
| 10.1.2 AAF 发票按季度计算，计算方法是将最终结果除以 4。这种季度计算方式使得每个季度的 AAF 能够根据终止、撤回、转移、新的认证、认证区域的变化、林产品营业额或其他必要信息进行调整。 | 10.1.2 The AAF invoices are calculated on a quarterly basis by dividing the final result by four. The quarterly calculation allows for the AAF for each quarter to be adjusted based on Terminations, Withdrawals, Transfers, new certification and changes in the certified area, Forest Products Turnover or other necessary information. |
| 10.1.3 AAF 发票应在发票日期后两个月内支付。逾期未付的 AAF 发票将按发票到期日当天的利率计算利息，利率为每月 1%。对于进一步的损害索赔，不予排除。在规定时间内支付的发票将获得 2%的折扣，而在发票发出同一月内支付的发票将获得 5%的早期付款折扣。 | 10.1.3 AAF invoices are payable within two (2) months of the invoice date. Overdue accounts on AAF invoices are subject to interest as of the due date of the invoice at a rate of 1% per month. The assertion of further damage is not excluded. Invoices paid within their timelines will receive a 2% discount and invoices paid within the same month of the invoice will receive a 5% discount for early payment. |
| 发票日期（或之后的第一个工作日）<br>若采用以下支付方式，则可享受 5% 的折扣。<br>若采用以下付款方式，则可享受 2% 的折扣。<br><br>2 月 1 日 \| 2 月底 \| 3 月底 \|<br>5 月 1 日 \| 5 月底 \| 6 月底 \|<br>8 月 1 日 \| 8 月底 \| 9 月底 \|<br>11 月 1 日 \| 11 月底 \| 12 月底 \| | Invoice date (or first working day after) \| 5% discount in case of payment by \| 2% discount in case of payment by<br>1 February \| End of February \| End of March<br>1 May \| End of May \| End of June<br>1 August \| End of August \| End of September<br>1 November \| End of November \| End of December |
| 注意：如果在向客户方开具的发票中发现错误，并且经 | NOTE: If an error in the invoice to CBs is detected and |

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| FSC 内部审查后确认该错误，那么该调整将适用于接下来相应的 AAF 发票。 | confirmed by FSC after internal review, the adjustment will apply to the next respective AAF invoice. |
| 10.1.4 证书暂停，则认证资格需支付 AAF 费用方可保留。 | 10.1.4 In case of suspension, the certification is subject to payment of the AAF. |
| 10.1.5 若进行转机构，之前的机构应在转机构发生所在季度内负责支付 AAF。从下一季度起，后续的机构将收到发票。双方机构均有责任在确 AAF 日期之前，确保与 AAF 相关的信息在 FSC 认证数据库中得到更新。 | 10.1.5 In case of transfer, the preceding CB shall be responsible to pay the AAF within the quarter where the Transfer is happening. From the following quarter onwards, the succeeding CB will be invoiced. It is the responsibility of both CBs to ensure the information related to the AAF is updated in the FSC Certification Database prior to the AAF determination date. |
| 10.1.6 若合同终止，FSC 将不再从合同终止后的下一季度向 AAF 收取费用。对于退款情况亦是如此。 | 10.1.6 In case of termination, FSC does not charge AAF from the quarter following the termination. The same applies for withdrawal. |
| 10.2 上海砺鼎总部及/或附属机构的义务 | 10.2 Obligations for Head office and/or affiliate office SLC |
| 10.2.1 上海砺鼎将按照 FSC 计算并开具的金额向 AAF 支付款项。所有费用均应全额支付，且不得扣除任何及所有税款。如果法律要求从或针对本协议下应支付给 FSC 的任何款项中扣除任何税款：<br>a) 上海砺鼎总部所应支付的款项应相应增加，以确保在进行所有必要扣除后，FSC 所收到的金额与若未进行此类扣除时所应收到的金额相等；并且<br>b)上海砺鼎将按照适用法律的规定，将从应缴税款中扣除的全部款项支付给相关税务机关。 | 10.2.1 Head office SLC pay the AAF as calculated and invoiced by FSC. All fees shall be paid free and clear of and without deduction for any and all Taxes. If any Taxes shall be required by law to be deducted from or in respect of any sum payable hereunder to FSC:<br>a) The sum payable by the Head office SLC shall be increased as may be necessary so that after making all required deductions FSC shall receive an amount equal to the sum it would have received had no such deductions been made; and<br>b) The Head office SLC shall pay the full amount deducted from the AAF to the relevant taxing authority in accordance with applicable law. |
| 10.2.2 上海砺鼎应在以下时间收集、核实并将计算 AAF 所需的信息录入 FSC 认证数据库：<br>a) 首次进行认证注册时；并且<br>b) 在更新 FSC 认证数据库时<br>- 至少应在每次审核后的每年度对数据进行核实。 | 10.2.2 SLC shall collect, verify and enter into the FSC Certification Database the necessary information for caclulating the AAF at the following times:<br>a) When registering a certification for the first time; and<br>b) When updating the FSC Certification Database<br>– as a minimum the data shall be verified each calendar year after the audit. |
| 输入到 FSC 数据库中的所有信息均来源于申请表。 | All information entered into the FSC database is taken from the application. |
| 如果发现用于计算 AAF 的信息有误，那么应用声明必须及时进行更新。 | Application-declarations must always be updated if it is revealed that incorrect information has been provided for calculating the AAF. |
| 申请标应提供最近一个已结束的财政年度的最新信息。 | The application shall provide up-todate information for the most recent closed fiscal year. |
| 如果审核被推迟到下一个财政年度进行，那么相关资料必须以审核日期时的状况为准进行更新。 | In cases when the audit is postponed to the next closed fiscal year, the information must be updated as of the audit date. |
| 如果某一财政年度在 FSC 认证数据库中所填写的林产品营业额和/或收入数据出现错误，那么 FSC 数据库应予以更新。上海砺鼎应通过电子邮件告知 FSC 数据库更新的情况，并在不延误的情况下附上相关证明文件。 | The FSC database shall be updated if the Forest Products Turnover and/or Revenue entered in the FSC Certification Database for a fiscal year turns out to be incorrect. SLC shall inform FSC via email about the update of the FSC database and attach supporting documents without undue delay. |

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| 10.2.3 上海砺鼎总部应将有关集团成员或多场所的所有多站点及集团认证信息（包括已添加或移除的信息）录入 FSC 认证数据库中。 | 10.2.3 Head office SLC shall enter into the FSC Certification Database for all types of multi-site and group certification information regarding a group member or participating site that has been added or removed. |
| 10.2.4 上海砺鼎应将所有适用信息录入 FSC 认证数据库，例如但不限于：<br>- FSC 认证类型；<br>- 对于单个和多个站点的 COC 认证中心，最近完成的财政年度的开始和结束日期（财政年度通常为 12 个月，但可能短于或长于 12 个月）；<br>- 对于单个和多个站点的 COC 认证中心，木材产品营业额；<br>- 对于单个和多个站点的 COC 认证中心，收入；<br>- 对于 COC 集团认证，集团成员数量、适用的木材产品营业额（即整个集团的；或者对于包含加工者和贸易商的集团，相应加工者的木材产品总营业额以及贸易商的总营业额）、收入以及中央办公室的财政年度日期（仅限中央办公室）。 | 10.2.4 Head office SLC shall enter all applicable information into the FSC Certification Database for example, but not limited to:<br>- type of FSC certification;<br>- for single and multi-site COC CHs, start and end date of most recently completed fiscal year (Fiscal year is usually 12 months but can be shorter or longer than 12 months);<br>- for single and multi-site COC CHs, the Forest Products Turnover;<br>- for single and multi-site COC CHs, the Revenue;<br>- for COC group certification, the number of group members, the applicable Forest Products Turnover (i.e., for the group as a whole; or for groups with Processors and Traders the aggregated Forest Products Turnover for the respective Processors, as well as Traders), the Revenue and the fiscal year date for the Central Office only. |
| 在对多个站点进行认证时，该申请会列出所有纳入认证范围内的参与站点的总营业额和总收入。 | When certifying several sites, the application provides the total turnover and revenue of all participating sites included in the scope of certification. |
| 10.2.5 对于新成立的公司（其尚未完成一个完整的财政年度），总部信用证应在 FSC 认证数据库的“森林产品销售额”栏中填写“100，000 美元”，而“收入”栏则无需填写。 | 10.2.5 For a newly founded company that has not yet completed a full fiscal year Head office SLC shall enter USD ‘100,000’ in the Forest Products Turnover field in the FSC Certification Database and leave the Revenue field blank. |
| 10.2.6 对于已由另一法人实体收购但尚未完成首个财政年度的现有公司，上海砺鼎应在 FSC 认证数据库的“森林产品销售额”栏中填写“100,000 美元”，而“收入”栏则无需填写内容。此项操作应在相应季度的适用确定日期之前完成，具体操作步骤请参见第 10.2.5 条。10.1.1. 森林产品销售额将在每年的审计中进行更新。 | 10.2.6 In the case of an existing company that has been purchased by another legal entity and has not yet completed the first fiscal year, SLC shall enter USD ‘100,000’ in the Forest<br>Products Turnover field in the FSC Certification Database and leave the Revenue field blank. This shall be done prior to the applicable determination date for the respective quarter as per cl. 10.1.1. The Forest Products Turnover shall be updated in the following annual audit. |
| 10.2.7 若上海砺鼎总部发现 FSC 认证数据库中的数据输入有误，上海砺鼎应立即通过电子邮件将此类错误数据输入情况告知 FSC，并在发现后尽快附上相关证明文件。 | 10.2.7 If a Head office SLC has detected a wrong data entry in to the FSC Certification Database, the SLC shall report such wrong data input to FSC via email and attach supporting documents without undue delay when detected. |
| 10.2.8 若林产品营业额实际为零，上海砺鼎应输入零“0”。留空则表示数据仍在评估中，有可能稍后输入。 | 10.2.8 Head office SLC shall enter zero ‘0’ if the Forest Products Turnover figure is in fact ‘0’. Leaving the field blank signals that the data is still to be evaluated and potentially entered later. |
| 10.2.9 若林产品营业额的原始货币不是美元，上海砺鼎应检查其换算金额。申请中提及的换算金额：<br>将数据输入 FSC 认证数据库时所采用的汇率为证书持有者财政年度末的相应汇率，该汇率依据货币兑换器上的中间汇率确定。 | 10.2.9 Head office SLC shall check the converted amount of the Forest Products Turnover if the original currency is not USD. Converted amount is mentioned in application:<br>The conversion rate upon entering the data into the FSC Certification Database is the respective rate on the date of the certificate holder’s fiscal year-end as per the mid-market rate on the currency converter. |

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| 10.2.10 上海砺鼎应将每月的财务报告（用于审核工作）以 Excel 文件的形式进行存储，该文件应包含换算率、以本国货币计价的林产品销售额以及美元销售额等信息。 | 10.2.10 Head office SLC shall store the records by receiving monthly financial reports for conducted audits in Excel file which includes conversion rate, Forest Products Turnover in national currency and USD. |
| 注 1：并非必须保存支持性文件的原件副本。森林产品营业额的支持性文件示例包括销售税申报表、所得税记录和申报表、会计记录、财务报表、会计师出具的声明以及显示财务总账编码的管理账目。 | NOTE 1: It is not compulsory to store a copy of the supporting documentation itself. Examples of supporting documentation for the Forest Products Turnover include sales tax filings, income tax records and filings, accounting records, financial statements, a declaration from an accountancy firm and management accounts showing financial general ledger coding. |
| 注释 2：总账或 GL 代码是一种独特的标识代码，它使企业能够对财务活动进行分类和追踪。它有助于组织记录采购、销售及其他交易的相关信息，从而生成更准确的会计记录。 | NOTE 2: A general ledger or GL code is a unique identification code that allows businesses to classify and track their financial activity. It helps organizations record information on purchases, sales, and other transactions to create more accurate accounting records. |
| 10.2.11 上海砺鼎应保存相关记录，并确保这些记录在创建后的下一个日历年起至少保存十年，以便随时查阅。 | 10.2.11 Head office SLC shall store the records and have them readily accessible for a period of at least ten (10) years starting with the next calendar year after which the records have been created. |
| 10.2.12 上海砺鼎应确保在适用的情况下遵守数据保护法规，并制定一项程序来“确定用于识别、运输、传输、存储、保护、检索和处置与执行 FSC 要求相关的记录所需的控制措施，包括保护机密性的控制措施”。这些要求已在“记录控制程序”（No.LC-2-05）中予以规定。 | 10.2.12 Head office SLC shall ensure compliance to data protection regulations wherever applicable and establish a procedure to “define the controls needed for the identification, transport, transmission, storage, protection, retrieval and disposition of its records related to the implementation of FSC requirements, including controls to safeguard confidentiality”. These requirements are established in “Record Management Procedure” (No.LC-2-05). |
| 10.3 计算 AAF | 10.3 Caclulating the AAF |
| 10.3.1 计算监管链（COC）的 AAF | 10.3.1 Calculating the AAF for chain of custody (COC) |
| 对于 COC 认证的 AAF 计算是基于木材产品营业额来进行的。 | Calculation of the AAF for CoC certification is based on the Forest Products Turnover. |
| 对于单个及多个站点的加工企业和贸易商而言，所收取的费用是根据纳入认证范围内的各站点的森林产品总销售额来计算的。 | For single and multi-site Processors and Traders, a fee is calculated based on the aggregated Forest Products Turnover of the site(s) included in the scope of certification. |
| 10.3.2 集团 COC 认证 | 10.3.2 Group CoC certification |
| 集团 COC 认证（仅涵盖加工企业、仅涵盖贸易商或同时涵盖加工企业和贸易商）的范围, 上海砺鼎应根据以下两个部分收取 AAF 费用：<br>a) AAF 相当于集团内所有加工企业的森林产品总营业额、集团内所有贸易商的森林产品总营业额，或者集团内所有加工企业和所有贸易商的森林产品总营业额之和（计算方式如上文第 10.3.1 条所述）再加上与集团内所有贸易商的森林产品总营业额相对应的费用（按上述计算方式计算）。<br>b) 每个集团成员每年固定收取 20 美元费用。 | Group CoC certification including only Processors or only Traders or both Processors and Traders in the scope SLC should charge an AAF based on two components:<br>a) An AAF corresponding to the aggregated Forest Products Turnover of all Processing Enterprises in the group or to the aggregated Forest Products Turnover of all Traders in the group or to the aggregated Forest Products Turnover of all Processing Enterprises in the group plus a fee corresponding to the aggregated Forest Products Turnover of all Traders in the group (calculated as described in Clause 10.3.1 above).<br>b) A fixed fee of USD 20 per year for each group member. |
| 10.3.3 对于没有林产品周转数据的 COC CH 的 AAF 计算 | 10.3.3 AAF calculation for COC CH that do not have a Forest Products Turnover |

