### PUBLIC SUMMARY

#### Certificate Holder Details:

<table>
<thead>
<tr>
<th>Name:</th>
<th>Trieu Hai Forestry Company</th>
</tr>
</thead>
<tbody>
<tr>
<td>Region/ Country:</td>
<td>Quang Tri Province, Vietnam</td>
</tr>
</tbody>
</table>
| Address: | Name: Trieu Hai Forestry Company  
Street: Quarter 2, Ward 1  
City: Township Quang Tri  
Country: Vietnam |
| Contact person: | Name: Mr. Hoang Anh Tai  
Phone: +84 935960019  
Fax:  
Email: hoangta9@gmail.com |

| Type of audit: | Main audit |
| Date of audit: | 28.-29.07.2015  
25.10.2015 |
| Auditor(s): | Mr. Đỗ Văn Nhân, Thorsten Specht |
| FSC Certificate Code FSC License Code: | GFA-FM/COC-002642  
FSC-C  
XX.XX.XXXX |
| Date certificate granted: | Single FMU certification |

#### Certification Body:

| GFA Certification GmbH  
Eulenkrugstraße 82  
22359 Hamburg  
GERMANY | Contact person: Mr. Carsten Huljus, Managing Director  
Phone: +49-40-5247431 0  
Fax:  
E-mail: info@gfa-cert.com  
Web: www.gfa-cert.com |
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1 Scope of Certification

Geographic location:
- Latitude: N 16°44'03"
- Longitude: E 107°11'11"

Forest zone:
- Boreal
- Temperate
- Subtropical
- Tropical

Forest Type:
- Natural
- Plantation
- Semi-natural and mixed plantation & natural forest

Tenure management:
- Concession
- Community
- Private
- Public

Major tree species*:

<table>
<thead>
<tr>
<th>Common name</th>
<th>Scientific name</th>
</tr>
</thead>
<tbody>
<tr>
<td>Acacia</td>
<td>Acacia mangium</td>
</tr>
<tr>
<td>Acacia</td>
<td>Acacia hybrid</td>
</tr>
<tr>
<td>Pine</td>
<td>Pinus merkusii</td>
</tr>
</tbody>
</table>

*max. 10 species, if more a separate list shall be submitted as annex. If certain species are not included in all below mentioned product types, a separate list indicating the correlation shall be attached.

Certified products and product type:
- Round-wood (logs) (# W1.1)
- Fuel wood (# W1.2)
- Christmas trees (#N6.3.1)
- Other products; ___

Certified forest area:
Total: 5,227.82 ha

AAF class
- SLIMF
- Plantations

Natural forests:
- Boreal forests
- Community forestry
- Conservation of natural forests
- Temperate forests
- Tropical forests

Type of certificate:
- Single FMU
- Multiple FMU
- Group
- SLIMF Group
  - SLIMF: small
  - low intensity
  (SLIMF: see also chapter 3.4)

Number of Group members: ___

FMU numbers:
- <100 ha: FMUs
- 100-1000 ha: FMUs
- 1000-10,000 ha: FMUs
- > 10,000 ha: FMUs
Total FMUs: ___

Applied standard(s):
- National FSC Standard for (country) , Version
- GFA Generic FM Standard, adapted for Vietnam, Version 1.0,
- FSC standard for group entities in forest management groups - FSC-STD-30-005 V1-0
- Requirements for the use of FSC trademarks by certificate holders - FSC-STD-50-001 V1-2
2 Description of the area under the scope of certification

Production and protection forests:

<table>
<thead>
<tr>
<th>Description</th>
<th>Area in ha</th>
</tr>
</thead>
<tbody>
<tr>
<td>Production and protection forests</td>
<td>4,789.47</td>
</tr>
<tr>
<td>Plantation</td>
<td>3,661.2</td>
</tr>
<tr>
<td>Forest and non-forest land protected from commercial harvesting of timber</td>
<td>438.35</td>
</tr>
<tr>
<td>Managed primarily for conservation objectives</td>
<td>1,128.27</td>
</tr>
<tr>
<td>Other areas, namely High Conservation Value Forests (HCVF)</td>
<td></td>
</tr>
</tbody>
</table>

High Conservation Value Forests (HCVF):

<table>
<thead>
<tr>
<th>Description</th>
<th>Area in ha</th>
</tr>
</thead>
<tbody>
<tr>
<td>HCVF Category I (Significant concentrations of biodiversity values)</td>
<td></td>
</tr>
<tr>
<td>HCVF Category II (Significant large landscape level forests)</td>
<td></td>
</tr>
<tr>
<td>HCVF Category III (Forest areas that are in or contain rare, threatened or</td>
<td></td>
</tr>
<tr>
<td>endangered ecosystems)</td>
<td></td>
</tr>
<tr>
<td>HCVF Category IV (Forest areas that provide basic services of nature in</td>
<td></td>
</tr>
<tr>
<td>critical situations)</td>
<td></td>
</tr>
<tr>
<td>HCVF Category V (Forest areas fundamental to meeting basic needs of local</td>
<td></td>
</tr>
<tr>
<td>communities)</td>
<td></td>
</tr>
</tbody>
</table>

Regeneration of forest:

<table>
<thead>
<tr>
<th>Description</th>
<th>Area in ha</th>
</tr>
</thead>
<tbody>
<tr>
<td>Regenerated primarily by replanting or a combination of replanting and</td>
<td>438.35</td>
</tr>
<tr>
<td>coppicing of the planted stems</td>
<td></td>
</tr>
<tr>
<td>Regenerated primarily by natural regeneration or a combination of natural</td>
<td></td>
</tr>
<tr>
<td>regeneration and coppicing of the naturally regenerated stems</td>
<td></td>
</tr>
</tbody>
</table>

Partial certification:

Areas of forest over which the certificate holder has some responsibility, whether as owner (including shared or partial ownership, with a minimum of 51%), manager, consultant or other responsibility:

<table>
<thead>
<tr>
<th>Name and location of excluded areas</th>
<th>Size of area in ha</th>
<th>Justification for exclusion</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Area of the FMU which the certificate holder has chosen to exclude from the scope of the certificate.
### Name and location of excluded areas

<table>
<thead>
<tr>
<th>Name and location of excluded areas</th>
<th>Size of area in ha</th>
<th>Justification for exclusion</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Description of the controls that are in place to prevent confusion being generated as to which activities or products are certified, and which are not: See chapter “Fehler! Verweisquelle konnte nicht gefunden werden.”

## 3 Forest operation

### 3.1 Use of lands and forests (history)

**Brief description of the history of the use of lands and forests:**

The FMU is round about 39 years old and was established as a state owned forestry company on degraded areas (partly from the war, partly because of other reasons). In 1979 the FMU starts planting in the hills and from 2006 on planting Acacia and maintain Pine area has planted from the previous times. No planting of Pine anymore.

### 3.2 Regional forestry framework

**Description (legislation, administration and land use contexts, roles of government agencies involved in forest management):**

Trieu Hai FME was established on 28/04/1976. After 2006 there was a reorganization of the FME. In 2009 the FMU received officially the Red Book. Its headquarter is located in Quang Tri Township. The company is a production unit under direct management of the Quang Tri Provincial People’s Committee.

### 3.3 Evaluated forest enterprise

#### 3.3.1 Description of the structure of the forest enterprise

a) **Organization, management structures, ownership, responsibilities, use of contractors, and others implemented by the certificate holder:**

According to the decision of responsibilities: 76/QD-Cty, 29.05.2013 there are clear divisions of responsibilities of the tasks. For details see organizational chart inside the FMP.

The FMU is divides into different sections:
- Directorate
- Technical Section
- Accounting Section
- Administration-Organization Section
- 03 technical teams (responsible for the supervision/ forest protection)

Owner of the FMU is the Quang Tri Provincial People’s Committee (public forest).

b) **Number of workers working in the forest within the scope of certification (estimate):**

Total number of employees of forest enterprise: male: 44 female: 14
Number of forest workers (incl. contractors): male: 33 female: 8

3.3.2 Description of the ownership and land use

a) Ownership and use-rights (legal and customary) of 3rd parties other than the certificate holder:

☑ No ownership and use-rights (legal and customary) of 3rd parties identified.

