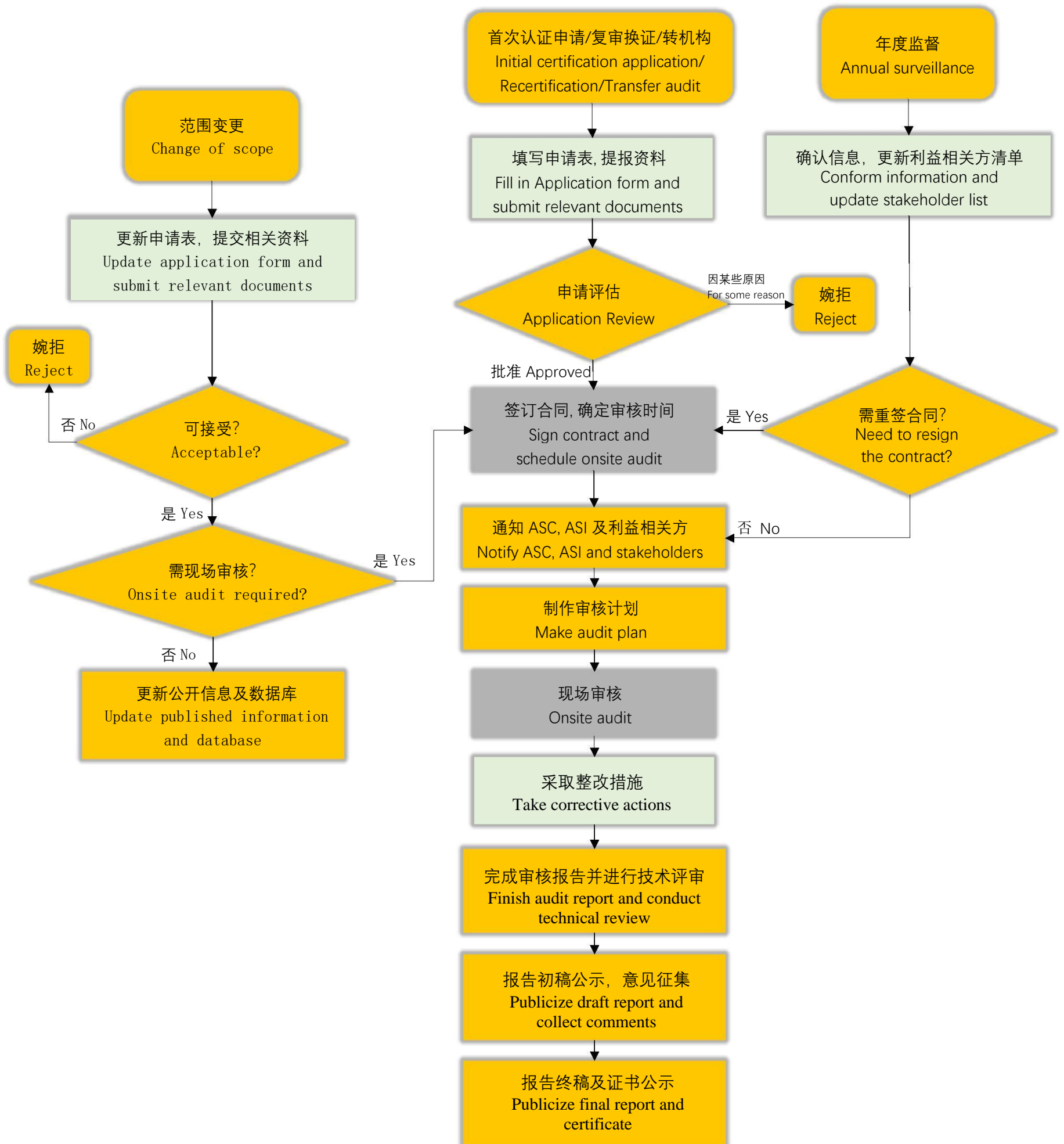


ASC 养殖场认证流程 ASC Farm Certification Process



注 Note:

证书可因某些原因被暂停或注销, 原因包含但不限于 申请者未能及时采取纠正措施、违规使用 Intertek 标志、ASC 标志, 系统性地违反了认证标准
The certificate may be suspended or even withdrawn for reasons like (including but not limited to) the applicants don't take corrective action in time, there's illegal use of Intertek logo and/or ASC logo, systemic break of certification standard(s)

