

FSC CoC audit process 审核过程

1 相互义务 Mutual obligations

1.1 BM 公司对客户的认证义务 Benchmarks obligations towards the Client

公司承诺 Benchmarks undertakes to:

- 向客户提供有关 FSC 认证体系的必要信息、所有适用的标准和规范 FSC 文件

Provide to the Client the necessary information, all applicable standards and normative FSC documents regarding the FSC certification system;

- 向客户提供有关认证的联系方式及联系人姓名

Provide the Client with the contact details as well as the name of the contact person regarding the certification;

- 按照认证合同的规定组织和实施审核

Organize and conduct audits as specified through the certification contract;

- 要求指定的审核员在审核前对客户的业务和审核结果作出保密承诺

Require appointed auditors to precede the audits under a confidentiality commitment in regard to the Client's operations and the audits results;

- 将完整的审核报告仅传达给认证决策实体，ASI 和 FSC；

Communicate the full audit reports only to the Certification Decision Making Entity, to ASI and FSC;

- 在做出肯定的认证决定之前，未将证书编号告知客户

Not communicate the certificate number to the Client before a positive certification decision has been taken;

- FSC 要求或认证体系的变更应在 30 天内(从已获批准机构批准的变更开始计算)通知相关客户，以使客户在收到通知后 12 个月内符合该变更，BM 公司保留在证书有效期内修改相关认证要求的权利；

Inform the relevant Clients within 30 days (starting from the changes had been approved by the approval body) about the change of the FSC requirements or of the certification system to allow the Client to conform to this change within 12 months of receiving notification, Benchmarks reserves the rights to revise the relevant requirements of certification within the period of validity of the certificate;

BM公司必须在变更FSC认证范围的30天内通知相关客户，使客户有六(6)个月内寻求新的FSC认可的认证机构以保持其证书的有效性；

Inform the relevant Clients within 30 days about the change of the FSC accreditation scope of Benchmarks, and the Client have to seek a new FSC-accredited certification body within six(6) months to keep their certificate valid;

除非法律禁止，否则在法律或合同安排要求发布机密信息时，应通知客户。

Inform the client when Benchmarks release confidential information required by law or by contractual

arrangements, unless prohibited by law.

1.2 客户义务 Client obligations towards the Client

客户承诺 The Client undertakes to:

- 符合所有适用的认证要求

Conform with all applicable certification requirements;

- 遵守 BM 为授予或维持认证所设定的任何条件

Conform with any conditions set by Benchmarks for granting or maintaining certification;

- 公开最近五年内目前或以前的在 FSC 认证项目的申请或认证

Disclose current or previous application or certification with FSC certification schemes in the last five years;

- 同意按规定的时间间隔进行评估, 包括 BM 公司有权进行不事先通知或短时间通知的审核

Agree to the conduct of evaluations at the required intervals, including Benchmarks's right to carry out unannounced or short notice audits;

- 同意 ASI 的见证审核

Agree to witness audits of ASI;

- 同意公布如适用的 FSC 规范性文件所示的特定信息

Agree, that specified information is published, as indicated in the applicable FSC normative documents;

- 根据 FSC-PRO-01-017 的规定, 考虑观察员的参与

Consider the participation of observers as specified in FSC-PRO-01-017;

- 同意投诉首先根据 BM 公司的争议解决程序进行处理, 在与 FSC 规范性文件相关的审核结果不一致的情况下, 如果没有解决, 则提交 ASI, 最终提交 FSC。

Agree, that a complaint is first handled according to BM's dispute resolution procedure and if not resolved referred to ASI and ultimately to FSC, in case of disagreement with audit findings related to FSC normative documents;

- 提出与认证范围一致的认证声明, 并且在授予认证之前和除非授予认证, 否则不提出任何符合(或接近符合)FSC 认证要求的声明

Making claims regarding certification consistent with the scope of certification and not making any claims of conformity (or near conformity) with FSC certification requirements until and unless certification is granted;

- 不使用使 BM 公司、FSC 或 ASI 名誉受损的认证, 不就其认证发表任何可能被认为具有误导性或未经授权的声明

Not use its certification in such a manner as to bring Benchmarks, FSC or ASI into disrepute and not make any statement regarding its certification that may be considered misleading or unauthorized;

- 保存所有已知的与认证要求有关的投诉记录, 并在要求时向 BM 公司提供这些记录

Keep a record of all complaints made known to it relating to conformity with certification requirements

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and make these records available to Benchmarks when requested, and:

- 并对此类投诉和任何影响符合 FSC 认证要求的缺陷采取适当的行动

Take appropriate action with respect to such complaints and any deficiencies found in products that affect conformity with FSC certification requirements;

- 记录所采取的行动

Document the actions taken.

- 所有权、组织结构(如关键管理人员变动)、认证管理体系或与 FSC 认证要求实施有关的情况的变更, 应在十(10)天内通知 BM 公司

Inform Benchmarks within ten (10) days of changes in the ownership, structure of the organization (e.g. changes in key managerial staff), certified management systems or circumstances which relate to the implementation of FSC certification requirements;

- 同意如果 BM 公司的 FSC 认可范围有缩小、暂停或撤销, 受影响客户的认证将在相应的 FSC 认可范围缩小、暂停或撤销决定之日起六(6)个月内暂停

Agree, that in case of reduction, suspension or withdrawal of the scope of Benchmarks' FSC accreditation, the certification of the affected clients will be suspended within six (6) months after the date of reduction, suspension or withdrawal of the respective scope of FSC accreditation;

1.3 关于 BM 公司、ASI 和 FSC 的权利

Regarding the rights of the Benchmarks, ASI and FSC

- 同意因考虑到审核报告中尚未考虑到的新的或额外的信息，并且 BM 公司认为这些信息可能会影响其评估结果，BM 公司有权延期或推迟其认证决定；

Agree, that Benchmarks has the right to delay or postpone its decision on certification, in order to take account of new or additional information which has not already been considered in its audit report and which, in the opinion of Benchmarks, could affect the outcome of its evaluation;