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| 不销售经过认证的材料或产品（例如免费赠送经过认证的目录以及他们所销售产品的经过认证的包装）的认证企业中心（CH）没有森林产品营业额。此类证书持有者的 AAF（认证机构费用）应根据经过认证的材料和产品的年度总体采购成本来计算，而非基于森林产品营业额，并应遵循与单个站点贸易商的 AAF 相同的费用表。<br>注意：经过认证的材料和产品的成本包括 FSC 控制木材材料和产品的成本。 | CoC CHs that do not sell certified material or products (e.g. free given away of certified catalogues and certified packaging for products they sell) do not have a Forest Products Turnover. AAF for such CHs RR should calculate based on the annual overall purchasing cost of certified material and products instead of Forest Products Turnover and follow the same fee schedule as the AAF for single site Traders.<br>NOTE: The cost of certified material and products include the cost of FSC Controlled Wood material and products. |
| 10.3.4 与将 AAF 转移至 FSC 相关的额外费用 | 10.3.4 Additional costs associated with the transfer of AAF to FSC |
| 在为每张证书向 FSC 转交行政费用（AAF）时，上海砺鼎会因银行手续费以及将人民币兑换成美元所产生的费用差额而产生额外的财务支出。当上海砺鼎从客户处收到以某一汇率计算的 AAF（以人民币形式），并以更高的汇率向 FSC 支付 AAF 时，就会出现这种情况。为了弥补这些费用，上海砺鼎在计算每个客户评估的成本时，应在 AAF 值的基础上最多增加 35 美元 + 15%。 | When transferring the administrative fee (AAF) to FSC for each certificate, SLC incurs additional financial expenses in the form of bank commissions, as well as the difference in the cost of converting RMB into US dollars, arising when SLC receives from the client AAF in RMB calculated at one rate and paying AAF to FSC at a higher rate. To compensate for them, SLC should add to the AAF value when calculating the cost of each client evaluation a maximum of USD 35 +15%. |
| 10.4 发票与付款 | 10.4 Invoicing and payment |
| 10.4.1 关于发票开具方面由客户经理提出的疑问和争议，应由总部或附属公司的法律事务部门进行处理。如果总部无法解决与 AAF 保险政策相关的咨询问题，则需将相关事宜转交至 FSC 国际公司或 ASI（具体依据 FSC-POL-20-005 文件）。 | 10.4.1 The queries and disputes from CHs related to invoicing shall be considered by Head office or affiliate office SLC. In case if Head office is not able to address an enquiries related to the AAF Policy request has to be sent to FSC International or ASI (according to FSC-POL-20-005). |
| 10.4.2 任何额外的费用、费率、换算或收费都与 AAF 分开列出。<br>可以将此信息包含在以下内容中：<br>- 列入发票中；<br>- 列入随发票提供的单独说明中。 | 10.4.2 Any additional fees, rates, conversions or charges are presented separately from the AAF.<br>It is possible to include this information:<br>- in invoices;<br>- in a separate specification provided with the invoice. |
| 10.4.3 若上海砺鼎向其客户开具的发票所使用的货币并非美元，则应按照发票开具日的中间市场汇率进行换算。信用证应使用 OANDA 提供的货币转换工具（网址：www.oanda.com）来进行此计算。若因转换日期的不同而出现微小差异，即便已正确选择了财政年度，信用证也应输入在货币转换工具上最先出现的数字。汇率变动在 0.1% 以内被视为无关紧要的，可用于验证目的。 | 10.4.3 If SLC is sending out invoices to their CHs in a currency other than USD, it shall apply the conversion mid-market rate at the respective issue date of the invoice. SLC should use the currency converter provided by OANDA (www.oanda.com) for this calculation. If there is a small difference depending on the day the conversion is carried out, even though the fiscal year is correctly selected, SLC shall enter the figure that is first encountered on the currency converter. Exchange rate variations of <0.1% are considered immaterial and are acceptable for verification purposes. |
| 10.4.4 若使用 OANDA，RR 将从以下页面中选择货币及日期：https://www1.oanda.com/currency/converter/ 。 | 10.4.4 If using OANDA, RR selects the currency and dates from the following page: https://www1.oanda.com/currency/converter/. |
| 10.4.5 如果由于网络限制无法在某一特定国家访问 OANDA，那么可以使用该国国家银行提供的数据。<br>在中国，应使用以下网站：<br>http://www.safe.gov.cn/safe/rmbhlzjj/index.html | 10.4.5 If it is not possible to access OANDA in a specific country due to internet restrictions, the figure from the National Bank may instead be used.<br>In China the following website is used: http://www.safe.gov.cn/safe/rmbhlzjj/index.html |

| 11 风险缓解：上海砺鼎基于风险评估活动的申请 | 11 Risk mitigation: application of risk-based evaluation activities by SLC |
|---|---|
| 信息框：FSC 的风险识别和评审<br>介绍<br>对于供应链或证书持有者而言，如果现有条件导致认证机构无法发现不符合项，则采用基于风险的方法。为了管理此类风险，FSC 引入了基于风险的评价活动。这些活动适用于评价产销监管链认证要求，前提是 FSC 已认定并通报了高诚信风险。<br>本附件旨在为实施基于风险的评价活动奠定基础，以降低 FSC 可能识别出的诚信风险。本附件不取代或凌驾<br>于 FSC 规定的任何其他评价活动之上。以下各节为 FSC 识别和沟通此类风险的流程，以及认证机构为帮<br>助 FSC 降低风险而应采取的基于风险的评价活动。<br>风险识别<br>1. 为了识别诚信风险，FSC 会考虑以下方面的意见：<br>a) 针对 FSC 认证木材采伐量与市场上可获取量不符的情况，进行交易核实调查；或<br>b) 其他来源包括但不限于：<br>i. FSC 或 ASI 调查结果；<br>ii. 来自 ASI 评审和 ASI 活动的信息，以及对认证机构的监督；<br>iii. ASI 或 FSC 事故报告和事故趋势数据；<br>iv. 从 FSC 数字审核报告中获得的数据和结论；<br>v. 地理信息系统观测；<br>vi. FSC 痕量数据分析 （按地区或供应链汇总的数据）<br>vii. FSC 认证数据库分析；<br>viii. 木材鉴定检测结果；<br>ix. 认证机构提供的证据；<br>x. 意见，包括利益相关者的投诉。<br>风险评审<br>2. FSC 对诚信风险的评价如下：<br>a) 评价过程中未能识别出不符合项的可能性<br>b) 已识别风险的规模和严重程度。<br>FSC 将风险等级定义为：“低诚信风险”和“高诚信风险”<br>风险评审结果的沟通<br>3. 若存在高诚信风险，FSC 将于 1 月 1 日或 7 月 1 日公布风险评估结果。。<br>4. FSC 通过提供风险性质描述、确认风险的来源以及受风险影响的供应链等信息，向认证机构通报情况，其中包括：<br>a) 证书持有人的地理位置；<br>b) 根据 FSC 分类的产品类型；<br>c) 物种的通用名和学名； | Informativeve box: Risk identification and assessment by FSC<br>Introduction<br>A risk-based approach is to be used for a supply chain or for certificate holders operating in an environment where existing conditions prevent a certification body from detecting nonconformities. To manage such risks, FSC has introduced risk-based evaluation activities, these activities apply for evaluating both forest management and chain of custody certification requirements in cases where FSC has concluded and communicated high integrity risk.’<br>This annex serves as a basis for the implementation of risk-based evaluation activities to mitigate the integrity risks that may be identified by FSC. This annex does not replace or supersede any of other evaluation activities specified by FSC. The sections below present the process for identification and communication of such risks by FSC, and risk-based evaluation activities to be applied by certification bodies to help FSC mitigate the risk.<br>Risk identification<br>1. For identification of the integrity risk, FSC considers input from the:<br>a)results of transaction verification investigations, for cases of discrepancy between FSC-certified wood volumes harvested and available on the market; or<br>b)other sources such as but not limited to:<br>i.results of FSC or ASI investigations;<br>ii.information from ASI assessments and ASI activities on overseeing certification bodies;<br>iii.ASI or FSC incident reports and incident trend data;<br>iv.data and conclusions obtained from FSC digital auditing reports;<br>v.GIS observations;<br>vi.FSC Trace data analysis (aggregated data per region or supply chain);<br>vii.FSC certification database analysis;<br>viii.wood identification testing results;<br>ix.evidence from certification bodies;<br>x.inputs, including complaints from stakeholders.<br>Risk assessment<br>2. FSC assesses the integrity risk as:<br>a)likelihood of not identifying nonconformities during the evaluation,<br>b)scale and magnitude of the identified risk.<br>FSC defines the level of risk as: ‘Low integrity risk’ and ‘High integrity risk (see Section C Terms and Definitions)<br>Communication of risk assessment results<br>3.In case of high integrity risk, FSC publishes the results of risk assessment on January 1st or July 1st.<br>4.FSC informs certification bodies by providing the |

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| d) 受影响证书持有人的业务活动。 | description of the nature of risk, sources that confirmed it and supply chains that are subject to the risk, including:<br>a)geographical location of certificate holders;<br>b)product type according to FSC classification;<br>c)species common and scientific name;<br>d)business activity of affected certificate holder. |
| 11.1 在收到 FSC 的通知后，上海砺鼎应识别受高诚信风险评级影响的组织。 | 11.1 SLC shall identify the organizations affected by high integrity risk designations after notification by FSC. |
| 11.2 除非 FSC 另有通知，否则上海砺鼎将从下一次评估开始实施基于风险的评估活动。 | 11.2 SLC shall start to apply risk-based evaluation activities to the next evaluation, unless communicated otherwise by FSC. |
| 11.3 在 FSC 确认风险已得到缓解之前，上海砺鼎应针对受影响的组织开展以下基于风险的评估活动： | 11.3 SLC shall apply the following risk-based evaluation activities to the affected organization until FSC has confirmed that the risk is mitigated: |
| a) 在每个认证周期内至少进行一次不事先通知的监督评估；<br>注：这并非额外的评估。 | a) conduct at least one unannounced surveillance evaluation per certification cycle;<br>NOTE: This is not an additional evaluation. |
| b) 在授予认证、扩大范围或批准将业务外包给非 FSC 证书认证的分包商之前，应采取额外的尽职调查措施；<br>注：对于制定额外的尽职调查要求，认证机构可以参考国际 FSC 制定的指南。 | b) apply additional due diligence measures prior to granting certification, scope extensions, or approving outsourcing to non-FSC CoC-certified sub-contractors;<br>NOTE: For the development of additional due diligence requirements, the certification body may use the guideline developed by FSC International. |
| c) 若无销售发生，则不得豁免监管链的监督审核。 | c) not waive the chain of custody surveillance evaluation in case of zero sales. |
| 11.4 上海砺鼎应根据 FSC 的要求，针对具体情况进行额外的评估活动，以降低某些类型的风险。此类措施可能包括但不限于： | 11.4 SLC shall apply the additional evaluation activities to mitigate certain types of risk on a case-by-case basis as required by FSC. Such measures may include but are not limited to: |
| a) 对用于 FSC 认证产品的采伐木材来源的确认； | a) confirmation of origin of harvested wood used in FSC-certified products; |
| b) 在审核过程中，检查所识别风险范围相关的非 FSC 发票； | b) check non-FSC invoices related to the scope of identified risk during the evaluation; |
| c) 核实受影响的组织是否强制使用 FSC 追溯系统，并核实 FSC 追溯系统中的年度总量汇总及交易匹配情况； | c) verify the mandatory use of FSC Trace by the affected organization and verification of annual volume summaries and transaction matches in FSC Trace; |
| d) 用于木材身份测试的木材样本采集； | d) wood sample collection for Wood ID tests; |
| e) 审核团队构成、审核人员资质、审核频率、审核人员轮换等。 | f) audit team composition, auditor qualification, audit frequency, auditor rotation etc. |
| 11.5 指定评估措施的停用 | 11.5 **Deactivation of the specified evaluation measures** |
| 一旦 FSC 确认完整性风险已得到缓解，上海砺鼎就可以停止执行所规定的评估措施。 | SLC may stop implementing the specified evaluation measures upon FSC's confirmation that the integrity risk has been mitigated. |
| 对 FSC 指定的风险保持适用性和行动记录。在触发时，实施树种来源检查和范围更新。对于指定的劳工风险区域， | Maintain an applicability and action register for FSC-designated risks. Apply species-origin checks and scope updates where triggered. For designated labour-risk |

