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## Annex II. Description of FSC® CoC Certification Process

### 附件 II. FSC® CoC 认证过程描述



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### Contents 目录

1.	GENERAL PRESENTATION OF THE FSC® CERTIFICATION SYSTEM	FSC®认证体系概述	3
1.1.	Presentation of Forest Stewardship Council®	森林管理委员会介绍	3
1.2.	FSC Chain of Custody (COC) Certification	FSC 产销监管链 (COC) 认证	3
2.	FSC COC CERTIFICATION	FSC COC 认证	4
2.1.	Certification process description	认证过程描述	4
2.2.	Useful terms and definitions	有用的术语和定义	5
2.3.	Applicable FSC Standards	适用的 FSC 标准	6
2.3.1.	FSC-STD-40-004		6
2.3.2.	FSC-STD-40-003		6
2.3.3.	FSC-STD-40-005		7
2.3.4.	FSC-STD-40-007		7
3.	CERTIFICATION APPLICATION	认证申请	7
3.1.	Document for application	申请文件	7
3.1.1.	For a Single COC certification application	独立 COC 认证申请	7
3.1.2.	For a group or multisite certification application	联合或多地点认证申请	8
3.2.	Proposal preparation	建议书编制	8
3.2.1.	Particular cases	特殊情况	8
3.2.2.	Specific conditions for FSC certification services	FSC 认证服务的具体条件	9
3.3.	Contract	合同	9
4.	AUDIT PREPARATION	审核准备	9
4.1.	ESTS FSC CoC Auditors	ESTS FSC 产销监管链审核员	10
4.1.1.	Auditor's qualification	审核员资格	10
4.1.2.	Audit team composition	审核组构成	10
5.	MAIN AUDIT (CERTIFICATION AUDIT)	主审核 (认证审核)	11
5.1.	Audit Plan	审核计划	11
5.2.	Main audit realization	主审核完成	11
5.2.1.	Opening meeting	首次会议	11
5.2.2.	Audit realization	审核完成	11
5.2.3.	Closing meeting	总结会议	12
5.3.	Non-conformities and Corrective Actions	不符合项和纠正措施	12
5.3.1.	Non-conformities	不符合项	12
5.3.2.	Corrective Actions timeframes and upgrading	纠正措施时限和升级	13
6.	GRANTING CERTIFICATION	认证授予	14
6.1.	Certification Decision	认证决定	14
6.2.	Certificate Issuance	证书颁发	15
7.	CERTIFICATION MAINTENANCE	认证保持	15
7.1.	Surveillance Audits	监督审核	15
7.2.	Certificate Scope modification	认证范围修改	16
8.	RE-CERTIFICATION AUDIT	再认证审核	17
9.	CERTIFICATION: SUSPENDING, WITHDRAWING AND REINSTATING	认证: 暂停、撤销和恢复	17
9.1.	Suspending and Withdrawing certification	暂停和撤销认证	17
9.2.	Reinstating certification	恢复认证	18
10.	CERTIFICATION COSTS	认证成本	18
11.	COMPLAINTS AND APPEALS PROCESS	投诉和申诉程序	19
11.1.	Complaints	投诉	19



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**Annex II. Description of FSC® CoC  
Certification Process**

**附件 II. FSC® CoC 认证过程描述**



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审核法规全知晓

11.2. Appeals: 申诉: .....	19
12. CONFIDENTIALITY 机密性 .....	19
13. OBSERVER'S PARTICIPATION TO AUDIT 观察员参与审核 .....	20



www.estsglobal.com

## Annex II. Description of FSC® CoC Certification Process

### 附件 II. FSC® CoC 认证过程描述



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## 1. General presentation of the FSC® Certification system FSC®认证体系概述

### 1.1. Presentation of Forest Stewardship Council® 森林管理委员会介绍

The Forest Stewardship Council (FSC) is a global independent, not-for-profit, nongovernmental organization established to support environmentally appropriate, socially beneficial, and economically viable management of the world's forests. FSC is a certification system that provides internationally recognized standard-setting and trademark assurance to companies, organizations, and communities interested in responsible forestry. 森林管理委员会（FSC）是一个独立的全球性非营利非政府组织，旨在全球范围内推广环境友好、社会有益和经济可行的森林经营。FSC 是一个认证体系，为有兴趣负责林业的公司、组织和团体提供国际公认的标准设定和商标保证。

The FSC system is different from other certification schemes on three main points.  
FSC 体系与其他认证项目主要有三点不同。

- i. FSC Forest Management (FM) Certification confirms that the forest is being managed in a way that preserves the natural ecosystem and benefits the lives of local people and workers, all while ensuring it sustains economically viability.  
FSC 森林管理（FM）认证将确认森林的管理方式是否保护自然生态系统，造福当地人民和工作者的生活，同时确保其经济可行性。
- ii. FSC Chain of Custody (COC) certification verifies that FSC-certified products from the FSC Certified forest, or in the case of recycled materials from the moment when the material is reclaimed, to the point where the product is sold with an FSC claim and/or it is finished and FSC labelled. The CoC includes each stage of sourcing, processing, trading, and distribution where progress to the next stage of the supply chain involves a change of product ownership.  
FSC 产销监管链（COC）认证将验证 FSC 认证产品是否来自 FSC 认证森林，或者回收材料从被回收的那一刻起直至产品出售之时，产品是否符合 FSC 要求并/或贴有 FSC 标签。CoC 包括采购、加工、交易和分销等进入供应链的下一阶段涉及产品所有权的改变的各个阶段。
- iii. FSC label provides a credible link between responsible production and consumption of forest products, enabling consumers and businesses to make purchasing decisions that benefit people and the environment as well as providing ongoing business value.  
FSC 标签在相应的森林产品生产和消费之间提供了可靠连接，使消费者和企业能够做出有利于人类和环境的购买决策，并提供持续的商业价值。

### 1.2. FSC Chain of Custody (COC) Certification FSC 产销监管链（COC）认证

FSC COC Certification is designed for company processing or selling forest products: certification of single businesses or facilities, or of multiple sites under multi-site or group certification (this could be for large companies that operate multiple sites, or smaller enterprises that choose to group together to achieve collective certification).