All land belongs to the government. The Provincial Peoples Committee (PPC) has given the tenure and use rights to Trieu Hai Forest Management Enterprise for 50 years (Red books).

b) Non-forestry activities within the area evaluated, e.g. mining, agriculture, hunting.

There are almost no non-forestry activities within the area of assessment. Only collection of NTFPs by local peoples who are living in or around the forest areas occurs. No tenure rights exist but cattle grazing is a problem. No re-allocation is requested. Regulations for collecting mushrooms and fuelwood are developed. Free access for collecting of NTFP but this has to be announced to CPC.

3.3.3 Summary of the management plan

a) Management objectives;

The management objectives are:
- Planting
- Tending
- Clear-cutting
- Resin tapping
- Protection of water courses.

b) Forest composition, especially for the production forests (yielding forest products):

Forests in Trieu Hai Forest Management Enterprise are typically Acacia plantations stands (for timber production) with a mixture of Pine-plantation stands (for resin production). The stands are mostly even-aged stands with only one species.

c) Silvicultural and/or other management, including harvesting techniques:

The FME is using clear-cuts up to 10 ha in the Acacia-plantations with a total share of 400 ha per year. After the clear cut a replanting is done. The harvesting is done by chain-saws and the logging is done by humans.
For the Pine-stands there is only tapping of resin (200-300 tons/a on 1,128.27 ha).

d) Brief rational for species selection according to management plan:

☑ Naturally occurring species (in native forests)
☐ Management of existing species/stand composition and/or shift to naturally occurring species (in semi natural forests and mixed semi natural forests and native forests).
☒ Plantation species: See FSC P&C 10.4 in chapter “Results of the audit
Findings by Principle and Criteria (Main evaluation)”
Others, namely:

e) Description of the management concept for the production of NTFPs;

Not applicable

There is commercial use of resin from the pine stands (NTFP). The resin is not included in the scope of certification.

f) Description of the activities for enhancing and maintaining environmental services;

- Integrated management with protection of water resources, soil protection, species diversity and others without special activities.

Others, namely:

e) Environmental safeguards;

The environmental safeguards are:

- Enrichment planting by additional planting of indigenous species – Khaya senegalensis, Hopea odorata (area: 10.8 ha).
- Establishment of buffer zones to prevent water pollution,
- Establishment of a protection forest (438.35 ha) for watershed protection,
- Regulations to protect the forests according to the VN-law

This is also included in the FMP, chapter II, 1, page VN-version, table 4.

g) Management strategy for the identification and protection of rare, threatened and endangered species

The FMU has done an assessment and a stakeholder consultation about the presence of rare, endangered and threaten species (RET). The assessment was done by WWF 2013. No such species occur on the territories of the FMU.

h) Management strategy for the identification and maintenance of High Conservation Values

See FSC P&C 9.1 in chapter “Findings by Principle and Criteria (Main and Surveillance Audit)”

i) The certificate holder's procedures for calculating the AAC, including inventory methods, data sources

Brief explanation of inventory methods:

The FMU is using the yield table results and the data coming from the measurement of the harvesting plots. Because the site conditions are everywhere nearly the same the FMU could transfer these data to the other sites. This is stated in the FMP and is a recognized method. The FMP with the AAC was developed in 2010, and approved in 2011.

The figures per year are:

- AAC: ~130 cbm ha (36,400 cbm/a, see table below)
- MAI: 18 – 20 cbm/ha/a
- Cutting in reality: 36,385 cbm/a (2015)
Type of forest | Area and harvesting volume throughout years
---|---
 | | 2011 | 2012 | 2013 | 2014 | 2015
Area (ha) | Volume (m³) | Area (ha) | Volume (m³) | Area (ha) | Volume (m³) | Area (ha) | Volume (m³) | Area (ha) | Volume (m³)
Forest 661-327 | 196.5 | 7.998.1 |
Production | 184.9 | 16.932.9 | 365.2 | 30.401.2 | 495.1 | 47.982.2 | 453.2 | 49.848.5 | 280.5 | 30.855.0 |
Sign contract (allot standing stock) 135 | 48.8 | 3.416.0 | 240.7 | 16.849.0 | 21.5 | 1.505.0 | 117.6 | 8.232.0 | 79 | 5.530.0 |
Total | 430.2 | 28.347.0 | 605.9 | 47.250.2 | 516.6 | 49.487.2 | 570.8 | 58.080.5 | 359.5 | 36.385.0 |

Data sources of information used by the certificate holder:

- Inventory data
- Permanent sample plots
- Yield tables
- Others: Pre-harvesting inventory

j) Procedures for monitoring growth, yield and forest dynamics (incl. changes in flora and fauna), environmental and social impacts, and costs, productivity, and efficiency.

These procedures are written in the FMP. The protection team is responsible. A plan for monitoring of planting, tendering, and protection together with templates is available and is set up in the FMP (page 54). Measurement and calculation is done by sample-plots. Acacia is sold as standing stock by hectare. The volume is in the harvesting design (technical document) also in hectare. Figures for the volume from the measurements are set up by the customer. Some monitoring is missing. A minor CAR is set up in this respect.

k) Annual harvest by main commercial species (estimate), including NTFP:

<table>
<thead>
<tr>
<th>Species (botanical name)</th>
<th>Sustainable yield (AAC) in m³</th>
<th>Actual annual harvest in m³</th>
</tr>
</thead>
<tbody>
<tr>
<td>Acacia mangium</td>
<td>~36,400 cbm/a</td>
<td>36,385.0 for both species</td>
</tr>
<tr>
<td>Acacia hybrid</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Pinus merkusii</td>
<td>No use, only for resin</td>
<td></td>
</tr>
</tbody>
</table>

l) List of all chemical pesticides used within the forest area and reason for use:

- No pesticides used
3.4 Group Certification Issues (only groups)

- Not applicable

Application of SLIMF streamlined procedures:

- Not applicable.
- SLIMF streamlined procedures are applied to the whole group (SLIMF group).
- SLIMF streamlined procedures are applied to a part of the group (Mixed group).

Description of the division of responsibilities between group entity and group members:

- Type I group: Group with shared responsibilities between the group entity and the group members.

  According to the group management system, the group entity is responsible for
  - Administration and representation of the group towards the certification body
  - Monitoring of group members
  - Inventory and Planning
  - Silviculture
  - Harvesting
  - Marketing and Sales
  - Others:

  According to the group management system, each group member is responsible for
  - Inventory and Planning
  - Silviculture
  - Harvesting
  - Marketing and Sales
  - Others:

- Type II group: ‘Resource manager’ type of group in which the group entity has basically taken all operational responsibilities including administration, forest management and harvesting activities on behalf of the group members.

Details on group members:

A list of group members and details on the FMUs included in the scope of certificate is attached in the Annex to this report.

Group size and growth limitations:

The maximum annual or total increase of the group (in terms of members) that the group entity has specified in its management system according to FSC-STD-30-005 Clause 6.2.

- No increase limitations specified, see chapter „Corrective Action Requests“.
3.5 SLIMF eligibility

Not applicable □

(SLIMF: Small and low intensity managed forests)

<table>
<thead>
<tr>
<th>Forest enterprise</th>
<th>(specific country limit)</th>
<th>and has a mean annual harvest</th>
</tr>
</thead>
<tbody>
<tr>
<td>is small (&lt; 100 ha)</td>
<td>(specific country limit)</td>
<td>less than 20% of MAI</td>
</tr>
<tr>
<td>is between 100-1000 ha</td>
<td>(specific country limit)</td>
<td>less than 5000 m3/year</td>
</tr>
</tbody>
</table>

4 Evaluation process (Main evaluation)

4.1 Standards used for the evaluation

See Chapter “Forest Characteristics”.

A description of the adaptation process is included in the introduction part of applicable GFA Generic FM Standard available under www.gfa-certification.de. National FSC Standards can be obtained from the websites of the responsible National Initiative.

4.2 Sampling and Field Visit

4.2.1 List of FMUs selected for evaluation

According to the procedures for sampling as stated in the GFA FM-CoC Auditors Handbook and according to FSC-STD-20-007 the following FMUs have been selected for field visits:

List of selected FMUs: All □ Not all, see below □

Trieu Hai Forestry Company

Justification for selection:

According to the FSC-standard 20-007, sec 5.3.1, different types of forests were visited. With the visit of the whole area all existing forest-ecosystems are covered: nature and semi-natural forests, plantations, HCV’s, proposed cutting areas and replanting areas.