认证费用 Certification fees

ASC 养殖场认证费用包含 ASC Farm Certification fees contain:

1. 申请费 (包含在合同中)
Application fee (Included in contract)
2. 审核费 (包含在合同中)
Audit fee (Included in contract)
3. 税费 (包含在合同中)
Tax (Included in contract)
4. 差旅住宿费实报实销
Expenses including travel and accommodation will be charged at cost
5. 由于委托方的原因需要增加预审和/或审核时间时, 费用另外结算。
Any pre-audit and / or audit time increased due to applicant's reason, the fee will be charged additionally.
6. 因现场信息与申请时提供信息有较大差异所导致的工作量变化, 按相应变化后的工作量计算。
If information verified on site is different from what is provided by applicant at application stage, certification fee should be calculated according to related changed workload.
7. 在认可的要求下, 服务方将与委托方共同确定审核日期, 如果委托方不能将变化在审核前 5 天内通知服务方, 服务方将向委托方收取审核员的误工人天费: 误工人天费=审核员人天费*误工人天
Intertek and applicant will mutually agree on a date for each activity per accreditation requirements. If applicant cancels any of the above without a five (5) day notice, applicant may be billed for incurred auditor downtime: Downtime fee=Auditor's man-day fee * Downtime man-day(s)

注 Note:

- 认证费用计算基于所需审核人天。为保证第三方认证服务的独立性, Intertek 原则上不接受如捐款类的财务援助。
The certification fees are based on audit manday required. To ensure the independence of 3rd party certification services, in principle, Intertek does not accept financial support like donation.
- 使用 ASC logo 所产生的费用应直接支付至 MSCI 制定账户。此项费用不包含在 Intertek 收取的认证费中。
Fees caused by using ASC logo shall be directly paid to the account appointed by MSCI. This is not included in Certification Fees charged by Intertek.

申请者权利和责任 Rights and Duties of Applicants

权利 Rights

1. 申请者有权对预定审核组成员提出疑义或表示反对
The applicants have the right to raise their concerns or object to any of the proposed audit team members.
2. Intertek 天祥有义务根据 ASC Farm 标准、认可要求、合同为申请者提供公正、可信、专业的认证服务
Intertek has responsibility to provide the applicants with impartial, trustful, professional certification services according to ASC standard(s), accreditation requirements and contract
3. 申请者有权根据 GOP208-ASC-MSC-Complaints and Appeals Process 向 Intertek 天祥提出投诉或申诉
The applicants have the right to make complaints or appeals targeted at Intertek according to GOP208-ASC-MSC-Complaints and Appeals Process

责任 Duties

1. ASC 保留更改标准和 CAR 的权利, 认证条件为在 ASC 规定的时间内符合最新版标准及认证要求。ASC 及 ASC 指定认可机构 (ASI) 有权访问所有的认证结果, 包括审核证据、审核发现、审核报告 (包括机密信息)。ASC 和 ASI 有权旁观 ITS 的审核过程。ASC, ASC 委派的人员, ASI 有权参观认证范围内的场所、设施进行访问, 包括为了验证 ASC 符合性而进行的不通知访问。ASI 有权对证书申请者/证书持有者进行审核, 包括不通知审核等, 以监管认证机构的审核过程。ASC、ASC 委派的人员、ASI 和 ITS 应有权收集水产品样本或其他支持样本 (如水、饲料、土壤、沉积物、淤泥), 以评估申请人的合规性和/或用于供应链的产品验证。在 ASC 审核期间或任何其他时间, 可以在未经通知的情况下进行抽样。对于 ITS 在 ASC 审核期间采集的样本测试, 所产生的费用应由申请人承担。
ASC retains the right to change the ASC Requirements and certification is conditional on conforming to new or revised ASC Requirements within the timeframes established by the ASC. ASC shall have full access to all audit products including audit evidence, audit findings and audit reports, including confidential annexes. ASC and the ASC appointed accreditation body (ASI) shall have the right to observe audits conducted by the ITS. ASC, ASC designated agents and ASC appointed accreditation body (ASI) shall have the right to visit the Client's site(s) and any associated facilities within the scope of certification. This includes visits without prior notice for the purpose of verification of the integrity of ASC certification. ASC appointed accreditation body (ASI) shall have the right to conduct audits of the applicant/certificate holder, including unannounced audits, for the purpose of monitoring CAB conformity. ASC, ASC designated agents, ASC appointed accreditation body (ASI) and the ITS shall have the right to collect seafood product samples or other supporting samples (e.g., water, feed, soil, sediment, sludge) to evaluate the Client's compliance and or for product verification from the supply chain. This sampling may be conducted unannounced during ASC audits or at any other time. Costs incurred in testing shall be covered by the Client, for samples taken and decided by the ITS during ASC audits.
2. 申请者应遵循 ASC Farm 标准及认证要求并有责任确保必要的文件、记录、相关设备、地点、区域、人员在审核时(包括在不事先通知的情况下, 对被审核方进行的不通知审核), 可获取/访问。
The applicant shall follow the relevant ASC Farm standard and certification requirements and has the responsibility to ensure the necessary documents, record and relevant equipment, location(s), area(s), personnel are available during the audit (including the regular surveillance audit without prior notice to the Client (unannounced audits)).
3. 证书持有者有资格申请 ASC 标志许可协议。在使用 ASC 标志前, 应通过 logo@asc-aqua.org 提出申请。在未获得有效的 ASC 标志许可协议前, 证书持有者不得在面向消费者的产品上或宣传资料中声称通过了 ASC 认证。可能需要额外的通过产销监管链的认证。
The certificate holder is eligible to apply for an ASC Logo License Agreement and must request a license via logo@asc-aqua.org prior to using the ASC logo. The certificate holder shall not make any claim about ASC certification on consumer facing products or public materials without a valid ASC Logo License Agreement. Additional Chain of Custody certification may be required.