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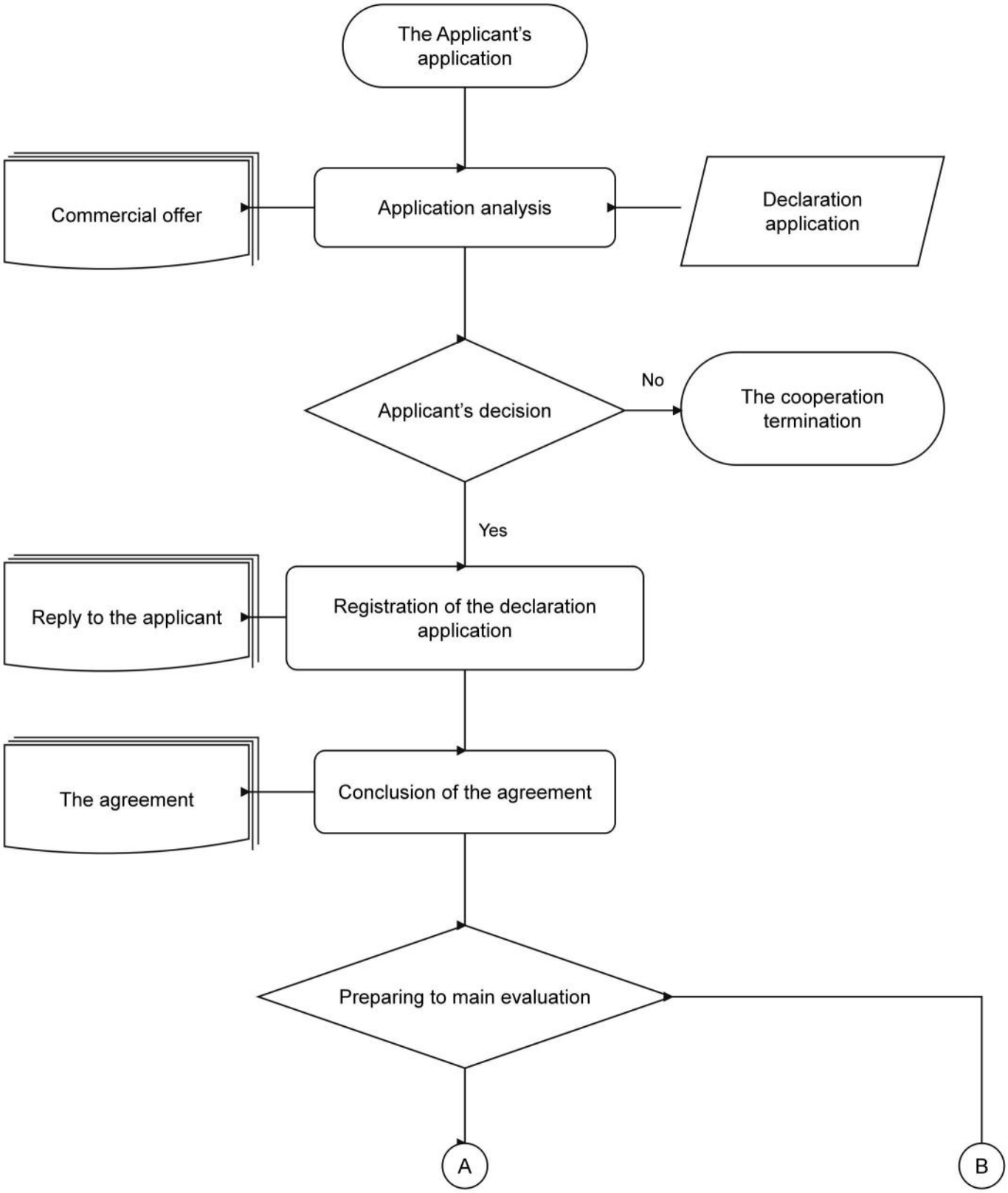
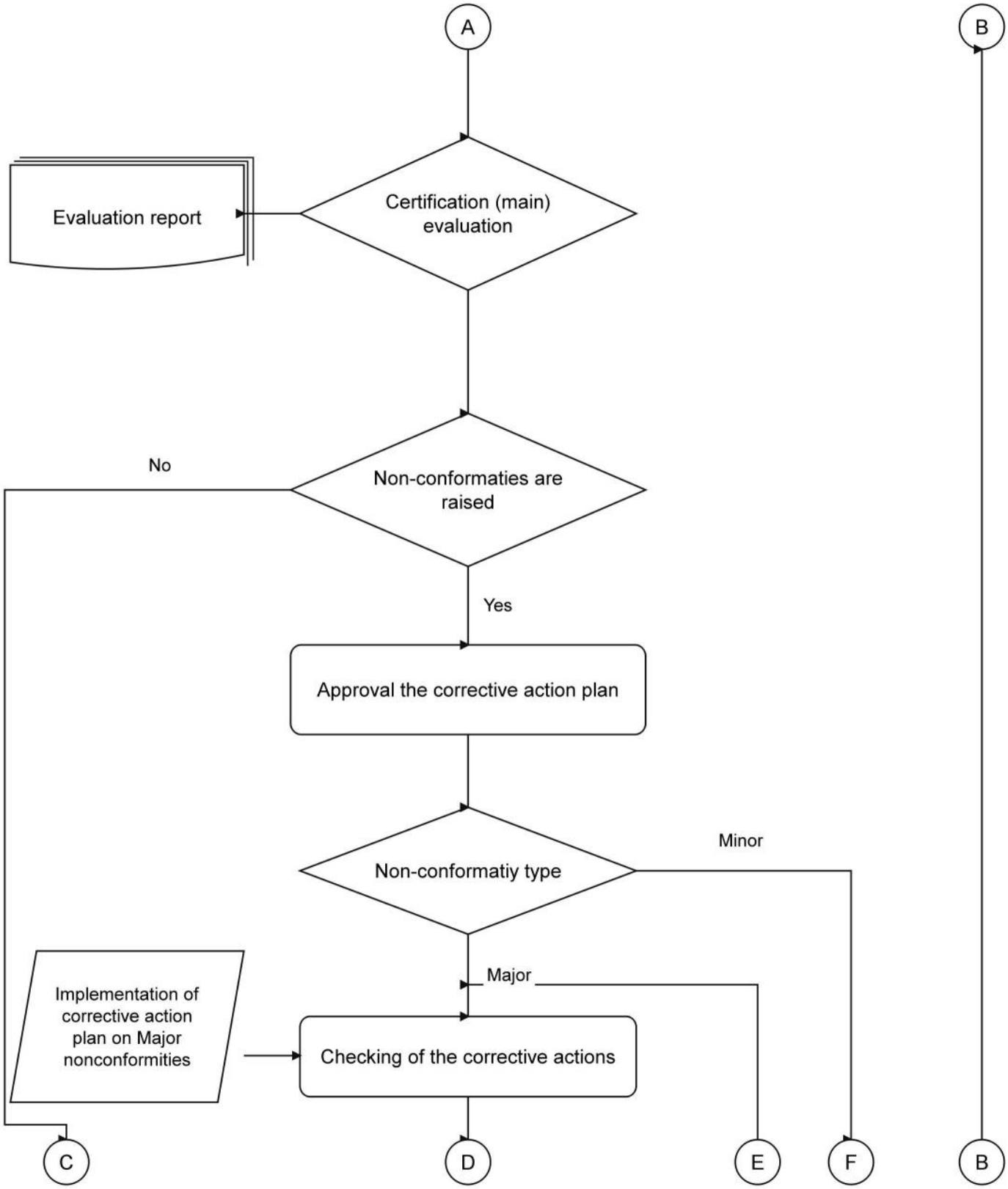
| 除本章一般措施外，还需执行额外的未通知审核、访谈和报告要求。即使没有客户受到影响，也应记录筛查情况。 | areas, apply the specific additional unannounced-evaluation, interview and reporting requirements, beyond this chapter's general measures. Record screening even where no clients are affected. |

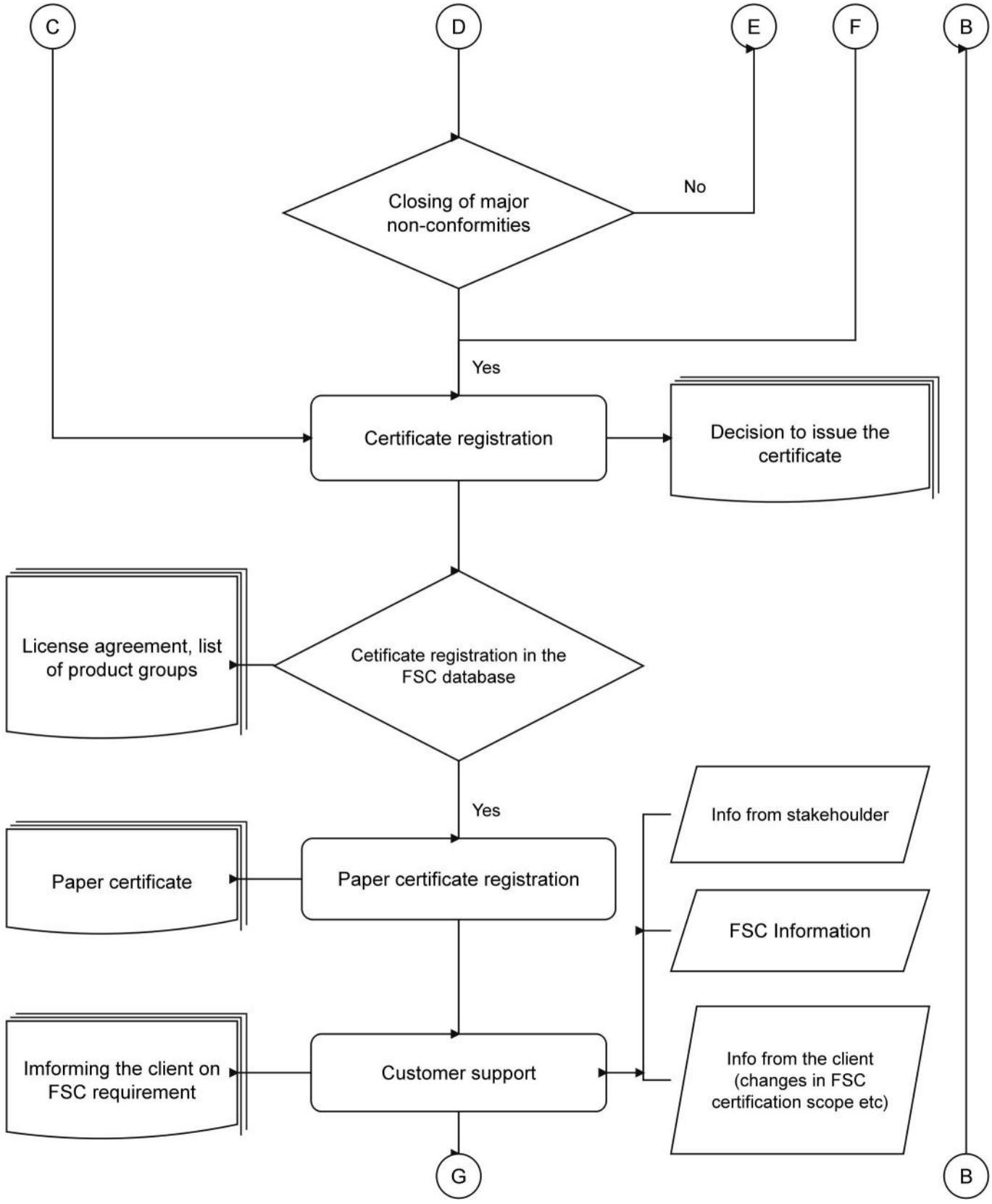
## Annex 1. Flowchart of Forest Certification Program (1/4)



