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FSC/COC管理手册

FSC Chain-of-Custody Certification Manual



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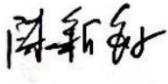
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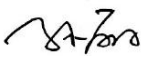
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Prepared by: Technology Department

审 核： 

Reviewer: Xinmin Chen

批 准： 

Approver: Li Sun

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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：LC）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 LC) and has approved by the LC 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 LC HO auditors and specialists performing certification services 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 LC. Reprinting, circulation or using of this document or any its parts are available only by LC authority.
本手册的检查副本是在 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
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本监管链认证手册（以下简称手册），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。手册为审核人员提供依据上海砺鼎的程序进行评估的指导。手册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 LC 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 LC procedures.
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引用标准	Normative references
该手册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 ISO/IEC 17020 General criteria for the operation of various types of bodies performing inspection FSC-STD-01-002 FSC Glossary of Terms FSC-STD-20-001 General requirements for FSC accredited certification bodies FSC-STD-20-011 Chain of Custody Evaluations; FSC-STD-40-003 Chain of Custody Certification of Multiple Sites; FSC-STD-40-004 Chain of Custody Certification FSC-DIR-40-004 FSC Directive on Chain of Custody Certification; FSC-DIR-20-011 Directive for Chain of Custody Certification FSC-STD-40-004a FSC Product Classification. FSC Standard Addendum FSC-STD-40-007 Sourcing Reclaimed Material for Use in FSC Product Groups or FSC Certified Projects; FSC-STD-50-001 Requirements for Use of the FSC Trademarks by Certificate Holders; FSC-POL-20-005 Annual Administration Fee (AAF) FSC-POL-01-004 Policy for the Association of Organizations with FSC FSC-PRO-01-017 Participation of external observers in on-site FSC certification audits and / or ASI assessments FSC-PRO-20-003 Transfer of FSC Certificates and License Agreements. FSC Interpretations General FSC Interpretations Chain of Custody FSC Interpretations Trademark	

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术语、定义和缩写	Terms, definitions and abbreviations
本手册使用规范文档中提供的术语和定义，这是手册的基础，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; ASI: Accreditation Services International HCVF: High Conservation Value Forests; COC: Chain of Custody; CW: Controlled Wood;	FSC: Forest Stewardship Council; ASI: Accreditation Services International HCVF: High Conservation Value Forests; COC: Chain of Custody; CW: Controlled Wood;

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1. 通用要求	1. General provisions
1.1 上海砺鼎的主要目标和方针在 LC-1-01 中概述。	1.1 The main objectives and policy of LC 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（不包含受控木材监管链），服务的区域：中国大陆。	1.2 LC provides services for Organizations on FSC chain of custody certification (excluding controlled wood chain of custody), the service covers China Mainland.
1.3 组织的认证是基于以下标准进行的： 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 等.)。	1.3 Certification of Organizations is carried out based on the declared area: - Chain of custody certification against FSC-STD-40-004; and other applicable FSC ND (FSC-STD-40-003; FSC-STD-40-007, 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 LC 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, LC 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内充分解决了任何不符合。 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. 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 本手册包括所有适用的 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： -针对审核组织监管链的标准：FSC-STD-20-011, FSC-DIR-20-011	1.5 The Manual includes requirements of all applicable FSC ND published on the FSC website (ic.fsc.org) for LC as an accredited certification body (CAB) in respect of FSC certification. The main accreditation standard is FSC-STD-20-001, and also: - for evaluation of Organizations on chain of custody is FSC-STD-20-011, FSC-DIR-20-011
1.6 通知客户 LC-2-19 中概述了通知受影响客户的一般要求 邮件给客户的行为是根据 LC-2-19 进行的。	1.6 Informing of LC clients General requirements for the informing affected clients are outlined in LC-2-19. Mailing to clients is carried out in accordance with the LC-2-19.

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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)。	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.
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 LC requirements or activities. This requirement is specified in the FSC certification agreement with each LC 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 LC to affected certificate holders with indication of the changes as well as by posting information on LC 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要求提交给上海砺鼎总部。	1.6.4 LC auditor which it is applicable shall be informed by mailing. For this purpose LC HO responsible employee shall inform the relevant clients, to which these changes apply. Records on this shall be retained and submitted to LC HO at the request.
1.7 如果一个较新的 FSC 标准与较老的 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: - 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。 - 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) 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: - 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. - 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) - There is a contradiction between rules in different ND. In this case the newer rule supersedes the older rule.
1.8 监管链认证工作的主要阶段: - 和组织申请人进行一般了解 - 初审 - 年度监督审核 - 复审	1.8 The main stages of work on chain of custody certification: - preparation for the audit of the Organization-applicant; - main evaluation; - annual surveillances; - Recertification
2. 预认证阶段 技术经理决定由上海砺鼎总部执行预认证工作。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: - 与客户之间的合同。	2. Pre-certification stage Technical manager decides to conduct pre-certification by the HO LC. The assigned specialist check the availability of necessary documents that act as a basis for carrying out of evaluation, if applicable: - 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	2.1.2 The basis for start of planning certification works of

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鼎通过模板接收填写的声明 - 申请: LC-FSC-R-01。 应分析认证申请是否符合可接受性标准: - 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。	Organization is the reception by LC a filled Declaration-application using templates: LC-FSC-R-01. Applications for certification shall be analyzed for compliance with Acceptability criteria: - 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 LC, 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 LC 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。	2.1.3 An application received by LC HO shall be sent to specialist who puts the task to analyze the application.
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。 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; 确定认证范围; 上海砺鼎具有执行所需认证活动的的能力、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. Any known differences in understanding between the LC and the applicant is resolved, including agreements on the applicable normative requirements; The scope of certification is defined; LC 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 LC 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。 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。	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) years. LC 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 LC 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 在签订认证协议前, 应要求组织与 FSC Global Development 签署许可协议。 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 Before entering into a certification agreement, Organization shall be required to obtain a signed License Agreement with FSC Global Development. Certification contract between LC and the Organization shall use the template LC-FSC-R-01.
2.3 转机构认证 在 LC/P-21 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 The order and LC requirements for transfer of FSC certificates between certification bodies is described in LC/P-21.

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2.4 文件阶段 报告文件管理的一般要求在 LC-2-10 文件中概述。 应由组织以电子和/或印刷形式保存在上海砺鼎的文件: - 本组织对监管链的认证的申请; - 对组织申请表的评审作出答复 (决定); - 与 FSC GD 的许可协议副本 - 与客户的协议	2.4 Documents for the stage The general requirements for management of reporting documents are outlined in LC-2-10. Documents which shall be kept at LC in electronic and/or printed form from Organization: - Application of the Organization for the certification of chain of custody; - Response (decision) upon the review of Application of the Organization; - Copy of Licence agreements with FSC GD - 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 LC HO.
3.1.2 审核时间的要求根据 LC/P-17 确定。	3.1.2 Requirements for evaluation duration are determined according to the LC/P-17.
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
3.2.1 审核组形成 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。 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: - 一般要求, - 组长和成员的资格要求,	3.2.1 Audit group forming An appointed specialist may propose the composition of the audit team, in this case he sends it to the technical manager for approval. Order of forming an audit team and requirements for its members including technical experts and their qualification are defined in: - General requirements, - Qualifications requirements for team leader and audit team members,
3.2.2 审核组最低要求: 每个审核组应包括: - 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 An audit team shall always include: - 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: 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 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 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: 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	- 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: i - all relevant records and procedures relating to FSC requirements are written and understood in the corporate language; and ii - all management staff and those with FSC responsibilities can communicate fluently in the corporate language. 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: The decision on appointment of the Auditor on more than three (3) consecutive audits of the client shall be justified, why it was not

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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。	possible, or feasible to rotate the auditor and shall demonstrate how an impartial and objective evidence based audit is ensured.
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： - 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； 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。 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。 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: - a qualified chain of custody lead auditor who is registered in LC with a knowledge of the critical characteristics of the operational processes under evaluation; LC shall check and ensure that all appointed auditors have valid CCAA registration and fulfill the regulation from CNCA/CCAA. 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 LC 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. 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.
3.2.4 技术专家的附加要求	3.2.4 Additional requirements for technical experts
- 技术专家花费的时间应在审计计划中单独规定； - 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； - 技术专家应由分配给他们的审计员陪同； - 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； - 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 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。	- the time spent by technical experts shall be specified separately in the audit plan; - 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; - the technical expert(s) should be accompanied by the auditor to whom they are assigned; - 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; - technical expert(s) shall neither make conclusions on the conformity with certification requirements nor communicate them to the client In case the engaged technical expert is not a full or part-time LC employee he is subject to the same requirements relating to independence and confidentiality as other LC 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 LC. Additional approval is required from ASI for 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 LC, 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	c. Participation in the evaluation may be delayed for twelve (12) months or more depending upon the ability of the auditee, LC and/or ASI for better planning of an upcoming evaluation. LC 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

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申请。拒绝的理由包括：利益冲突;; 有意破坏审核的证据。	include: a conflict of interest; evidence of an intended disruption of the evaluation.
4. 审核总则 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 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 LC 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 LC 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 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 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 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 在初级阶段，上海砺鼎获得组织活动的初步想法，并找出了 FSC 证书发放中的可能的风险点。 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）	5.1.1 On the preliminary stage LC get the preliminary idea of the Organization's activity and find out possible risk points in FSC certificate issue. Document review is conducted in order to determine the adequacy (i.e., completeness, severity of conformance, interrelations, absence of inconsistencies) of MS documents to the requirements of declared standard.
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

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	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。	5.1.4 The review of the documents which cannot be sent to LC 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 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 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). LC 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, LC 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: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。	LC 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。	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.
5.2.3 多站点或一组参与站点的认证（FSC-STD-40-003） 根据抽样计划，允许对场地或监管链操作进行取样。	5.2.3 Certification of multi-site or group of participating sites (FSC-STD-40-003) Sampling of sites or chain of custody operations is permitted according to sample scheme.