- 同意如果客户的活动与认证机构在与 ASI 的认可合同中规定的义务相冲突，或者认证机构认为有悖于认证机构的良好声誉，BM 公司没有义务授予或维持认证；

Agree, that Benchmarks shall not be obliged to grant or maintain certification, if activities of the client conflict with the obligations of the certification body as specified in its accreditation contract with ASI, or which, in the sole opinion of the certification body, reflect badly on the good name of the certification body;

- 同意 BM 公司和 FSC 有权在认证有效期内修改认证要求，包括成本和费用的修改；

Agree, that Benchmarks and FSC have the right to revise the requirements of certification within the period of validity of the certification, including the revision of costs and fees;

- 同意 BM 公司、FSC 和 ASI 有权获取机密信息，检查必要的文件，并有权访问向客户提供外包服务的相关设备、地点、区域、人员和公司；

Agree, that Benchmarks, FSC and ASI have the right to access confidential information, examine documentation deemed necessary, and access to the relevant equipment, location(s), area(s), personnel, and bodies providing outsourced services to clients;

- 同意认证机构有权使用提醒其注意的信息，跟踪滥用 FSC 商标和 FSC 持有的知识产权的行为；

Agree that the certification body has the right to use information which is brought to its attention, to follow up on misuses of the FSC trademarks and of the intellectual property rights held by FSC;

- 承认 FSC 的知识产权的所有权，FSC 保留知识产权的完全所有权，任何事情都不应被视为构成客户使用或导致使用任何知识产权的权利；

Acknowledge the title of the FSC's intellectual property rights and that FSC retains full ownership of the intellectual property rights and that nothing shall be deemed to constitute a right for the client to use or cause to be used any of the intellectual property rights

- 同意，如果 BM 公司认为客户不符合维持认证所规定的条件，BM 公司有权立即暂停和/或撤销其认证；
- Agree, that Benchmarks has the right to suspend and/ or withdraw its certification with immediate effect if, in the sole opinion of Benchmarks, the client is not in conformity with the conditions specified for the maintenance of certification

- 同意参与转机构认证计划。

Agree to participate to the Transaction Verification program.

- 有关暂停或撤销认证的行动

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Regarding the actions relating to suspensions or withdrawal of certification

- 履行以下暂停或撤销认证的义务

Meet the following obligations on suspension or withdrawal of certification

- 立即停止使用任何 FSC 商标，或销售任何以前使用 FSC 商标标记或标记的产品，或做出任何暗示它们符合认证要求的声明；

Immediately cease to make any use of any FSC trademarks, or to sell any products previously labelled or marked using the FSC trademarks, or to make any claims that imply that they conform with the requirements for certification;

- 确认所有现有认证和未认证客户，在暂停或撤销后三(3)天内书面通知这些客户暂停或撤销，并保存记录；

Identify all existing certified and uncertified customers, inform those customers of the suspension or withdrawal in writing within three (3) days of the suspension or withdrawal, and maintain records

- 与 BM 公司和 FSC 合作，以允许 BM 公司或 FSC 确认已满足这些义务；

Cooperate with Benchmarks and with FSC in order to allow Benchmarks or FSC to confirm that these obligations have been met

- 履行以下关于撤回认证的附加义务；

Meet the following additional obligations on withdrawal of certification:

- 将证书交还 BM 公司或销毁原件，并承诺销毁其拥有的任何电子副本和打印副本；

Return the certificate to Benchmarks or destroy the original, and commit to destroy any electronic copies and printed copies in their possession

- 自付费用，从其产品、文件、广告或营销材料中删除 FSC 的名称、首字母、标识、认证标志或商标的所有使用；

At its own expense remove all uses of FSC's name, initials, logo, certification mark or trademarks from its products, documents, advertising or marketing materials.

2 FSC 认证体系的概述 General presentation of the FSC Certification system

2.1 森林管理委员会介绍 Presentation of the Forest Stewardship Council™

森林管理委员会(FSC)是一个全球性的非营利组织，致力于在全球推广负责任的森林管理。它成立于 1993 年，旨在应对全球范围内对森林砍伐的担忧。FSC 被认为是促进全球负责任森林管理的最重要举措之一。

The Forest Stewardship Council (FSC) is a global, not-for-profit organization dedicated to the promotion of responsible forest management worldwide. It was established in 1993 as a solution to respond to concerns over deforestation at a global scale. FSC is regarded as one of the most important initiatives to promote responsible forest management worldwide.

FSC 是一个认证体系，为对负责任林业感兴趣的公司、组织和社区提供国际公认的标准制定和商标保证。

FSC is a certification system that provides internationally recognized standard-setting and trademark assurance to companies, organizations, and communities interested in responsible forestry.

FSC 体系与其他认证体系主要有两点不同。FSC 森林管理(FM)国际标准应在当地进行调整，这一调整过程以及随后的实地审核应使用当地利益相关者或与森林管理有利益关系的团体的投入。

2.2 FSC COC 系统要求 system requirements

FSC 系统要求由 FSCTM 监管链(CoC)标准定义。FSC 监管链相关标准主要编码为：“FSC-STD-40-xxx”。

FSC system requirements are defined by the FSCTM Chain of Custody (CoC) standards. The FSC standards related to chain of custody are mainly coded as: "FSC-STD-40-XXX"

当 BM 公司向一家公司颁发 FSC COC 证书时，它提供了一个保证，即该公司在 BM 公司评估时已证明符合所有适用的 FSC 要求。

When Benchmarks issues an FSC COC certificate to a company, it provides a guarantee that the company has demonstrated conformity with all the applicable FSC requirements at the time of Benchmarks' evaluation.