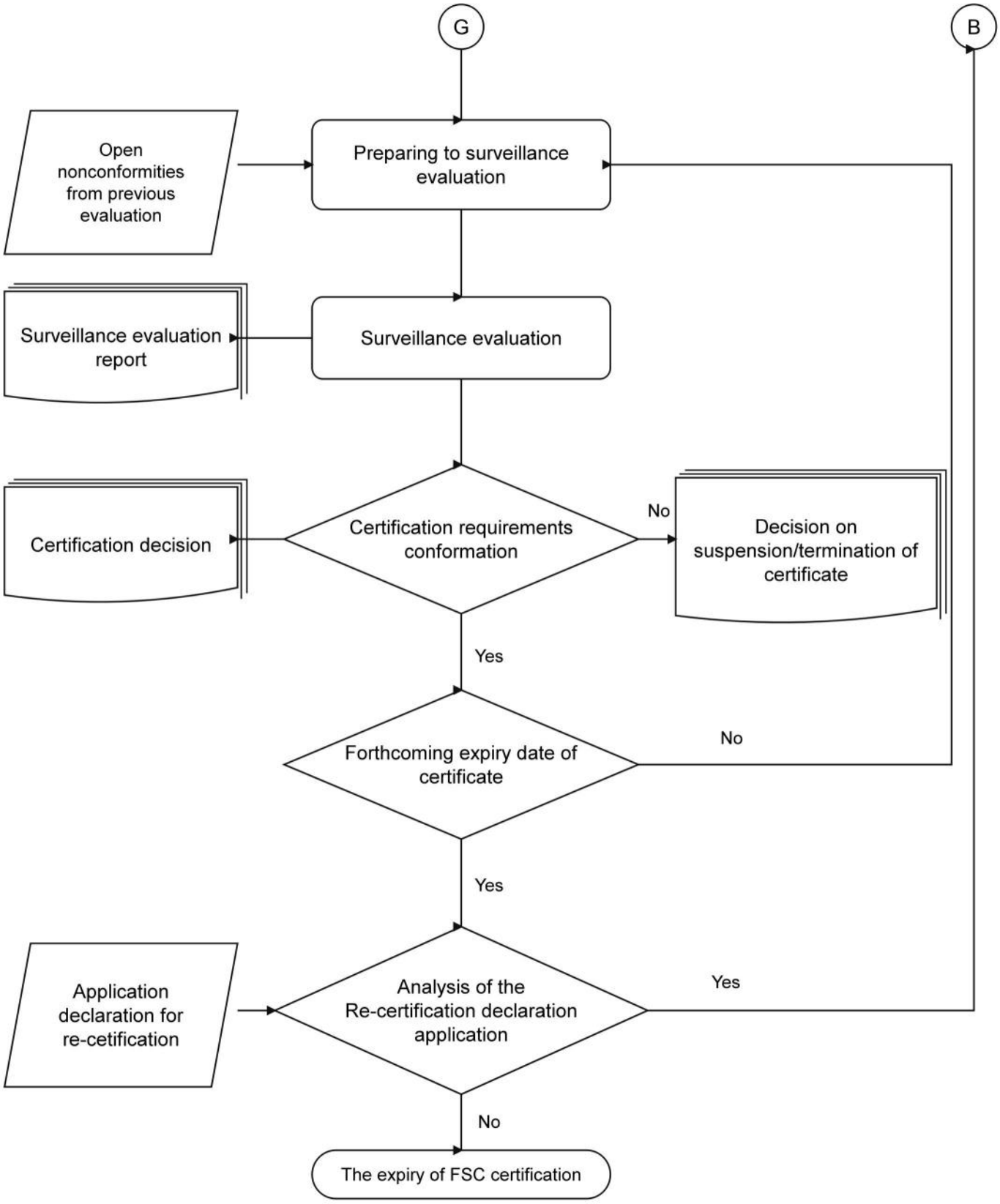
## Annex 1. Flowchart of Forest Certification Program (2/4)



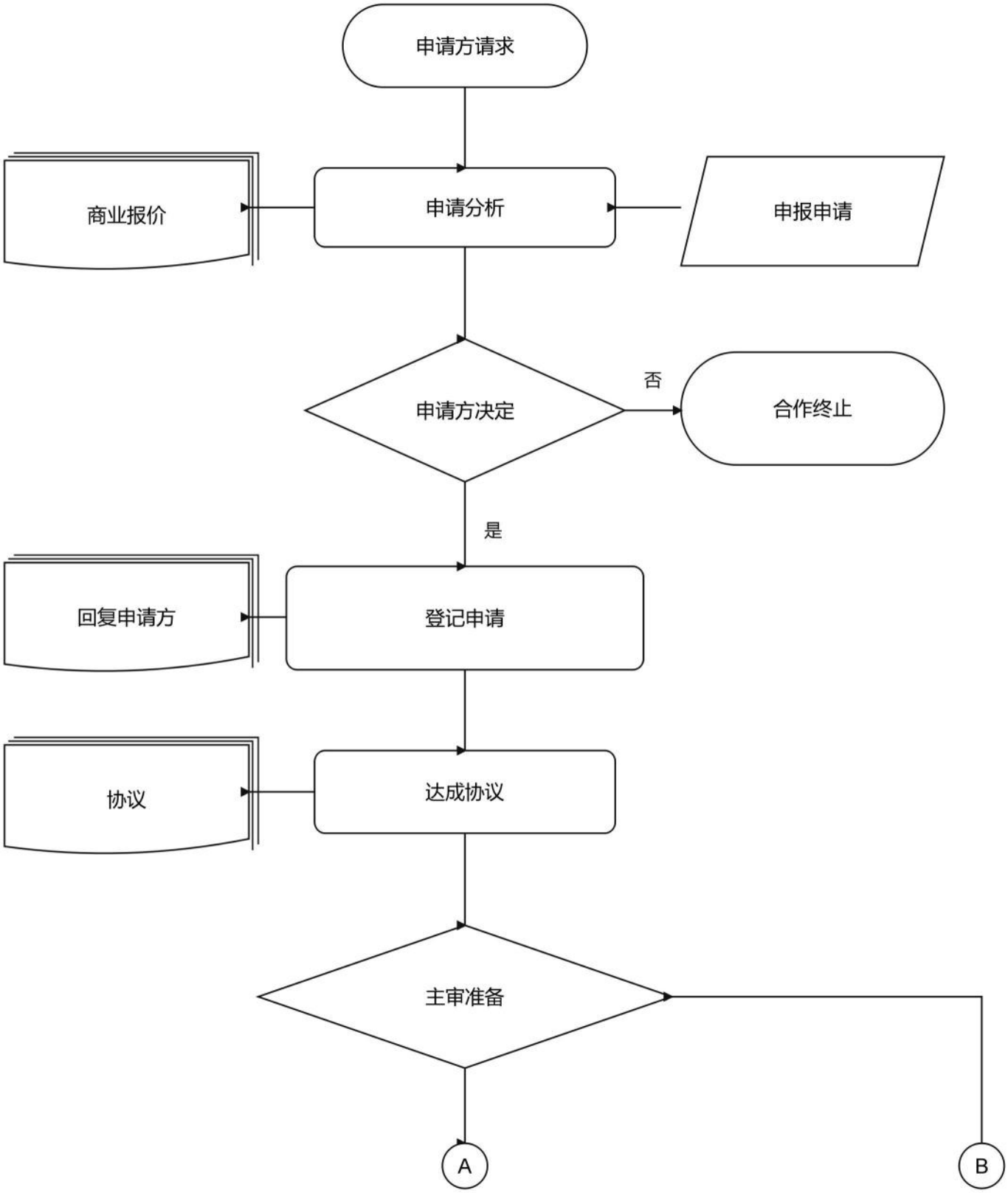
## Annex 1. Flowchart of Forest Certification Program (3/4)



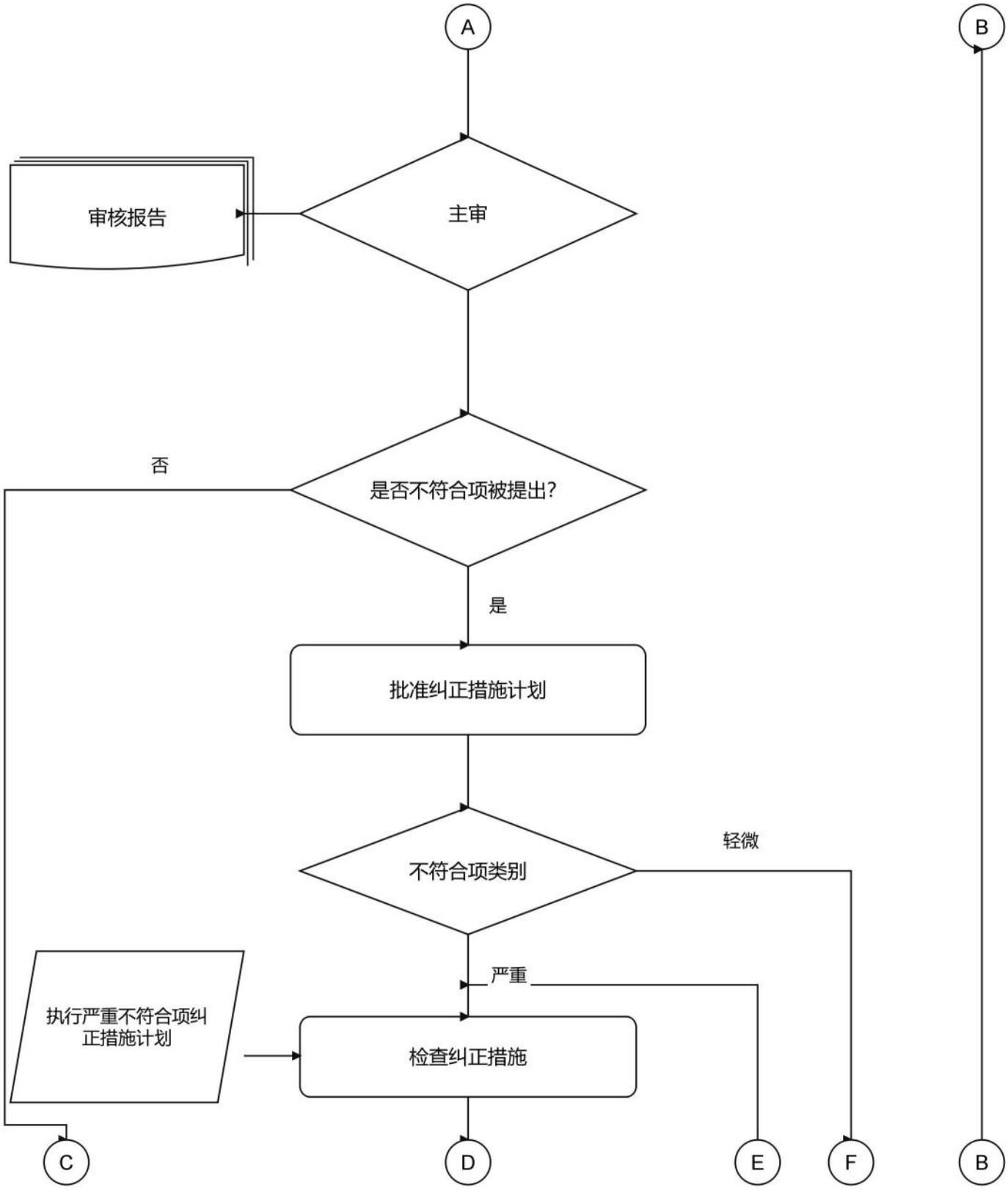
## Annex 1. Flowchart of Forest Certification Program (4/4)



