## PUBLIC SUMMARY

<table>
<thead>
<tr>
<th>Audited Organization</th>
<th>Trieu Hai Forestry Company</th>
</tr>
</thead>
<tbody>
<tr>
<td>Certificate Holder</td>
<td></td>
</tr>
<tr>
<td>Street</td>
<td>Quarter 2, Ward 1</td>
</tr>
<tr>
<td>ZIP/Postal Code</td>
<td></td>
</tr>
<tr>
<td>Town/City</td>
<td>Township, Quang Tri</td>
</tr>
<tr>
<td>Country</td>
<td>Vietnam</td>
</tr>
<tr>
<td>Phone</td>
<td>+84 988134395</td>
</tr>
<tr>
<td>Telefax</td>
<td>NA</td>
</tr>
<tr>
<td>E-Mail</td>
<td><a href="mailto:hinhnguyenduy69@gmail.com">hinhnguyenduy69@gmail.com</a></td>
</tr>
<tr>
<td>Internet</td>
<td>NA</td>
</tr>
<tr>
<td>Contact person for FSC</td>
<td></td>
</tr>
<tr>
<td>Name</td>
<td>Nguyen Duy Hinh</td>
</tr>
<tr>
<td>Phone</td>
<td>+84 988134395</td>
</tr>
<tr>
<td>E-Mail</td>
<td><a href="mailto:hinhnguyenduy69@gmail.com">hinhnguyenduy69@gmail.com</a></td>
</tr>
<tr>
<td>Contact person for GFA</td>
<td></td>
</tr>
<tr>
<td>Name</td>
<td>Nguyen Duy Hinh</td>
</tr>
<tr>
<td>Phone</td>
<td>+84 988134395</td>
</tr>
<tr>
<td>E-Mail</td>
<td><a href="mailto:hinhnguyenduy69@gmail.com">hinhnguyenduy69@gmail.com</a></td>
</tr>
<tr>
<td>Contact person Logo GFA</td>
<td></td>
</tr>
<tr>
<td>Name</td>
<td>Nguyen Duy Hinh</td>
</tr>
<tr>
<td>Phone</td>
<td>+84 988134395</td>
</tr>
<tr>
<td>E-Mail</td>
<td><a href="mailto:hinhnguyenduy69@gmail.com">hinhnguyenduy69@gmail.com</a></td>
</tr>
</tbody>
</table>

| Certificate          |                             |
| Certificate type     | Single ☑️                      |
| Issue date           | 24.11. 2015                  |
| Expire date          | 23.11. 2020                  |
| FSC FM/COC certificate number | GFA-FM/COC-002642          |
| FSC License Code     | FSC-C127563                  |
| Generic GFA Standard, adapted for FM in | Vietnam | Vietnam, Version |
| Further standards    | Requirements for the use of FSC-Trademarks FSC-STD-50-001 V1-2 |

| Audit                |                             |
| Audit type           | Surveillance Audit          |
| Audit date           | 18 - 19.07.2016             |
| Report date          | 22.07.2016                  |
| Lead auditor         | Gregorio Crespo             |
| Qualification        | M.Sc. Forestry, FM/COC Lead Auditor since 2008 |
| Local expert         | Ngo Tri Dung                |
| Qualification        | Forestry Engineer, Lecturer of Hue University |
## Table of contents

1. SCOPE OF CERTIFICATION .............................................................................................................. 3

2. CHANGES SINCE LAST EVALUATION ............................................................................................... 4
   - Changes of scope .............................................................................................................................. 4
   - Accidents in forest work since the last audit .................................................................................... 4
   - Use of pesticides since the last audit .............................................................................................. 4

3. EVALUATION PROCESS (SURVEILLANCE AUDITS) ...................................................................... 4
   - Standards used ................................................................................................................................. 4
   - Sampling and Field Audit ............................................................................................................... 4
     - List of FMUs selected for evaluation ............................................................................................ 4
     - Overall schedule with dates (for each FMU) ............................................................................... 5
     - Total of man-days required for the audit .................................................................................... 6
     - Surveillance audit plan for the Forest Management Enterprise .................................................. 6
   - Consultation with stakeholders / comments / complaints .............................................................. 6

4. CORRECTIVE ACTION REQUESTS (CARS) ....................................................................................... 7
   - CARs from previous audits .............................................................................................................. 7
   - CARs identified during the evaluation ............................................................................................ 21
     - Major CARs ................................................................................................................................. 22
     - Minor CARs ................................................................................................................................. 23
     - Observations ................................................................................................................................. 29

5. CERTIFICATION DECISION ............................................................................................................ 29
   - Summary of audit ............................................................................................................................ 29
   - Certification recommendation by the auditor(s) .......................................................................... 30

6. ANNEX ............................................................................................................................................... 30
1. Scope of Certification

Geographic location:
- Latitude: N/S 16° 44' 03''
- Longitude: E/W 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

Tenure ownership:
- Government
- Community
- Private
- Public
- Indigenous

Certified forest area:
- Total area in ha: 5,194.23
- Total number of FMUs: 1

FMU numbers per size class:
- <100 ha: 1 FMUs
- 100-1000 ha: FMUs
- 1000-10.000 ha: 1 FMUs
- > 10.000 ha: FMUs

Number of group members per size class:
- <100 ha: FMUs
- 100-1000 ha: FMUs
- 1000-10.000 ha: 1 FMUs
- > 10.000 ha: FMUs

AAF Class
- Natural forest - Boreal: SLIMF Boreal: ha
- Natural forest - Community: SLIMF Community: ha
- Natural forest - Conservation: SLIMF Conservation: xxxx ha

Plantations:
- SLIMF Plantations: 4,755.77 ha
- SLIMF Temperate: ha
- SLIMF Tropical: 438.46 ha

Scope of certification: Forest management and sale of round wood.