衡量整体表现；独立性审查；使用政策；认证决策过程，投诉执行和上诉解决方案可按要求提供。

Benchmarks overall performance; review of independence; used policies; certification decision process, implementation of complaint and appeal resolution are available on request.

3 认证定义 Certification Proposition

3.1 认证过程说明 Certification process description

本文件介绍了有关 FSC CoC 的基本程序。这些程序是根据 FSC 认证要求制定的。

This document presents Benchmarks procedures concerning FSC Chain of Custody certification. These procedures are developed according to FSC certification requirements.

FSC CoC 认证标准是为监管链操作的现场级应用而设计的。

The FSC CoC certification standard is designed for application at the site level of Chain of Custody operations.

3.2 定义 Useful definition

申请人 Applicant:

任何申请认证并与 BM 公司签订合同的法律实体。

Any legal entity applying for a certification and linked contractually with Benchmarks.

场所 Site:

任何完全或部分管理监管链的法人实体所在地。一个法人实体可以有几个场所。根据申请人实施的管理情况，可能需要多场所方案(即与拥有不同场所的不同法律实体进行控股)。

Any location of a legal entity where the chain of custody is completely or partly managed. A single legal entity can have several sites. Depending on the management implemented by the applicant, a multisite scheme can be required (i.e. Holding with different legal entities who have different sites).

多场所认证 Multi-Site certification:

为通过共同所有权或法律/合同协议联系在一起的大型企业的认证而设计的认证。所有权意味着至少 51% 的所有权权益。

Certification designed for the certification of large enterprises that are linked by common ownership or legal/contractual agreements. Ownership means at least 51% of ownership interest over the sites.

联合认证 Group certification:

专为独立小型企业认证而设计

Specifically designed for the certification of independent small enterprises.

外包/分包 Outsourcing/subcontracting:

在 COC 下将内部业务流程(即产生特定服务或产品的活动或任务)承包给另一个组织，而不是在内部为其配备人员。外包活动通常发生在组织设施之外；但是，当组织无法控制或监督承包商的活动时，组织可以与其设施内运营的其他实体订立外包协议。

Practice of contracting an internal business process under the Chain of Custody (i.e. activities or tasks that produce a specific service or product) to another organization rather than staffing it internally.

Outsourced activities usually take place outside the organization's facilities; however, the organization may establish outsourcing agreements with other entities operating within its facilities when the

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organization has no control or supervision over the activities performed by the contractor.

4 认证申请 Certification application

4.1 申请文件清单 Documentation list for application

4.1.1 对于单个场所应用程序 For a single site application

公司应提供符合 FSC 产品组和评估地点范围定义的申请表，以及描述其活动的传单(或任何类似文件)。

The company shall provide the application form fulfilled with definition of the scope in terms of FSC product groups and sites to be evaluated, and the leaflet (or any similar document) describing its activity.

4.1.2 适用于集团或多场所认证计划 For a group or multisite certification scheme

如果公司申请多场所认证，则必须填写有关每个场所的名称、地址、活动和员工人数。

If the company applies for a multisite certification, the name, address, activities and number of employees of each sites concerned has to be completed.

4.2 申请及提供初步审核服务 Request and Offer of service preliminary examination

4.2.1 报价准备 Quotation preparation

在收到填写申请表后，BM 会根据申请人提供的信息准备认证报价。

On return of the application form duly filled in, Benchmarks prepares a certification quotation based on the information given by the applicant.

与报价一起发出的还有一般和具体的销售条款。

Together with the offer, the general and specific terms of sale are sent.

BM 拒绝已被有效或暂停的 FSC 认证覆盖的管理单位或场所的认证申请，除非根据 FSC-PRO-20-003 正在进行认证转机构过程。

Benchmarks shall 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-20003 is ongoing.

4.2.2 特殊情况 Particular cases

4.2.2.1 外包 Outsourcing:

根据组织的不同，公司可能必须将其分包商包括在认证范围内。在这种情况下，公司应在申请表中提及分包商名称和地址、员工人数和外包类型。

Depending on its organization, the company may have to include its subcontractors in the certification scope. In this case, the company should mention the subcontractor names & address and the number of employees and the type of outsourcing to be included in the application form.

将进行分包商风险审核，以便提供所需的审核时间，以对完整的监管链进行可靠的概述。

Subcontractors risk review will be done in order to quote the auditing time needed to have a reliable overview of the complete Chain of Custody.

BM 公司将对“高风险”分包商的样本进行审核。根据 FSC-STD-20-011 规定的要求，计算要审核的分包商数量。

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A sample of the “high risk” subcontractors will be audited by Benchmarks. The number of subcontractors to be audited is calculated depending on the requirements defined on FSC-STD-20-011.

4.2.2.2 多场所认证 Multi-site certification

BM 将根据 FSC-STD-20-011 中定义的要求对要审核的场所样本进行审核。

Benchmarks will evaluate a sample of sites to be audited depending on the requirements defined on FSC-STD-20-011.

4.2.2.3 现场验证 Field verifications

根据公司的活动，供应商审核必须由 BM 进行。

Depending on the activity of the Company, audits at the supplier level will have to be conducted by Benchmarks.

4.2.2.4 回收材料供应商 Suppliers of reclaimed materials

如果公司有符合 FSC-STD-40-007 要求的供应商审核程序，BM 应根据 FSC-STD-20-011 规定的要求，对供应商场所进行年度现场验证审核，除非该组织的供应商审核是由另一个 FSC 认可的认证机构进行的。

If Company has a supplier audit program in compliance with the requirements of FSC-STD-40-007, Benchmarks shall carry out annual on-site verification audits of the supplier sites, unless the organization's supplier audits were out by another FSC accredited certification body, depending on the requirements defined on FSC-STD-20-011.