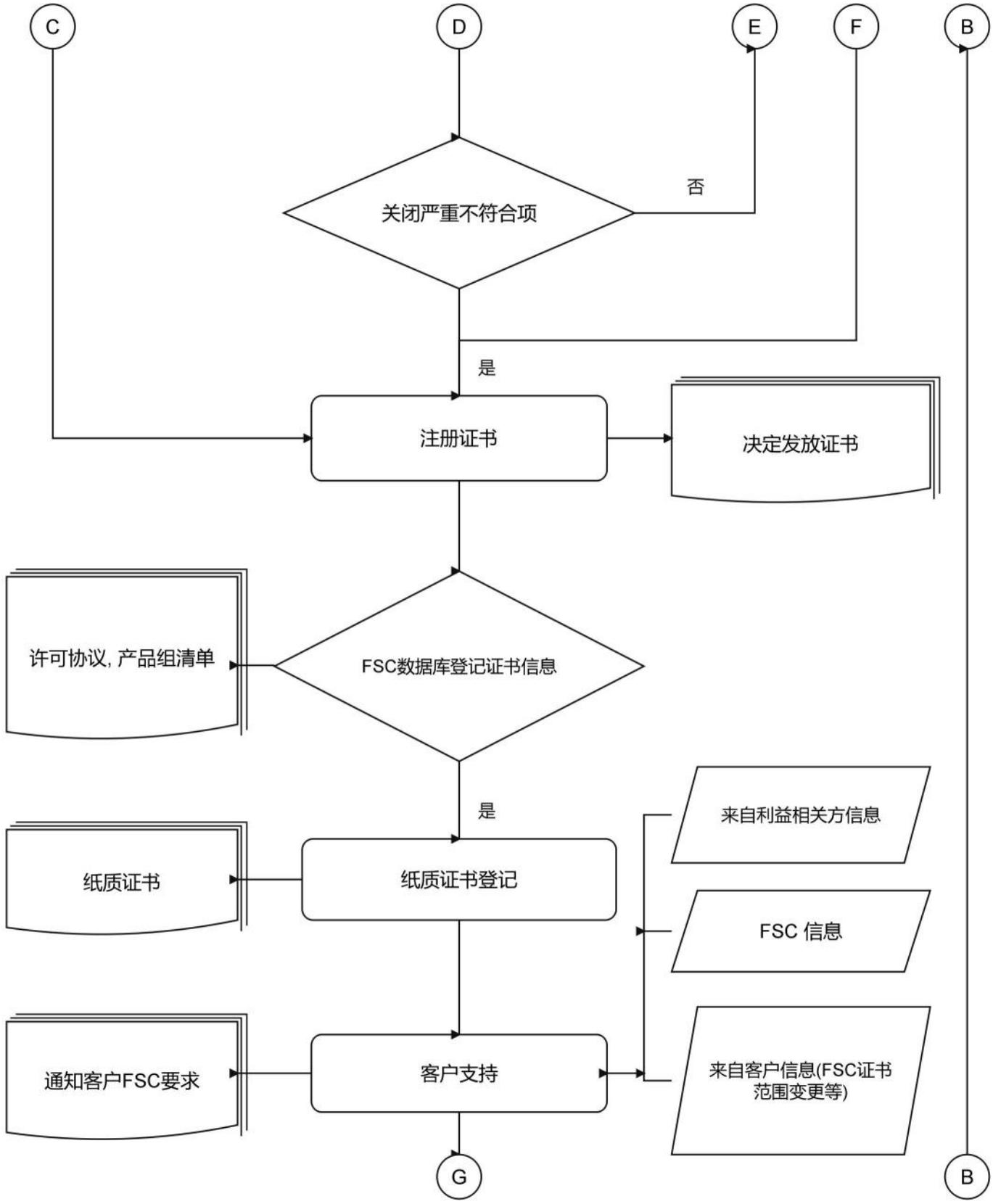
## 附录 1. 森林认证流程图（1/4）



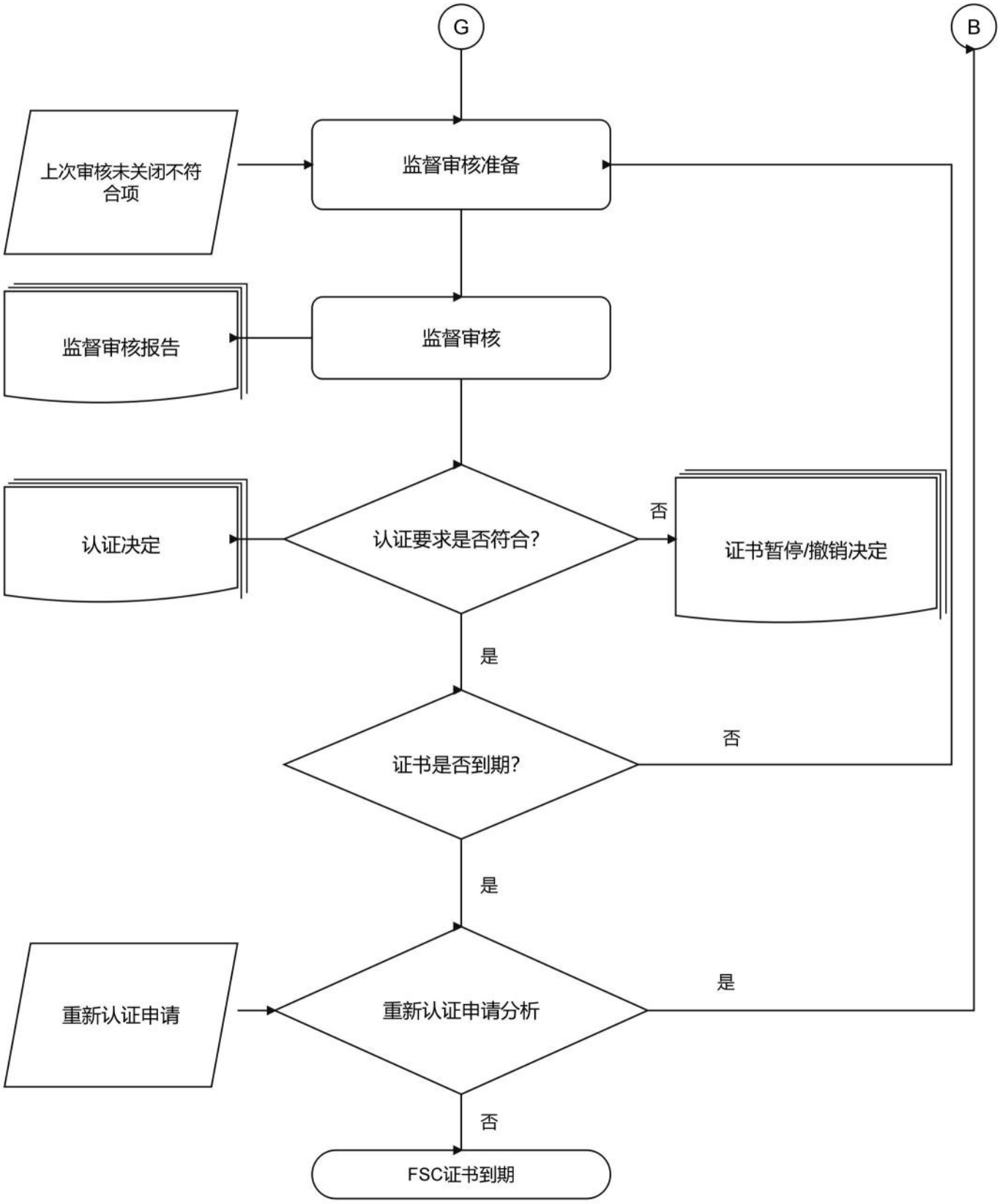
## 附录 1. 森林认证流程图（2/4）



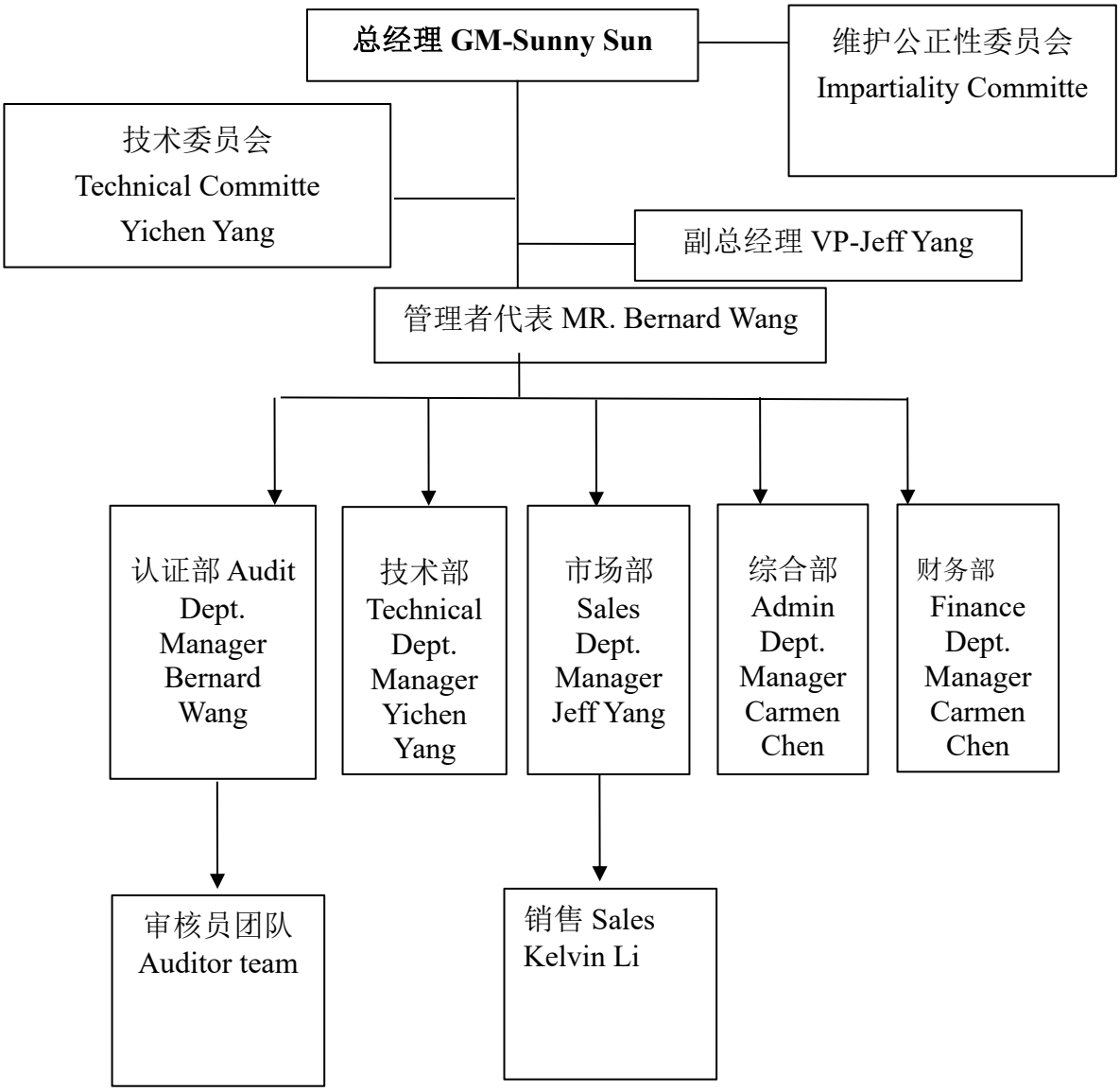
## 附录 1. 森林认证流程图（3/4）



## 附录 1. 森林认证流程图（4/4）



**Annex 2. FSC Structure of SLC**



# 附件 3 评估报告的最低内容

## ANNEX 3 MINIMUM CONTENT OF EVALUATION REPORTS

附件 3 至 6 依据 FSC-STD-20-011 V4-3 编制。下文引用的标准条款号及其他标准的附件号沿用原文。
Annexes 3 to 6 are based on FSC-STD-20-011 V4-3. References below to clauses and annexes of standards retain their original numbering.

**1. 封面**

**1. Cover page**

a) 认证机构的名称、联系方式及网站地址。
a) Name, contact details, and website address of the certification body.

b) 报告日期（日、月、年）。
b) Date (day, month, and year) of the report.

c) 评估类型（例如初次评估）。
c) Type of evaluation (e.g. main evaluation).

d) 组织及联系人的名称或姓名、地址和联系方式。
d) Name, address, and contact details of the organization and contact person.

e) 产销监管链证书编号（如适用）。
e) Chain of custody certificate code (if applicable).

f) 受控木材证书编号（如适用）。
f) Controlled wood certificate code (if applicable).

g) 产销监管链证书签发日期。
g) Date of issue of the chain of custody certificate.

**2. 证书范围信息**

**2. Certificate scope information**

a) 证书类型：单一、集团或多场所。
a) Certificate type: single, group, or multisite.

b) 产品组（适用于依据 FSC-STD-40-004 获得认证的组织）。
b) Product group(s) (for organizations certified according to FSC-STD-40-004).

c) 说明认证范围为一次性项目认证或连续项目认证（适用于依据 FSC-STD-40-006 获得认证的组织）。
c) Specification of the scope as one-time or continuous project certification (for organizations certified according to FSC-STD-40-006).

d) 用于作出 FSC 声明的控制体系：转移体系、百分比体系和 / 或信用体系（适用于依据 FSC-STD-40-004 获得认证的组织）。
d) Control system(s) used for making FSC claims: transfer, percentage, and/or credit system (for organizations certified according to FSC-STD-40-004).

e) 按照《FSC-STD-40-004a FSC 产品分类》提供产品组信息。
e) Information on product groups in accordance with <FSC-STD-40-004a FSC Product Classification>

f) 适用于证书范围的 FSC 标准（例如 FSC-STD-40-005 V3-1、FSC-STD-40-007 V2-0）。
f) FSC standards applicable to the scope of the certificate (e.g. FSC-STD-40-005 V3-1, FSC-STD-40-007 V2-0).

g) 证书范围内每个场所（或参与场所）的以下信息：
g) For each site (or participating site) within the scope of the certificate:

i. 组织名称；
i. name of the organization;

ii. 地址；
ii. address;

iii. 场所活动（例如初级加工、次级加工、贸易、印刷、零售、建筑承包）；
iii. site activity (e.g. primary processor, secondary processor, trader, printer, retailer, building contractor);

iv. 按照最新版 FSC-POL-20-005 的规定，依据年度营业额（AAF）确定的场所规模等级；
iv. size class of the site in terms of annual turnover (AAF), as specified in the latest version of FSC-POL-20-005;

v. 对于集团和多场所证书，分配给各参与场所的标识符或子代码；
v. for group and multisite certificates, the identifier or sub-code assigned to each participating site;

vi. 项目成员（FSC-STD-40-006）。
vi. project members (FSC-STD-40-006).

原文脚注 9：认证机构应在 FSC 证书数据库中录入证书范围信息，并保持其更新。
Original footnote 9: Certification bodies are required to enter and maintain up-to-date information on the certificate scope in the FSC database of certificates.

**3. 评估范围**

**3. Scope of the evaluation**

a) 评估日期。
a) Evaluation date(s).

b) 认证机构审核员的姓名及资格。
b) Name(s) and qualifications of certification body auditors.

c) 现场审核总时间。
c) Total on-site auditing time.

d) 引用所使用的 FSC 规范性文件，包括版本号。
d) Reference to the FSC normative documents used, including the version number.

注：如参加 FSC 规范性文件草案的正式试点，认证机构应注明草案文件的名称和编号，并将据以签发证书的草案版本作为报告附件。
NOTE: In the case of formal FSC pilot tests of draft normative documents, the certification body shall specify the name and reference number of the draft document and include the version of the draft document against which a certificate was issued as an annex to the report.

e) 如适用，说明证书范围的任何变更，包括新增产销监管链业务或参与场所以及经营活动的变化。
e) Where applicable, description of any changes to the scope of the certificate, including new chain of custody operations or participating sites and changes in business activities.

**4. 审核发现（适用于依据 FSC-STD-40-004 获得认证的组织）**

**4. Audit findings (for organizations certified according to FSC-STD-40-004)**

a) 简述组织对其产品组清单中所有产品实施产销监管链控制的体系，包括：
a) Brief description of the system by which the organization maintains control over the chain of custody for all products included on the organization’s product group list, covering:

i. 管理体系；
i. management system;

ii. 材料采购；
ii. material sourcing;

iii. 材料接收与储存；
iii. material receipt and storage;

iv. 数量控制及采用的 FSC 声明控制体系（转移体系、百分比体系和 / 或信用体系）；
iv. volume control and the applied system for controlling FSC claims (transfer, percentage, and/or credit system);

v. 销售与交付；
v. sales and delivery;

vi. 标签使用（如适用）；
vi. labelling (if applicable);

vii. 外包安排。
vii. outsourcing arrangements.

b) 说明已识别的关键控制点。
b) Description of the identified critical control points.

c) 系统呈现审核发现，证明组织对评估所用的全部适用 FSC 规范性文件（例如 FSC-STD-40-004、FSC-STD-40-005）中各项要求的符合或不符合情况。
c) Systematic presentation of findings demonstrating conformity or nonconformity to each element of all applicable FSC normative document(s) used for the evaluation (e.g. FSC-STD-40-004, FSC-STD-40-005).