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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。 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。	For each scheduled audit the appointed expert shall prepare a sample of audited sites concerned based on the information on sites concerned and covered by the scope of certificate. LC 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 LC shall audit the Head office.
5.2.4 单一认证 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) 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) 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) 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应用认证范围的框架。 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。 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 LC, 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. LC 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.
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	6.1.5 Information acquired through interviewing shall be examined through its comparison to similar information received from other

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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。 只有在评论提供符合或不符适用 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；	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. 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 LC requirements which shall be reasoned and supported by objective evidence;
6.1.6 审核过程包括 3 个阶段： - 首次会议； - 审核； - 末次会议。	6.1.6 The evaluation process consists of 3 stages: - opening meeting; - evaluation; - 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： - 审核的时间和日期（小时和分钟）； - 审核的地点（部门，工作场所，职位的识别）； - 作为审核主体的监管链流程； - 在指定的地点和时间向团队的审核员分配和分配责任； - 在最受关注的指定时间和地点审核标准的条款。 - 技术专家花费的时间应单独指定	6.2.3 The evaluation plan information shall contain: - Time and date of the evaluation (hours and minutes); - The place (identification of the department, the workplace, the position) of the evaluation; - chain-of-custody processes that are the subjects of evaluation; - Allocation and assignment of responsibilities to the auditors of the team at the specified place and time; - Clauses of the standard to be audited at the specified time and place with the most of attention. - 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 重新认证的审核计划可以减少到监督审核的范围。如果组织已证明符合已申报标准的要求，且最后一次监督审核的结果令人满意，则是有可能的。上海砺鼎将决定减少重新认证的范围。	6.2.5 The evaluation plan for re-certification may be reduced to the scope of surveillance evaluation. It is possible if the Organization has demonstrated conformity to the requirements of the declared standard and the results of the last surveillance evaluations are satisfactory. LC management shall take a decision on reduction of the scope of recertification.
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.

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6.3.3 首次会议的目的： - 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: - 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 LC 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 Audit 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其在远程办公室的运行情况。	6.4.1.2 In the case of large multisite organisations it shall 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 LC. For this purpose LC 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).

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- 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.
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）；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); 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 审核小组应获得符合适用认证要求，FSC 和上海砺鼎的规范性文件的证据。	6.4.2.1 Chain of custody at the level of the operational site The audit team shall obtain evidence of compliance with the applicable certification requirements, FSC and LC ND.
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 LC 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；	- 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;
- 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）；	- 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);
- 审核本组织对所有适用的纠正措施请求的实施情况	- Evaluation of The Organization's implementation of all applicable Corrective Action Requests

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- 审查本组织和/或上海砺鼎收到的所有关于不符合的投诉，争议或指控；	- Review of all complaints, disputes or allegations of non-conformities received by The Organization and/or LC;
注：如果审核显示违反 FSC-POL-20-001 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-20-001 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.
审核员不得因违反 FSC 协会政策而发布不符合项，因为相应的结论须受 FSC International 的约束，并需要 FSC 国际董事会的决定。	Auditors must not issue nonconformities on violation of FSC Policy for Association as the corresponding conclusions are subject to the FSC International and require a decision from the FSC International Directorial Board.
- 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场所；可在以下情况下进行文件审核：	- 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；	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 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.
- 与 FSC 认证相关的任何材料或产品的采购和销售文件	- Purchasing and sales documentation of any materials or products related to FSC certification
- 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；	- 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;
- 审核控制 FSC 声明的系统：对于百分比和信用系统，审查证书范围内每个产品组的输入百分比和/或信用的计算；对于转移系统，审查认证产出记录样本，并确认这些记录可以追溯到认证输入；	- 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;
- 在隔离标记，销售和运输文件中正确使用 FSC 商标和'FSC 受控木材'声明；	- The correct use of the FSC Trademarks and the 'FSC Controlled Wood' claim in segregation marks, sales and transport documentation;
- 培训记录。	- Training records.
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

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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 LC 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 requirement 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 LC. 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。 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。	New participating sites added to the certificate scope shall only be considered certified after LC has added the new sites to the FSC database of registered certificates. LC 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: LC 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、和手册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：	LC shall select a sample of the participating sites for evaluation of conformance to the applicable FSC normative documents. LC 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： $y = R \sqrt{x}$，其中： y = 认证机构要审核的参与场所数量（四舍五入到整数上限） R = 风险指数（见审核计划附录 3） x = 正常风险或高风险参与场所的总数 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: $y = R \sqrt{x}$, where: y = number of participating sites to be audited by the certification body (rounded to the upper whole number) R = risk index (see Table A) x = total number of normal-risk or high-risk participating sites 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.

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b) 纳入新的参与场所（超出批准的年增长率）： $y = R \sqrt{n}$, 其中： y = 认证机构要审核的参与场所数量（四舍五入到整数上限） R = 风险指数（见审核计划附录 3） 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): $y = R \sqrt{n}$, where: y = number of participating sites to be audited by the certification body (rounded to the upper whole number) R = risk index (see Table A) 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的得到的

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

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，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.

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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： a) 地理分布； b) 生产的活动和/或产品； 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）； d) LC 认为相关的其他标准	LC shall select specific participating sites to achieve the required sample number for evaluation. In the selection process, LC 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: a) geographic distribution; b) activities and/or products produced; c) size of participating sites (size may be determined by the number of employees, production volumes, and/or annual turnover of forest product sales); d) other criteria, as deemed relevant by LC
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）。	LC 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海砺鼎进行审核。	The central office shall be audited by LC in each evaluation in addition to the selected participating sites.
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，记录和手册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： a) 参与场所清单； b) 参与场所的变化率（新站点，已离开证书的站点）； 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； 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； e) 中央办公室审核记录； 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, LC shall review and assess: a) the list of participating sites; b) the rate of change of participating sites (new sites, sites that have left the certificate); 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; d) formal communication and written documents sent to participating sites by the organization since the previous certification-body surveillance; e) records of the central office's audits; 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 LC 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

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	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”： a) 组织外包所有或大部分产品的生产过程； b) 外包方混合不同的原料输入（如：FSC 100% 和受控木材） c) 外包方对产品贴 FSC 商标 d) 外包方在外包加工后不返还 FSC 认证产品 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: a) The Organization outsources all or most of the manufacturing processes of a product; b) Contractor mixes different input materials (e.g. FSC 100% and Controlled Wood); c) Contractor applies the FSC label to the product; d) a contractor does not physically return the FSC-certified product to the contracting organization after outsourcing; 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 LC 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： 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） 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； 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） 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: 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); b) The product is palletized, or otherwise maintained as a secure unit that is not broken apart during outsourcing; c) The contractor is employed for services that do not involve manufacture or transformation of certified products (e.g. warehousing, storage, distribution, logistics), 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 = √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=√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	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

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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。	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 with material used in the manufacture of FSC-certified products during outsourcing.
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 ($y=0.8 \sqrt{x}$) 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, LC 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 ($y=0.8 \sqrt{x}$) 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: LC are not required to audit the same sites audited by the participating sites in the current evaluation period.
6.4.2.5 交易验证	6.4.2.6 Transaction verification
6.4.2.5.1 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 LC 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).
6.4.2.5.2 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(作为非公开信息): a) 自上次评价以来未申报 FSC 销售数据的组织; 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; 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, LC shall register the following information in the FSC database of certificates (as non-public information): a) organizations that reported no FSC sales since the previous evaluation; b) non-conformities, suspensions, terminations, and removal of participating sites due to false claims made by organizations; 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).
6.4.2.6 评估 FSC 核心劳工要求	6.4.2.7 Evaluation of FSC core labour requirements
6.4.2.6.1 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 LC shall verify that the organization has adopted and implemented a policy statement, or statements, that encompass the FSC core labour requirements.
6.4.2.6.2 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 LC shall verify that the policy statements are made available to stakeholders.
6.4.2.6.3 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	6.4.2.7.3 LC 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. LC shall specify, justify and document in its system the means of verification of the self-assessments, including, but not limited to:

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中规定、证明和记录自评的验证手段，包括但不限于： a) 针对现有信息来源和适用要求验证自我评价的机制； 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； 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)。 d) 根据先前与 FSC 核心劳工要求相关的审核结果和自我评估，确定每个组织在认证周期内未来审核的频率和抽样要求。 e) 必要时包括具有特定能力的审核员。	a) a mechanism for verifying self-assessments against available sources of information and applicable requirements; b) identifying the legal requirements related to the FSC core labour Requirements and applicable to the organization/site. c) corroborating evidence provided by the organization with independent sources when possible. (e.g. documentation, interviews etc.)'. 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 and the self-assessment. e) including auditors with specific competencies if needed.
6.4.2.7 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： i) 公司的证书号码 ii) 证书范围内的活动(产品和过程)； iii) 妨碍现场审核的情况的证据(如公务旅行警告)； iv) FSC 要求的其他附加信息 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: i) certificate code of the company; ii) activities under the scope of the certificate (products and processes); iii) evidences of circumstances preventing the on-site audit (e.g. an official travel warning); iv) other additional information, as requested by FSC. 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，以监督本组织是否继续遵守所有适用的认证要求；	6.5.1.1 LC shall carry out a surveillance evaluation to 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： - 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 LC and the Organization. Control of the terms for surveillance evaluations is performed: - By the head of the LC;
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

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	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 对监管链 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 For chain of custody: 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 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, LC 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 LC 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 LC no later than three (3) months after the restart of the activities listed above to confirm the maintenance of the chain of custody system
- 在下次监督审核时，认证机构应审查所有记录，回溯到之前的监督审核，以确保维护监管链系统，根据上述豁免声明的要求，没有任何材料已经生产，贴标签或作为 FSC 认证出售。	At the next surveillance evaluation, the certification body 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 in accordance with the waive declaration required in above.