4.3 合同 Contract

当 BM 的报价被签署后，该报价就成为组织和 BM 之间的合同。

When Benchmarks's proposal is sent back signed, the proposal becomes a contract between the company and Benchmarks.

在认证过程的这个精确部分，该公司被称为认证申请人。可选的预审核实现应在此步骤中进行验证。

At this precise part of the certification process, the company is called the applicant for certification. The optional pre-audit realization shall be validated at this step.

申请人必须持有有效的 FSC 认证许可协议（TLA）。

The applicant must have a valid License Agreement for the FSC Certification Scheme.

5 审核准备 Audit preparation

BM 和申请人必须对审核组的时间和组成达成一致，以准备预审核(如适用)和初审。此外，审核范围应由申请认证组织定义并向 BM 提出。这个范围将在审核过程中进行验证。

Benchmarks and the applicant have to find an agreement on the audit team's timetable and composition to prepare the pre-audit (if applicable) and the initial audit. Also the audit scope shall be defined and proposed by the applicant to Benchmarks. This scope will be validated during the auditing process.

申请人可要求修改审核组的组成，以避免公司与一名或数名审核组成员之间的利益冲突。BM 保留审核团队组成的最终决定权。

The applicant can ask for a revision of the audit team composition to avoid any conflict of interest between the company and one or several audit team members. Benchmarks reserves the audit team composition final choice.

审核准备工作完成并提交给申请人，根据审核范围的要求，审核前需要审查的文件应在合理约定的时间内提供。

The audit preparation is finalized and presented to the applicant. The documents that will have to be examined before the audit according to the audit scope are requested and shall be provided in a reasonably agreed timeframe.

5.1 审核组组成 Audit team composition

审核组至少由一名 BM 组长审核员组成，有时由其他审核员协助。

An audit team is formed of at least one Benchmarks lead auditor, sometimes helped by other auditors.

审核员应签署保密协议，保护申请人的详细信息。

The auditors shall sign a non-disclosure agreement to protect the applicant's details.

如果需要特定的能力领域，BM 可能会聘请具有适应技能的专业顾问/专家。

If particular competences field is needed, Benchmarks may call on specialist consultants / experts who come with the adapted skills.

6 预审核 Pre-Audit

6.1 预审关注与实现 Pre-audit interest and realization

预审核通过确定实施的流程和关键管控点，提供了精确审核范围的机会，并展示了我们的服务是如何管理审核，实现了监控管理系统与 FSC COC 标准要求之间的差距分析。因此，申请人可以决定何时进行下一步。

The pre-audit stage gives the opportunity to precise the scope of audit by identifying the industrial process implemented as well as the critical monitoring points, and to demonstrate how is managed the audit by our services. A gap analysis is realized between the monitoring/managerial system and the requirements of the FSC Chain of Custody standard. Consequently, the applicant can decide when to proceed to the next step.

这一步骤在认证过程中不是强制性的；然而，当过程复杂或被申请人认为很重要时，它就变得必要了。预审核主要由未来的初审审核员进行。

That step is not compulsory in the certification process; nevertheless it becomes necessary when the industrial process is complex or when the company to be evaluated is important. The pre-audit is mostly carried out by the auditor who will be the future main audit manager.

向申请人出具预审核报告；在初次审核前可以实施的改进机会。从预审核到初审的时间限制不超过一年。

A pre-audit report is given to the applicant; it specifies the opportunities for improvement which can be implemented before the initial audit. The time limit to carry out these actions between the pre-audit and the initial main audit shall not exceed one year.

6.2 改进机会 Opportunity for Improvement

在预审报告的基础上，认证申请人进行整改，在初审前找到解决方案。

On the pre-audit report basis, the applicant for certification sets up updating actions in order to find a solution to dysfunctional points identified during pre-audit.

然后，申请人通过邮件通知 BM 已进行整改，BM 将指定一个审核小组准备初审。这个阶段大约需要 3 周的时间。

The applicant then notifies Benchmarks by mail that the updating actions have been carried out and Benchmarks appoints an audit team to prepare the main audit. A period of about 3 weeks is necessary for that stage.

7 初审审核 Main Audit

7.1 认证审核计划 Certification Audit Plan

在合理的时间范围内，BM 向企业发送审核计划，其中包含审核时间和范围。

In reasonable timelines, Benchmarks sends to the Company a looking forward intervention program which specifies the schedule and the scope of the evaluation.

7.2 初审审核实施 Main audit realization

7.2.1 首次会议 Opening meeting

- 在审核开始时，由审核组长组织召开首次会议

At the beginning of the audit an opening meeting is organized by the lead auditor to:

- 确认认证范围(申请人定义 COC 产品组清单和树种)

Confirm the certification scope (definition of the Chain of custody managed by the applicant and precise listing of the product groups and species into the CoC.)

- 介绍审核团队和审核计划

Present the team and audit plan

- 根据企业可能发生的最新变化，确认审核计划和后勤

Confirm the audit plan and logistic according to the latest changes that the Company may have done.

- 企业经理和部门负责人出席会议，以便了解审核开展方式，并有效传递信息至员工。

The presence of the Company's managers and heads of departments is necessary during that meeting so that they can clearly perceive the way in which the audit will take place and thus be able to inform their staff.

- 邀请企业经理清楚了解审核过程和时间安排，调整配合人员，帮助审核过程的流畅。

Company managers are invited to have a clear view of the audit course and schedule. Therefore they can inform their colleagues and help in the audit course fluency.

7.2.2 审核过程 Audit course

- 审核组首先检查公司文件，然后检查申请人的办公室和生产现场。审核组将分别评估申请人根据适用于审核范围的 FSCTM 标准实施的管理过程和运营管理。根据审核范围对员工进行面谈。如有必要，可对外部参与者(供应商、分包商……)进行面谈。

First the audit team checks company's documents, then inspect the applicant's office and production site. The audit team will assess respectively the managerial process and the operational monitoring implemented by the applicant against the FSC™ standard applicable within the audit scope. Employee interviews are held in accordance with the audit scope. If necessary outside participants may be interviewed (suppliers, subcontractors...).