FSC COC 认证经设计用于公司加工或销售森林产品：对单一企业或设施进行认证，或者对多地点或联合认证下的多个地点进行认证（这可能是针对经营多个地点的大公司或选择联合获得共同认证的小企业）。

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

FSC COC 认证要求由 FSC 产销监管链（COC）标准定义。与产销监管链相关的 FSC 标准主要编码为：“FSC-STD-40-XXX”



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## Annex II. Description of FSC® CoC Certification Process

### 附件 II. FSC® CoC 认证过程描述



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When ESTS issues an FSC COC certificate to a company, it provides 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 at the time of ESTS evaluation. In order to provide such a guarantee, ESTS shall: 当 ESTS 给一家公司签发 FSC COC 证书时, 其提供了可信的保证, 即保证认证范围内的所有产销监管链在 ESTS 评估时符合相关 FSC 规范性文件的所有适用要求。为提供这种保证, ESTS 应:

- a) 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;  
分析和描述产销监管链操作和/或评估一个或多个经营地点的联合/多地点认证;
- 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 controlled wood and reclaimed material verification programs and contractors as part of outsourcing agreements, within the scope of the evaluation;  
确认具备控制系统, 能够确保每个经营地点均执行了评估范围内的所有适用要求, 包括参与受控木材和回收材料验证程序的非认证供应商和参与外包协议的承包商;
- c) 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;  
在适用情况下, 对经营地点、非认证供应商、承包商、文件和管理记录进行抽样, 并与有资格验证控制系统在整个认证范围内得到有效和一致实施的人员进行面谈;
- d) confirm that any nonconformity is adequately addressed by the company within the established timelines.  
确认公司在规定的时间内是否充分解决了所有不符合项。

**NOTE 1:** Sampling of sites or chain of custody operations is only permitted for evaluations of group and multisite certificates. All sites included in the scope of a single chain of custody certificate must undergo a full evaluation by the certification body.

**注 1:** 只有进行联合和多地点认证评估时, 才允许对经营地点或产销监管链操作进行抽样。单一产销监管链认证范围内的所有地点均必须经过认证机构的全面评估。

**NOTE 2:** The sampling of suppliers is applicable for suppliers of material according to FSC-STD-40-005 V3-1 and suppliers of reclaimed material included in a supplier audit program according to FSC-STD-40-007 V2-0.

**注 2:** 供应商抽样适用于 FSC-STD-40-005 V3-1 规定的材料供应商和 FSC-STD-40-007 V2-0 规定的供应商审核程序中包含的回收材料供应商。

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

ESTS 整体绩效、评审独立性、使用政策、认证决策过程、投诉和申诉解决等可应要求提供。

## 2. FSC COC Certification FSC COC 认证

### 2.1. Certification process description 认证过程描述

The present document presents ESTS procedures concerning FSC Chain of Custody certification. These procedures are developed according to FSC certification requirements.

本文件介绍了 ESTS 有关 FSC 产销监管链认证的程序。这些程序是根据 FSC 认证要求而制定的。

The FSC Chain of Custody certification standard is designed for application at the site level of Chain of Custody operations. In case of a number of sites to be included under the same certificate, verification system take place at the site level and then at the upper level (Central Office) and so on depending on the



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## Annex II. Description of FSC® CoC Certification Process

### 附件 II. FSC® CoC 认证过程描述



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management organization of the applicant.

FSC 产销监管链认证标准是针对在地点层级对监管链运营的应用设计而得。如果同一认证下包含多个地点，则验证系统将在该地点层级上执行，然后再到上层（中心机构），具体依申请认证的公司的管理组织而定。

## 2.2. Useful terms and definitions

### 有用的术语和定义

#### Applicant:

申请人:

ESTS considers as an applicant any legal entity applying for a certification and contractually linked with ESTS. ESTS 将申请认证并与 ESTS 有合同联系的法律实体视为申请人。

#### Site:

地点:

A "site" is a single functional unit of an Organization situated at one physical location, which is geographically distinct from other units of the same Organization. An Organization's units with distinct physical locations may, however, be regarded as parts of a site if they are an extension of it with no purchasing, processing, or sales functions of their own (e.g. a remote stockholding). A site can never include more than one legal entity.

“地点”是指位于某地理位置的组织的单个职能单位，在地理上不同于同一组织的其他单位。但是，如果组织单位有着不同的地理位置，且无自己的采购、加工或销售职能部门（例如远程库存），则这些单位将视为一个地点的一部分。一个地点永远只包含一个法律实体。

#### Single COC certification:

独立 COC 认证:

Regarding to FSC certification requirements, a Single COC certification is generally applies to Organizations with a single site. However, under specific circumstances, additional sites can be included in the scope of the certificate, as long as all sites are part of the same COC operation. The eligibility criteria for this certification model are described in Clause 1 of this standard.

关于 FSC 认证要求，单个 COC 认证通常适用于具有单一地点的组织。但是，在特定情况下，只要所有地点均是同一 COC 操作的一部分，其他地点便可包括在认证范围内。该标准第 1 条描述了该认证模式的合格标准。

#### Multi-site certification:

多地点认证:

Regarding to FSC certification requirements, a Multi-site certification is designed for the certification of large enterprises that are linked by common ownership or legal/contractual agreements. This model makes certification easier and cheaper for large enterprises that can benefit from a centralized administration and internal control function for the purpose of FSC certification.

关于 FSC 认证要求，多地点认证主要针对通过共同所有权或法律/合同协议联系在一起的大企业认证。对于大企业而言，这种认证模式更容易、更便宜，企业可从 FSC 认证的集中管理和内部控制职能中受益。

#### Group certification:

联合认证:

Regarding to FSC certification requirements, a Group certification is specifically designed for the certification of independent small enterprises that, by forming a group, can have easier access to FSC certification by sharing the costs of certification and benefiting from technical support and control provided by a Central Office function.

关于 FSC 认证要求，联合认证经设计专用于独立小企业认证，通过形成一个小组，企业可通过分担认证费用和受益于中心机构职能部门提供的技术支持和控制而更轻易地获得 FSC 认证。

#### Outsourcing/Contractor:

外包/承包商:



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## Annex II. Description of FSC® CoC Certification Process

### 附件 II. FSC® CoC 认证过程描述



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The practice of contracting an internal business process (i.e. activities or tasks that produce a specific service or product) to another Organization. Outsourcing activities usually take place outside the Organization's facilities.