注：可以采用概要形式系统呈现证明符合或不符合的审核发现，但须涵盖关键控制点；对以粗体标示的标准章节的符合性进行总结时，应使认证决定人员能够对已实施体系的总体符合或不符合情况作出有充分依据的决定。
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 standard 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 nonconformity of the implemented system.

注：对于多场所和集团评估，应分别呈现每个被评估参与场所的审核发现。
NOTE: The audit findings shall be presented separately for each participating site evaluated in the case of multisite and group evaluations.

d) 说明并评审组织和 / 或认证机构收到的任何投诉、争议或有关不符合的指控。
d) Description and review of any complaints, disputes, or allegations of nonconformities received by the organization and/or the certification body.

e) 说明所有已形成文件的不符合项（参见 FSC-STD-20-001 第 7.4.11 条）。
e) A description of any documented nonconformities (see FSC-STD-20-001, Clause 7.4.11).

f) 如适用，报告还应系统评价组织对认证机构在上次评估中提出的轻微不符合项所要求的纠正措施的符合情况。
f) Where applicable, the report shall also include a systematic evaluation of the organization’s conformity to corrective actions for minor nonconformities issued by the certification body in the previous evaluation.

g) 对于初次评估和再评估，记录认证决定。
g) For main evaluations and re-evaluations, the certification decision.

h) 如任何评估导致证书暂停或终止，认证机构应在报告中记录该决定的理由。
h) If the certificate is suspended or terminated as a result of any evaluation, the certification body shall record the justification for this decision in the report.

i) 根据组织年度数量汇总提供 FSC 认证数量的信息，包括：
i) Information on FSC-certified volumes based on the organization’s annual volume summary, including:

i. FSC 投入总量；

i. total FSC input volumes;

ii. FSC 销售总量。

ii. total FSC sales.

注：如果组织自上次评估以来未销售任何带有 FSC 声明的产品，认证机构应在报告和 FSC 数据库中记录此信息。

NOTE: If the organization did not sell any products with FSC claims since the previous evaluation, the certification body shall record this information in the report and in the FSC database.

**5. 审核发现（适用于依据 FSC-STD-40-006 获得认证的组织-不适用于 SLC）**

**5. Audit findings (for organizations certified according to FSC-STD-40-006-Not applicable to SLC)**

**6. 外包（适用于依据 FSC-STD-40-004 获得认证的组织）**

**6. Outsourcing (for organizations certified according to FSC-STD-40-004)**

a) 证书范围所涵盖承包商的名称及联系方式。

a) Name and contact details of contractors covered by the scope of certificate.

b) 说明外包过程（例如计划、储存、干燥）。

b) Description of the outsourced processes (e.g. planning, storage, drying).

c) 按照第 12.2 条对已识别的外包活动风险进行分类并简要说明。

c) Classification and brief description of the identified risk of the outsourced activity according to Clause 12.2.

d) 对于高风险外包：

d) In the case of high-risk outsourcing:

i. 由认证机构审核的承包商清单；

i. list of contractors audited by the certification body;

ii. 简述认证机构对外包期间用于 FSC 认证产品处理 / 加工的材料所涉及的投入、产出记录及运输文件的评估。

ii. brief description of the certification body’s evaluation of records of material inputs, outputs, and transport documentation associated with material used in the handling/processing of FSC-certified products during outsourcing.

**7. 依据 FSC-STD-40-005 对受控木材要求的评估**

**7. Evaluation of controlled wood requirements against FSC-STD-40-005**

a) 说明尽职调查体系（DDS），包括每个参与场所的供应商结构：

a) Description of the DDS, including supplier structure for each participating site:

i. 供应商的准确数量以及次级供应商的大致或准确数量［原文脚注 10］；

i. exact number of suppliers and approximate or exact number of sub-suppliers [10];

ii. 供应商类型，例如初级、次级；

ii. supplier type: e.g. primary, secondary;

iii. 非 FSC 认证供应链的平均长度；

iii. average length of the non-FSC-certified supply chain(s);

iv. 与不合格投入混合的风险。

iv. risk of mixing with non-eligible inputs.

b) 组织公开的信息或该信息的引用（依据 FSC-STD-40-005 第 6 节）。该信息应在证书有效期内持续可获取。

b) Information made publicly available by the organization, or references to such (according to Section 6 of FSC-STD-40-005). This information shall be available for the period of validity of the certificate.

c) 评估组织就排除保密信息所提供的理由（依据 FSC-STD-40-005 第 6.2 d)条）。

c) Evaluation of justification for excluding confidential information provided by the organization (according to Clause 6.2 d) in FSC-STD-40-005).

d) 如适用，说明组织为使 DDS 适应已批准的 FSC 风险评估而获准延长调整期限的时间安排及情形。

d) Timeline and circumstances of an extension for the period during which the organization shall adapt the DDS to approved FSC risk assessments, where applicable.

e) 说明 DDS 或其组成部分的开发者，包括 DDS 是否由外部方开发。

e) Information about who has developed the DDS or elements of it, including whether the DDS was developed by an external party.

f) 简述根据第 6.2 条建立的 DDS 评估体系。

f) Brief description of the system developed for the evaluation of the DDS according to Clause 6.2.

g) 简要总结现场验证的发现（包括森林层面的审核及对供应链中供应商的现场验证），并说明 DDS 各类现场验证所采用抽样率的理由。

g) Brief summary of findings from field verification(s) (including audits at the forest level and on-site verification of suppliers in the supply chain), with justification for the sampling rate applied in any type of field verification of the DDS.

h) 总结认证机构开展的利益相关方咨询，包括：

h) Summary of stakeholder consultation conducted by the certification body, including:

i. 开展利益相关方咨询的地理区域（例如地理参考数据、州、省、供应单元）；

i. geographical area(s) for which stakeholder consultation was conducted (e.g. geo-reference data, state, province, supply units);

ii. 认证机构邀请参与咨询的利益相关方清单（按利益相关方群体标识）；

ii. list of stakeholders invited by the certification body to participate in the consultation (identified per stakeholder group);

iii. 收到的利益相关方意见概要。仅在事先获得被咨询利益相关方同意后方可公开其意见，且不得将意见与利益相关方姓名关联；

iii. summary of the stakeholder comments received. Comments shall only be published with prior consent from the consulted stakeholder and not associated with stakeholder names;

iv. 简述认证机构如何考虑利益相关方意见。

iv. Brief description of how the certification body has taken stakeholder comments into account.

原文脚注 10：供应商及次级供应商的定义见 FSC-STD-40-005《FSC 受控木材采购要求》。

Original footnote 10: Suppliers and sub-suppliers are defined in FSC-STD-40-005 Requirements for Sourcing FSC Controlled Wood.

**8. 集团和多场所评估**

**8. Group and multisite evaluations**

a) 概述在集团或多场所层面如何控制产销监管链。

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

b) 详细总结认证机构的抽样过程，包括：

b) Detailed summary of the certification body sampling process, including:

i. 按第 7.5 条抽样方法计算的审核抽样参与场所数量；

i. calculation of the number of participating sites sampled for the audit, according to the sampling methodology in Clause 7.5;

ii. 认证机构所审核的参与场所名称。

ii. name(s) of the participating site(s) audited by the certification body.

c) 明确说明根据第 7.1 条确定的集团或多场所证书年度增长限额。

c) Explicit statement of the specified annual growth limit of the group or multisite certificate determined according to Clause 7.1.

原文脚注 11：除使用检查表评估组织是否符合相关 FSC 规范性文件中的全部适用要求外，还应满足这些要求。

Original footnote 11: These requirements apply in addition to the checklists with the evaluation of the organization's conformance to all applicable requirements of the relevant FSC normative documents.

**9. 回收材料供应商审核方案的评估**

**9. Evaluation of supplier audit program for reclaimed materials**

a) 简述组织的回收材料验证方案。

a) Brief description of the organization's verification program for reclaimed materials.

b) 由认证机构评估的供应商名称及联系方式清单。

b) List with the name(s) and contact details of the supplier(s) evaluated by the certification body.

c) 简述认证机构对每个供应商的现场评估。

c) Brief description of the certification body's field evaluation of each supplier.

**10. 附件**

**10. Annexes**

a) 附件可包括支持或证实审核员发现或建议的任何补充信息（例如照片、发票副本、提单）。

a) 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).

# 附件 4 产销监管链审核过程中的文件和记录清单

# ANNEX 4 LIST OF DOCUMENTATION AND RECORDS IN CHAIN OF CUSTODY AUDIT PROCESSES

**框 4 资料性指南**

**Box 4 - Informative guidance**

以下清单提供 FSC-STD-40-004、FSC-STD-40-003、FSC-STD-40-005、FSC-STD-40-006、FSC-STD-40-007 中所含要求的引用。引用条款列于各项要求末尾的括号中，对应所指明的标准。本清单并非穷尽性清单，也不要求认证机构将审核仅限于此处列出的文件和记录。

The list below provides references to requirements as included in FSC-STD-40-004, FSC-STD-40-003, FSC-STD-40-005, FSC-STD-40-006, FSC-STD-40-007. References are put in brackets at the end of each requirement for the specified standard. This is not an exhaustive list, nor is the certification body required to limit the audit to the documents and records listed here.

1. 以下清单列出为评估是否符合 FSC 规范性要求而应审核的文件和记录（如适用）：

1. The following list provides documents and records that shall be audited (where applicable) to assess conformity with the FSC normative requirements:

**FSC-STD-40-004 的要求**

**Requirements from FSC-STD-40-004**

a) 适用于认证范围的已实施管理体系文件

a) Documentation of implemented management systems applicable to the certification scope (1.1)

b) 管理结构及人员职责

b) Management structure and personnel responsibilities

c) 产品组清单

c) Product group lists

d) 培训记录

d) Training records

e) 采购和销售文件，包括交付文件

e) Purchase and sales documents, including delivery documentation

a. 材料核算记录

a. Material accounting records

b. 年度数量汇总记录

b. Record of annual volume summaries

f) FSC 商标批准记录

f) Records of FSC trademarks' approvals

g) 供应商记录

g) Records of suppliers

h) 投诉记录

h) Records of complaints

i) 外包协议和程序记录

i) Records of outsourcing agreements and procedures

j) 不合格产品控制记录

j) Records of control of non-conforming products

k) 证明已制定并实施职业健康安全措施及 FSC 核心劳工要求的文件

k) Documentation that occupational health and safety practices and FSC core labour requirements are developed and implemented

l) 关键加工步骤的文件，包括相关管理体系和转换系数

l) Documentation of key processing steps including related management systems and conversion factors [4.1]

**FSC-STD-40-006 的要求（不适用于 SLC）**

**Requirements from FSC-STD-40-006 (Not applicable to SLC)**

**FSC-STD-40-003 的要求**

**Requirements from FSC-STD-40-003**

a) 管理结构及人员职责

a) Management structure and personnel responsibilities

b) 与参与场所签订的同意书或合同

b) Consent form or contract with participating sites

c) 中央办公室审核方案及其年度评审记录

c) Records of the Central Office Audit Program and its annual review

d) 管理多场所或集团产销监管链认证的文件化程序

d) Documented procedures to manage the Multi-site or Group CoC certification

e) 中央办公室保存的认证范围内所有参与场所的记录

e) Central Office records of all participating sites within the certification scope

f) 培训记录

f) Training records

g) 所有参与场所的记录

g) Records of all participating sites

h) 未报告 FSC 销售的参与场所出具的签署声明

h) Signed declaration from participating site where no FSC sales are reported

i) 中央办公室向参与场所提供的文件

i) Documentation provided by the Central Office to participating sites

**FSC-STD-40-005 的要求**

**Requirements from FSC-STD-40-005**

a) 与受控材料尽职调查方案有关的记录

a) Records related to a due diligence program for controlled material

b) 文件化的尽职调查体系（DDS）及其书面摘要。

b) Documented due diligence system (DDS) and a written summary of the DDS

c) DDS 内部审核记录

c) Records of internal audits to the DDS

d) 材料信息文件

d) Documentation on material information

e) 风险评估文件

e) Documentation on the risk assessment

f) 风险减损措施文件

f) Documentation on the risk mitigation

**FSC-STD-40-007 的要求**

**Requirements from FSC-STD-40-007**

a) 回收材料验证方案记录

a) Verification program records for reclaimed material

b) 文件化程序及所采购材料合格性的证据

b) Documented procedures and evidence of eligibility of sourced materials

c) 为纠正偏差而采取措施的记录

c) Records of actions taken to correct cases of deviation

d) 供应商审核方案文件

d) Documentation of the Supplier Audit Program

# 附件 5 产销监管链审核中应评估的地点和场所清单

# ANNEX 5 LIST OF LOCATIONS AND SITES FOR EVALUATION IN CHAIN OF CUSTODY AUDITS

**框 5 资料性指南**

**Box 5 - Informative guidance**

本清单并非完整清单，也不要求认证机构将审核仅限于此处列出的地点。

This is not a complete list, nor is the certification body required to limit the audit to the locations listed here.