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- 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 LC HO and agreed with LC. LC 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。	- LC shall not waive more than two consecutive surveillance evaluations.
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 RLC 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) LC shall conduct an assessment of the organization's procedures against the relevant new standard requirements at the regular time scheduled for the surveillance audit.
b) 评估应安排现场进行，如果： 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； 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)； 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。 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: 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; ii) the organization will use a new system for controlling FSC claims under a specific product group (FSC-STD-40-004); iii) LC deems this necessary to evaluate the implementation of corrective action requests or a change of the certificate scope. 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
6.5.2.1 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（末次会议日期）日期不超过 15 个月之后。	6.5.2.1 LC 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 closing meeting date) 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： - 对证书范围的任何更改，包括新的监管链操作或	6.5.2.3 At surveillance LC shall review and assess at minimum: - Any changes to the scope of the certificate, including new Chain of Custody operations or Participating Sites, and changes in

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参与分场所，以及业务活动的变更；	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 documents is hard copy or PDF documents, or other format protected from changes, and ensure the sales documents 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, LC 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： - 分场所清单； - 分场所变动率（新场所，离开证书的场所）； - 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。 - 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； - 中央办公室的审核记录； - 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；	For surveillance evaluations of Group and Multi-site certificates, the certification body shall review and assess: - The list of Participating Sites; - The rate of change of Participating Sites (new sites, sites that have left the certificate); - 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; - Formal communication / written documents sent to Participating Sites by The Organization since the previous certification body surveillance; - Records of Central Office's audits; - 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 LC 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 LC 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 （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 （The CB shall inform the client if an additional on-site audit is required to verify that nonconformities have been corrected. ）

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- 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 LC may demand to carry out short – notice or no – notice audit of certified organization in order to review received by LC 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.
为了执行此类审核，内容和文件形式与本手册条款 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 outsourcing 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： - 没有客观证据，就没有不符合项；	7.1.4. During the registration of non-conformities it is necessary to follow the following principles: - 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 LC against which the Organization evaluated

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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 LC 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.
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 constitute 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，在认证决定做出的 10 天内，应暂停证书。	7.1.13 The occurrence of five (5) or more major nonconformities in a surveillance audit shall be considered as a breakdown of the clients' management system and certification shall be suspended within ten (10) days of the certification decision being taken.
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，	- about the conversion of the minor non-conformity that was not

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纠正措施实施期限不超过 3 个月(在特殊情况下, 在组长同意的情况下可以达到 6 个月);	eliminated to the category of the major non-conformity with the term of corrective actions fulfillment no more than 3 months (in exceptional cases it is permitted up to 6 months by the agreement with a leader);
- 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 LC 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 LC 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 LC 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, 或者在下次审核时。确认纠正措施有效性的事实是在报告中确认。	7.1.19 The effectiveness of corrective actions is verified by LC 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, 并开给撤个或更多的分场所, 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 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.

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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 末次会议	7.3 Closing meeting
7.3.1 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。	7.3.1. 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.
7.3.2 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。	7.3.2. 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 LC management about MS conformity to the requirements of the declared FSC normative documents.
7.3.3 审核组长应该主持末次会议。	7.3.3. The audit team leader shall hold the closing meeting.
7.3.4 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。	7.3.4. 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.
7.4 报告文件	7.4 Reporting documents
7.4.1 审核结果和纠正措施计划	7.4.1 Evaluation Findings And Corrective Action Plan
7.4.1.1 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。	7.4.1.1 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.
7.4.1.2 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。	7.4.1.2 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.
7.4.1.3 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	7.4.1.3 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.
7.4.1.4 纠正措施请求应具有以下时间范围：	7.4.1.4 Corrective action requests shall have the following timeframes:
- 轻微不符合应在一个 12 个月的最长期限内予以纠正（在特殊和合理的情况下，时间表可延长至两（2）年）	- minor nonconformity shall be corrected within the maximum period of one 12 month (under exceptional and justified circumstances the timeline may be extended to two (2) years);
- 严重不符合项应在三（3）个月内（在六（6）个月内的特殊和合理情况下）予以纠正。	- major nonconformity shall be corrected within three (3) months (under exceptional and justified circumstances within six (6) months).

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注 1: 纠正重大不符合项的行动可能会持续超过三 (3) 个月的一段时间。但是, 必须在规定的时间内采取措施, 足以防止在认证范围内出现新的不合格情况。	NOTE 1: 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.
注 2: 缺乏有效的“FSC 认证计划许可协议”应被视为主要不符合项, 必须在最多两 (2) 周内予以纠正。未能完成此重大不符合项将导致认证暂停。	Note 2: The absence of a valid 'License Agreement for the FSC Certification Scheme' shall be treated as a major nonconformity which has to be corrected in a period of maximum two (2) weeks. Failure in closing this major nonconformity shall lead to the suspension of certification.
注 3: “区域规划”审核员可能要求组织立即采取行动, 例如: 立即停止使用违禁农药, 立即停止危险活动或造成严重环境破坏的活动, 违反使用 FSC 声明或商标的行为。	Note 3: A major non-conformity may be required by LC auditors immediate action to be taken by Organisation e.g. immediate cessation of use of a prohibited pesticide, immediate cessation of dangerous activities or activities causing serious environmental damage, violations concerning the use of FSC-claims or Trademarks.
注 4: 审核员可以设定截止不合格的期限低于规定的最后期限	Note 4: Auditor may set a deadline for the closing of non-conformities less than maximum defined deadlines.
7.4.1.5 负责任的专家应确定纠正措施是否在其时间范围内得到了适当的实施。如果认为采取的行动不充分, 那么所采取的行动就不充分, 那么:	7.4.1.5 Responsible specialist shall determine whether corrective action has been appropriately implemented within its timeframe. If the action taken is not considered adequate if the action taken is not considered adequate, then:
- 轻微不符合应成为严重不符合, 并应在最长三 (3) 个月内 (或在特殊和合理情况下六 (6) 个月) 更正;	- minor nonconformity shall become major nonconformity and shall be corrected within a maximum period of three (3) months (or in exceptional and justified circumstances six (6) months);
- 严重不符合将导致立即暂停认证。	- major nonconformity shall lead to immediate suspension of certification.
7.4.1.6 严重不符合项不得降级为轻微不符合项。	7.4.1.6 Major nonconformities shall not be downgraded to minor nonconformities.
7.4.1.7 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。 在纠正行动计划中, 应记录以下内容:	7.4.1.7 Description of a non-conformity shall be defined in the terms of the normative document requirements against which the evaluation was conducted. 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 non-conformity;
- 进行此审核的标准。	- The standard against which this evaluation is conducted.
7.4.1.8 由审核员填写 “不合格/观察”部分应包括:	7.4.1.8 Filled by auditor «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

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- 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 LC;
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）； 标准；条款，	Participating site (sub-code); Standard; Clause,
«不合格内容»部分应包括： - 不合格的表述	«Nonconformity content» section should include: - the formulation of the non-conformity
不合格的表述应： - 基于客观证据；	The formulation of the non-conformity shall: - 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.
7.4.1.9 由组织填写 «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：	7.4.1.9 Filled by Organisation «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： - 不合格的原因；	«Description of the causes of nonconformity» section should include: - 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“不符合”字样；	- Each Report shall be identified by its registration number, based on the allocated audit number and crossing out of the words “nonconformities” and “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.
为了关闭提出的不符合项，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.

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7.4.2 审核报告	7.4.2 Report of evaluation
7.4.2.1 一般要求	7.4.2.1 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。	a. LC 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.
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。 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. 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。无论是否签发了监管链证书, 审核结果和结论都应记录在报告中。	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 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. 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。	g. Prepared draft of the Audit report is directed to the evaluated Organization for compliance. In case of disagreement the Organization shall attach the Non-conformity report to the Report.
7.4.2.2 监管链报告	7.4.2.2 Chain of custody report
a. 监管链报告模板:	a. Chain of custody report templates:

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初次审核\监督报告	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。 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. 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 LC, 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 LC HO for review by reviewer:
- 符合适用认证标准要求的监管链认证手册。	- 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： - 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: - 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 calculation of conversion factors of finished products at each stage of the production cycle
7.4.2.3 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。评估报告应发送给组织，并应至少包括下表中规定的信息。 注:提供信息的顺序可能由上海砺鼎决定。	7.4.2.3 LC shall 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 NOTE: The order in which information is presented may be determined by LC.