将内部业务流程（即生产特定服务或产品的活动或任务）承包给另一组织的做法。外包活动通常在组织设施之外进行。

**NOTE:** All FSC terms and definitions provided in FSC-STD-01-002 FSC Glossary of Terms, the most recent version is available on the FSC International Document Center (<https://ic.fsc.org/en/document-center>).

注：FSC-STD-01-002 FSC 术语表中提供了所有 FSC 术语和定义，可在 FSC 国际文档中心（<https://ic.fsc.org/en/document-center>）查阅最新版本。

### 2.3. Applicable FSC Standards 适用 FSC 标准

For all applicable FSC Standards, the relevant FSC normative documents and rules & regulations, the company can obtain the most recent version on the FSC International Document Center (<https://ic.fsc.org/en/document-center>).

有关所有适用的 FSC 标准、相关的 FSC 规范性文件和条例，公司可在 FSC 国际文档中心（<https://ic.fsc.org/en/document-center>）获得最新版本。

Clients that were certified prior to the effective date of approval of a new or revised applicable FSC normative document shall be audited against the requirements of the new or revised document in accordance with the applicable transition requirements.

在新的/修订的适用 FSC 规范性文件批准生效之日之前认证的客户应根据适用的过渡要求针对新的/修订的文件要求进行审核。

#### 2.3.1. FSC-STD-40-004

This is the CORE standard for FSC COC certification that the requirements which apply to all COC certified and applicant company with respect to sourcing, processing, labelling, and sale of forest-based products as FSC certified. To demonstrate efficiency of the chain of custody implemented in the company, compliance with the FSC-STD-40-004 applicable version shall be demonstrated.

这是 FSC COC 认证的核心标准，适用于所有 COC 认证和申请公司，涉及 FSC 认证林产品的采购、加工、标记和销售。为证明公司实施的产销监管链的效率，应证明其符合 FSC-STD-40-004 适用版本。

FSC-STD-40-004 have to be applied by the company (Single COC Certification), or all operational sites (Group or Multisite Certification) within the scope of FSC COC certificate.

公司（单个 COC 认证）或 FSC COC 认证范围内的所有经营地点（联合或多地点认证）必须申请 FSC-STD-40-004 认证。

#### 2.3.2. FSC-STD-40-003

This standard is to provide the conditions and requirements for the establishment and management of Chain of Custody certificate with multiple sites (Group or Multisite certification). In case of multiple sites certifications, the applicant shall nominate the Central Office which shall centralize and manage the different chains of custody operations involved in the group and multi-sites. The compliance with this standard shall be demonstrated in case of Group or multi-site certification and chain of custody standard applied in each participating site within the scope of FSC COC certificate.

该标准旨在为多地点产销监管链认证（联合或多地点认证）的建立和管理规定条件和要求。如果是多地点认证，



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## Annex II. Description of FSC® CoC Certification Process

### 附件 II. FSC® CoC 认证过程描述



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则申请人应指定中心机构以集中和管理联合与多地点认证涉及的不同监管链。如果是联合或多地点认证，则 FSC COC 认证范围内每个相关地点均应符合该标准并适用产销监管链标准。

#### 2.3.3. FSC-STD-40-005

This standard establishes the requirements for a due diligence system to evaluate and mitigate risk associated with material supplied without an FSC claim.

该标准规定了尽职调查系统的要求，以评价和减轻与提供的材料未涵盖 FSC 要求相关的风险。

This standard is applicable for company applying FSC-STD-40-004 Chain of Custody Certification that wish to include controlled wood in the scope of their certificate. Such company can apply this standard to verify non-FSC-certified material as acceptable for the purpose of producing and selling FSC Controlled Wood and/or FSC Mix products. It is not intended for sourcing material with the FSC Controlled Wood claim from FSC certified organizations.

该标准适用于申请 FSC-STD-40-004 产销监管链认证并希望将受控木材纳入其认证范围的公司。此类公司可应用该标准来验证未经 FSC 认证的材料是否可用于生产和销售 FSC 受控木材和/或 FSC 混合产品。其目的并不在于从 FSC 认证组织中采购具有 FSC 受控木材要求的材料。

#### 2.3.4. FSC-STD-40-007

This standard stipulates the requirements that shall be followed by organizations certified according to FSC-STD-40-004 for purchasing, verifying and classifying reclaimed forest-based inputs (including materials such as bamboo and cork) for use in FSC Product Groups. The standard also specifies the provisions for the definition and implementation of an organization's verification program for reclaimed material inputs aiming at ensuring authenticity of it regarding their quantity, quality and compliance with FSC requirements

该标准规定了获得 FSC-STD-40-004 认证的组织在购买、验证和分类 FSC 产品组中使用的森林回收材料（包括竹子和软木等材料）时应遵循的要求。该标准还规定了组织对回收材料投入验证程序的定义和实施，以确保其数量、质量的真实性且符合 FSC 要求。

### 3. Certification application

#### 认证申请

Any applicant interested in certification receives on request a CAF (Certification Application Form), the present document and the applicable Chain of Custody standard(s). All FSC policies, standards, procedures, directives and guidance are available on the International Document Center (<https://ic.fsc.org/en/document-center>).

根据要求，所有对认证感兴趣的申请人均应收到 CAF（认证申请表）、本文件和适用的产销监管链标准。有关所有 FSC 政策、标准、程序、指令和指南，均可在国际文档中心（<https://ic.fsc.org/en/document-center>）查阅。

#### 3.1. Document for application

##### 申请文件

##### 3.1.1. For a Single COC certification application

##### 独立 COC 认证申请

The applicant shall provide the CAF fulfilled with definition of the scope in terms of FSC product groups and sites to be evaluated. If existing, the applicant shall provide its chain of custody quality procedure and FSC products planned to be sold and propose the scope of the certification to be audited.



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## Annex II. Description of FSC® CoC Certification Process

### 附件 II. FSC® CoC 认证过程描述



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申请人提交的认证申请表应符合 FSC 产品组和待评估地点相关的范围定义。申请人应提供其产销监管链质量程序和计划出售的 FSC 产品（如有），并提出需接受审核的认证范围。

#### 3.1.2. For a group or multisite certification application

##### 联合或多地点认证申请

Beside of CAF fulfilled by the Central Office, an organization chart which describes the hierarchy between the different sites must be transmitted with CAF. The certification management procedures at Central office level, as well as the site level shall be transmitted to ESTS.