Both office and field assessments aimed to determine how closely activities in the office and field complied with the documented management systems and the FSC-standards. Interviews with staff and stakeholders were conducted to determine their familiarity with and their application of policies, procedures and practices that are relevant to their activities. A carefully selected sample of sites was visited to evaluate whether practices met the required performance levels.

The reasons for the sampling rate are:

- geographic homogeneity;
- ecosystem homogeneity: nearly the same tree spices (Acacia, Pine) in nearly the same mixture;
- potential illegal activities;
- management homogeneity: silvicultural system, managing system;
- potential environmental impacts of operations: small impact because of no use of chemicals.
4.2.2 General itinerary with dates (for each FMU)

<table>
<thead>
<tr>
<th>Date</th>
<th>Location</th>
<th>Scope of Visit</th>
<th>Remarks/Participants</th>
</tr>
</thead>
<tbody>
<tr>
<td>27.07.2015</td>
<td>Trieu Hai FC headquarter</td>
<td>Opening meeting, fixing of the schedule, explaining of the audit, check of documents, work with the checklist.</td>
<td>Staff of Trieu Hai, Ms. Thao (translator), Mr. Đỗ Văn Nhân, Thorsten Specht (GFA-auditors).</td>
</tr>
<tr>
<td>28.07.2015</td>
<td>Trieu Hai FC headquarter</td>
<td>Work with the checklist and stakeholder interviews.</td>
<td>Staff of Trieu Hai, Ms. Thao (translator), Mr. Đỗ Văn Nhân, Thorsten Specht (GFA-auditors).</td>
</tr>
<tr>
<td>Fieldvisit</td>
<td>Visit Dong Ha district forest ranger, Trieu Aí Communal People Committee, harvested plantation and resin utilization.</td>
<td>Staff of Trieu Hai, Mr. Đỗ Văn Nhân.</td>
<td></td>
</tr>
<tr>
<td>Fieldvisit</td>
<td>Trieu Hai FC headquarter</td>
<td>Stakeholder interviews. Work with checklist and documents. Closing meeting with explanation of Minor CARs and observations</td>
<td>Staff of Trieu Hai, Ms. Thao (translator), Mr. Đỗ Văn Nhân, Thorsten Specht (GFA-auditors).</td>
</tr>
</tbody>
</table>

During the evaluation both field and office visits have been arranged. Visited stands/ forest areas were selected by the audit team in cooperation with the forest management. Compliance with FSC P&C was assessed and discussed at these examples.

Observations presenting evidence of compliance or non-compliance at the level of indicators are presented in the form of a standardized checklist, attached to this report in the annex.

4.2.3 Total person days required for audit

<table>
<thead>
<tr>
<th>Stakeholder consultation</th>
<th>0.5</th>
<th>0.5</th>
</tr>
</thead>
<tbody>
<tr>
<td>Document review</td>
<td>0.5</td>
<td>0.5</td>
</tr>
<tr>
<td>Field Audit</td>
<td>4.0</td>
<td>4.0</td>
</tr>
<tr>
<td>Report</td>
<td>2.0</td>
<td>2.0</td>
</tr>
<tr>
<td>TOTAL</td>
<td>7.0</td>
<td>7.0</td>
</tr>
</tbody>
</table>

4.2.4 Surveillance audit plan for the Forest Management Enterprise

<table>
<thead>
<tr>
<th>Audit type</th>
<th>Date of evaluation</th>
<th>Duration in auditor days</th>
<th>Sites/member FMU</th>
<th>Issues</th>
</tr>
</thead>
<tbody>
<tr>
<td>Pre-evaluation</td>
<td>2013 / month</td>
<td>6</td>
<td>Trieu Hai Forest Enterprise</td>
<td>Part of the checklist</td>
</tr>
<tr>
<td>Main audit</td>
<td>2015 / July</td>
<td>4</td>
<td>Trieu Hai Forest Enterprise</td>
<td>All P&amp;Cs, forest work</td>
</tr>
<tr>
<td>Surveillance 1</td>
<td>2016 / April</td>
<td>4</td>
<td>Trieu Hai Forest Enterprise</td>
<td>Practical forest work, working safety, water protection</td>
</tr>
</tbody>
</table>
4.3 Consultation with stakeholders during the audit

At least six weeks prior to the audit a consultation of stakeholders was carried out by GFA. The relevant persons, institutions and authorities were asked in written form for comments. The list of the stakeholders contacted is attached in the annex. During the audit, stakeholders may also have been contacted and interviewed by the audit team.

Quantitative summary of stakeholder consultation:

- Number of stakeholders contacted prior to the audit in written form: 13
- Number of replies from stakeholders received (in total): 2
- Number of replies with comments received: 2
- Number of stakeholders interviewed before and during the audit orally: 5

Relevant comments towards compliance or non-compliance with the requirements of the FSC Standard as a result of the stakeholder consultation, as well as further information, are summarized in the matrix below:

<table>
<thead>
<tr>
<th>Principles &amp; Criteria</th>
<th>Stakeholder Comments</th>
<th>Answer</th>
</tr>
</thead>
<tbody>
<tr>
<td>Principle 1</td>
<td>Trieu Hai forest areas are demarcated clearly on site and handed over to Trieu Hai by local land authority with land use tenure right. Trieu Hai’s business operation complies fully with Vietnamese labor code, and complies well with prevailing regulations, procedures on forest management. Client obeys Government forestry law and local regulations on forest protection.</td>
<td>Checked, thanks</td>
</tr>
<tr>
<td>Principle 2</td>
<td>No comments</td>
<td></td>
</tr>
<tr>
<td>Principle 3</td>
<td>No comments</td>
<td></td>
</tr>
<tr>
<td>Principle 4</td>
<td>Well paid employees, no social problems</td>
<td>Checked, thanks</td>
</tr>
<tr>
<td>Principle 5</td>
<td>No comments</td>
<td></td>
</tr>
<tr>
<td>Principle 6</td>
<td>Buffer- zones are established. Trieu Hai performs good biodiversity conservation activities in their forest areas. Trieu Hai already set up a good system of forest and land management, with aim to protect environment.</td>
<td>Checked, thanks</td>
</tr>
<tr>
<td>Principle 7</td>
<td>No comments</td>
<td></td>
</tr>
<tr>
<td>Principle 8</td>
<td>No comments</td>
<td></td>
</tr>
<tr>
<td>Principle 9</td>
<td>HCVF assessment was done</td>
<td>Checked, thanks</td>
</tr>
<tr>
<td>Principle 10</td>
<td>No comments</td>
<td></td>
</tr>
</tbody>
</table>
5 Results of the audit

5.1 Findings by Principle and Criteria (Main evaluation)

The evaluation of forest management enterprises are based on indicators. Each identified non-compliance results in a Corrective Action Request (See also chapter “Corrective Action Requests (CARs)”). The table below presents the summarized findings by FSC Criteria and an indication whether or not the observed level of performance is considered to comply with the requirements of the standards.

In case of group certification the findings refer to all evaluated FMUs unless specified otherwise.