- 审核组还将检查产品和审核范围之间的一致性，以及投入和产出之间的一致性。

Audit team will also check the coherence between the products and the audit scope and a coherence

checking between input and output as well.

- 可以与审核员讨论 CoC 存在的问题和纠正措施建议，审核员不会给出解决方案，而只是通知申请人是否采取了相关的纠正措施。

Ongoing problems within the CoC and proposition of corrective actions can be discussed with the auditor who will not give solutions but just inform the applicant if the corrective actions are pertinent.

7.2.3 末次会议 Closing meeting

- 审核组长在审核结束时召开末次会议，尽可能地聚集与出席首次会议相同的人。

The Lead Auditor organizes a closing meeting at the end of the audit. It gathers, as far as possible, the same people as those who were present at the opening meeting.

- 该会议允许提交审核结果及其结论，提交不符合项报告，并签署审核结论。

That meeting enables to present the audit results and its conclusions, as well as handing in the nonconformity reports and to have the audit conclusions signed.

- 尽管审核将在末次会议上提出不符合项(NC)，但所有不符合项的最终措辞和等级将由 BM 办公室与最终审核报告一起发布。

Despite the audit will present the Non-Conformities (NC) during the closing meeting, the final wording and grading of all NC will be submitted by Benchmarks offices together with the finalized audit report resulting from the certification decision.

- 然后，审核组长将签署过不符合项报告副本交给申请人。

Then, the lead auditor gives to the applicant a copy of the nonconformity reports signed.

- 在这个阶段，初审的结果只暴露了所注意到的情况和事实，它们不允许进行证书分配决策。

At that stage, the initial audit results only expose the noted situation and facts, they do not allow a certificate allocation decision.

- 审核组完成审核报告草案，并将其提交给 BM 相关技术经理。审核报告由 BM 审核，然后将报告最终版本发送给申请人，不论是否颁发证书。

The audit team produces a temporary initial audit report and submits it to the Benchmarks technical manager concerned. The audit report is reviewed by Benchmarks, then this revised report is transmitted to the applicant, regardless of whether or not a chain of custody certificate is issued.

7.3 不合格和纠正措施 Nonconformities and Corrective Actions

7.3.1 不符合项 Nonconformities

不合格报告是指过程中不符合适用标准要求的异常部分。

It's the dysfunctions part of the process which are not compliant with the requirements of the applicable standard(s) that are formalized on a nonconformity report.

不符合项应满足以下 3 个标准 Nonconformities shall always meet the following 3 criteria:

- 客观，根据相关标准要求进行论证；

Being objective and argued based on the relevant standard requirement;

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- 以事实和证据为基础的不允许任何臆断、愿望或歧视性的争论;被公司理解和接受;

Being based on facts and evidences. No presumptions, wishes or discriminatory argue is acceptable;
Being understood and accepted by the Company.

根据不符合项的重要性, 不符合项被分类为 **According to their importance, nonconformities are balanced as:**

- 轻微不符合:与适用要求有关的不寻常的、非系统性的不符合。这并不会导致监管链要求目标的根本失败。如果轻微不符合项在适当的时间内没有得到纠正, 则应升级为严重不符合项。此外, 多次经常性的轻微不符合可被视为监管系统链的永久性故障, 因此被视为严重不符合。

Minor nonconformity: It's an unusual and non-systematic failure regarding the applicable requirements. It's not to result in a fundamental failure to achieve the objective of the chain of custody requirement. If the minor nonconformity is not corrected in the proper timelines, it shall be upgraded to a Major non conformity level. Also, a number of recurrent minor non-conformity against a requirement can be considered as a permanent breakdown of the chain of custody system and thus be considered as a Major non conformity.

可以获得认证, 但必须在初次审核后的一年内关闭不符合。

The entity can be certified but it must put itself in conformity with the requirements in question within the year following the initial audit.

- 严重不符合: 是一种重复的或系统性的失败, 导致无法实现相关要求的目标。这种不符合规定影响 COC 的运作。

Major nonconformity: It's a repeated or systematic failure generating a fundamental failure to achieve the objective of the relevant requirement. This non conformity endangers the liability of the operating Chain of Custody.

只要不符合相关要求, 申请人就不能被授予认证, 必要时, 可以在做出认证决定之前对严重不符合项进行补充审核。

The entity cannot be certified as long as it does not meet the requirements in question and a complementary audit specific to major NC can take place before any certification decision if necessary.

如果严重不符合损害了 FSC 的形象, 则可能导致直接吊销或撤销证书 (例如, 不执行受控木材要求, 而一些未认证的材料与 FSC 认证的材料混合)。

If the major nonconformity damages the image of FSC, it may lead to direct suspension or withdrawal of the certificate (e.g. absence of implementation of the Controlled Wood requirements while some non-certified material is mixed with FSC certified material).

如果在监督审核中发现五(5)个或更多的严重不符合项, 证书将在作出认证决定后的十(10)天内暂停颁发, 直到严重不符合项关闭为止。

If five (5) or more Major non conformities are raised during a surveillance audit, the certificate will be suspended within 10 (10) days of the certification decision being taken until the major non conformities are closed.

严重不符合不得降级为轻微不符合。

Major non-conformities shall not be downgraded to minor non-conformities.

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没有 FSC 认证计划的有效许可证书将被视为严重不合格项，客户将被要求在最多两(2)个月内纠正不合格项。如果这个 NC 在 2 个月内没有关闭，将导致暂停认证。

The absence of valid License Agreement for the FSC certification scheme will be treated as a major Non-Conformity and the client will be requested to correct the NC within a maximum period of two (2) months. If this NC is not closed by 2 months, it will lead to the suspension of certification.