除中心机构完成的认证申请表之外，描述不同地点之间层级的组织结构图须随之一同附上。中心机构层级以及地点层级的认证管理程序须得以传送给 ESTS。

Any document allowing to evaluate the dispositions specifically taken for certification, in particular concerning the chain of custody or monitoring of FSC® products and the responsibilities taken at group level and at the level of each group member or of each site.

允许评价出于认证目的特别采取的布置的所有文件，特别是关于 FSC® 产品产销监管链或监控以及在联合级、每个成员级或每个地点承担的责任的文件。

#### 3.2. Proposal preparation

##### 建议书编制

On return of the CAF duly filled and signed, ESTS prepares a certification proposal based on the information provided by the applicant.

正式填写并签署认证申请表后，ESTS 将根据申请人提供的信息编写一份认证建议书。

##### 3.2.1. Particular cases

##### 特殊情况

##### Outsourcing:

##### 外包:

Depending on its organization, the applicant may have to include outsourcing activities (Contractor) in the certification scope. In this case, the applicant shall record the Contractors names, address, number of employees, activities of outsourcing in the CAF.

根据其组织，申请人可能必须将外包活动（承包商）纳入认证范围。在这种情况下，申请人须在认证申请表中记录承包商名称、地址、雇员人数和外包活动。

The outsourcing activities risk assessment shall be done by ESTS in order to quote the necessary auditing time to have a reliable overview of the conformity of applicant's FSC chain of custody system. A sampling of the "high risk" Contractors will be audited by ESTS according to FSC requirements.

外包活动风险评估应由 ESTS 执行，以建议必要的审核时间，从而对申请人的 FSC 产销监管链系统的符合性进行可靠的概述。ESTS 将根据 FSC 要求对“高风险”承包商进行抽样审核。

Outsourcing activities usually increase the auditing time.

外包活动通常会增加审核时间。

A certified or non-certified contractor shall be classified as 'high risk' if any of the following applies:

如果有下列情况，则将认证/非认证承包商归类为“高风险”承包商：

- e) The Organization outsources all or most of the manufacturing processes of a product; or  
组织外包产品的全部或大部分制造过程；或





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## Annex II. Description of FSC® CoC Certification Process

### 附件 II. FSC® CoC 认证过程描述



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- f) A Contractor mixes different input materials (e.g. FSC 100%, controlled material, FSC controlled wood);  
ors  
承包商混合不同的输入材料（例如，FSC 100%、受控材料、FSC 受控木材）；或
- g) A Contractor applies the FSC label on the product; or  
承包商在产品上贴上 FSC 标签；或
- h) A contractor does not physically return the FSC-certified product to the contracting organization after outsourcing; or  
外包后，承包商不将 FSC 认证的产品实际返还给承包组织；或
- i) activities are outsourced to an organization in another country with a Transparency International Corruption Perception Index (CPI) lower than 50.  
将活动外包给透明国际清廉指数（CPI）低于 50 的其他国家的某个组织。

#### Multi-site (or Group) certification 多地点（或联合）认证

If the applicant applies for a Multi-site (or Group) certification, it shall record it on the CAF precising the name of site, address, number of employees and activities of the Participating sites included in the scope of FSC COC certificate.

如果申请人申请多地点（或联合）认证，则应在认证申请表中确切记录 FSC COC 认证范围内包括的相关地点的地点名称、地址、雇员人数和活动。

In order to have a clear overview of the Multi-site (or Group) organization, a organization chart describes any available documentation justifying hierarchy and schemes is required.

为对多地点（或联合）组织有一个清晰的概述，需提供一份描述有关层次结构和方案的可用文档的组织结构图。

ESTS will evaluate a sample of sites to be audited in compliance with the applicable FSC requirements.  
ESTS 将根据适用的 FSC 要求评价一个待审核的地点样本。

#### 3.2.2. Specific conditions for FSC certification services FSC 认证服务的具体条件

The Specific Conditions for FSC Certification is sent together with the Certification Proposal. These conditions as well as the present document are part of the contractual agreement.

FSC 认证的具体条件将随认证建议书一起寄出。这些条件以及本文件是合同协议的一部分。

#### 3.3. Contract 合同

When ESTS' s proposal is sent back signed by applicant, the proposal becomes a contract between the Client (previous called "applicant" ) and ESTS.

当申请人签署 ESTS 建议书并寄回时，该建议书将成为客户（上文称“申请人”）和 ESTS 之间的合同。

#### 4. Audit preparation 审核准备

ESTS and the Client have to find an agreement on the audit team' s timetable and composition to prepare the main evaluation (audit). As well as the audit scope shall be defined and proposed by the clients to ESTS. This scope will be validated during the Main audit.

ESTS 和客户必须就审核组的时间表和组成达成一致，以准备主审。同时，客户将定义审核范围并向 ESTS 提出。该范围将在主审核期间进行验证。



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## Annex II. Description of FSC® CoC Certification Process

### 附件 II. FSC® CoC 认证过程描述



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The Client can ask for a revision of the audit team composition to avoid any conflict of interests between the company and one or several audit team members. ESTS reserves the right of final choice of the audit team composition.

客户可要求修改审核组组成，以避免公司和一个或几个审核组成员之间出现利益冲突。ESTS 保留审核组组成的最终选择权。

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

ESTS 完成审核准备材料并提交给客户。审核前必须根据审核范围检查这些文件，并应在合理商定的时限内提供。

#### 4.1. ESTS FSC CoC Auditors ESTS FSC 产销监管链审核员

##### 4.1.1. Auditor's qualification 审核员资格

ESTS works with experienced and qualified auditor as required by the applicable FSC accreditation requirements.

ESTS 按照适用的 FSC 认可要求，安排经验丰富且合格的审核员进行审核。

For audits realization, the audit team is designated according to the 3 following criteria:  
为确保完成审核，可依照以下三条标准指定审核组：

- a) Competence in the Company' s field of activity.  
具备公司活动领域相关的能力。
- b) Nearness of the Company' s offices.  
与公司办公室的接近程度。
- c) Availability on the certification dates wished by the Company.  
公司希望的认证日期的有效性。

ESTS auditor cultivates a pragmatic and efficient approach. Priority is given to the evaluation of the FSC Chain of Custody system as a tool allowing the company to master its activities and to improve them.