<table>
<thead>
<tr>
<th>Principles and Criteria</th>
<th>Result / CARs</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Principle #1: Compliance with laws and FSC Principles</strong></td>
<td></td>
</tr>
<tr>
<td>1.1 Forest management shall respect all national and local laws and administrative requirements.</td>
<td>Pass</td>
</tr>
<tr>
<td>1.2 All applicable and legally prescribed fees, royalties, taxes and other charges shall be paid.</td>
<td>Pass</td>
</tr>
<tr>
<td>1.3 The provisions of all binding international agreements such as CITES and Convention on Biological Diversity, shall be respected.</td>
<td>Pass</td>
</tr>
<tr>
<td>1.4 Conflicts between laws, regulations and the FSC Principles and Criteria shall be evaluated for the purposes of certification, on a case by case basis, by the certifiers and the involved or affected parties.</td>
<td>Pass</td>
</tr>
<tr>
<td>1.5 Forest management areas should be protected from illegal harvesting, settlement and other unauthorized activities.</td>
<td>Pass</td>
</tr>
<tr>
<td>1.6 Forest managers shall demonstrate a long-term commitment to adhere to the FSC Principles and Criteria.</td>
<td>Pass</td>
</tr>
<tr>
<td><strong>Principle #2: Tenure and use rights and responsibilities</strong></td>
<td></td>
</tr>
<tr>
<td>2.1 Clear evidence of long-term forest use rights to the land (e.g. land title, customary rights, or lease agreements) shall be demonstrated.</td>
<td>Pass</td>
</tr>
<tr>
<td>2.2 Local communities with legal or customary tenure or use rights shall maintain control, to the extent necessary to protect their rights or resources, over forest operations unless they delegate control with free and informed consent to other agencies.</td>
<td>Pass</td>
</tr>
<tr>
<td>2.3 Appropriate mechanisms shall be employed to resolve disputes over tenure claims and use rights.</td>
<td>Pass</td>
</tr>
<tr>
<td><strong>Principle #3: Indigenous peoples’ rights</strong></td>
<td></td>
</tr>
<tr>
<td>3.1 Indigenous peoples shall control forest management on their lands and territories unless they delegate control with free and informed consent to other agencies.</td>
<td>Pass</td>
</tr>
<tr>
<td>3.2 Forest management shall not threaten or diminish, either directly or indirectly, the resources or tenure rights of indigenous peoples.</td>
<td>Pass</td>
</tr>
<tr>
<td>3.3 Sites of special cultural, ecological, economic or religious significance to indigenous peoples shall be clearly identified in cooperation with such peoples, and recognized and protected by forest managers.</td>
<td>Pass</td>
</tr>
<tr>
<td>3.4 Indigenous peoples shall be compensated for the application of their traditional knowledge regarding the use of forest species or management systems in forest operations.</td>
<td>Pass</td>
</tr>
<tr>
<td><strong>Principle #4: Community relations and worker’s rights</strong></td>
<td></td>
</tr>
<tr>
<td>4.1 The communities within, or adjacent to, the forest management area should be given opportunities for employment, training, and other services.</td>
<td>Pass</td>
</tr>
<tr>
<td>4.2 Forest management should meet or exceed all applicable laws and/or regulations covering health and safety of employees and their families.</td>
<td>Pass Minor CAR 2015-01: Safety equipment. Minor CAR 2015-02: Regulations concerning exclusion of contractors.</td>
</tr>
</tbody>
</table>
4.3 The rights of workers to organize and voluntarily negotiate with their employers shall be guaranteed as outlined in Conventions 87 and 98 of the International Labor Organization (ILO). Pass

4.4 Management planning and operations shall incorporate the results of evaluations of social impact. Pass

4.5 Appropriate mechanisms shall be employed for resolving grievances and for providing fair compensation in the case of loss or damage affecting the legal or customary rights, property, resources, or livelihoods of local peoples. Pass

**Principle #5: Benefits from the forest**

5.1 Forest management (FM) should strive toward economic viability, while taking into account the full environmental, social, and operational costs of production, and ensuring the investments necessary to maintain the ecological productivity of the forest. Pass

5.2 FM and marketing operations should encourage the optimal use and local processing of the forest's diversity of products. Pass

5.3 FM should minimize waste associated with harvesting and on-site processing operations and avoid damage to other forest resources. Pass

5.4 FM should strive to strengthen and diversify the local economy, avoiding dependence on a single forest product. Pass

5.5 FM operations shall recognize, maintain, and, where appropriate, enhance the value of forest services and resources such as watersheds and fisheries. Pass

5.6 The rate of harvest of forest products shall not exceed levels which can be permanently sustained. Pass

**Principle #6: Environmental impact**

6.1 Assessment of environmental impacts shall be completed -- appropriate to the scale, intensity of FM and the uniqueness of the affected resources -- and adequately integrated into management systems. Pass

6.2 Safeguards shall exist which protect rare, threatened and endangered species and their habitats (e.g., nesting and feeding areas). Conservation zones and protection areas shall be established. Pass

6.3 Ecological functions and values shall be maintained intact, enhanced, or restored, including Forest regeneration and succession, Genetic, species, and ecosystem diversity. Natural cycles that affect the productivity of the forest ecosystem. Pass

6.4 Representative samples of existing ecosystems within the landscape shall be protected in their natural state and recorded on maps. Pass

6.5 Written guidelines shall be prepared and implemented to: control erosion; minimize forest damage during harvesting, road construction; and protect water resources. Pass Minor CAR 2015-03: Oil absorbencies

6.6 Management systems shall promote the development and adoption of environmentally friendly non-chemical methods of pest management and strive to avoid the use of chemical pesticides. Pass

6.7 Chemicals, containers, liquid and solid non-organic wastes including fuel and oil shall be disposed of in an environmentally appropriate manner. Pass

6.8 Use of biological control agents shall be documented, minimized, monitored and strictly controlled in accordance with national laws and internationally accepted scientific protocols. Use of genetically modified organisms shall be prohibited. Pass

6.9 The use of exotic species shall be carefully controlled and actively monitored to avoid adverse ecological impacts. Pass

6.10 Forest conversion to plantations or non-forest land uses shall not occur, except if it entails a very limited portion of the forest management unit; and does not occur on high conservation value forest areas; and will enable clear, substantial, additional, secure, long term conservation benefits across the forest management unit. Pass

**Principle #7: Management plan**

7.1 The management plan and supporting documents shall provide a) Management objectives. b) Description of the forest resources to be managed, environmental limitations, land use and ownership status, socio-economic conditions, and a profile of adjacent lands. c) Description of silvicultural and/or other management system, based on the ecology of the forest in question and information gathered through resource inventories. d) Rationale for rate of annual harvest and species selection. e) Provisions for monitoring of forest growth and dynamics. f) Environmental safeguards based on environmental assessments. g) Plans for the identification and protection of rare, threatened and endangered species. h) Maps describing the forest resource base including protected areas, planned management activities and land ownership. i) Description and justification of harvesting techniques and equipment to be used. Pass Minor CAR 2015-04: Plans for the identification of RET-species

7.2 The management plan shall be periodically revised to incorporate the results of
monitoring or new scientific information.

| 7.3 | Forest workers shall receive adequate training and supervision to ensure proper implementation of the management plan. | Pass |
| 7.4 | While respecting the confidentiality of information, forest managers shall make publicly available a summary of the primary elements of the management plan, including those listed in Criterion 7.1 | Pass |
| **Principle #8: Monitoring and assessment** | Pass |
| 8.1 | The frequency and intensity of monitoring should be determined by the scale and intensity of forest management operations as well as the relative complexity and fragility of the affected environment. | Pass |
| 8.2 | FM should include the research and data collection needed to monitor, at a minimum, the following indicators: a) Yield of all forest products harvested. b) Growth rates, regeneration and condition of the forest. c) Composition and observed changes in the flora and fauna. d) Environmental and social impacts of harvesting and other operations. e) Costs, productivity, and efficiency of forest management. | Pass |
| 8.3 | Documentation shall be provided by the forest manager to enable monitoring and certifying organizations to trace each forest product from its origin, a process known as the "chain of custody." | Pass |
| 8.4 | The results of monitoring shall be incorporated into the implementation and revision of the management plan. | Pass |
| 8.5 | While respecting the confidentiality of information, forest managers shall make publicly available a summary of the results of monitoring indicators. | Pass |

| **Principle #9: Maintenance of high conservation value forests (HCVF)** | Pass |
| 9.1 | Assessment to determine the presence of the attributes consistent with HCVF will be completed. | Pass |
| 9.2 | The consultative portion of the certification process must place emphasis on the identified conservation attributes, and options for the maintenance thereof. | Pass |
| 9.3 | The management plan shall include and implement specific measures that ensure the maintenance and/or enhancement of the applicable conservation attributes consistent with the precautionary approach. | Pass |
| 9.4 | Annual monitoring shall be conducted to assess the effectiveness of the measures employed to maintain or enhance the applicable conservation attributes. | Pass |

| **Principle #10: Plantations** | Pass |
| 10.1 | The management objectives of the plantation, including natural forest conservation and restoration objectives, shall be explicitly stated in the management plan. | Pass |
| 10.2 | The design and layout of plantations should promote the protection, restoration and conservation of natural forests, and not increase pressures on natural forests. | Pass |
| 10.3 | Diversity in the composition of plantations is preferred, so as to enhance economic, | Pass |
ecological and social stability.