Table. Minimum content of evaluation reports
(Please refer to the next page of the document)

Item	Minimum content required
1. Cover page	a) Name, contact details, and website address of the certification body. b) Date (day, month, and year) of the report. c) Type of evaluation (e.g. main evaluation). d) Name, address, and contact details of the organization and contact person. e) Chain of custody certificate code (if applicable). f) Controlled wood certificate code (if applicable). g) Date of issue of the chain of custody certificate.

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2. Certificate scope information ³	a) Certificate type: single, group, or multisite. b) Product group(s) (for organizations certified according to FSC-STD-40-004). c) Control system(s) used for making FSC claims: transfer, percentage, and/or credit system (for organizations certified according to FSC-STD- 40-004). d) FSC standards applicable to the scope of the certificate (e.g. FSC-STD-40-005 V3-1, FSCSTD- 40-007 V2-0). e) For each site (or participating site) within the scope of the certificate: i. name of the organization; ii. address; iii. site activity (e.g. primary processor, secondary processor, trader, printer, retailer, building contractor); iv. size class of the site in terms of annual turnover (AAF), as specified in the latest version of FSC-POL-20-005; v. for group and multisite certificates, the identifier or sub-code assigned to each participating site;
3. Scope of the evaluation	a) Evaluation date(s). b) Name(s) and qualifications of certification body auditors. c) Total on-site auditing time. d) Reference to the FSC normative documents used, including the version number. 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) 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. Evaluation findings (for organizations certified according to FSC-STD- 40-004)	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) management system; ii) material sourcing; iii) material receipt and storage; iv) volume control and the applied system for controlling FSC claims (transfer, percentage, and/or credit system); v) sales and delivery; vi) labelling (if applicable); vii) outsourcing arrangements. b) Description of the identified critical control points. 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. FSCSTD- 40-004, FSC-STD-40-005). 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 non-conformity of the implemented system. NOTE: The audit findings shall be presented separately for each participating site evaluated in the case of multisite and group evaluations. d) Description and review of any complaints, disputes, or allegations of nonconformities received by the organization and/or the certification body. e) Corrective action requests (CARs) issued to the organization as a result of the current evaluation, including specification as major or minor, timelines for conformance, status (open or closed), description of the nonconformity on which the CAR is based. Where applicable, the report shall also include a systematic evaluation of the organization's conformity to CARs issued by the certification body in the previous evaluation. f) For main evaluations and re-evaluations, the certification decision. g) 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. h) Information on FSC-certified volumes based on the organization's annual volume summary, including:

³ Certification bodies are required to enter and maintain up-to-date information on the certificate scope in the FSC database of certificates.

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	i) total FSC input volumes; ii) total FSC sales. 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. Outsourcing (for organizations certified according to FSC-STD-40-004)	a) Name and contact details of contractors covered by the scope of certificate. b) Description of the outsourced processes (e.g. planning, storage, drying). c) Classification and brief description of the identified risk of the outsourced activity according to Clause 9.2. d) In the case of high-risk outsourcing: i. list of contractors audited by the certification body; 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.
6. Group and multisite evaluations ⁴	a) General description of how the chain of custody is controlled at the group or multisite level. b) Detailed summary of the certification body sampling process, including: i. calculation of the number of participating sites sampled for the audit, according to the sampling methodology in Clause 7.5; ii. name(s) of the participating site(s) audited by the certification body. c) Explicit statement of the specified annual growth limit of the group or multisite certificate determined according to Clause 7.1.
7. Evaluation of supplier audit program for reclaimed materials	a) Brief description of the organization's verification program for reclaimed materials. b) List with the name(s) and contact details of the supplier(s) evaluated by the certification body. c) Brief description of the certification body's field evaluation of each supplier.
8. Annexes	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).

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, Extension, 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 LC 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。	LC shall 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。	LC 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	LC 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

⁴ 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.

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过程。	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:
- 已与 FSC 签订并持有有效且最新版本的“许可协议”，而且使用 FSC 商标的权利没有被暂停；	- has entered into and holds a valid and most recent version of the 'License Agreement' with FSC, where the right to use the FSC trademarks is not suspended;
-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认证前纠正，轻微不符合项应在上海砺鼎规定的最长时间范围内纠正。开放的轻微不符合不妨碍认证的授予；	-conforms with the requirements of all applicable FSC normative documents, which means that major nonconformities shall be corrected before granting of certification and minor nonconformities shall be corrected within the maximum timeline specified by the LC. Open minor nonconformities do not prevent granting of certification;
- 和上海砺鼎签署了认证协议。	- signed a certification agreement with LC.
8.1.3 如果甚至有一个严重不符合应用认证标准的要求，则不能对认证作出正面决定，也不得向申请人颁发证书。	8.1.3 Positive decision on certification cannot be made and certificate shall not be issued to the applicant, if there is even one major non-conformity to the requirements of applied certification standard.
8.1.4 最终认证/重新认证决定和颁发证书由上海砺鼎的总经理进行。如果总经理参与审核，未参与审核的副总或技术经理对认证决定负有责任。如果认证范围没有改变且证书不重新发布，则监督/附加审核的认证决定可以由技术经理做出。	8.1.4 The final certification/recertification decision and to issue the Certificate is taken by the LC's GM. In case if the GM took part in the evaluation, the Vice-GM or the technical manager, who did not participate in evaluation, bare responsibility for the decision on certification. Certification decision on surveillance/additional evaluations can be taken by technical manager if certification scope has not changed and a certificate is not be reissued.
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 LC 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, LC has the right to postpone the decisions made on the certification results for detailed 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 LC 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： 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: LC 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	- In case the Certification term of validity expired, but the Organization did not inform about its desire to be re-certified, LC

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期到期的正确通知。	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 LC 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 的最新版作出认证决定。	8.1.11 On chain of custody: LC make certification decisions based on evaluation results and operation's conformity to each applicable requirement specified in the relevant FSC normative document(s) and LC 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 LC 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 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后版本。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 LC certification decision and the final version of the evaluation report shall be sent. When communicating a negative certification decision LC shall provide the reasons for this.
8.2.3 监管链	8.2.3 Chain 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。 代码格式：LC-CW - ##### - 其中 LC 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. Code form: LC-CW-##### – where LC 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。 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. At this, The Organization shall notify LC as soon as eligible input stock is available or the production of FSC-certified material has started; and LC 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.

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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 LC 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 LC 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 LC requirements including evaluation and the issuance of certificates aimed to extension or reduction of the certification scope.
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，以确认证证的有效性。	NOTE: Circumstances affecting certification are e.g. armed conflicts or epidemics that hinder LC 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 LC management with reference to the recommendations of the audit team leader and approval of the surveillance evaluation results. LC 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 LC 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 LC 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 LC 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 LC 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 LC 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认证前纠正，轻微不符合项应在上海砺鼎规定的最长时间内纠正。开放的轻微不符合不妨碍认证的授予；	c. conforms with the requirements of all applicable FSC normative documents, which means that major nonconformities shall be corrected before granting of certification and minor nonconformities shall be corrected within the maximum timeline specified by the LC. Open minor nonconformities do not prevent granting of certification;
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 LC 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	8.3.8 Extension/reduction of the Organization's MS certification scope are based on an official request of the Organization in a free

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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。	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. The conditions necessary for the LC to change the scope of certification shall include the following requirements: 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; b) 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.
8.3.9 上海砺鼎变更认证范围的必要条件应包括以下要求: a)范围的变更不应包括或导致认证有效期超过最初授予的期限; b)适用时, 客户应将旧证书退回上海砺鼎或销毁, 并签发反映范围变化的新证书。 注 1: 如果根据上海砺鼎的决定, 变更不需要对集团认证持有人的管理系统进行任何重大更改, 则团体认证的参与站点的增加或减少不被视为认证范围变更。但是, 由于所有权, 组织结构或管理系统的变化, 可能需要更改范围。为此, 上海砺鼎应分析这些变化。 注 2: 由于所有权、组织结构或管理系统的变化, 范围的变更可能是必要的	8.3.9 The conditions necessary for the LC to change the scope of certification shall include the following requirements: 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; b) where applicable, the old certificate shall be returned to LC or destroyed by the client, and a new certificate issued reflecting the change of scope. Note 1: An increase or decrease in the Participating Sites of a group certification is not considered a certification scope change if according to LC's decision the change does not require any significant changes to the group certification holder's management systems. However a change of scope may be necessary as a result of changes in ownership, structure of the organization, or management systems. For this purpose LC shall analyze these changes. 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 LC decides that certification scope changes are essential from the point of view of management or processes location, LC 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, 新证书反应范围的变化。	8.3.12 On the basis of the evaluation results and after approval of the results by LC management, the lead auditor or the appointed LC 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 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	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 LC sends a request that the old

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书。	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.
- 如果是多场所认证, 场所抽样和年度检查审核中达到相同的水平	- in case of the multi-site certification, sampling of sites could be realized at the same level as within annual inspection evaluation.
- 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 LC 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 LC adopted standard;
- 上海砺鼎不需要提交审核报告进行同行评审。	- LC is not required to submit the evaluation report for peer review.
8.4.7 如果在重新审核时发现严重不符合的情况, 应在上海砺鼎和组织同意的期限内消除这些不符合的情况。只有在消除不符合的纠正措施实施后, 才会采取恢复或签发新证书的决定。	8.4.7 In case if major non-conformities are identified at the re-evaluation these non-conformities shall be eliminated by the Organization within the terms agreed with LC. Only after corrective actions on elimination of non-conformities are realized the decision of restoration or issuing of the new Certificate is taken.
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 暂停或撤销证书	8.5 Suspension or withdrawal of certificate
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

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	trademarks.
8.5.2 证书的条件和规则 暂停和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 suspension and 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 LC 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 LC.
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，时间表可以增加至十八（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： a)关于认证无效状态(暂停或撤销)的明确声明； b)证书正式失效的日期； 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； d)要求撤销 FSC 商标的所有使用； e)停止使用 FSC 声明的要求； 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，认证将被撤销。	8.5.6 In case the Certificate is withdrawn or its validity is suspended LC informs the Organization in writing about the decision made and its reasons. The notification letter shall include: a) a clear statement about the invalid status of certification (suspended, or withdrawn); b) the date from which the invalid status of certification is official; 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 certification requirements; d) the requirement to withdraw all uses of the FSC trademarks; e) the requirement to stop making FSC claims; 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 LC 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 LC'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 个工作日内，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) work 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, LC conformity mark or FSC trademarks from its products, documents, advertising or marketing materials at its own expense.