ESTS 审核员制定出一种务实有效的方法。优先评价 FSC 产销监管链系统，使其成为公司掌握和改进其活动的工具。

##### 4.1.2. Audit team composition 审核组构成

An audit team is formed of at least one ESTS qualified lead auditor, sometimes helped by other auditors or specialists.

审核组中至少有一名 ESTS 认为可胜任的首席审核员，有时会加入其他审核员或专家。

The auditors shall sign a confidentiality agreement to protect the client' s data and information.

审核员须签署保密协议，以保护客户的数据和信息。

To convene with a particular competence field, ESTS may hire the specialists who come with the adapted skills.

为召开特定能力领域的会议，ESTS 可能会雇用具有合适技能的专家。



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## Annex II. Description of FSC® CoC Certification Process

### 附件 II. FSC® CoC 认证过程描述



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## 5. Main Audit (Certification Audit)

### 主审核（认证审核）

### 5.1. Audit Plan

#### 审核计划

In reasonable timelines, ESTS auditor sends to the Client an audit plan which specifies the schedule and the scope of the evaluation before audit.

在审核前合理的时间范围内，ESTS 审核员会向客户发送一份审核计划，其中会详细说明审核的时间安排和范围。

### 5.2. Main audit realization

#### 主审核完成

#### 5.2.1. Opening meeting

##### 首次会议

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

审核开始时，首席审核员会组织首次会议以：

- a) Confirm the certification scope and objective of audit, and standards to be used.  
确认审核的认证范围和目标以及使用的标准。
- b) Present the team and audit plan, method of audit  
介绍审核组、审核计划和审核方法。
- c) Confirm the audit plan and logistic according to the latest changes that the Client may have done.  
根据客户可能做出的最新变更确认审核计划和逻辑。
- d) The presence of the Company's managers and heads of departments is necessary during that meeting so that they can clearly perceive the way in which the audit will take place and thus be able to inform their staff.  
公司的管理者和部门主管必须出席首次会议，以便能够清楚地了解审核的方式，从而通知员工。
- e) Company managers are invited to have a clear view of the audit course and schedule. Therefore, they can inform their colleagues and help in the audit course fluency.  
邀请公司管理者清楚地了解审核过程和时间安排。从而可通知同事，帮助审核顺利进行。

#### 5.2.2. Audit realization

##### 审核完成

The audit team perform documentation review on the company's FSC certification documents, then inspect the client's office and production site. The audit team will assess respectively the managerial process and the operational monitoring implemented by the client against the applicable FSC standards and requirements within the audit scope. Employee interviews are held in accordance with the audit scope.

审核组对公司的 FSC 认证文件进行文件评审，然后检查客户的办公室和生产现场。审核组将根据审核范围内适用的 FSC 标准和要求分别评估客户实施的管理流程和运行监测。雇员面谈按审核范围进行。

Audit team will also check the coherence between the products and the audit scope and a coherence checking between input and output as well.

审核组还将检查产品和审核范围之间的一致性以及输入和输出之间的一致性。

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



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## Annex II. Description of FSC® CoC Certification Process

### 附件 II. FSC® CoC 认证过程描述



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可与审核员讨论 COC 中持续存在的问题和纠正措施提议。审核员不会提供解决方案，而是仅就纠正措施是否恰当的问题通知客户。

#### 5.2.3. Closing meeting

##### 总结会议

At the end of the audit, a closing meeting is organized by the lead auditor. If possible, it should gather the same participants who were at the opening meeting.

审核结束时，首席审核员会组织一次总结会议。如有可能，出席总结会议的人员应与出席首次会议的人员相同。

During the closing meeting the lead audit should:

在总结会议期间，首席审核员应：

- a) Present the audit findings and results.  
提交审核发现和审核结果。
- b) Issued “Non-conformity reports” and give the original documents.  
发布“不符合项报告”并提供原始文件。
- c) Present audit conclusions to the Company's representative.  
向公司代表提交审核结论。

The Lead auditor leaves to the Company representatives, the original of Non-conformity reports.

首席审核员将不符合项报告的原件留交公司代表。

No certification decision can be taken at the end of the audit. Within 15 calendar days after the closing meeting, the Lead auditor produces a temporary audit report and transmits it to ESTS for technical review and certification decision making.

审核结束时，认证决定尚未作出。在总结会议结束后的 15 个日历日内，首席审核员会出具一份临时审核报告，并将其转交给 ESTS，以便进行技术审查和认证决定。

#### 5.3. Non-conformities and Corrective Actions

##### 不符合项和纠正措施

##### 5.3.1. Non-conformities

##### 不符合项

It's the dysfunctions part of the process which are not compliance with the applicable FSC requirements that are formalized on a Non-conformity report.

不符合项是不符合适用 FSC 要求的过程异常部分，在不符合项报告中正式列出。

Non-conformities shall always meet the following 3 criteria:

不符合项应始终满足以下三项标准：

- a) Being objective and argued based on the relevant standard requirement  
客观，以相关标准要求为基础；
- b) Being based on facts and evidences. No presumptions, wishes or discriminatory argue is acceptable.  
以事实和证据为基础，不接受任何假设、意愿或歧视性观点；
- c) Being understood and accepted by the Company.  
为公司所理解和接受。

According to their importance, Non-conformities are balanced as:

根据其重要性，不符合项可分为：



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## Annex II. Description of FSC® CoC Certification Process

### 附件 II. FSC® CoC 认证过程描述



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

**轻微不符合项:** 轻微不符合项是暂时性失误, 或适用 FSC 要求范围内的异常/非系统性故障。轻微不符合项不会导致无法从根本上实现产销监管链要求的目标。如果轻微不符合项未能在要求的时间内得到纠正, 则应升级为严重不符合项。此外, 针对某项要求的多个重复出现的不符合项可被视为产销监管链系统的永久性故障, 因此应被视为严重不符合项。

**Major non-conformity:** It's a repeated or systematic failure generating a fundamental failure to achieve the objective of the relevant requirement within the scope of the audit. This non-conformity endangers the liability of the operating chain of custody.