10.4 The selection of species for planting shall be based on their overall suitability for the site and their appropriateness to the management objectives. Pass

10.5 A proportion of the overall forest management area, appropriate to the scale of the plantation and to be determined in regional standards, shall be managed so as to restore the site to a natural forest cover. Pass

10.6 Measures shall be taken to maintain or improve soil structure, fertility, and biological activity. Pass

10.7 Measures shall be taken to prevent and minimize outbreaks of pests, diseases, fire and invasive plant introductions. Integrated pest management shall form an essential part of the management plan, with primary reliance on prevention and biological control methods rather than chemical pesticides and fertilizers. Pass

10.8 Monitoring of plantations shall include regular assessment of potential on-site and off-site ecological and social impacts, in addition to those elements addressed in principles 8, 6 and 4. No species should be planted on a large scale until local trials and/or experience have shown that they are ecologically well-adapted to the site, are not invasive, and do not have significant negative ecological impacts on other ecosystems. Pass

10.9 Plantations established in areas converted from natural forests after November 1994 normally shall not qualify for certification. Pass

5.2 Group Certification results (only groups)
Not applicable

Responsibilities for implementation of the applicable standard(s) at the group entity level are complied with, especially FSC standard for group entities in forest management groups (FSC-STD-30-005):

yes ☐ no ☐, see “Corrective Action Requests”.

Each non-SLIMF group member complied with all of the requirements of the FSC P&C, except those requirements already complied with at the group level.

yes ☐ no ☐, see “Corrective Action Requests”.

6 Corrective Action Requests (CARs)

According to the importance of the non-compliances with respect to scale and intensity of the forest operation, the corrective action requests are classified as Minor or Major.

„Major Corrective Action Requests“ (Major CARs) result from fundamental failures to achieve the objective of the relevant FSC requirements. Adequate corrective action needs to be implemented by the organization before a certificate can be issued or re-issued. If Major CARs are not complied with within the timeframe existing certificates shall be suspended according to the accredited FSC system.

„Minor Corrective Action Requests“ (Minor CARs) result from failures to achieve the objective of the relevant FSC requirements which are not considered to be fundamental. They do not inhibit the issuing or re-issuing of the certificate but adequate corrective actions needs to be implemented until the next surveillance audit. Otherwise Minor CARs are upgraded to Major CARs automatically. Repeated disregard leads to a suspension of the certificate.

“Observations” do not influence the status of the certificate but identify the early stages of a problem which does not of itself constitute a non-compliance, but which may lead to a future non-compliance if not addressed by the client.
In the case of Major CARs the organization has to send evidence of both corrective and preventive actions to the GFA certification department within the given timeframe. In addition the organization shall keep the evidence available on site for the next audit. In the case of Minor CARs the organization has to keep evidence of corrective actions available on site for the next audit.

6.1 CARs from previous audits

☐ Not applicable, no previous CARs open

“Not applicable in main audit reports”

6.2 CARs identified during the evaluation

☐ Not applicable, no CARs identified

6.2.1 Major CARs

No major CARs.

6.2.2 Minor CARs

<table>
<thead>
<tr>
<th>Minor CAR 2015-01 Safety equipment</th>
</tr>
</thead>
<tbody>
<tr>
<td>Scope of CAR:</td>
</tr>
<tr>
<td>FSC P &amp; C</td>
</tr>
<tr>
<td>Standard / Norm</td>
</tr>
<tr>
<td>Deviation / Explanation</td>
</tr>
<tr>
<td>Corrective action</td>
</tr>
<tr>
<td>Timeframe</td>
</tr>
<tr>
<td>Status:</td>
</tr>
<tr>
<td>Reason or next steps:</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Minor CAR 2015-02 Regulations concerning exclusion of contractors</th>
</tr>
</thead>
<tbody>
<tr>
<td>Scope of CAR:</td>
</tr>
<tr>
<td>FSC P &amp; C</td>
</tr>
<tr>
<td>Standard / Norm</td>
</tr>
<tr>
<td>Deviation / Explanation</td>
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<td>Corrective action</td>
</tr>
<tr>
<td>Timeframe</td>
</tr>
<tr>
<td>Status:</td>
</tr>
<tr>
<td>Reason or next steps:</td>
</tr>
</tbody>
</table>
## FSC P & C

<table>
<thead>
<tr>
<th>Standard / Norm</th>
<th>GFA Generic FM Standard, adapted for Vietnam, V 1.0</th>
</tr>
</thead>
</table>

### Deviation / Explanation

4.2.9 Contractors not complying with all above mentioned indicators are excluded from forest operations.

### Corrective action

Into the sales contract (#21/HDKT,) article 3, there is an explanation the responsibilities of buyer. Article 5 contains regulations for breaking the contract. But there is no regulation concerning the exclusion of contractors / workers of the buyer in case of a violations of the indicators of principle 4.2.

### Timeframe

Till next audit, latest till 28.07.2016

### Status:

Not fulfilled

### Reason or next steps:

Minor CAR 2015-03 Oil absorbencies

<table>
<thead>
<tr>
<th>Scope of CAR :</th>
<th>Forest Management Enterprise, resp. Group Entity</th>
</tr>
</thead>
</table>

### Corrective action

The company shall implement appropriate measures to correct the nonconformity detected in this audit and described above within the given timeline. The measures shall be adequate to correct the current problems and to eliminating causes of nonconformities in order to avoid recurrence. Evidence for implemented measures shall be sent to info@gfa-cert.com.

### Timeframe

Till next audit, latest till 28.07.2016

### Status:

Not fulfilled

### Reason or next steps:

Minor CAR 2015-04 Plans for the identification of RET-species

<table>
<thead>
<tr>
<th>Scope of CAR :</th>
<th>Forest Management Enterprise, resp. Group Entity</th>
</tr>
</thead>
</table>

### Corrective action

The company shall implement appropriate measures to correct the nonconformity detected in this audit and described above within the given timeline. The measures shall be adequate to correct the current problems and to eliminating causes of nonconformities in order to avoid recurrence. Evidence for implemented measures shall be sent to info@gfa-cert.com.
**Audit Report**

| nonconformity detected in this audit and described above within the given timeline. The measures shall be adequate to correct the current problems and to eliminating causes of nonconformities in order to avoid recurrence.
| Evidence for implemented measures shall be sent to info@gfa-cert.com. |

**Timeframe**
- Till next audit, latest till 28.07.2016

**Status:**
- Not fulfilled

**Reason or next steps:**

### Minor CAR 2015-05 Procedure for the regular revision and updating of the management plan.

**Scope of CAR:**
- Forest Management Enterprise, resp. Group Entity
- FSC P & C
- GFA Generic FM Standard, adapted for Vietnam, V 1.0

**Standard / Norm**
- 7.2.1 There is a procedure in place for the regular revision and updating of the management plan.

**Deviation / Explanation**
- According to the checked documents there is no procedure in place for the regular revision and updating of the management plan.

**Corrective action**
- The company shall implement appropriate measures to correct the nonconformity detected in this audit and described above within the given timeline. The measures shall be adequate to correct the current problems and to eliminating causes of nonconformities in order to avoid recurrence. Evidence for implemented measures shall be sent to info@gfa-cert.com.

**Timeframe**
- Till next audit, latest till 28.07.2016

**Status:**
- Not fulfilled

**Reason or next steps:**

### Minor CAR 2015-06 Revision of the management plan

**Scope of CAR:**
- Forest Management Enterprise, resp. Group Entity
- FSC P & C
- GFA Generic FM Standard, adapted for Vietnam, V 1.0

**Standard / Norm**
- 7.2.2 In the revision of the management plan relevant opinions of research institutes, environmental and social non-government organizations are considered.

**Deviation / Explanation**
- According to the interviews and document-checks there is no such system developed.

**Corrective action**
- The company shall implement appropriate measures to correct the nonconformity detected in this audit and described above within the given timeline. The measures shall be adequate to correct the current problems and to eliminating causes of nonconformities in order to avoid recurrence. Evidence for implemented measures shall be sent to info@gfa-cert.com.