4. 申请者应告知审核机构(ITS)其在 12 个月内所接受的审核并提供审核报告。ITS 有权查看被审核方最新的三方社会责任审核信息，包括但不限于审核报告，不符合项报告，整改证据，相关保密信息。

The applicant shall inform CAB (ITS) with any previous ASC audits conducted within the previous 12 months and provide audit report when appropriate. The CAB (ITS) shall have access to all audit products of the latest third-party social audit, if any. This includes, but is not limited to, audit reports, nonconformity reports, evidence of closure of non-conformities, and relevant confidential information.

5. 申请者有责任在 14 个日历日内告知养殖场内可能需要认证机构评估的变动。包括但不限于：

- a) 养殖鱼种变更
- b) 合法的养殖边界的扩大或缩小
- c) 合法的生产区域和非生产区域的调动
- d) 生产现场的数量增减
- e) 可能会影响供应链起始点的变化
- f) OIE 通报的疫情

The applicant has the responsibility to inform ITS within fourteen (14) days of any changes made to the UoC, that may require oversight from ITS. This can include but is not limited to:

- a) Changes in species farmed.
- b) Legally permitted expansion or reduction of the defined boundaries of the site.
- c) Legally permitted relocation of production area and non-production areas.
- d) Changes in the number of sites.
- e) Changes that may impact the start of the chain of custody.
- f) OIE notifiable disease outbreaks.

6. 申请者有责任在发生以下任何情况的 14 个日历日内，告知 ITS：

- a) 发生伤亡事故。
- b) 发生与 ASC 标准和要求相关的，经官方机构确认的违规行为。
- c) 使用兽药处理部分或全部生产单元(池塘，网箱，围网，水箱等)，或场所(多现场和集团认证)，并影响到 ASC 适用标准的符合性。
- d) 发生影响 ASC 适用标准符合性的逃逸或大规模的死亡事件。
- e) 发生易危、濒危或极度濒危物种或海洋哺乳类动物死亡。

The applicant the Client has the responsibility to inform the CAB within fourteen (14) days of the occurrence of any of the following situation(s):

- a) Fatal workplace accidents.
- b) Legal compliance violations confirmed by the statutory authority on issues related to the scope of ASC standard and requirements.
- c) Administration of veterinary treatments to some or all production units (ponds, cages, pens, tanks, etc.) or sites (Multi-site and group certification) that affects the compliance against the applicable ASC standard.
- d) Escapes or massive mortality events that affect the compliance against the applicable ASC standard.
- e) Vulnerable, Endangered or Critically endangered species or marine mammal mortalities.

7. 申请者有责任公告所有在其处所即将进行的 ASC 审核（例如，初审、监审、扩项审核或复审），以允许利益相关方在审核过程中提供输入和意见

The applicant's responsibility to make known to the public of any upcoming ASC audit at their premises (e.g. initial, surveillance, extension or recertification) to allow for interested parties and stakeholders to provide their input to and comment during the audit process.