**严重不符合项:** 严重不符合项是重复性或系统性故障, 会导致在审核范围内无法从根本上实现相关要求的目标。这种不符合项会对产销监管链的运营产生不良的影响。

For **Single COC certification**, 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.

对于**独立的 COC 认证**, 监督审核中发生的五 (5) 个或更多重大不符合项应视为客户管理系统的崩溃, 并且应在做出认证决定的十 (10) 天内暂停认证。

For **Multi-site (or Group) certification**, Five (5) or more major non-conformities issued to the central office of a group or multisite by the certification body shall result in the suspension of the entire certificate. Five or more major non-conformities issued to a participating site of a group or multisite certificate by the certification body shall result in suspension of that particular participating site but will not necessarily result in the suspension of the entire certificate. Nonconformities identified at the participating-site level may result in nonconformities at the central office level when the nonconformities are determined to be the result of the central office's performance.

对于**多地点 (或联合) 认证**, 如果认证机构向联合或多地点的中心机构发布了五 (5) 个或五个以上的严重不符合项, 将导致暂停整个证书。如果认证机构向联合或多地点认证的参与地点发布了五个或五个以上的严重不符合项, 将暂停此特定参与地点的认证, 但不一定会导致暂停整个证书。如果不符合项被确定为中心机构绩效所导致的结果时, 参与地点级别的不符合项可能会导致中心机构级别的不符合项。

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

严重不符合项不得降级为轻微不符合项。

### 5.3.2. Corrective Actions timeframes and upgrading

#### 纠正措施时限和升级

The corrective action shall answer the non-conformity and avoid any recurrence in the future. The client can start corrective actions to close the nonconformities as soon as the non-conformity reports are signed.

纠正措施应解决不符合项, 并杜绝以后再次出现不符合项。在签署不符合项报告后, 客户即可启动纠正措施, 以便消除不符合项。

The Non-conformities closing shall have the following timeframes:

不符合项的消除应具有以下时限:

- a) Minor nonconformity shall be corrected within the maximum period of one (1) year;  
轻微不符合项应在最长一 (1) 年内得到纠正;
- b) Major nonconformity shall be corrected within three (3) months.  
严重不符合项应在三 (3) 个月内得到纠正。



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## Annex II. Description of FSC® CoC Certification Process

### 附件 II. FSC® CoC 认证过程描述



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

**注:** 严重不符合项纠正措施的持续时间可超过三（3）个月。然而，必须在规定的时间内采取措施，此时间应足以防止在认证范围内出现新的不符合项。

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

审核组应确定纠正措施是否已在其时限内得到适当的实施。如果纠正措施被视为不够充分，则：

- a) Minor nonconformity shall become 'major' nonconformity and shall be corrected within a maximum period of three (3) months.  
轻微不符合项应升级为“严重”不符合项，并应在最长三（3）个月内得到纠正。
- b) Major nonconformity shall lead to immediate suspension of the certificate.  
严重不符合项将导致证书的立即暂停。

## 6. Granting Certification

### 认证授予

### 6.1. Certification Decision

#### 认证决定

The Certification Decision is taken after technical review on the audit documentation (e.g. audit report, checklists, NC reports, annexes). Usually, the certification decision process takes 1 month depending on the complexity of the Client's organization.

在对审核文件（例如审核报告、核对表、NC 报告、附件）进行技术审查后做出认证决定。认证决定过程通常需要 1 个月时间，具体时间取决于客户组织的复杂程度。

ESTS body shall only grant certification when their client:

ESTS 机构仅在其客户满足以下条件时批准认证：

- a) has entered into and holds a valid and most recent version of the ‘License Agreement for the FSC Certification Scheme’, where the right to use the FSC trademarks is not suspended;  
已签订并持有有效及最新版本“FSC 认证计划许可协议”，其中 FSC 商标的使用权并未暂停；
- b) has signed a FSC COC certification contract with ESTS;  
已与 ESTS 签订了 FSC COC 认证合同；
- 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 ESTS.  
符合所有适用 FSC 规范性文件的要求，此项意味着严重不符合项应在认证批准前得到纠正，轻微不符合项应在 ESTS 规定的最大时限内得到纠正。

Open minor nonconformities do not prevent granting of certification For FSC COC Certification,  
未消除的轻微不符合项不妨碍 FSC COC 认证的认证批准，

ESTS shall make and communicate certification decisions to the client within six (6) months after the main audit closing meeting. When communicating a negative certification decision, ESTS shall provide the reasons for this decision

ESTS 应在主审核总结会议后的六（6）个月内做出认证决定并将其传达给客户。当传达否定性的认证决定时，ESTS 应提供此决定的相关理由。



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## Annex II. Description of FSC® CoC Certification Process

### 附件 II. FSC® CoC 认证过程描述



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## 6.2. Certificate Issuance

### 证书颁发

A certificate shall be issued to the company that has direct management responsibility for the chain of custody system under its control.

应将证书颁发给对其控制下的产销监管链系统负有直接管理责任的公司。

A certificate shall only be issued after a positive certification decision has been taken by the certification decision making entity and after it has been registered in the FSC certification database.

仅在认证决策机构做出肯定性的认证决定并且此认证决定已录入 FSC 认证数据库后，才可颁发证书。

The FSC CoC Certificate period of validity cannot exceed (5) five years.

FSC COC 证书的有效期限不得超过五（5）年。

When the certificate is issued, the company can communicate on its certification and apply the FSC label for promotional use or on-product labeling in accordance with FSC trademark standards FSC-STD-50-001.

在颁发证书后，公司可传达其认证，并按 FSC 商标标准 FSC-STD-50-001 来将 FSC 标签用于推广或用作产品上的标签。

## 7. Certification Maintenance

### 认证保持

### 7.1. Surveillance Audits

#### 监督审核

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

监督审核是为了监督客户是否能持续满足所有适用的认证要求和认证条件。

The surveillance audit of FSC client shall take place at least once per calendar year, but not later than 15 months after the last audit (determined by the date of the on-site audit or desk audit).

FSC 客户的监督审核应在每个日历年内至少进行一次，但不得迟于上次审核后的 15 个月时间（通过现场审核或案头审核的日期来确定）。

For a FSC COC certificate that has a five-year validity, at least four (4) surveillance audits shall take place before the certificate expires.