**Timeframe**
- Till next audit, latest till 28.07.2016

**Status:**
- Not fulfilled

**Reason or next steps:**

### Minor CAR 2015-07 Monitoring of wildlife

**Scope of CAR:**
- Forest Management Enterprise, resp. Group Entity
- FSC P & C
- GFA Generic FM Standard, adapted for Vietnam, V 1.0
### FSC P & C
#### GFA Generic FM Standard, adapted for Vietnam, V 1.0

#### Standard / Norm
8.1.1 All activities that require monitoring are identified.

#### Deviation / Explanation
The FME has developed several different monitoring systems but a wildlife monitoring (except for fishes) is missing. Evidence was given by missing documents and interviews.

#### Corrective action
The company shall implement appropriate measures to correct the nonconformity detected in this audit and described above within the given timeline. The measures shall be adequate to correct the current problems and to eliminating causes of nonconformities in order to avoid recurrence. Evidence for implemented measures shall be sent to info@gfa-cert.com.

#### Timeframe
Till next audit, latest till 28.07.2016

#### Status:
Not fulfilled

#### Reason or next steps:

---

### Minor CAR 2015-08 Cost of monitoring

#### Scope of CAR:
- Forest Management Enterprise, resp. Group Entity

#### FSC P & C
GFA Generic FM Standard, adapted for Vietnam, V 1.0

#### Standard / Norm
8.1.3 The frequency and expense of monitoring is appropriate to scale and intensity of forest management operations as well as the relative complexity of the affected environment.

#### Deviation / Explanation
A monitoring plan and relevant monitoring reports are available. These contain the estimated costs for forest protection. But there are no clear figures about the monitoring (what, when, who).

#### Corrective action
The company shall implement appropriate measures to correct the nonconformity detected in this audit and described above within the given timeline. The measures shall be adequate to correct the current problems and to eliminating causes of nonconformities in order to avoid recurrence. Evidence for implemented measures shall be sent to info@gfa-cert.com.

#### Timeframe
Till next audit, latest till 28.07.2016

#### Status:
Not fulfilled

#### Reason or next steps:

---

### Minor CAR 2015-09 Monitoring about deterioration or disturbance for buffer-zones is missing

#### Scope of CAR:
- Forest Management Enterprise, resp. Group Entity

#### FSC P & C
GFA Generic FM Standard, adapted for Vietnam, V 1.0

#### Standard / Norm
8.2.4 Conservation areas (see 6.2) are regularly monitored to ensure that there is no evidence of deterioration or disturbance.

#### Deviation / Explanation
For the established buffer-zones (conservation areas) a monitoring about deterioration or disturbance is missing.

#### Corrective action
The company shall implement appropriate measures to correct the nonconformity detected in this audit and described above within the given timeline. The measures shall be adequate to correct the current problems and to eliminating causes of nonconformities in order to avoid recurrence. Evidence for implemented measures shall be sent to info@gfa-cert.com.
## Minor CAR 2015-10 Monitoring of fauna in buffer-zones

**Scope of CAR:**
- Forest Management Enterprise, resp. Group Entity
- Group member(s):
- FSC P & C
- GFA Generic FM Standard, adapted for Vietnam, V 1.0

**Standard / Norm:** 8.2.5 Composition and changes in the flora and fauna and the effectiveness of conservation activities, particularly of rare, threatened and endangered species are monitored.

**Deviation / Explanation:** In the buffer-zones (sometimes only 5m width) there are some sample plots (1x1m) to monitor the flora. But for the fauna a monitoring is missing.

**Corrective action:** The company shall implement appropriate measures to correct the nonconformity detected in this audit and described above within the given timeline. The measures shall be adequate to correct the current problems and to eliminating causes of nonconformities in order to avoid recurrence.

**Evidence for implemented measures shall be sent to info@gfa-cert.com.**

## Minor CAR 2015-11 Internal monitoring

**Scope of CAR:**
- Forest Management Enterprise, resp. Group Entity
- Group member(s):
- FSC P & C
- GFA Generic FM Standard, adapted for Vietnam, V 1.0

**Standard / Norm:** 8.2.7 Contractors’ performance is monitored, including compliance with contract Specifications.

**Deviation / Explanation:** During the field audit it was noticed that there were a few stumps which are not in line with the requirements (missing felling hinge and kerf). This was not detected and corrected by the internal monitoring. According to the contract the contractor is responsible to fulfill the safety requirements and will be supervised by the internal monitoring team during and after the harvesting activities. The monitoring team is using checklists for that.

**Corrective action:** The company shall implement appropriate measures to correct the nonconformity detected in this audit and described above within the given timeline. The measures shall be adequate to correct the current problems and to eliminating causes of nonconformities in order to avoid recurrence.

**Evidence for implemented measures shall be sent to info@gfa-cert.com.**

## Minor CAR 2015-12 Summaries of monitoring results

**Scope of CAR:**
- Forest Management Enterprise, resp. Group Entity
- Group member(s):
- FSC P & C
- GFA Generic FM Standard, adapted for Vietnam, V 1.0
8.5.1 Regular summaries of monitoring results and analysis by FMU are available to the public. Large scale enterprises (> 10,000 ha) actively inform the public during regular stakeholder meetings (see 4.4.4).

Deviation / Explanation
Inside the summaries of the results from already done monitoring there is no results of the monitoring of the fauna.

Corrective action
The company shall implement appropriate measures to correct the nonconformity detected in this audit and described above within the given timeframe. The measures shall be adequate to correct the current problems and to eliminating causes of nonconformities in order to avoid recurrence. Evidence for implemented measures shall be sent to info@gfa-cert.com.

Timeframe
Till next audit, latest till 28.07.2016

Status:
Not fulfilled

Reason or next steps:

6.2.3 Observations

- Not applicable, no observations

<table>
<thead>
<tr>
<th>Observation</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Observation 2015-1:</strong></td>
<td>During the FMU planning process the consultation process with local stakeholders should be changed to meetings in the beginning of the planning process.</td>
</tr>
<tr>
<td><strong>Observation 2015-2:</strong></td>
<td>Some more countermeasures to preventing pest and disease (e.g. using of different kind of Acacia clones) should be developed.</td>
</tr>
<tr>
<td><strong>Observation 2015-3:</strong></td>
<td>A map and a description of the harvesting techniques should be included in the public available summaries.</td>
</tr>
<tr>
<td><strong>Observation 2015-4:</strong></td>
<td>The company should pay more attention that the harvesting teams of the buyers are following the felling techniques (e.g. different techniques for different diameters and about the need for a felling hinge and kerf for bigger diameters).</td>
</tr>
</tbody>
</table>

7 Certification decision

7.1 Summary of audit

The main audit in Trieu Hai Forest Company was carried out during the 27.-28.07.2015 by two auditors, Mr. Đỗ Văn Nhân as a national auditor and Th. Specht as an international lead auditor. The management office with all the documentation system, different types of plantation stand with both, Acacia and Pine, old harvesting sites, potential harvesting sites and buffer-zones were visited during the audit.

Different interviews with peoples and stakeholder were conducted without the superiors.

Twelve (12) Minor CARs and four (04) observations were identified during the main audit. These Minor CARs and observations were explained to Trieu Hai Forest Company during the closing meeting.
7.2 Certification recommendation by the auditor(s)

The certificate holder's system of management, if implemented as described, is capable of ensuring that all of the requirements of the applicable standard(s) are met over the whole forest area covered by the scope of the evaluation:

☑ Yes A certificate can be issued/reissued/maintained under the condition that the "Corrective Action Requests" mentioned above will be completely fulfilled in the indicated timeframe.

☐ No A certificate can only be issued when all identified Major CARs mentioned above are closed due to implemented corrective actions.

☐ No The FM system of the evaluated enterprise does not comply with the provisions and standards of FSC and those of GFA Certification GmbH. Due to the number of identified major non-conformities the auditors recommend the immediate suspension of the certificate after finalization of the report.

The next surveillance audit is preliminarily planned for spring 2016.

