

安诺尔认证服务（上海）有限公司

AENOR Certification Services (Shanghai) Ltd

权利和义务

Rights and Obligations

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编写主责部门：总经办

1 获证组织的权利和义务 Rights and obligations of certified organization

1.1 权利 Rights

1) 有权宣传获准认证的事实；

To publicize the registration of certification;

2) 享有由于获准认证以及使用认证认可标志取得的经济利益；

The certified organization is entitled to benefit the economic interest by being certified and using the mark;

3) 获证组织对 AENOR China 关于认证的暂停、注销和撤销决定有权提出申诉，有权对不规范的认证行为提出投诉。

The certified organization has the right to appeal for the AENOR China's determination of certification's suspension, cancel and withdrawal, and to make the complaint for the improper certification behavior.

1.2 义务 Obligations

1) 始终遵守认证的要求；

Follow requirements of certification at all times

2) 为实施审核做出所有必要的安排，包括在初次认证、监督、再认证和解决投诉时，为检查文件和接触所有过程与区域、记录及人员提供条件；

To provide the arrangement for the audit conducted by AENOR China, including provide conditions for reviewing documents and access to all processes and areas, records and personnel when conducting initial, surveillance, recertification audit and resolving complaints.

3) 为现场审核组成员、观察员（如认可评审员或实习审核员）提供必要的交通、食宿、通讯、审核期间办公场所及其它必要的工作条件；

To provide the necessary transportation, accommodation, communication, office during the audit and other necessary working conditions for audit team, observers (including the accreditation assessors or provisional auditor)

4) 提供至少三个月体系运行（高风险或特殊行业应提供六个月）的全部文件和资料证据，证据应该是真实的；（FSC-COC 对运行时长无强制要求）

To provide all files and document evidences that the system has been implemented for at

least three months (the high risk or special sectors should be six months); (FSC-COC has no mandatory operating time requirements)

5) 获证组织维持管理体系的有效运行，符合 AENOR China 规定或维持认证的任何条件。如，按规定接受初审、监督审核、再认证审核，并按期向 AENOR China 交纳认证合同确定的费用以保证证书有效性；

The certified organization shall maintain the effective running of management system, confirm with any conditions set by AENOR China for granting or maintaining certification. Eg, accept the initial audit, surveillance audit and recertification as specified, also pay the fees confirmed in certification contract to AENOR China on time in order to ensure the effectiveness of certificate;

5) 在证书有效期内，当管理体系发生变更时（如：法律主体、组织结构、总经理、管理者代表、体系文件重大改版等变更），应在变更后的 30 天内（FSC-COC 要求 10 天内）及时书面通知 AENOR China；

Within the effect period of certificate, the certified organization shall notify AENOR China in writing within the 30 days (FSC-COC request within ten days) once the management system is changed (changes about the legal entities, organization structure, general manager, management representative, the major update of system documentation)

6) 按照认证合同的规定接受 AENOR China 的定期监督审核、再认证审核，当获证组织所在区域发生自然灾害（例如台风、海啸及地震以及其他的破坏性的有可能对组织有影响的灾害还包含但不限于恐怖主义的威胁，恶意的电脑攻击，地区政治的紧张，全国流行疾病及局部工人运动等），导致 AENOR China 可能不能或者能力所限无法在规定日期实施原定监督审核或再认证审核时，获证组织应及时以邮件、电话的方式通知 AENOR China 并接受 AENOR China 的后续应急回应措施。

The certified organization shall accept the periodic surveillance audit, recertification as the specified in certification contract. When a natural disaster (for example, typhoons, tsunamis and earthquakes, and other destructive disasters that may affect the organization include, but are not limited to, the threat of terrorism, malicious computer attacks, regional political tensions, national epidemics and local worker movements, etc.) occurs in the area where the certified organization is located, leading to that AENOR China may not be able to implement the surveillance audit or re-certification audit on the specified date, the certified

organization shall promptly notify AENOR China by mail or telephone and accept AENOR China's follow-up emergency response measures.

7) 希望注销认证证书时，应书面通知 AENOR China，将证书交还 AENRO China，办理注销手续；

When the certified organization requires cancel the certificate, it shall notify AENOR China in written form and return the certificate, and implement cancel procedures;

8) 认证证书被注销、撤销后，应停止使用 AENOR China 认证证书和认证、认可标志，并向 AENOR China 交还认证证书。同时停止有关认证资格内容的广告和宣传。

Certified organization shall stop using the certificate, marks and return the certificate to AENOR China when the certificate is withdrawn or canceled. At the same time, stop propagandizing about the certifications.

9) 同意以必要的间隔进行审核，包括 AENOR China 执行未通知或短期通知审核的权利；

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

10) FSC-COC 体系特殊要求 Spacial requirements of FSC-COC:

- a. 公布 FSC 和/或其他林业认证计划在过去五年内的当前或之前的申请或认证； Disclose current or previous application or certification with FSC and/or other forestry certification schemes in the last five years;
- b. 同意 ASI 的见证审核； Agree to witness audits of ASI;
- c. 同意，如 FSC 规范性文件所述，指定的信息被公布； Agree, that specified information is published, as indicated in the applicable FSC normative documents;
- d. 考虑 FSC-PRO-01-017 中规定的观察员的参与； Consider the participation of observers as specified in FSC-PRO-01-017;
- e. 同意，如果与 FSC 规范性文件有关的审核结果不一致，则首先根据认证机构的争议解决程序处理投诉，如果没有解决可提交 ASI 并最终提交 FSC 处理； Agree, that a complaint is first handled according to AENOR China's dispute resolution procedure and if not resolved referred to ASI and ultimately to FSC, in case of disagreement with audit findings related to FSC normative documents;