对于有效期为五年的 FSC COC 证书，应在证书到期前至少进行四（4）次监督审核。

**NOTE:** FSC and ASI reserve the right to request higher surveillance frequencies from ESTS 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.

**注：**对于被视为“具挑战性”或者由于内部风险评估而与“高风险”或“特定风险”相关的某些地理区域或认证服务，FSC 和 ASI 保留要求 ESTS 对此类区域或服务实施更高频率监督的权利。

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

在证书有效期内，如果 ESTS 发现需要重大纠正措施来纠正的严重不符合项，证书可能会遭到暂停，直到公司采取适当的措施来实现合规性为止。

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



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## Annex II. Description of FSC® CoC Certification Process

### 附件 II. FSC® CoC 认证过程描述



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监督审核前，经认证的公司应向 ESTS 提供所购及所售“FSC 认证产品”的清单，并在适用时列入品种、数量和供应商，频率为每年一次。此信息具有严格的保密性。

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

如果证书持有者希望将新产品纳入其 FSC 产品组清单，持有者应向 ESTS 提供相关产品说明，并正式要求 ESTS 将其纳入认证范围。

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.

监督审核中发生的五（5）个或更多重大不符合项应视为客户管理系统的崩溃，并且应在做出认证决定的十（10）天内暂停认证。

ESTS shall suspend certification at latest three (3) months after the closing meeting of a surveillance audit, if a certification decision to maintain the certification cannot be taken due to circumstances beyond the control of ESTS.

如果因超出 ESTS 控制的情况而导致无法做出维持认证的认证决定，ESTS 应在监督审核总结会议结束后的最多三（3）个月时间内暂停认证。

**NOTE:** Circumstances beyond the control of ESTS 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 the client.

**注：**超出 ESTS 控制的情况可能包括但不限于：客户或其他方阻止审核发现的使用和/或客户延迟或拒绝接受审核发现或审核报告。

## 7.2. Certificate Scope modification

### 认证范围修改

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

证书范围可根据各方（ESTS 或证书持有者）请求来进行修改（扩展或缩小）。

In case of scope extension, ESTS reserves the right to inspect the site of the certificate holder. Any scope modification cannot extend the validity period of the certificate for which it was originally granted.

在范围扩展的情况下，ESTS 保留检查证书持有者地点的权利。任何范围修改均不得延长证书的原始有效期。

Where applicable, the old certificate shall be returned to ESTS or destroyed by the client, and a new certificate issued reflecting the change of scope.

适用时，应将旧证书退还给 ESTS 或由客户销毁，并颁发反映范围变更的新证书。

**NOTE 1:** An increase or decrease in the Participating Sites of a group certification is not considered a change of scope unless, in the opinion of the certification body, the change requires significant changes to the group certification holder's management systems.

**注 1：**联合认证参与地点的增加或减少不被视为范围变更，除非认证机构认为此变更需要对联合认证持有者的管理系统进行重大更改。

**NOTE 2:** A change of scope may be necessary as a result of changes in ownership, structure of the organization, or management systems.

**注 2：**如果出现所有权、组织结构或管理系统的变更，可能需要进行范围变更。





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## Annex II. Description of FSC® CoC Certification Process

### 附件 II. FSC® CoC 认证过程描述



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## 8. Re-certification Audit

### 再认证审核

During the re-certification audit, ESTS makes a complete evaluation as a Main audit specified in paragraph 5 of present document.

在再认证审核期间，ESTS 完成全面评估，以作为本文件第 5 条规定的主审核。

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

为了减少两（2）个认证期限之间的间隙风险，认证持有者应该在证书有效期到期的至少六（6）个月时间之前提出再认证请求。

## 9. Certification: Suspending, Withdrawing and Reinstating

### 认证：暂停、撤销和恢复

### 9.1. Suspending and Withdrawing certification

#### 暂停和撤销认证

The maximum period that certification may remain suspended is twelve (12) months (upon justification and at the discretion of ESTS the timeline may be increased to eighteen (18) months to allow the client 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 in case the timeline of suspension exceeded twelve (12) months.

认证暂停的最长期限为十二（12）个月（根据 ESTS 的决定和判断，时间可增至十八（18）个月，以便客户纠正不符合项）。在此期限后，应撤销认证，除非所有严重不符合项均已得到成功纠正，并且在暂停时间超过十二（12）个月的情况下已进行了监督审核。

Following the suspension or withdrawal of certification, the client shall:

在暂停或撤销认证后，客户应：

- a) immediately cease to make any use of any FSC trademarks, or to sell any products previously labeled or marked using the FSC trademarks, or to make any claims that imply that they conform with the requirements for certification;  
立即停止使用任何 FSC 商标、出售任何先前使用 FSC 商标来作为标签或标记的产品或在任何声明中暗示自己的产品符合认证要求；
- b) identify all existing certified and uncertified customers, inform those customers of the suspension or withdrawal in writing within three (3) days of the suspension or withdrawal, and maintain records;  
确定所有现有的经认证和未经认证客户，在认证暂停或认证撤销后的三（3）天内就暂停或撤销事宜书面通知这些客户，并保存记录；
- c) cooperate with ESTS and with FSC in order to allow the certification body or FSC to confirm that these obligations have been met.  
与 ESTS 和 FSC 合作，以便认证机构或 FSC 确认这些义务是否已得到履行。
- d) meet the following additional obligations on withdrawal of certification:  
在认证撤销时履行以下附加义务：
  - i. return the certificate to ESTS or destroy the original, and commit to destroy any electronic copies and printed copies in their possession;  
将证书退还给 ESTS 或销毁原件，并承诺销毁其拥有的任何电子副本和印刷副本；
  - ii. at its own expense remove all uses of FSC's name, initials, logo, certification mark or trademarks from its products, documents, advertising or marketing materials.



www.estsglobal.com

## Annex II. Description of FSC® CoC Certification Process

### 附件 II. FSC® CoC 认证过程描述



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自费从其产品、文件、广告或营销材料中删除所有在用的 FSC 名称、首字母、徽标、认证标志或商标。

#### 9.2. Reinstating certification

##### 恢复认证

ESTS 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.