8 Agreements

Between GFA and the client it is hereby agreed, that the report will be sent to the client for review and comments. If the client does not send a comment within 21 days (date of post stamp), GFA will assume, that no comments will be made and that the client agrees to the report.

On an additional form the client accepts the report and the defined CARs therein and assures to correct the identified non-compliances in the indicated timeframe.

9 Annex

- Stakeholder List
- Clients Comments and GFA reply
- Peer Review Comments and GFA reply
- Results of the pre-evaluation
- Digital map of the FMUs
- GFA dispute resolution procedure
- Checklists / Standards used
List of contacted stakeholders

<table>
<thead>
<tr>
<th>Institution</th>
</tr>
</thead>
<tbody>
<tr>
<td>WWF Vietnam</td>
</tr>
<tr>
<td>Sở Nông nghiệp và PTNT Quảng Trị</td>
</tr>
<tr>
<td>Forest ranger</td>
</tr>
<tr>
<td>N.N.</td>
</tr>
<tr>
<td>Sở Tài Nguyên và Môi trường Quảng Trị</td>
</tr>
<tr>
<td>Cục Thuế Quảng Trị</td>
</tr>
<tr>
<td>Chi cục Lâm nghiệp Quảng Trị</td>
</tr>
<tr>
<td>Hạt KL TX Quảng Trị</td>
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<tr>
<td>Trạm kiểm lâm Triệu Phong</td>
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<tr>
<td>Trạm kiểm lâm Hải Lạng</td>
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<tr>
<td>UBND xã Triệu Aí</td>
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<tr>
<td>UBND xã Triệu Thương</td>
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<td>UBND xã Hải Lệ</td>
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<tr>
<td>UBND xã Hải Lâm</td>
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<tr>
<td>UBND xã Hải Phú</td>
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<tr>
<td>BQL rừng PH lưu vực sông Thạch Hãn</td>
</tr>
</tbody>
</table>

Peer Review Comments and GFA reply

<table>
<thead>
<tr>
<th>Peer Review 1 and 2 Comments</th>
<th>GFA reply</th>
</tr>
</thead>
<tbody>
<tr>
<td>Peer 1: According to the peer review, dated from 8th November 2015, there are no comments</td>
<td>Thanks.</td>
</tr>
</tbody>
</table>

Clients Comments and GFA reply

<table>
<thead>
<tr>
<th>Comments client</th>
<th>GFA reply</th>
</tr>
</thead>
<tbody>
<tr>
<td>1) Address: Quarter 2</td>
<td>Thanks. Changed</td>
</tr>
<tr>
<td>2) Certified forest area: 5,227.82</td>
<td>Thanks. Changed</td>
</tr>
<tr>
<td>3) Production and protection forests: 4,789.47 ha are production forest, classified as plantation.</td>
<td>Thanks. Changed</td>
</tr>
<tr>
<td>4) Production and protection forests: 438.35 ha are forest and non-forest land protected from commercial harvesting of timber and managed primarily for conservation objectives.</td>
<td>Thanks. Changed</td>
</tr>
<tr>
<td>5) Production and protection forests: 1,128.27 ha are forest and non-forest land protected from commercial harvesting of timber and managed primarily for production of NTFP or services.</td>
<td>Thanks. Changed</td>
</tr>
<tr>
<td>6) Regeneration of forest: 438.35 ha of forest are regenerated primarily by replanting or by a combination of replanting and coppicing of the planted stems.</td>
<td>Thanks. Changed</td>
</tr>
<tr>
<td>7) 3.1 Use of lands and forests (history): Change the sentence</td>
<td>Thanks. Changed to: In 1979 the FMU starts planting in the hills and from 2006 on planting Acacia and maintain Pine area has planted from the previous times. No planting of Pine anymore.</td>
</tr>
</tbody>
</table>
8) 3.2 Regional forestry framework: Change the date to 28.04.1976

Thanks. Changed to the new date.

9) 3.3.1 Description of the structure of the forest enterprise. Change the date to 29.05.2013

Thanks. Changed to the new date.

10) 3.3.1 b) Number of workers working in the forest within the scope of certification (estimate): change “Number of forest workers (incl. contractors): male:” to 38

Thanks. Changed

11) 3.3.3 c) Silvicultural and/or other management, including harvesting techniques: change from “a” to “year”

Rejected. “A” is the international term for “Year”.

12) 3.3.3 c) Change the area to 1,128.27 ha

Thanks. Changed

13) 3.3.3 e: Enrichment planting by additional planting of indigenous species Khaya senegalensis, Hopea odorata

Thanks. Changed

14) 3.3.3 e: Change area to 438.35 ha

Thanks. Changed

15) 3.3.3 i: check of the figures for:
AAC: 9,054 cbm
MAI: 18 cbm/ha/a
Cutting in reality: 4,500 (up to 3,000 cbm)

Thanks. A check of the figures according to the FMP was done and the figures were corrected. A new table was added. misunderstanding

16) k) Annual harvest by main commercial species (estimate), including NTFP: Check of the table.

Thanks. A check of the figures according to the FMP was done and the figures were corrected. Misunderstanding.

Location of the FMUs include in the scope of certification

Map to big to put it into the annex:

☐ A map of FMUs included in the scope of certificate is publicly available on the certificate holder’s webpage (see chapter “Basic Information”)

Results of the pre-evaluation

Date of pre-evaluation: 17.-18.11.2013

Auditor(s): Dr. Do Anh Tuan and Th. Specht

Summary of the pre-evaluation:

The scoping audit in Trieu Hai Forestry Company together with the main audit for CW was carried out during the 17.-18.11.2013 by two auditors, Dr. Do Anh Tuan as a national auditor and Th. Specht as an international lead auditor. The management office with parts the documentation system, different types of plantations, harvesting sites and pine forests were visited during the audit.

Different interviews with peoples and stakeholder were conducted without the superiors. Twenty-six (26) Non-compliances were identified during the scoping audit.

Non-compliances identified:
<table>
<thead>
<tr>
<th>Non-compliance</th>
<th>Standard, P&amp;C</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Non-compliance 2013-1:</strong></td>
<td>4.1.5 The forest manager shall ensure that all employees, contractors and sub-contractors working in the forest of the certificate holder are paid a fair wage and other benefits, which meet or exceed all legal requirements and those provided in comparable occupations in the same region.</td>
<td>Regulations for on-site checks (interviews, check of contracts) are missing. And there are no checks about the paying of a fair wage, social benefits according to the contracts etc. for the workers of the harvesting teams.</td>
</tr>
<tr>
<td><strong>Non-compliance 2013-2:</strong></td>
<td>4.2.1 Managers are familiar with relevant health and safety guidelines and regulations. For large scale organisations (&gt; 10.000 ha) a written safety and health policy and management system are in place.</td>
<td>ILO-code is available, but the relevant regulations like the ILO code for safety and health in forest work are not known.</td>
</tr>
<tr>
<td><strong>Non-compliance 2013-3:</strong></td>
<td>4.2.2 Managers have assessed the risk to workers of particular tasks and equipment, and take measures to reduce or eliminate such risks (SLIMF: All work done in the forest must comply with health and safety laws and regulations).</td>
<td>An assessment about the risk to workers of particular tasks and equipment, and measures to reduce or eliminate such risks was not done.</td>
</tr>
<tr>
<td><strong>Non-compliance 2013-4:</strong></td>
<td>4.2.3 Safety training is carried out, relevant to the tasks of workers and the equipment used.</td>
<td>Safety training is not carried out.</td>
</tr>
<tr>
<td><strong>Non-compliance 2013-5:</strong></td>
<td>4.2.4 Workers, including subcontractors, are provided with safety equipment, relevant to the tasks of workers, the equipment used and consistent with ILO Code of Practice on Safety and Health in Forestry. (SLIMF: All work done in the forest must comply with health and safety laws and regulations. The forest manager shall demonstrate reasonable efforts to comply with ILO Code of Practice on Safety and Health in Forestry if available in the country).</td>
<td>Helmets and other personal safety equipment (e.g. safety trousers, glasses, goggles) are available, but shoes with steel-inlays are missing.</td>
</tr>
<tr>
<td><strong>Non-compliance 2013-6:</strong></td>
<td>4.3.3 A point of contact for workers with problems is established. Workers should have the opportunity to express their concerns in confidential form (e.g. letter boxes).</td>
<td>Described only in general, an exact description is missing. Letterboxes are missing.</td>
</tr>
<tr>
<td><strong>Non-compliance 2013-7:</strong></td>
<td>4.4.1 There are systems in place that provide an evaluation of the social impact (e.g. employment rate, number of households involved in the FMU, average payment etc.)</td>
<td>There are no systems to provide an evaluation of the social impact (e.g. employment rate, number of households involved in the FMU, average payment etc.)</td>
</tr>
</tbody>
</table>
the operation on those groups
-specifieds measures to ameliorate identified negative impacts
-provides for regular contact with affected groups to monitor effectiveness of measures.