- f. 提供与认证范围相符的认证声明，并且除非获得认证，否则不会对 FSC 认证要求进行符合性（或接近一致性）的任何声明；Making claims regarding certification consistent with the scope of certification and not making any claims of conformity (or near conformity) with FSC certification requirements until and unless certification is granted;
- g. 认证的使用途径不能使认证机构，FSC 或 ASI 造成不利影响，不发表对其认证有误导或未经授权的声明；Not use its certification in such a manner as to bring AENOR China, FSC or ASI into disrepute and not make any statement regarding its certification that may be considered misleading or unauthorized;
- h. 记录所有关于符合认证要求的投诉，并在认证机构要求时提供这些记录，并且：就这些投诉和在产品中发现的影响 FSC 认证要求的符合性的问题采取适当行动；采取措施的文件记录；Keep a record of all complaints made known to it relating to conformity with certification requirements and make these records available to AENOR China when requested, and; take appropriate action with respect to such complaints and any deficiencies found in products that affect conformity with FSC certification requirements; document the actions taken.
- i. 同意，如果减少，暂停或撤销认证机构的 FSC 认证范围，受影响客户的认证将在减少，暂停或撤销相应认证范围之后六（6）个月内暂停 FSC 认证；Agree, that in case of reduction, suspension or withdrawal of the scope of certification body's FSC accreditation, the certification of the affected clients will be suspended within six (6) months after the date of reduction, suspension or withdrawal of the respective scope of FSC accreditation;

2 AENOR China 的权利和义务 Rights and obligations of AENOR China

2.1 权利 Rights

1) 通过审核表明不满足认证要求的，AENOR China 有权不颁发认证证书、不允许获证组织使用 AENOR China 认证标志，但应收取已经发生的认证活动费用。

If the audit indicates that the certification requirements are not met, AENOR China has the right not to issue the certificate, and not to allow the certified organization to use the

AENOR China certification mark, but should charge for the certification activities that have already occurred.

2) 如获证组织管理体系、产品发生重大变化或异常情况时(包括 1.2.6 条款的事例), AENOR China 有权增加监督审核频次;

If the management system or products of certified organization have major changes or abnormalities (including the situations stated in clause 1.2.6), AENOR China has the right to increase the frequency of surveillance audit.

3) 获证组织获准 AENOR China 认证后, 如不按时支付年金和监督审核费, AENOR China 有权暂停、撤销获证组织的认证证书并要求获证组织停止使用并交还相关的认证证书和认证标志;

After being certified by AENOR China, if the certified organization fails to pay the annual and surveillance audit fees on time, AENOR China has the right to suspend or withdraw the certificate of the certified organization and require the certified organization to stop using and return the relevant certificate and mark;

4) 有权公布获证组织的获准、暂停、注销和撤销认证状态。

AENOR China has the right to publish the certification status of granting, suspending, cancelling and withdrawing of the certified organization.

5) 认证机构有权延迟或推迟其认证决定, 以便考虑到其审核报告中尚未考虑到的, 新的或其他信息, 这些信息被认证机构认为可能影响其审核结果;

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

6) FSC-COC 体系特殊要求 Spacial requirements of FSC-COC:

- a. 如果客户的活动与 ASI 的认证合同中规定的认证机构的义务相冲突, 或认证机构认为, 影响了机构的良好声誉, 则认证机构无义务授予或维护认证 AENOR China shall not be obliged to grant or maintain certification, if activities of the client conflict with the obligations of AENOR China as specified in its accreditation contract with ASI, or which, in the sole opinion of AENOR China, reflect badly on the good name of AENOR China;

- b. 认证机构和 FSC 有权在认证有效期内修改认证要求，包括修改成本和费用;AENOR China and FSC have the right to revise the requirements of certification within the period of validity of the certification, including the revision of costs and fees;
- c. 认证机构，FSC 和 ASI 有权访问机密信息，检查认为必要的文件，以及访问向客户提供外包服务的相关设备，位置，区域，人员和机构；AENOR China, FSC and ASI have the right to access confidential information, examine documentation deemed necessary, and access to the relevant equipment, location(s), area(s), personnel, and bodies providing outsourced services to clients;
- d. 认证机构有权使用引起注意的信息，跟踪 FSC 商标的滥用和 FSC 持有的知识产权;AENOR China has the right to use information which is brought to its attention, to follow up on misuses of the FSC trademarks and of the intellectual property rights held by FSC;
- e. 承认 FSC 知识产权，FSC 保留知识产权的完全所有权，任何事项均不得视为构成客户使用或安排使用任何知识产权的权利;Acknowledge the title of the FSC's intellectual property rights and that FSC retains full ownership of the intellectual property rights and that nothing shall be deemed to constitute a right for the client to use or cause to be used any of the intellectual property rights;

2.2 义务 Obligations

- 1) 根据认证方案在委托的认证范围内公正、客观、科学地开展认证活动;

AENOR China should conduct certification activities with impartiality, objective and scientific within the proposed certification scope in accordance with the certification scheme;

- 2) 派遣适宜的审核人员，并征得获证组织同意;

To appoint the proper auditors and gain the agreement of certified organization;

- 3) 通过审核表明满足认证要求后，颁发认证证书并告知获证组织 AENOR China 认证证书和标志的使用规则;

After that the audit indicates that the certification requirements are met, AENOR China issues the certificate and informs the certified organization of the rules for the use of mark of AENOR China certificate and mark;

- 4) 认证要求发生更改时，书面通知获证组织;

When the certification requirements have changes, AENOR China shall inform the certified organization in writing;

5) 不受理认证申请以及在认证后做出暂停、撤销认证证书的决定时，必须书面通知获证组织，说明理由。

If the application for certification is not accepted and the certification decision is suspending or withdrawing, AENOR China shall inform the certified organization in writing and explain the reasons.