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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 LC 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, LC 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 LC 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 LC bears responsibility for organization, maintenance, and filling of the Register of certified Organizations in the FSC certification database (info.fsc.org). LC 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(LC-COC-#####)	- Registration code (LC-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 LC shall inform ASI and FSC that certification or recertification has been granted within ten (10) days of the certification decision
8.7.4 LC-2-12 概述了证书的注册，内容，格式和尺寸的基本要求 产销监管链证书应包括： a) FSC 标志，不得小于上海砺鼎的标识； b) 上海砺鼎的名称和地址； c) 客户的法定名称和注册地址； 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；	8.7.4 Basic requirements for registration, content, format and dimensions of Certificates is outlined in LC-2-12. The certificate shall include: a) the FSC logo, which shall be no smaller than the logo of the LC; b) the name and address of the LC; c) the legal name and registered address of the client; 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; e) a reference to the FSC certification database (info.fsc.org) for the full list of product groups covered by the certification; f) a clear statement to the effect that the certificate shall remain the property of the CB that issued it, and that the certificate

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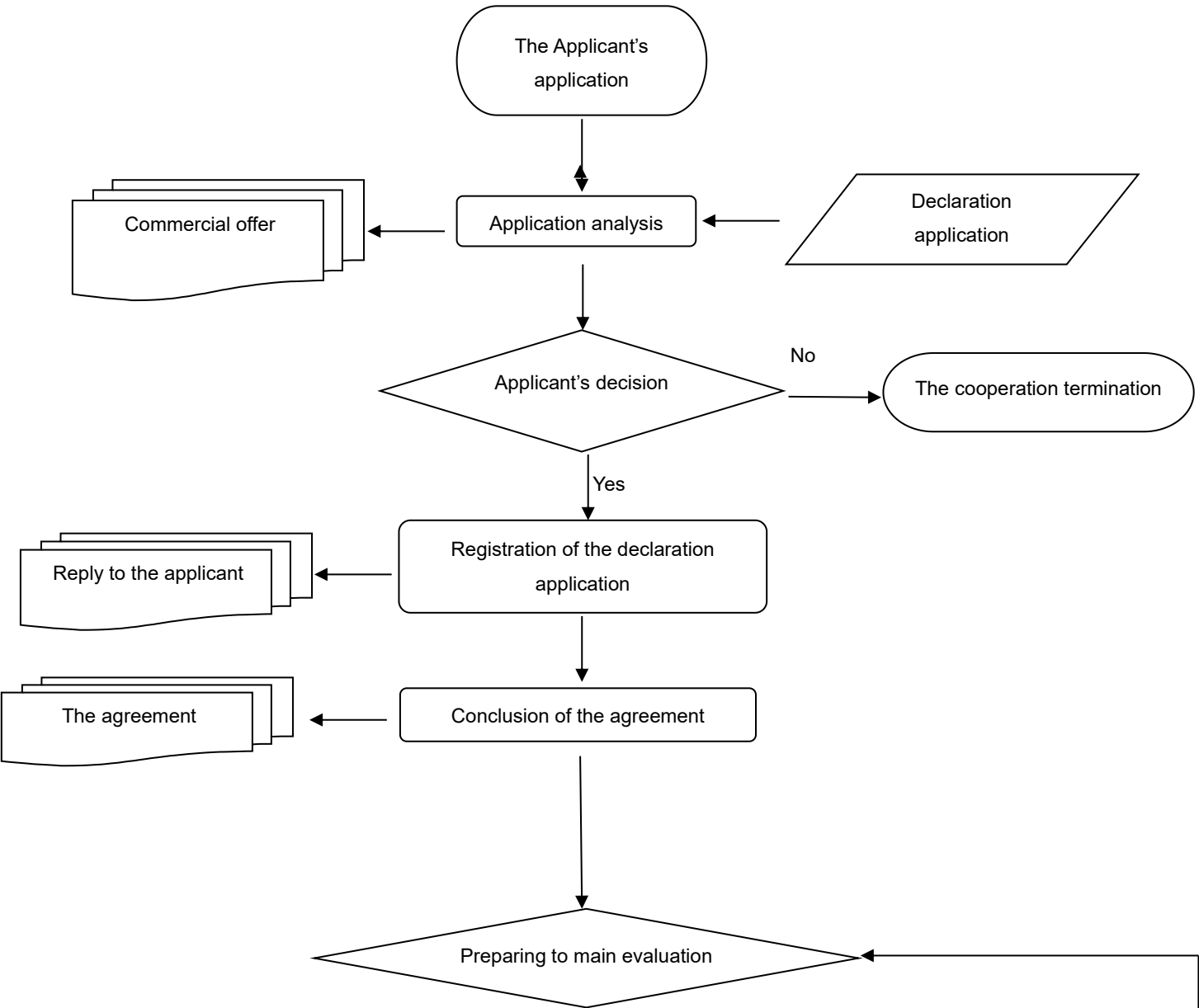
e) 提供 FSC 认证数据库 (info.fsc.org), 以获取认证所涵盖的产品组的完整列表; f) 明确声明证明书应保留其签发证书的财产, 并且证书和证书的所有副本或复制品应根据认证机构的要求予以退还或销毁; g) 认证签发日期; h) 认证到期日期连同免责声明 “此认证的有效性应在 (info.fsc.org) 上进行验证”; 注1: 有效期限要求不适用于项目产销监管链认证。 i) 证书号码 (重发证书或续签证书); j) 上海砺鼎的指定的个人签名; k) 免责声明: “此证书本身并不构成证书持有人提供的特定产品是 FSC 认证[或 FSC 受控木材]的证据。当在销售和交付文件中明确说明所要求的 FSC 声明时, 证书持有者提供, 运输或出售的产品只能被视为证书涵盖范围。 l) 认证机构颁发的认证注册码和表格	and all copies or reproductions of the certificate shall be returned or destroyed if requested by the CB; g) the date of issue of the certification; h) the date of expiry of the certification together with the disclaimer “The validity of this certification shall be verified on (info.fsc.org)”; NOTE 1: The expiry date requirement does not apply for project chain of custody certification. i) an issue number (for re-issued or renewed certificates); j) the signature of the individual(s) of the LC assigned such responsibility; 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 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”; 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 database (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。上海砺鼎作为一个认证机构使用下面的链接来登记: http://www.leading-cert.org.cn/	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. LC as a certification body uses the following link to sign in: http://www.leading-cert.org.cn/
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	8.7.11 Any wording, including the claim of conformity, to be included on certificates in addition to the information as required in