<table>
<thead>
<tr>
<th>Non-compliance 2013-8:</th>
<th>4.4.3 An up-to-date list of stakeholders is maintained (SLIMF: Relevant stakeholders are known to the enterprise). A list with 13 stakeholder is available (doc. no. 111/QD-Cty, 05.07.2013) but some key stakeholders like NGOs, villages, FSC NI are missing</th>
</tr>
</thead>
<tbody>
<tr>
<td>Non-compliance 2013-9:</td>
<td>5.3.2 Methods to avoid locally defined unacceptable damage to soil, water systems and wetlands, riparian zones, residual forest areas and sensitive sites are being implemented. Erosion is a problem because of the size of the clear-cuts. But this is described only very general in the design. Avoidances of impacts in some areas: cleaning of streams after harvesting, right direction felling. Measurement for volumes is done by a sampling system. Internal guideline: 105/QT-Cty, 18.07.2013</td>
</tr>
<tr>
<td>Non-compliance 2013-10:</td>
<td>5.6.3 Volumes harvested are monitored, documented and taken into account during the planning process. Measurement and calculation is done by sample-plots. Acacia is sold as standing stock by hectare. The volume is in the harvesting design also in hectare. Figures for the volume from the measurements are set up by the customer. But on the documents of the FMU these figures are missing.</td>
</tr>
<tr>
<td>Non-compliance 2013-11:</td>
<td>6.1.1 A system assessing environmental impacts appropriate to the scale and intensity of forest management, and the uniqueness of the affected resources is being implemented and documented prior to the start of any operation (SLIMF: Before starting any operation, the possible negative impacts are identified and the operations are designed to minimize them. Assessments do not need to be documented unless legally required). There is no knowledge about the system of an EIA and an EIA was not yet done. Evidence was given by interviews.</td>
</tr>
<tr>
<td>Non-compliance 2013-12:</td>
<td>6.2.3 Conservation zones, protection areas and wildlife corridors are established and demarcated on maps, appropriate to the scale and intensity of forest management and the uniqueness of the affected resources (not applicable to single SLIMF operations). Inside the FMP, see chapter II, 1, page VN-version, table 4. 326,95 ha should be protected (see also 10.5.1). Up to now not marked on the maps.</td>
</tr>
<tr>
<td>Non-compliance 2013-13:</td>
<td>6.3.2 Systems that use small clearfell areas, selective felling and create varied age class have been considered. Clearfells up to 70 ha. This caused damage to the remaining soil. A limitation shall be done. The system how to move away from the big clearfells and how to create varied age classes is not described in the FMP</td>
</tr>
<tr>
<td>Non-compliance 2013-14:</td>
<td>6.3.6 Biodiversity is routinely maintained by the retention of marginal habitats e.g. streamside vegetation, vegetation on rocky outcrops, swamps and heaths. Marginal habitats are inside the area (e.g. small watercourses or old bomb craters in C 832 sc 9+3). But there is no knowledge about the presence of marginal habitats, the definition of marginal habitats and there is also no knowledge in how to protect them.</td>
</tr>
<tr>
<td>Non-compliance 2013-15:</td>
<td>6.5.3 Buffer zones are maintained along watercourses and around water bodies. These buffer zones are demarcated on maps and comply with specifications. Buffer zones along the water bodies are under establishment but not yet established. A mapping is missing. Evidence was given during the field-audit (e.g. C 832 sc 9+3).</td>
</tr>
<tr>
<td>Non-compliance 2013-16:</td>
<td>6.7.1 Guidelines describing the use and disposal of chemicals, containers, liquid and solid non-organic wastes, exist and are implemented.</td>
</tr>
<tr>
<td>Non-compliance 2013-17:</td>
<td>7.2.1 There is a procedure in place for the regular revision and updating of the management plan.</td>
</tr>
<tr>
<td>Non-compliance 2013-18:</td>
<td>7.4.1 Regular summaries of the primary elements of the management plan, including those listed in Criterion 7.1 are available to the public. Large scale enterprises (&gt; 10.000 ha) actively inform the public during regular stakeholder meetings (see 4.4.4) (SLIMF: upon request, FME shall make available relevant parts of the management plan to stakeholders who are directly affected by the forest management activities).</td>
</tr>
<tr>
<td>Non-compliance 2013-19:</td>
<td>8.1.1 All activities that require monitoring are identified.</td>
</tr>
<tr>
<td>Non-compliance 2013-20:</td>
<td>8.1.2 A plan and design, based upon consistent and replicable procedures exists and is implemented for periodic monitoring and reporting.</td>
</tr>
<tr>
<td>Non-compliance 2013-21:</td>
<td>8.2.2 Where standard growth models or information on regeneration of commercial species is not known, there is a program in place to collect detailed information for future management.</td>
</tr>
<tr>
<td>Non-compliance 2013-22:</td>
<td>8.2.3 The condition of the forest (presence of pests, diseases, evidence of soil compaction, erosion etc) is regularly monitored and reviewed.</td>
</tr>
<tr>
<td>Non-compliance 2013-23:</td>
<td>8.2.6 Indicators of environmental and social impacts of forest operations, including health and safety developed (e.g. number of accidents/cbm, area of erosion, average income in comparison with other FMU’s etc.).</td>
</tr>
<tr>
<td>Non-compliance 2013-24:</td>
<td>8.2.7 Contractors’ performance is monitored, including compliance with contract specifications.</td>
</tr>
<tr>
<td>Non-compliance 2013-25:</td>
<td>8.3.2 All products sold by the forest operation as certified are recorded with: product type (“FSC Pure” (100%) unless introduction of other terms in FSC COC standards), quantity</td>
</tr>
</tbody>
</table>
or volume, date, FSC license number (GFA-FM/COC-xxxxxx), customer, and information on forest gate. This is backed up by evidence in the bookkeeping system (invoices, bills of lading, orders etc.).

| Non-compliance 2013-26: | 8.5.1 Regular summaries of monitoring results and analysis by FMU are available to the public. Large scale enterprises (> 10,000 ha) actively inform the public during regular stakeholder meetings (see 4.4.4). (SLIMF: upon request, FME shall make available relevant parts of the management plan to stakeholders who are directly affected by the forest management activities). | The FMP is sent to relevant authorities but not published up to now. The FMU has not developed any templates for the summaries. Summaries are not available to the public. |
GFA Dispute Resolution Procedure

In order to increase the public accountability of the certification process stakeholders and certificate holders have access to GFA’s dispute resolution procedure (DRP).

All concerns related to GFA’s certification decision can be addressed to the GFA headquarter. Concerns NOT addressed to GFA headquarters, GFA staff or GFA affiliates are not accepted. Anonymous disputes, complaints and appeals will be rejected. Further mass mailings and mass emailing to GFA addressing the same or similar issues will be rejected.

The DRP provides procedures that allow the aggrieved party the opportunity to present his/her case to GFA staff. GFA provides an initial response, including an outline of GFA proposed course of action to follow up on the complaint or appeal, within four (4) weeks of receiving a complaint or appeal. GFA keeps the complainant(s) informed of progress in evaluating the complaint/appeal, and has investigated the allegations and specified all its proposed actions in response to the complaint or appeal within six (6) months of receiving the complaint or appeal, extendable to twelve (12) months. Full implementation of actions and confirmation of implementation (e.g. correction and closing out of non-compliances that may have been identified as a result of the complaint or appeal) are completed in compliance with FSC requirements and standards.

Please note: Disputes, complaints and appeals can only be considered valid if related to issues under the authority of GFA and related to Forest Stewardship Council standards.