本清单列出审核过程中应考虑的地点。针对特定情形的抽样方法仍然适用，本标准已分别规定：运营场所层面（第 6 节）、集团和多场所证书抽样（第 7 节）、回收材料供应商方案抽样（第 8 节）、项目证书场所选择（第 9 节）、利益相关方参与及 DDS 评估（第 10 和 11 节），以及外包协议下承包商的评估（第 12 节）。

The list indicates locations to be considered in the auditing process. Sampling approaches for specific situations still apply and are described in this standard at the level of the operational site (Section 6), sampling of group and multi-site certificates (Section 7), sampling for the supplier program for reclaimed materials (Section 8), selection of sites for project certificates (Section 9), stakeholder engagement and DDS evaluation (Sections 10 and 11), evaluation of contractors under outsourcing agreements (Section 12).

本清单并不规定每次审核 / 监督均须审核每个地点或场所；相关要求由本标准正文根据适用标准，以及评估时需考虑的相关文件和地点作出规定。在评估过程中选择具体地点时，认证机构可重点选择反映不同符合性风险水平的地点。

The list does not prescribe that each location or site needs to be audited in each audit/surveillance; this is regulated in the main body of this standard based on the applicable standards with related documents and locations to be considered during evaluation. For choosing specific locations in the evaluation process, CBs may focus on locations reflecting different levels of risk for conformity.

1. 以下清单列出为评估是否符合 FSC 规范性要求而应审核的 FSC 审核地点（如适用）：

1. The following list provides locations for FSC audits that shall be audited (where applicable) to assess conformity with FSC normative requirements:

a) 纳入认证范围且实施范围内任何活动的运营场所，例如产品采购、加工、储存（进货和出货）、贴标及开票。

a) Operational sites included and performing any activity in scope of the certification, such as purchase, processing, storage (for incoming and outgoing goods), labelling and invoicing of products.

b) 参与场所的评估（适用于采用 FSC-STD-40-003 的组织）。

b) Evaluation of participating sites (applicable to organizations applying FSC-STD-40-003).

c) 非认证材料采购的评估（适用于 FSC-STD-40-005 的使用者），包括 DDS 及相关利益相关方意见的评估。

c) Evaluation of sourcing non-certified materials (applicable for users of FSC-STD-40-005) including evaluations of the DDS and related stakeholder comments.

注：依据本标准第 11.1 b)条，可能需要进行现场验证（森林层面的审核，以及对供应商 / 次级供应商的现场验证）。

NOTE: Field verification (audits at the forest level and on-site verification of suppliers/sub-suppliers) may be required according to Clause 11.1 b) of this standard.

d) 项目场所及项目成员的评估（适用于采用 FSC-STD-40-006 的组织）。

d) Evaluation of project(s) site(s) and project members (applicable to organizations applying FSC-STD-40-006).

e) 供应商审核方案中回收材料来源的评估（适用于 FSC-STD-40-007 的使用者）。

e) Evaluation of reclaimed sources within a supplier audit program (applicable for users of FSC-STD-40-007).

f) 承接外包活动的承包商地点（如适用，依据第 12 节要求签订外包协议）。

f) Locations of contractors being outsourced (under an outsourcing agreement if applicable following requirements of Section12).

# 附件 6 审核时间的确定

## ANNEX 6 DETERMINATION OF AUDIT TIME

**1. 认证机构计算审核时间的程序应考虑以下审核事项：**

**1. The certification body procedure for calculating the audit time shall consider the following audit aspects:**

a) 召开首次会议（包括确认范围及任何可能的变更）；

a) Conducting the opening meeting (including scope confirmation and any possible changes);

b) 实施审核，包括以下要素：

b) Conducting the audit with the following elements:

i. 产销监管链管理体系（程序、职责、投诉、标签使用、未关闭纠正措施的分析等）

i. CoC management system (procedures, responsibilities, complaints, labelling, analysis of open corrective actions, etc.)

ii. 资源管理（健康与安全、FSC 核心劳工要求、培训、基础设施等）

ii. Resource management (H&S, FSC CLR, training, infrastructures, etc.)

iii. 生产（从材料接收到发运）

iii. Production (from material reception to dispatch)

iv. 商务活动（采购、销售、材料核算）

iv. Commercialization (sourcing, sales, material accounting)

c) 召开末次会议

c) Conducting the closing meeting

d) 考虑前往各地点和场所及其之间的交通时间；

d) Consideration of travelling to and between locations and sites;

e) 收集和验证信息；

e) Collecting and verifying information;

f) 评审未关闭的纠正措施；以及

f) Review of open corrective actions; and

g) 评审、分析并汇编审核发现。

g) Reviewing, analysing and compiling audit findings.

**2. 认证机构计算审核时间的程序至少应考虑以下因素：**

**2. The certification body procedure for calculating audit time shall at minimum consider the following factors:**

a) 场所数量；

a) Number of sites;

b) 参与场所的规模［可根据员工人数（全职当量）、产量或林产品营业额确定规模］；

b) Size of participating sites [size can be determined by the number of employees (full-time equivalent), production volumes or forest products turnover];

c) 组织的历史表现（例如关键控制点中不符合项的数量和类型）；

c) Historical performance of the organization (e.g. number and type of nonconformities in critical control points);

d) 范围的复杂程度（例如非认证材料采购、回收来源材料、外包、高诚信风险供应链、单个项目的复杂程度）；

d) Complexity of scopes (e.g., sourcing of non-certified materials, reclaimed sources materials, outsourcing, high integrity risk supply chains, complexity of individual project);

e) 管理体系的复杂程度；

e) Complexity of the management system;

f) 加工步骤的数量及复杂程度；

f) Number and complexity of processing steps;

g) 场所之间的距离（前往场所及场所之间的交通）；

g) Distance between sites (travelling to and between sites);

h) 未关闭的纠正措施（以往审核发现）；

h) Open corrective actions (former audit findings);

i) 投诉和利益相关方意见的数量及性质；

i) Number and nature of complaints and remarks from stakeholders;

j) 不合格产品及虚假声明的记录；

j) Records of non-conforming products and false claims;

k) 通过风险识别评估识别出的“高诚信风险”（参见 FSC-STD-20-001 V5-0 附件 4）。

k) Identified “high integrity risk” assessed through Risk identification assessment (see Annex 4, FSC-STD-20-001 V5-0).

**3. 审核时间由认证机构负责确定。计算审核持续时间时通常应考虑的因素包括：**

**3. The determination of the audit time is the responsibility of the certification body. Typical factors to consider when calculating audit duration include:**

a) 初次审核及范围变更 / 扩展；

a) Initial audit and scope changes/extensions;

b) FSC 产品组的数量及多样性；

b) Number and diversity of FSC product groups;

c) 生产过程的复杂程度；

c) Complexity of the production processes;

d) 场所规模；

d) Size of the site;

e) 沟通的有效性（例如语言）；

e) Communication effectiveness (e.g., language);

f) 组织结构及文件化信息的控制；

f) Organizational structure and control of documented information;

g) 上次审核中偏差 / 不符合项的数量及类型；

g) Number and type of deviations/nonconformities from the previous audit;

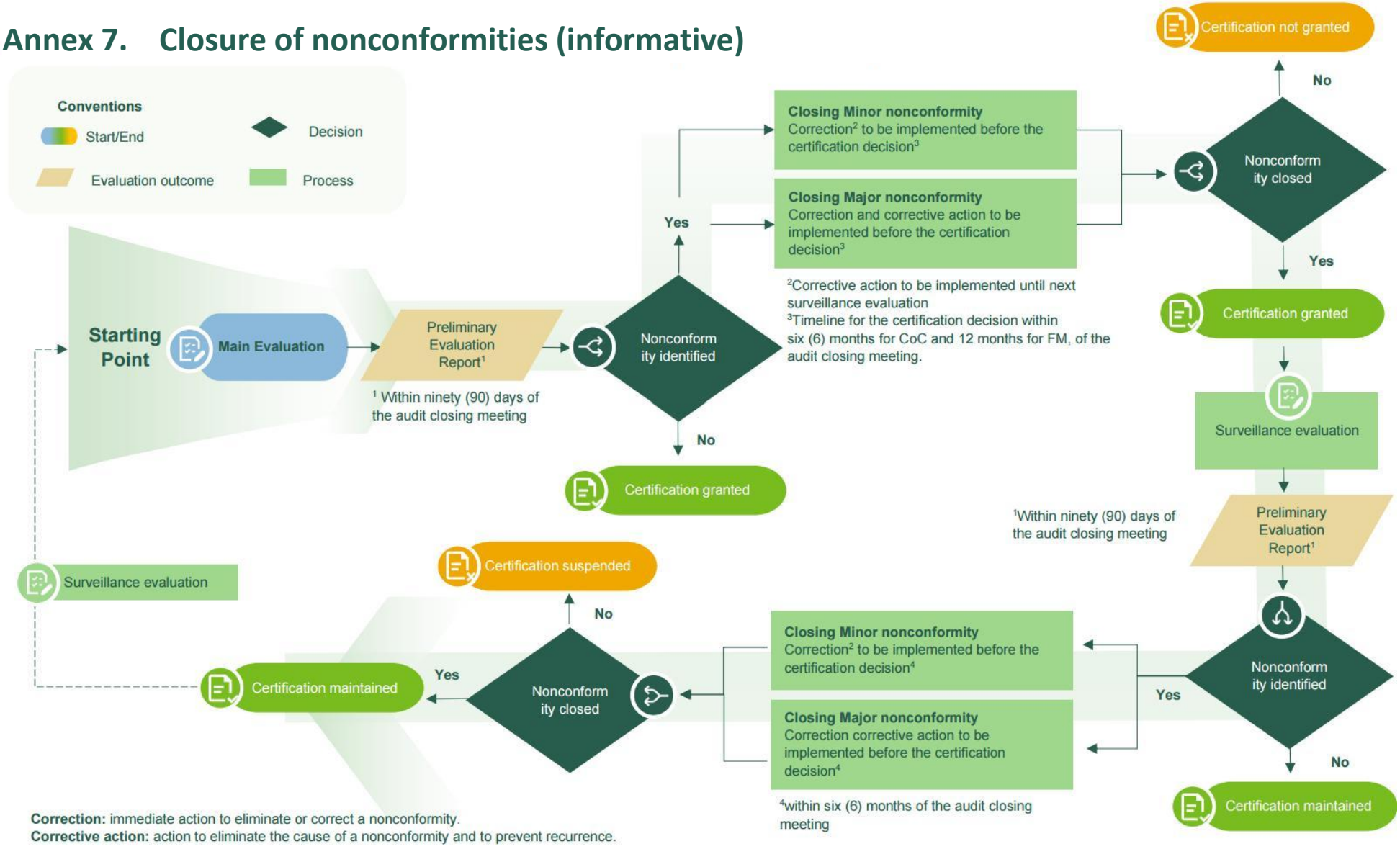
h) 部分要求可在中央办公室层面评估的多场所组织（包括生产场所涉及多个法律实体的情形）；

h) Multi-site organizations where some requirements can be assessed at the central office level (including situations of multi-legal entity production site);

i) 基于风险评估，采用劳动密集型简单重复作业的场所。

i) Sites with labour-intensive simple repetitive processes, based on a risk assessment.

# Annex 7. Closure of nonconformities (informative)



## 附件 8 森林经营及产销监管链审核员候选人和审核员资格要求

## Annex 8 Qualification requirements for forest management and chain of custody auditor candidates and auditors

来源：FSC-STD-20-001 V5-0 附件 2，第 40–43 页。保留原条款及表格编号；中文为本规则译文。

Source: FSC-STD-20-001 V5-0, Annex 2, pages 40–43. Original clause and table numbering retained. The Chinese text is a translation for this Manual.

| 中文 | English |
|---|---|
| 1.1. 认证机构应要求审核员候选人披露其当前或最近一次的 FSC 资格，以及在适用时披露其在 ASI 登记册中的审核员资格状态（见第 6.1.2.4 条）。 | 1.1. The certification body shall require the auditor candidates to disclose their current or last FSC qualification and the status of the auditor's qualification in the ASI register if applicable (see Clause 6.1.2.4). |
| 1.2. 审核员候选人和已取得资格的审核员应根据其资格范围，满足表 2 和表 3 的要求（见第 6.1.2.1 条）。 | 1.2. The auditor candidate and the qualified auditor shall meet the requirements in Table 2 and Table 3 in accordance with the scope of their qualification (see Clause 6.1.2.1). |