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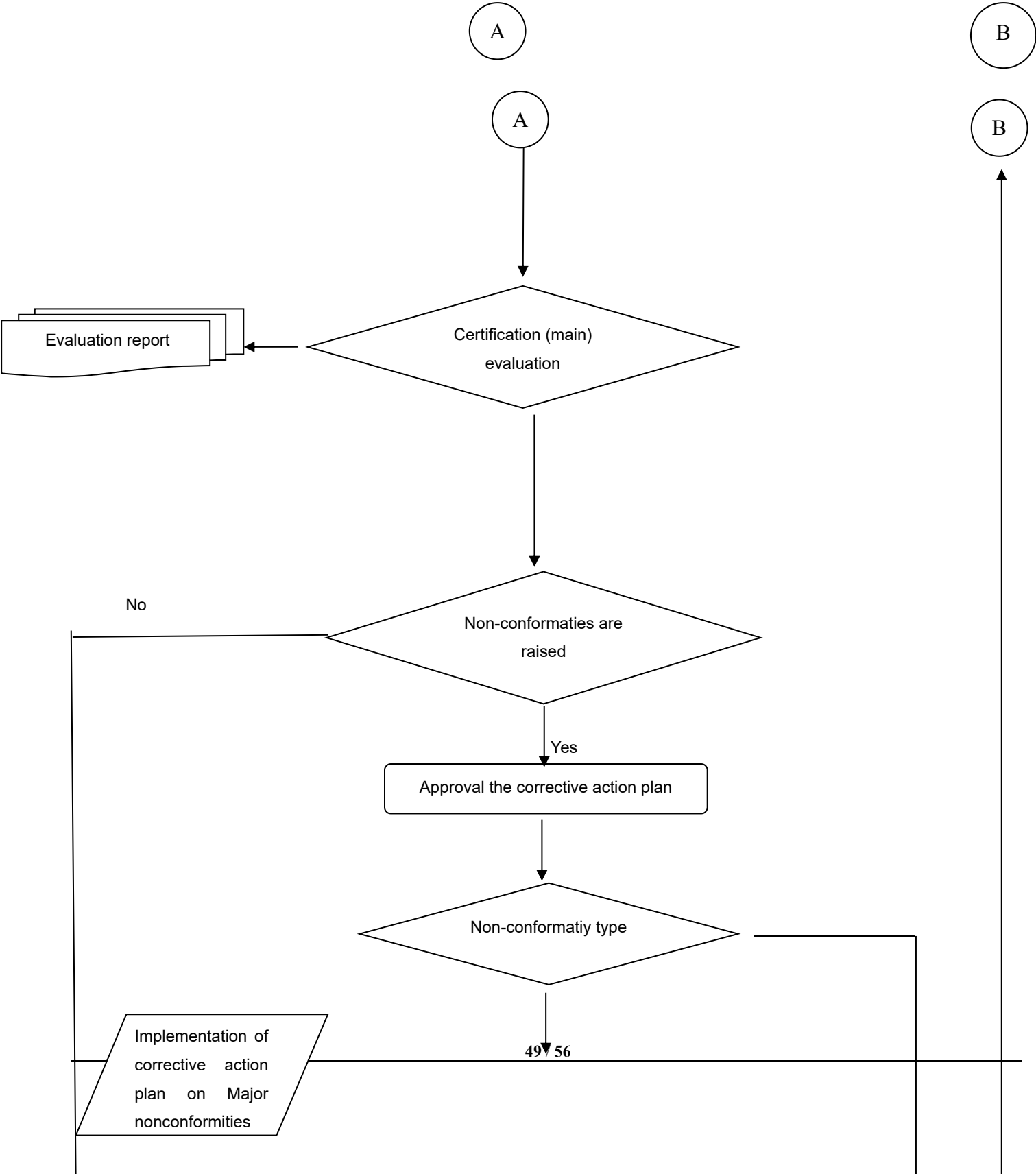
准。	Clause 8.7.4 is subject to prior written approval by FSC.
8.7.12 监管链(FSC-STD-40-004 V3-1) 上海砺鼎应通过及时收集, 分析和共享与 FSC 交易相关的相关信息, 即尽快提供响应, 合作并支持 ASI 在上海砺鼎认证的客户 - 证书持有者的交易验证活动。为此目的, 应 ASI 的要求, 上海砺鼎应在与 ASI 商定的期限内提供所要求的信息。 为了支持 FSC 系统中虚假声明的监视和控制, 上海砺鼎应在 FSC 数据库中将以下信息注册为非公开:	8.7.12 Chain of custody (FSC-STD-40-004 V3-1) LC shall cooperate and support ASI's activities on transaction verification of clients-certificate holders, certified by LC, 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, LC shall provide the requested information within the term agreed with ASI. In order to support the monitoring and control of false claims in FSC system, LC shall register the following information in the FSC database as non-public:
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 LC no FSC sales since the previous evaluation;
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).
9. FSC 商标和宣传 根据上海砺鼎和 FSC 要求, 对证书持有者使用 FSC 商标的批准和控制定义如下:	9. FSC trademarks and promotion According to the requirements of LC and FSC, the approval and control of the use of FSC trademarks by certificate holders are defined as follows:
上海砺鼎应负责根据 FSC 商标要求批准其客户使用 FSC 商标, 包括产品上使用和宣传使用。	LC shall be responsible for the approval of the FSC trademark use by their clients according to FSC trademark requirements, relating to both on-product and promotional uses.
经批准的证据应与其他客户文件一起保存在上海砺鼎。	The approved evidences are to be stored in LC along with other client's documents.
上海砺鼎应通过以下方式控制其客户的 FSC 商标使用, 包括产品上和促销上的使用: a)至少在监督审核和重新评估时(可以采用抽样)审核商标使用情况;和 B)处理他们的客户发现或举报的商标误用事件。	LC shall control the FSC trademark use by their clients, both on-product and promotional uses by:auditing the trademark use at a) minimum at the time of the surveillance audit and re-evaluations (sampling can be applied); and b) addressing cases of detected or reported trademark misuses by their clients.
上海砺鼎不得将其他林业认证计划的标准推广等同于 FSC 标准。	LC shall not promote standards of other forestry certification schemes as equivalent to FSC standards.

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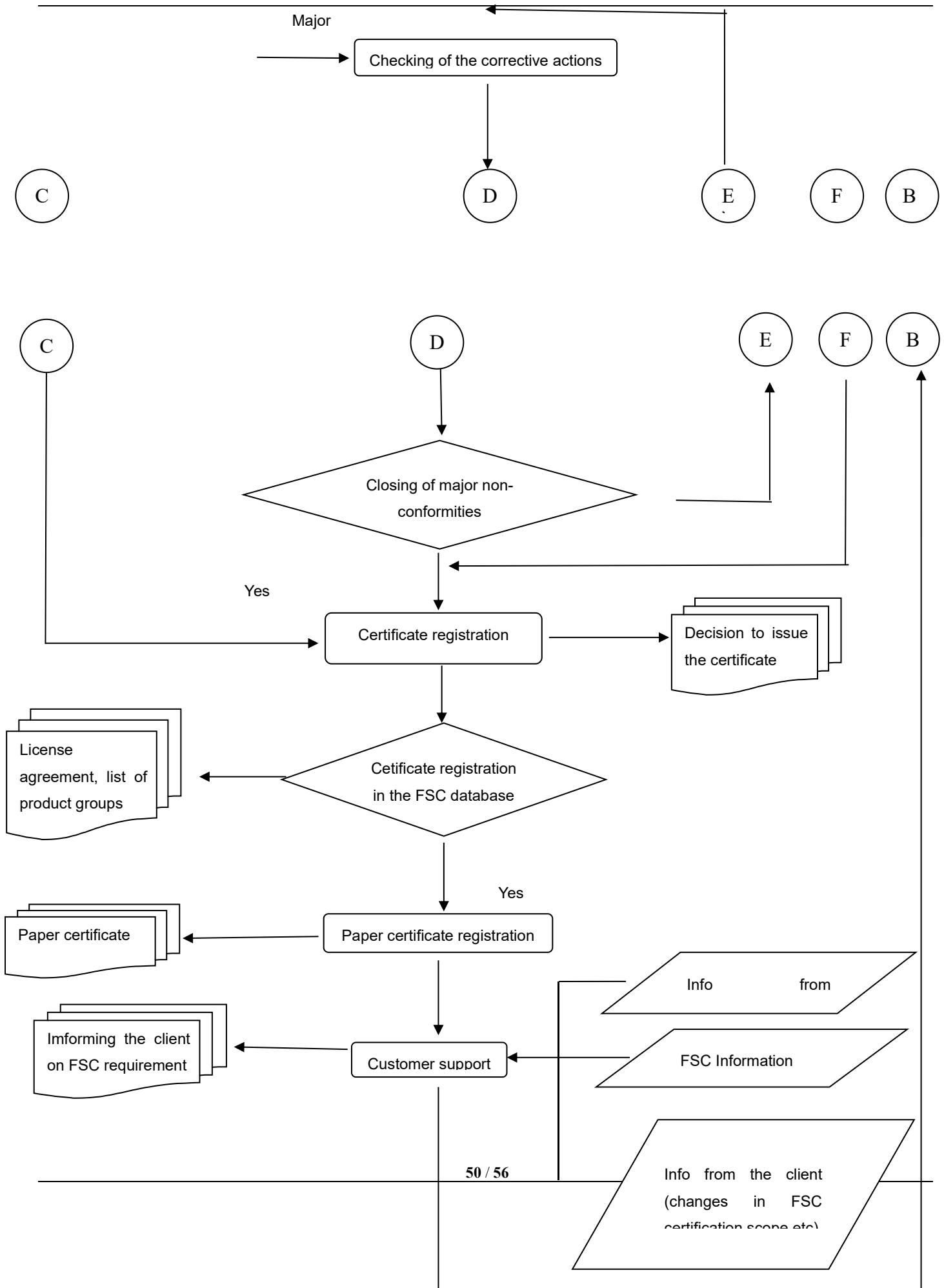
Annex 1. Flowchart of Forest Certification Program