如果所有严重不符合项均已得到纠正并且在认证暂停已超过十二（12）个月的情况下已进行了监督审核，ESTS 可在认证暂停后恢复认证。

#### 10. Certification Costs

##### 认证成本

The costs of the certification process include:

认证过程的成本包括：

**Administration Fees:** correspond to the tasks realized during the audits preparation, such as gathering of the applicants' information and a planning of the operations (audit team constitution, diverse documents realization, and communication with the applicant).

**管理费：**对应于审核准备期间完成的任务，例如收集申请人信息及行动规划（组建审核组、制定各类文件及与申请人沟通）。

**Audits cost:** correspond to on-site evaluation time of the audit team for main audit, complementary audit, surveillance audit and re-certification audit.

**审核成本：**对应于审核组用于主审核、补充审核、监督审核和再认证审核的现场评估时间。

**Audit Reporting cost:** depends on the complexity and scale of evaluation, as well as number of auditors involved.

**审核报告成本：**取决于评估的复杂性和规模及涉及的审核人员人数。

**Traveling and accommodation costs:** During the audits, the auditors' travel and accommodation costs are charged to the Clients as pre-agreed at a fixed rate or at cost.

**差旅费和住宿费：**审核期间，审核员的差旅费和住宿费按事先约定的固定费率或成本向客户收取。

**FSC AAF fees:** which is linked to the certification according to the annual financial turnover of the certificate holder. When the certificate is granted, an annual fee is invoiced to the certificate holder, calculated according to the company's turnover of all certified and non-certified products containing wood or fiber components (excluding freight). This fee is set by a pricing list attached in the contract.

**FSC AAF 费用：**与认证挂钩，基于证书持有者的年度财务营业额。在颁发证书后，证书持有者会收到年费发票，年费的计算依据是公司所有包含木材或纤维成分的经认证和未经认证产品的营业额（不包括运费）。此费用按合同中的定价表来确定。

**FSC trademark use validation:** The certificate holder shall submit all FSC trademark use (on-product and promotional use) project to ESTS for approval before use unless the certificate holder have an approved trademark use management system in place, ESTS will invoice to certificate holder FSC trademark use management fees as defined in the contract.

**FSC 商标使用验证：**除非证书持有者已配置一套经认证的商标使用管理系统，否则证书持有者应在使用前将所有 FSC 商标使用（用于产品和推广）项目提交给 ESTS 审批，ESTS 将向证书持有者开具合同中规定的 FSC 商标使用管理费发票。



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## Annex II. Description of FSC® CoC Certification Process

### 附件 II. FSC® CoC 认证过程描述



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**Scope and certification modification fees:** correspond any modification on FSC website (<https://info.fsc.org/>) and/or the certificate. The cost shall be charged according to the contract with certificate holder.

**范围和认证修改费:** 对应于 FSC 网站 (<https://info.fsc.org/>) 和/或证书的任何修改。费用应按与证书持有者签订的合同进行收取。

## 11. Complaints and Appeals process

### 投诉和申诉程序

#### 11.1. Complaints

##### 投诉

A Complaint is a formal expression of dissatisfaction (different from an appeal) presented to ESTS relating to the FSC activities of ESTS. In the context of FSC, a complaint includes the name and contact information of the complainant, a clear description of the issue and evidence to support each element or aspect of the complaint. 投诉即表示对 ESTS 的 FSC 活动不满，是向 ESTS 提出的正式声明（不同于申诉）。在 FSC 的情况下，投诉包括投诉人的姓名和联系方式、对问题的明确描述以及各投诉要素或方面的支持性证据。

Client can refer its complaint to ESTS's procedure for Complaints and Appeals resolution.

客户可按 ESTS 的投诉和申诉解决程序来提出投诉。

#### 11.2. Appeals:

##### 申诉:

Appeal is request by the Client to ESTS for reconsideration of a decision it has made by ESTS relating to that client.

申诉是客户向 ESTS 提出的请求，以便 ESTS 重新考虑其做出的与该客户相关的决定。

Client can refer its appeal to ESTS's procedure for Complaints and Appeals resolution.

客户可按 ESTS 的投诉和申诉解决程序来提出申诉。

## 12. Confidentiality

### 机密性

All ESTS staffs and its auditors commit themselves to deal in a strictly confidential manner with all information obtained or created during the performance of certification activities. Information is considered proprietary and shall be regarded as confidential, except for information that the client makes or is required to make publicly available, that FSC and ASI are entitled to access, or when agreed between the certification body and the client (e.g. for the purpose of responding to complaints).

所有 ESTS 员工及其审核人员承诺以严格保密的方式处理在认证活动的执行过程中获得或创建的所有信息。除非在客户公开或被要求公开某些信息、FSC 和 ASI 有权访问某些信息或认证机构和客户已就信息公开达成一致的情况下（例如：为了处理投诉），否则信息应被视为专有和机密的资产。

When ESTS is required by law or authorized by contractual arrangements to release confidential information, the client shall, unless prohibited by law, be notified of the information provided.

当法律要求 ESTS 或合同安排授权 ESTS 发布机密信息时，除非法律禁止，否则应就所提供的信息向客户作出通知。



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## Annex II. Description of FSC® CoC Certification Process

### 附件 II. FSC® CoC 认证过程描述



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

ESTS can be led to associate observers to its certification or witness audits. These observers can be:  
ESTS 可邀请相关观察员来参与其认证或现场审核。这些观察员可以是：

- a) ESTS auditors (within the scope of ESTS audit activities) qualified or in training;  
有资质或正在接受培训的 ESTS 审核员（在 ESTS 审核活动范围内）；
- b) ESTS staffs (within the scope of ESTS certification activities);  
ESTS 员工（在 ESTS 认证活动范围内）；
- c) ASI assessor (Assurance Services International-Accreditation Organization for FSC), at the time of a assessment of ESTS within the scope of accreditation programs;  
对 ESTS 在其认可项目范围内进行现场审核时评估的 ASI 评估员（ASI 指 Assurance Services International, 是 FSC 公司的认证组织），；
- d) Other observers as specified in FSC-PRO-01-017.  
FSC-PRO-01-017 中规定的其他观察员。

The company has to accept the presence of an accreditation organization representative during ESTS audits. In the other cases, the observer's presence is submitted to the Company's agreement.  
在 ESTS 审核期间，公司必须接受认可组织代表进驻现场。在其他情况下，观察员驻场需经公司同意。