### 表 2 森林经营（FM）审核员候选人及审核员的资格要求（规范性）

### Table 2. Qualification requirements for forest management (FM) auditor candidates and auditors (normative)

| 中文 | English |
|---|---|
| **1.1. 审核员候选人的初次资格要求** | **1.1. Initial qualification requirements for auditor candidates** |
| **学历和专业经验** | **Education and professional experience** |
| 1. 具有相关学科（例如生态学、林业、社会学、经济学、人类学、环境科学）的高等教育学历（学院或大学学历）；并且<br>2. 具有三（3）年相关学科（例如生态学、林业、社会学、经济学、人类学）的专业经验（例如森林管理、咨询、研究）。<br>注：林业博士学位（或同等学位）视为相当于 1 年工作经验。 | 1. Tertiary education (college or university qualification) in a relevant discipline (e.g. ecology, forestry, sociology, economics, anthropology, environmental sciences); and<br>2. Three (3) years of professional experience (e.g. forest management, consultancy, research) in a relevant discipline (e.g. ecology, forestry, sociology, economics, anthropology).<br>NOTE: Ph.D. in forestry (or equivalent) is considered as 1 year equivalent of work experience. |
| 或者<br>1. 具有中等教育学历（高中毕业证书）；并且<br>2. 具有六（6）年相关学科（例如生态学、林业、社会学、经济学、人类学）的专业经验（例如森林管理、咨询、研究）。 | OR<br>1. Secondary education (high school certificate); and<br>2. Six (6) years professional experience (e.g. forest management, consultancy, research) in a relevant discipline (e.g. ecology, forestry, sociology, economics, anthropology). |
| **审核员及 FSC 培训** | **Auditor and FSC training** |
| 3. 成功完成 IRCA²注册的"ISO 管理标准审核员课程"，或 FSC-PRO-20-004《审核员培训方案》所述的 ISO 19011 审核技术课程，并取得证书。 | 3. Successful completion (with certificate) of an IRCA² registered "ISO management standard auditor course" or an ISO 19011 course on auditing techniques as described in <FSC-PRO-20-004 Auditor Training Programme>. |

| 中文 | English |
|---|---|
| 4. 成功完成 FSC-PRO-20-004《审核员培训方案》规定的 FM 审核员培训，并取得证书。 | 4. Successful completion (certificate) of an FM auditor training as specified in <FSC-PRO-20-004 Auditor Training Programme>. |
| 5. 在三（3）年期间内，以实习审核员身份参加至少四（4）次第三方 FM 审核，其中：<br>a) 至少一（1）次为主评估或重新评估；<br>b) 至少一（1）次为监督评估；<br>c) 至少两（2）次作为审核组的实际参与成员，其中一次应担任审核组长——如果该候选人未来预期承担此角色；<br>d) 两（2）次可作为观察员参加。<br>注：本要求是指参与完整审核。仅参与部分审核不计入满足本要求的次数。 | 5. Attendance as an auditor in training in at least four (4) third-party FM audits in a three (3) year period, whereas:<br>a) at least one (1) shall be a main or re-evaluation;<br>b) at least one (1) shall be a surveillance evaluation;<br>c) at least two (2) shall be as an active member of the audit team with one of these two as audit team leader – if the auditor candidate is expected to perform such a role in the future;<br>d) two (2) may be as an observer.<br>NOTE: This requirement refers to participation in the full audit. Participation in part of the audit does not count towards meeting this requirement. |
| 6. 全部四（4）次评估均应有一名具备资格的监督审核员参加，并应提供由监督审核员编写的、包含专业表现推荐意见的总体监督报告。 | 6. During all four (4) evaluations a supervising qualified auditor shall attend and an overall supervision report including a recommendation on professional performance written by the supervising auditor shall be available. |
| **1.2. 审核员的持续资格要求** | **1.2. Continuous qualification requirements for auditors** |
| **FSC 培训** | **FSC training** |
| 1. 每个日历年成功完成持续培训，培训内容取决于：<br>a) 因新增或修订要求，或解释等其他相关修改而产生的、与相应资格范围有关的 FSC 体系变化；和/或<br>b) 个人监控、组织反馈和/或评价过程的结果。 | 1. Successful completion of ongoing training every calendar year dependent on:<br>a) changes in the FSC system relevant to the respective scope due to new or revised requirements, or other relevant amendments such as interpretations; and/or<br>b) results of the individual monitoring, the organization feedback and/or evaluation process. |
| **持续专业经验** | **Continuous professional experience** |
| 2. 每个资格范围每个日历年至少完成三（3）个现场审核日，最迟不得晚于下一日历年 3 月底。 | 2. At least three (3) on-site audit days every calendar year per qualification scope and no later than by the end of March of the following calendar year. |
| 3. 从事评估结果评审和认证决定的审核员，可以每个资格范围每个日历年至少作为观察员参加一（1）次现场审核，替代上述第 2 项持续专业经验要求。 | 3. Auditors involved in reviewing the evaluation results and making certification decision may replace the above listed requirement in point 2 for continuous professional experience by the attendance of at least one (1) on-site audit as an observer every calendar year per qualification scope. |
| **审核员表现评价** | **Auditor performance evaluation** |
| 4. 见证审核：每三（3）个日历年进行一（1）次见证审核，并由监督审核员编写包含推荐意见的监督报告。<br>注：见证审核针对具体资格范围。其他认证方案的见证审核不适用于 FSC 体系。 | 4. Witness audit: one (1) witness audit every three (3) calendar years, with a supervision report including a recommendation written by the supervising auditor.<br>NOTE: Witness audits are scope specific. Witness audits for other certification schemes are not applicable for the FSC system. |

| 中文 | English |
|---|---|
| 5. 从事评估结果评审和认证决定的审核员，可以每个资格范围每个日历年至少作为观察员参加一（1）次现场审核，替代上述第 4 项审核员表现评价要求。 | 5. Auditors involved in reviewing the evaluation results and making the certification decision may replace the listed requirement in point 4 for the auditor performance evaluation by the attendance of at least one (1) on-site audit as an observer every calendar year per qualification scope. |

2 IRCA——国际注册审核员协会（www.irca.org），为审核员注册方案。
2 IRCA — International Register of Certificated Auditors (www.irca.org) — is an auditor registration scheme.

**表 3 产销监管链（CoC）审核员候选人及审核员的资格要求（规范性）**

**Table 3. Qualification requirements for chain of custody (CoC) auditor candidates and auditors (normative)**

| 中文 | English |
|---|---|
| **2.1. 审核员候选人的初次资格要求** | **2.1. Initial qualification requirements for auditor candidates** |
| **学历和专业经验** | **Education and professional experience** |
| 1. 具有高等教育学历（学院或大学学历）；并且<br>2. 具有两（2）年林产品行业专业经验。 | 1. Tertiary education (college or university qualification); and<br>2. Two (2) years of professional experience in the forest products sector. |
| 或者<br>1. 具有中等教育学历（高中毕业证书）；并且<br>2. 具有四（4）年林产品行业专业经验。 | OR<br>1. Secondary education (high school certificate); and<br>2. Four (4) years of professional experience in the forest products sector. |
| 3. 下列专业经验视为等同于林产品行业经验（清单并非详尽列举）：<br>a) 属于 ISEAL 会员的认证体系中的人员（例如内部或外部审核员、评审员或认证决定人员）；或<br>b) 在 CQI/IRCA、Exemplar Global、ICA 及中国 CCAA 注册的 ISO 管理标准（ISO 9001、ISO 14001 或 ISO 45001）审核员/主任审核员。 | 3. The following professional experience is considered equivalent to experience in the forest product sector (list is not exhaustive):<br>a) personnel of certification systems with ISEAL membership (e.g. internal or external auditor, reviewer or decision maker); or<br>b) registered ISO management standard (ISO 9001, ISO 14001 or ISO 45001) auditor/lead auditor with CQI/IRCA, Exemplar Global, ICA and CCAA in China. |
| 4. 最多一（1）年的全职工作经验可由额外四（4）次受监督审核替代。 | 4. Maximum one (1) year of full-time work experience may be replaced by four (4) additional supervised audits. |
| **审核员及 FSC 培训** | **Auditor and FSC training** |
| 5. 成功完成 IRCA 注册的“ISO 管理标准审核员课程”，或 FSC-PRO-20-004《审核员培训方案》所述的 ISO 19011 审核技术课程，并取得证书。 | 5. Successful completion (certificate) of an IRCA registered “ISO management standard auditor course” or an ISO 19011 course on auditing techniques as described in <FSC-PRO-20-004 Auditor Training Programme>. |
| 6. 成功完成 FSC-PRO-20-004《审核员培训方案》规定的 CoC 审核员培训，并取得证书。 | 6. Successful completion (certificate) of a CoC auditor training as specified in <FSC-PRO-20-004 Auditor Training Programme>. |

| 中文 | English |
|---|---|
| 7. 在三（3）年期间内，以实习审核员身份参加至少四（4）次第三方 CoC 审核，其中：<br>a) 至少一（1）次为主评估或重新评估；<br>b) 至少一（1）次为监督评估；<br>c) 至少两（2）次作为审核组的实际参与成员，其中一次应担任审核组长——如果该候选人未来预期承担此角色；<br>d) 两（2）次可作为观察员参加。<br>注：本要求是指参与完整审核。仅参与部分审核不计入满足本要求的次数。 | 7. Attendance as an auditor in training in at least four (4) third-party CoC audits in a three (3) year period, whereas:<br>a) at least one (1) shall be a main or re-evaluation;<br>b) at least one (1) shall be a surveillance evaluation;<br>c) at least two (2) shall be as an active member of the audit team with one of these two as audit team leader – if the auditor candidate is expected to perform such a role in the future;<br>d) two (2) may be as observer.<br>NOTE: This requirement refers to participation in the full audit. Participation in part of the audit does not count toward meeting this requirement. |
| 8. 全部四（4）次评估均应有一名具备资格的监督审核员参加，并应提供由监督审核员编写的、包含专业表现推荐意见的总体监督报告。 | 8. During all four (4) evaluations a supervising qualified auditor shall attend and an overall supervision report including a recommendation on professional performance written by the supervising auditor shall be available. |
| **2.2. 审核员的持续资格要求** | **2.2. Continuous qualification requirements for auditors** |
| **FSC 培训** | **FSC training** |
| 1. 每个日历年成功完成持续培训，培训内容取决于：<br>a) 因新增或修订要求，或解释等其他相关修改而产生的、与相应资格范围有关的 FSC 体系变化；和/或<br>b) 个人监控、组织反馈和/或评价过程的结果。 | 1. Successful completion of ongoing training every calendar year dependent on:<br>a) changes in the FSC system relevant to the respective scope due to new or revised requirements, or other relevant amendments such as interpretations; and/or<br>b) results of the individual monitoring, the organization feedback and/or evaluation process. |
| **持续专业经验** | **Continuous professional experience** |
| 2. 每个资格范围每个日历年至少完成三（3）个现场审核日，最迟不得晚于下一日历年 3 月底。 | 2. At least three (3) on-site audit days every calendar year per qualification scope and no later than by the end of March of the following calendar year. |
| 3. 从事评估结果评审和认证决定的审核员，可以每个资格范围每个日历年至少作为观察员参加一（1）次现场审核，替代上述第 2 项持续专业经验要求。 | 3. Auditors involved in reviewing the evaluation results and making the certification decision may replace the above listed requirement in point 2 for continuous professional experience by the attendance of at least one (1) on-site audit as an observer every calendar year per qualification scope. |
| **审核员表现评价** | **Auditor performance evaluation** |
| 4. 见证审核：每三（3）个日历年进行一（1）次见证审核，并由监督审核员编写包含推荐意见的监督报告。<br>注：见证审核针对具体资格范围。其他认证方案的见证审核不适用于 FSC 体系。 | 4. Witness audit: one (1) witness audit every three (3) calendar years, with a supervision report including a recommendation written by the supervising auditor.<br>NOTE: Witness audits are scope specific. Witness audits for other certification schemes are not applicable for the FSC system. |

| 中文 | English |
|---|---|
| 5. 从事评估结果评审和认证决定的审核员，可以每个资格范围每个日历年至少作为观察员参加一（1）次现场审核，替代上述第 4 项审核员表现评价要求。 | 5. Auditors involved in reviewing the evaluation results and making the certification decision may replace the listed requirement in point 4 for the auditor performance evaluation by the attendance of at least one (1) on-site audit as an observer every calendar year per qualification scope. |

**表 4 森林经营及产销监管链审核员候选人和审核员的个人素质（规范性）**

**Table 4. Personal attributes for forest management and chain of custody auditor candidates and auditors (normative)**

| 中文 | English |
|---|---|
| **审核员候选人和审核员的个人素质：** | **Personal attributes for auditor candidates and auditors:** |
| a) 遵守道德，即公正、真实、真诚、诚实和谨慎； | a) ethical, i.e. fair, truthful, sincere, honest and discreet; |
| b) 思想开放，即愿意考虑其他想法或观点； | b) open-minded, i.e. willing to consider alternative ideas or points of view; |
| c) 善于交往，即与人交往时讲究方式； | c) diplomatic, i.e. tactful in dealing with people; |
| d) 善于合作，即与他人有效互动； | d) collaborative, i.e. effectively interacts with others; |
| e) 善于观察，即主动留意周围环境和活动； | e) observant, i.e. actively aware of physical surroundings and activities; |
| f) 敏锐，即能够本能地察觉和理解情况； | f) perceptive, i.e. instinctively aware of and able to understand situations; |
| g) 适应性强，即能迅速适应不同情况； | g) versatile, i.e. adjusts readily to different situations; |
| h) 坚韧，即坚持不懈并专注于实现目标； | h) tenacious, i.e. persistent and focused on achieving objectives; |
| i) 果断，即基于逻辑推理和分析及时得出结论； | i) decisive, i.e. reaches timely conclusions based on logical reasoning and analysis; |
| j) 自立，即能够独立行动和工作； | j) self-reliant, i.e. acts and functions independently; |
| k) 专业，即在工作场所表现出礼貌、认真和通常应有的职业举止； | k) professional, i.e. exhibits a courteous, conscientious and generally business-like demeanour in the workplace; |
| l) 具有道德勇气，即即使某些行动并不总是受欢迎，有时可能引起分歧或对抗，仍愿意以负责任和符合道德的方式行事； | l) morally courageous, i.e. willing to act responsibly and ethically even though these actions may not always be popular and may sometimes result in disagreement or confrontation; |
| m) 具有文化敏感性，即能够理解源于文化差异的行为； | m) culturally sensitive, i.e. able to understand behaviour rooted in cultural differences; |
| n) 有条理，即表现出有效的时间管理、优先次序安排、规划和工作效率。 | n) organized, i.e. exhibits effective time management, prioritisation, planning, and efficiency. |