7.3.2 纠正措施时间和升级 Corrective Actions timeframes and upgrading

不符合项纠正措施应避免今后再次发生。一旦不符合报告签署，申请人就可以开始实施纠正措施以关闭不符合。纠正措施要求时间从正式提交给客户之日起开始，不迟于审核结束之日起 3 个月。

The corrective action shall answer the non-conformity and avoid any recurrence in the future. The applicant can start corrective actions to close the nonconformities as soon as the nonconformity reports are signed. The corrective action request timelines commence from the moment when they are formally presented to the client and no later than 3 months from the audit closing date.

如果不符合项关闭涉及到对客户实施的纠正和预防措施的额外现场审核，BM 公司将通知客户。

BM will inform the client if the closure of NC involves an additional audit on site to assess the corrective and preventive actions carried out by the client.

不符合项关闭应遵循以下时间表 The Non-conformities closing shall have the following timeframes:

·轻微不符合项应在最长一(1)年的时间内进行纠正(在特殊和合理的情况下，时间可延长至两(2)年);

Minor nonconformity shall be corrected within the maximum period of one (1) year (under exceptional and justified circumstances the timeline may be extended to two (2) years);

·严重不符合项应由组织在七十五(75)天内纠正，并由 BM 在九十(90)天内关闭(在特殊和合理的情况下，在六(6)个月内)。

Major nonconformity shall be corrected by organization within seventy-five (75) days in order to be closed within ninety (90) days by BM (under exceptional and justified circumstances within six (6) months).

注：为纠正严重不符合而采取的措施可以持续超过三(3)个月的时间。但是，必须在规定的期限内采取措施，以防止在认证范围内发生新的不合格事件。

NOTE: Action(s) taken to correct a Major nonconformity may continue over a period of time which is longer than three (3) months. However, action must be taken within the specified period which is sufficient to prevent new instances of nonconformity within the scope of the certification.

审核组应确定纠正措施是否在规定时间内得到适当实施。如果认为所采取的行动不够充分，则：

The Audit Team shall determine whether Corrective Action have been appropriately implemented within their timeframes. If the action taken is not considered adequate, then:

- 轻微不符合项应升级为“严重”不符合项，并应在最长七十五(75)天内予以纠正，以便由 BM 在九十(90)天内关闭(或在特殊和合理的情况下，六(6)个月)。

Minor nonconformity shall become 'Major' nonconformity and shall be corrected within a maximum period seventy-five (75) days in order to be closed within ninety (90) days by Benchmarks (or in exceptional and justified circumstances six (6) months).

- 严重不符合项立即吊销证书。

Major nonconformity shall lead to immediate suspension of the certificate.

8 认证 Certification

8.1 认证决定 Certification Decision

对审核文件(如审核报告、检查记录、不符合报告、附件)作出认证决定。通常, 认证决定过程需要 1 个月至 1.5 个月, 具体时间取决于申请人组织的复杂程度。

Certification decision is taken regarding audit documentation (e.g. audit report, checklists, NC reports, annexes). Usually, the certification decision process takes 1 month to 1.5 month, depending on the complexity of the applicant's organization.

BM 向客户传达认证决定的时间最长为: 初审后六(6)个月。完整的审核报告仅传递给申请人、ASI 和 FSC。

BM communicates certification decisions to the client maximum: six (6) months after the main evaluation in the case of chain of custody evaluations. The full audit report are only communicated to the applicant, ASI and FSC.

BM 根据相关标准公开 FSC 要求的文件(例如: 认证过程、收费、BM 经营范围等)。

BM makes public the documentation required by the FSC (e.g. certification process, fee, BM certification scope, etc.) in accordance with the related standards.

在认证决定为否定的情况下, BM 将向客户提供做出该决定的理由。

In case of negative certification decision, BM provides the reasons for this decision to the client.

如果公司的活动与 BM 和 ASI 认可合同中规定的义务相冲突, 或者根据 BM 的意见, 有悖于 BM 的良好声誉, 则 BM 没有义务授予或保持认证。

BM shall not be obliged to grant or maintain certification, if the activities of the company is in conflict with the obligations of BM as specified in its accreditation contract with ASI, or which, in the sole opinion of BM, reflect badly on the good name of BM.

8.2 认证发布 Certificate Issuance

颁发证书被批准后, 颁发编号证书, 申请人成为 FSC 证书持有人。

When the certificate issuance is approved, a numbered certificate is issued, and the applicant becomes a FSC Certificate Holder.

证书的有效期为五年。在客户和 BM 无法控制的情况下, 为完成重新审核, 可将该审核延期一次, 最长不超过六(6)个月。客户应记录此类情况, 并提供给 BM, 使其能够记录在自己的 FSC 管理系统中, 并更新 FSC 数据库中的条目(info.fsc.org)。

The period of validity of a certificate is five (5) years. It 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 circumstances¹ beyond the control of the client and BM. The client shall record such circumstances and provide it to BM to be able to record it in its own FSC management system and update the entry in the FSC data base (info.fsc.org).

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证书颁发后，证书持有人可以就其认证与 **BM** 进行沟通，并根据商标相关标准将 **FSC** 标签用于促销或产品上。

When the certificate is issued, the company can communicate on its certification and use the FSC label for promotional use or on-product labelling in accordance with trademark usage relevant standards.

9 认证保持 Certification Maintenance

9.1 监督审核 Surveillance Audits

监督审核的目的是监督顾客对所有适用认证要求的持续符合性。

The objective of surveillance audit is to monitor the client's continued conformance to all applicable certification requirements.

监督审核应至少每年进行一次。

The surveillance audit shall be performed at least annually.

如果出现 5 个或 5 个以上的严重不符合项，证书将在作出认证决定后的十(10)天内暂停。

If 5 or more major NCs are issued, the certificate is suspended within ten (10) days of the certification decision being taken.