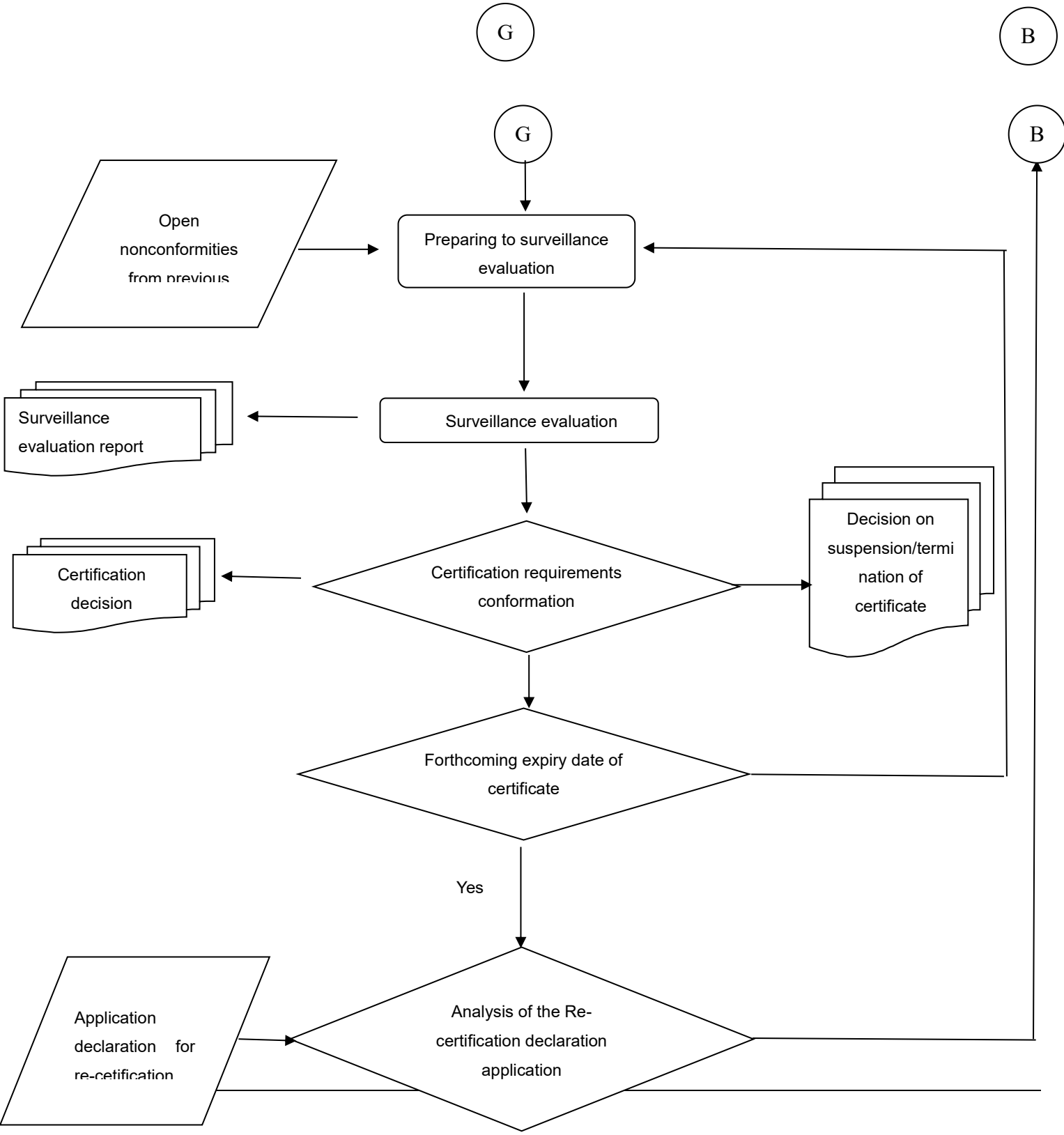
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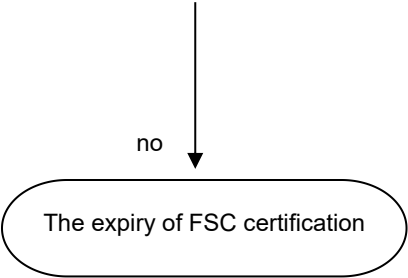
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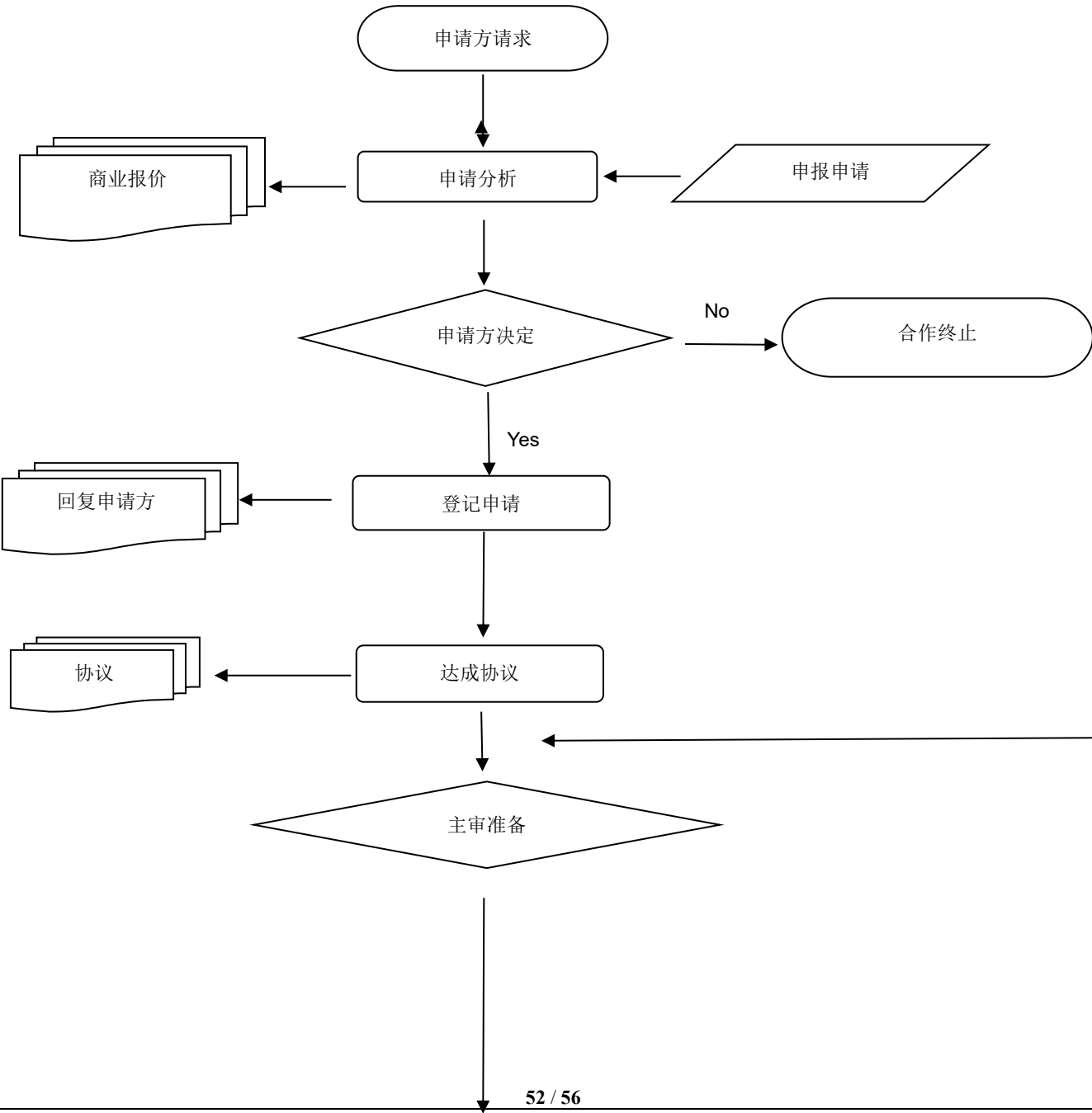
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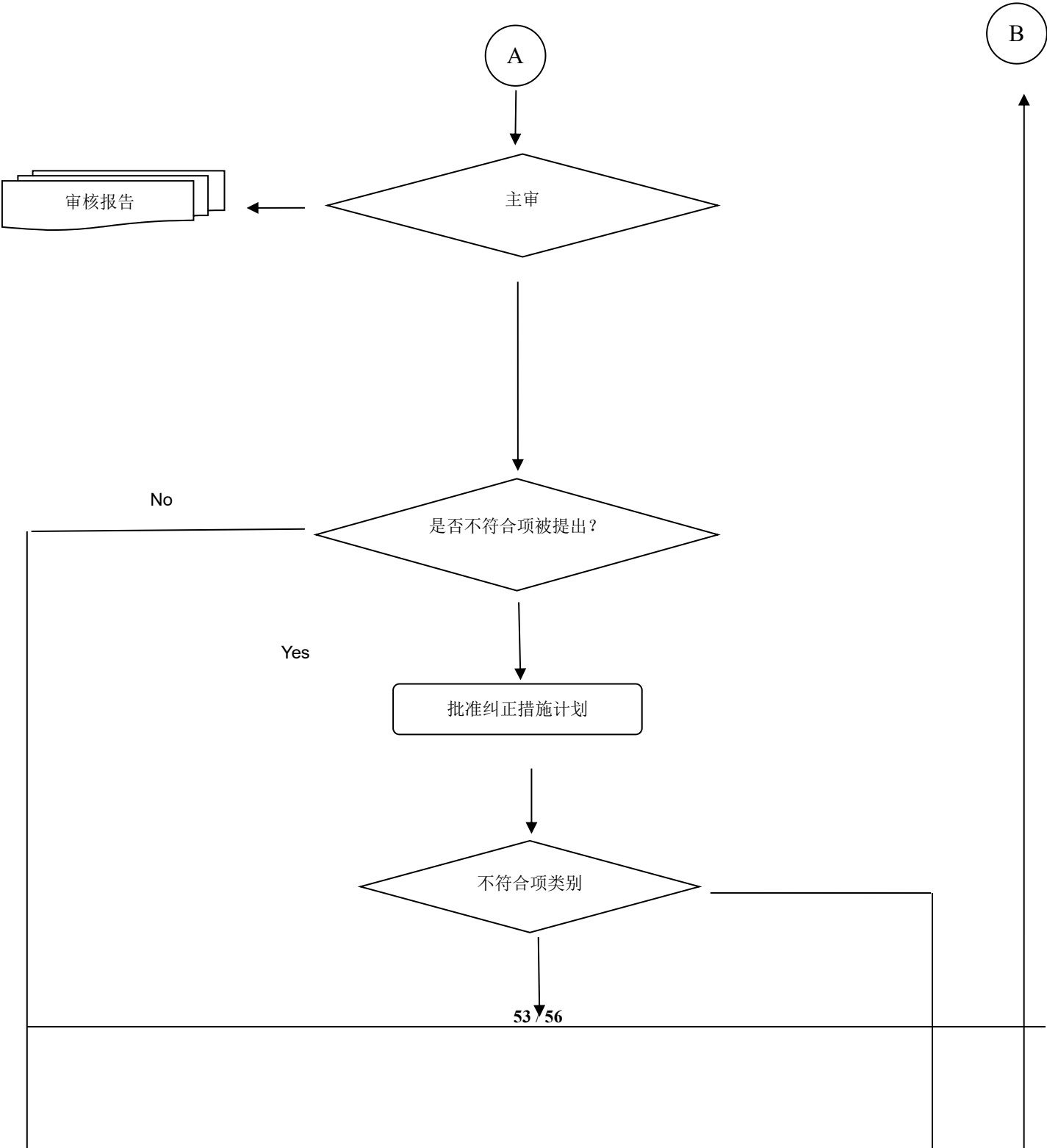
附录 1. 森林认证流程图