注：在监督审核中，“年度”的解释如下：每日历年至少一次，但不迟于上次审核后 15 个月(由现场审核或办公室审核的日期决定)。

NOTE: In the context of surveillance “annually” is to be interpreted as follows: at least once per calendar year, but not later than 15 months after the last audit (determined by the date of the on-site audit or desk audit).

在证书有效期内，如果 BM 发现严重不符合项而要求采取严重纠正措施，证书可能会被暂停，直到公司实施适当的纠正措施为止。

During the certificate period of validity, if BM notices major nonconformities entailing major corrective actions requests, the certificate may be suspended until the company implements the appropriate measures to be compliant.

每年一次，在监督审核前，获证组织应向 BM 提供“FSC 认证产品”的购销清单(适用时)，包括树种、数量和供应商。该信息将会严格保密。

Once per year, before the surveillance audit, the certified company shall provide BM the list of “FSC certified products” purchased and sold with, when applicable, species, quantity and suppliers. The information is considered as strictly confidential.

如果获证组织希望将新产品纳入其 FSC 产品组列表，应向 BM 提供相关产品描述，并提出正式申请将其纳入认证范围。

If the certificate holder would like to include a new product in its FSC product group list, the related product description shall be provided to BM and formally asked to be included into the certification scope.

对于多场所和多组织（集团）的认证，每年都要对中心办公室（总部）进行审核。抽样地点的审核必须在中心办公室（总部）最后一次审核后最多 15 个月进行。

For multiple and group of certification, the audit of the central office has to be performed every year. The audit of the sampling sites has to be performed maximum 15 month from the last audit of the central office.

9.2 再认证审核 Re-certification Audit

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在该次审核中，BM 公司将与初审一样进行一次完整的评估。

During this audit BM makes a complete evaluation as a Main audit.

为了减少两(2)个认证期之间的断档风险，认证持有人应在证书有效期到期前至少六(6)个月申请重新认证。

In order to reduce the risk of gap between two (2) certification periods, the certification holder is supposed to ask for re-accreditation at least six (6) months before the certificate validity expires.

9.3 证书范围变更 Certificate Scope modification

证书的范围可根据各方(BM 或证书持有人)的要求进行变更(扩大或缩小)。

The scope of the certificate can be modified (extended or reduced) under request of each parties (BM or the certificate holder).

如果扩大范围，BM 保留对证书持有人的现场进行检查的权利。任何范围的变更都不能延长证书的有效期限。

In case of scope extension, BM reserves the right to inspect the site of the certificate holder. Any scope modification cannot extend the validity period of the certificate.

9.4 特殊审核 Special audits

如果 BM 想要验证以下几点，可以在认证周期内要求进行特殊审核：

special audit could be requested during the cycle of certification if BM wants to verify any additional points:

- BM 接收到的抱怨 Complaint received by BM
- FSC 或 ASI 的要求 Request from FSC or ASI
- 不符合项关闭 Closure of non-conformities
- 补充审核(证书范围内的新高风险承包商，待审核的新组织，需要收集的额外信息，.....)

Additional time to finish an audit (new high-risk contractors in its certificate scope, new organization to be audited, additional information to be collected, ...)

- 暂停恢复 Lifting of suspension, ...

必须对现有合同作对应修改。修正管理遵循规则 3。

An amendment to the existing contract has to be made. The management of this amendment follows the same rules as indicated on 3.

如果组织希望在两次审核期间将新的高风险承包商纳入其证书范围，则应根据抽样标准对新承包商的进行现场检查。

If the organization wants to include new high-risk contractors in its certificate scope in the period between evaluations, a physical inspection of a sample of the new contractors shall be conducted according to the sampling criteria.

10 商标使用管理系统 Trademark use management system

在 FSC 商标的首次使用前，组织应通过实施内部商标审核程序或接受 BM 的外部审核来确保商标使用控制。

Prior to each new use of the FSC trademarks, the organization shall ensure trademark use control by implementing an internal trademark approval process or by receiving external approval from BM.

组织可以要求 BM 授予“FSC 商标自我审批人”的地位。

The organization may ask BM for being granted the status of “FSC trademark self-approver”.

除了将 FSC 商标的每次预期用途提交 BM 审批，组织可以通过内部控制系统实施自己的商标使用管理系统。该系统在组织开始使用前，必须得到 BM 的批准。

Instead of submitting all intended uses of FSC trademarks to BM for approval, the organization may implement its own trademark use management system with an internal control system. This system shall be approved by the BM before the organization may start using it.

为了获得“FSC 商标自我审批人”的地位，组织应向 BM 申请提供须遵守的程序。

Organization shall ask BM for the procedure to comply with in order to obtain the status of “FSC trademark self-approver”.

11 证书: 暂停/撤销, 范围变更 Certificate: Suspension/Withdrawal, Scope modification

在下列情况下, 可给予暂停: The suspension can be granted if:

一些严重不符合项未在最大时限内实施

Some major non-conformities have not been implemented within the maximum timeframe

- 没有 FSC 认证计划的有效许可协议

No valid License Agreement for the FSC Certification Scheme

- 监督审核未及时执行

Audit surveillance has not been performed on-time

- 认证机构向集团或多场所中心办公室发出五次或五次以上严重纠正措施要求, 将导致整个证书被暂停。

Five or more major corrective action requests issued to the central office of a group or multisite by the certification body shall result in the suspension of the entire certificate

- 拒绝支付 FSC AAF 费用

Refusal to pay FSC AAF Fees

- 拒绝及时支付所有指定的费用和成本

Refusal to pay all specified fees and costs in a timely manner

被暂停的证书不允许销售任何 FSC™ 认证的产品

A suspended certificate doesn't give the allowance to sell any FSC™ certified products.