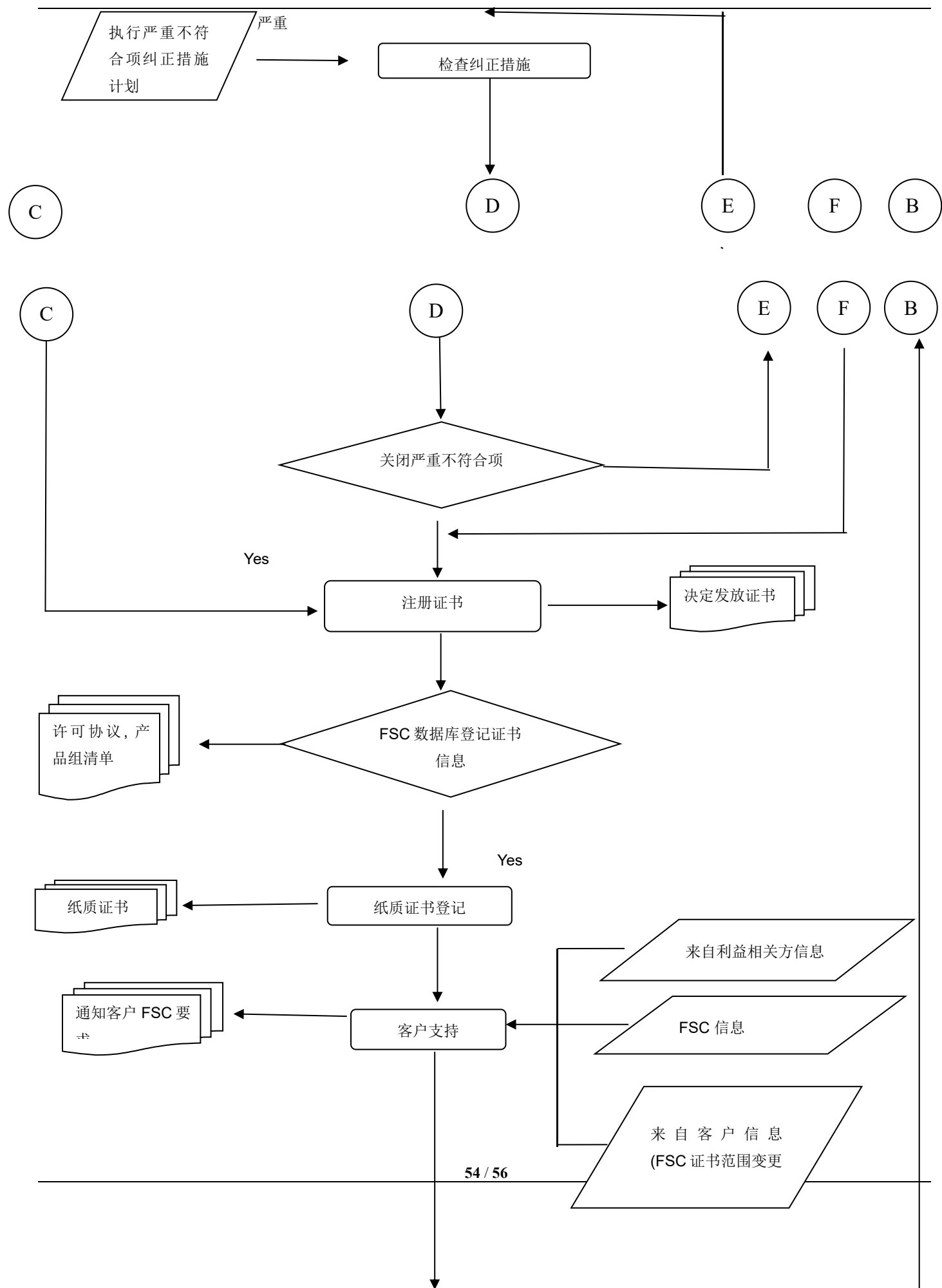
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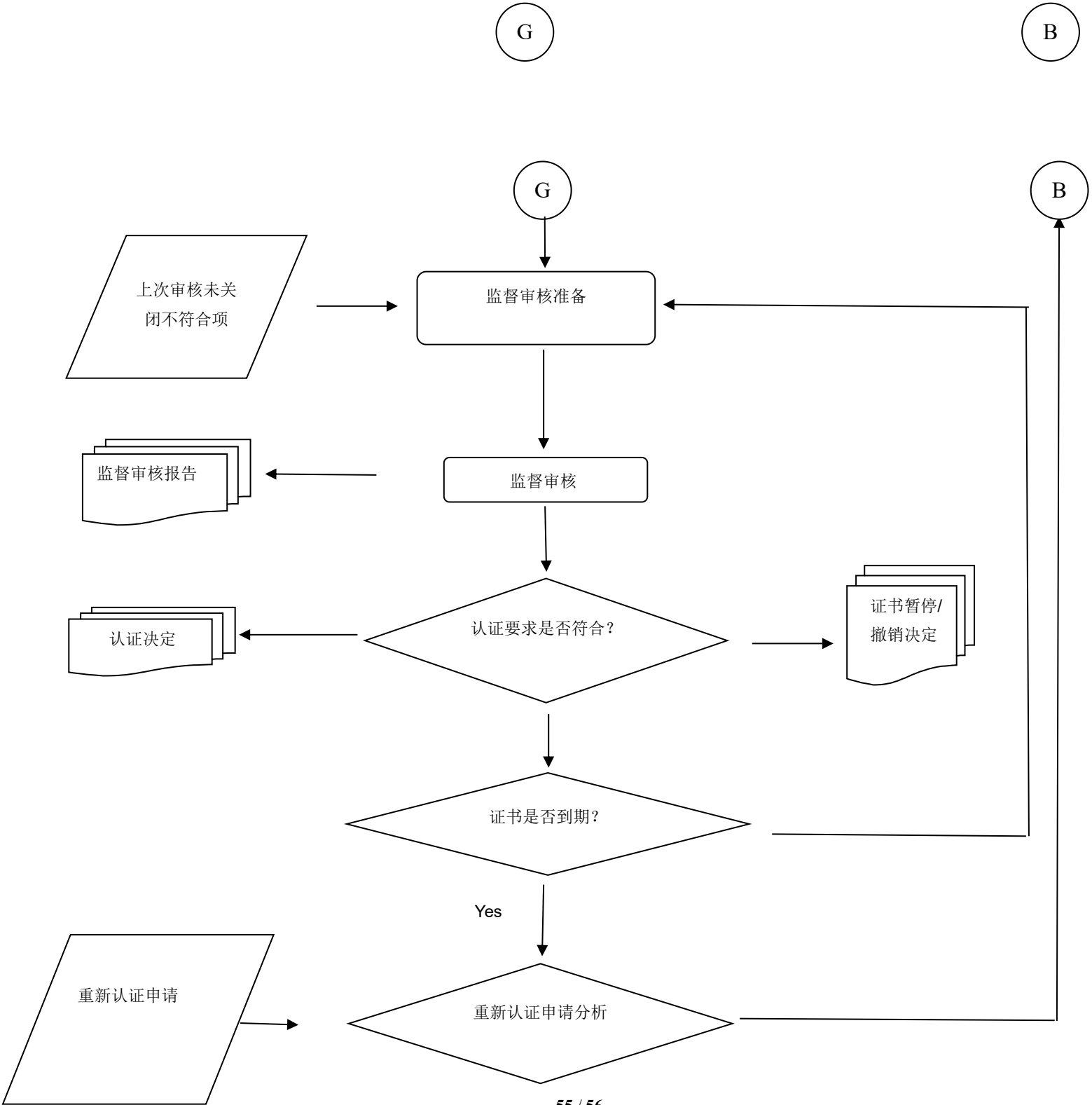
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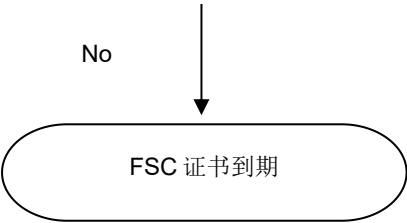
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Annex 2. FSC Structure of LC