FSC 证书暂停的时间不能超过 12 个月。在合理和特殊情况下, 暂停期可延长至六(6)个月, 以允许客户纠正不符合项。为恢复暂停证书, 应进行补充审核(文件审核或现场审核), 以验证所要求的纠正措施的执行情况。

A FSC certificate cannot be suspended for more than twelve (12) months. Upon justified and exceptional circumstances the suspension period may be extended to six (6) additional months to allow the client to correct nonconformities. In order to cancel a certificate suspension, a complementary audit (documentary or onsite audit) is conducted in order to verify the carrying out of the requested corrective action(s).

在下列情况下, 可给予撤销 The withdrawal can be granted if:

- 证书过期

The certificate is expired.

- 证书持有人故意或因疏忽而败坏或损害 FSC AC 或其子公司或关联公司的声誉

The certificate holder intentionally or through negligence discredit or damage the reputation of FSC AC or one of its subsidiaries or of associated organizations.

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- 证书持有人故意或因疏忽而败坏或损害 BM 公司的声誉

The certificate holder intentionally or through negligence discredit or damage the reputation of BM.

- 暂停超期未恢复

The suspension not lifted after the maximum period of suspension.

- 拒绝支付 FSC AAF 费用

The certificate holder refuses to pay FSC AAF Fees.

- 证书持有人违反了 FSC 组织协会政策的一项或多项内容

The certificate holder violates one or more elements of the Policy for the Association of Organizations with FSC.

组织应在证书终止后 3 个月内移除所有 FSC™ 商标的使用

The organization shall remove all FSC™ Trademark uses within 3 months after certificate termination.

如果不尊重认证规则或损坏 FSC™ 形象, (FSC AAF 或 BM) 将采取一些措施

In case of disrespect of the certification rules or damage on the FSC™ image some disciplinary measure will be engaged.

12 保密性 Confidentiality

BM 办公室的工作人员及其审核员承诺以严格保密的方式处理他们在审核过程中了解到的任何信息或文件。

The Benchmarks office staff and its auditors commit themselves to deal in a strictly confidential manner with any information or any documents which they get know during audits.

在下列情况下，保密协议无效：

The confidentiality can be invalid in the following conditions:

- 提案上诉 Legal appeal
- 公司批准的书面协议 Written agreement granted by the Company.
- BM 负责管理在执行认证活动期间获得或创建的所有信息。信息被认为是专有的，应被视为机密，除非客户提供或被要求公开提供的信息，FSC 和 ASI 有权访问，或 BM 和客户之间达成协议(例如，为了回应投诉)。

Benchmarks is responsible for the management of all information obtained or created during the performance of certification activities. Information is considered proprietary and shall be regarded as confidential, except for information that the client makes or is required to make publicly available, that FSC and ASI are entitled to access, or when agreed between the Benchmarks and the client (e.g. for the purpose of responding to complaints).

- 企业确保 BM、ASI 和 FSC 在证书有效期内可以自由访问向客户提供外包服务的人员和机构、场所、相关设备、位置、区域、文件和机密信息，如果投诉需要额外信息。

The company ensures to Benchmarks, ASI and to the FSC a free access to the persons and bodies providing outsourcing services to the client, the sites, relevant equipment, location(s), areas, the documents and confidential information during the certificate validity period and, if a complaint requires extra information.

13 观察员参与审核 Observer's participation to audit

BM 可以引导相关观察员进行认证或监督审核。这些观察员可以是

Benchmarks can be led to associate observers to its Certification or monitoring audits. These observers can be:

BM 公司内部审核员（在 BM 公司内部审核活动范围内）

Benchmarks in-house auditors (within the scope of Benchmarks in-house audit activities) .

BM 公司培训中的审核员

Benchmarks auditors in training.

ASI 审核员（国际认可服务 FSC 认可组织）（在认可项目范围内对 BM 公司进行审核时）

ASI auditors (Accreditation Services International -Accreditation Organization for FSC) (at the time of a Benchmarks audit within the scope of accreditation programs).

在 BM 审核期间，企业必须接受认可组织代表的存在。在其他情况下，观察员的出席由企业同意。

The company has to accept the presence of an accreditation organization representative during Benchmarks audits. In the other cases, the observer's presence is submitted to the Company's agreement.

14 变更管理 Management of change

企业必须在十(10)天内将所有权、组织结构（如关键管理人员的变更）、认证管理体系、外包商或与执行 FSC 认证要求有关的情况通知 BM。

The company must inform Benchmarks within ten (10) days of changes in the ownership, structure of the organization (e.g. changes in key managerial staff), certified management systems, outsourcer or circumstances which relate to the implementation of FSC certification requirements.

由于所有权、组织结构或管理系统的变更，范围的变更是必要的。

A change of scope may be necessary as a result of changes in ownership, structure of the organization, or management systems.

如果一个标准被修订，BM 将在 30 天内（从修改已被批准机构批准开始）联系客户，并告知要采取的行动，以获得针对修订后的新标准的认证。在新的或修订的适用 FSC 规范性文件批准生效日期之前获得认证的客户，应根据新的或修订的文件的要求，根据适用的过渡要求进行审核。

If a standard is revised, Benchmarks will contact within 30 days (starting from the changes had been approved by the approval body) the client and communicate the actions to be done to get the certification against the new standard revised. Clients 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.

BM 保留在证书有效期内修改认证相关要求的权利。

Benchmarks reserves the rights to revise the relevant requirements of certification within the period of validity of the certificate.

BM 将在 30 天内通知相关客户 FSC 认可范围的变化，客户必须在六(6)个月内寻求新的 FSC 认可的认证机构以保持其证书的有效性。

Benchmarks informs the relevant Clients within 30 days about the change of the FSC accreditation scope of Benchmarks, and the Client have to seek a new FSC-accredited certification body within six (6) months to keep their certificate valid.