<table>
<thead>
<tr>
<th>Nr.</th>
<th>Product type(s)*</th>
<th>Level*</th>
<th>Main output category</th>
<th>Species (Scientific names)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Roundwood (logs)</td>
<td>W1.1</td>
<td>FSC 100%</td>
<td>Acacia. Acacia mangium</td>
</tr>
</tbody>
</table>
<pre><code>                            |        |                     | Acacia. Acacia hybrid     |
</code></pre>
2. Changes since last evaluation

Changes of scope

Description of changes since last audit in accordance to FSC-STD-20-007-a (Chapters “Scope of Certification”, “Description of the area under the scope of certification” and Forest operation in main evaluation audit report):

There have been two changes since the last audit:

1º.- The property of the company has been reduced. The government of Socialist Republic of Vietnam has excluded 33.59 Has from the Red Book. This area has been assigned to the local people.

2º.- The contact person for FSC has changed. The new person in charge is Nguyen Duy Hinh. +84 988134395. hinhnguyenduy69@gmail.com

☐ No changes since the last audit.

Accidents in forest work since the last audit

☒ No serious/fatal accidents occurred.

Use of pesticides since the last audit

☒ No pesticides used.

<table>
<thead>
<tr>
<th>Name of pesticide</th>
<th>Reason for application</th>
<th>Applied quantity (in kg/ha or l/ha)</th>
<th>Frequency of use</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td>permanent</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>occasional</td>
</tr>
</tbody>
</table>

3. Evaluation process (Surveillance audits)

Standards used

See Chapter “Scope of Certification”.

Explanation of any relevant modifications of the FSC Standard used in previous evaluations:

☒ No changes since the last audit

GFA Generic FM Standard, adapted for Vietnam, Version 1.0,

Requirements for the use of FSC trademarks by certificate holders - FSC-STD-50-001 V1-2

Sampling and Field Audit

List of FMUs selected for evaluation

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

List of selected FMUs:

☒ All

☐ Not all, see bellow

NA (Indicacion of selected FMUs). It is only a FMU.

Justificacion for seleccion: NA
NA (Indicacion of selected FMUs). It is only a FMU.

Overall schedule with dates (for each FMU)

<table>
<thead>
<tr>
<th>Date</th>
<th>Location</th>
<th>Thematic priorities on-site-audits</th>
<th>Remarks/Participants</th>
</tr>
</thead>
</table>
TRIEU HAI Co: Vice director. Cao Tiến Khá  
Staff of Trieu Hai Co: Nguyễn Xuân Thanh Hoàng Anh Tài Nguyễn Duy Hinh  
Tien Phong Company: Phan The Son Tong Phuoc Binh.  
Duong 9 Company: Le Phuc Vuong.  
Forestry protection department of province: Vice director: Hoàng Đức Doanh. Staff: Trần Phước Lân. |
| 18.07.2016 | Field visit       | Split two teams:  
- Team 1: Visit forest ranger at Quang Trí township station, interview forest protection contractor, workers.  
- Team 2: Visit harvested plantation and resin utilization, plantation zone, buffer zone and natural forest.  
A detail description of the areas and thematic that have been audited is in section 9.2, close of CARs and new CARs. | Dung leads team 1 including Technical adviser (WWF): Nguyen Vu.  
Staff of Trieu Hai Co: Nguyễn Duy Hinh Nguyễn Xuân Thanh  
Gregorio lead team 2 including:  
Translator GFA: Phan Thanh Hong.  
Technical adviser (WWF): Loc Vu Trung  
TRIEU HAI Co: Hoàng Anh Tài  
Forestry protection department of province: Trần Phước Lân.  
Tien Phong Company: Phan The Son Tong Phuoc Binh. |
| 19.07.2016 | Trieu Hai FC      | Document Review, determine Audit Details. Closing meeting / Summary of Findings  
TRIEU HAI Co: Vice director. Cao Tiến Khá  
Staff of Trieu Hai Co: Nguyễn Xuân Thanh Hoàng Anh Tài Nguyễn Duy Hinh  
Technical adviser (WWF): |
Surveillance audit plan for the Forest Management Enterprise

<table>
<thead>
<tr>
<th>Audit type</th>
<th>Date of evaluation</th>
<th>Audit duration in days</th>
<th>Sites/member FMU</th>
<th>Main focus</th>
</tr>
</thead>
<tbody>
<tr>
<td>Pre- audit</td>
<td>2013 / November</td>
<td>CONF</td>
<td>Trieu Hai Company Forestry</td>
<td>All the standard</td>
</tr>
<tr>
<td>Main audit</td>
<td>2015 / July</td>
<td>CONF</td>
<td>Trieu Hai Company Forestry</td>
<td>All the standard</td>
</tr>
</tbody>
</table>
| Surveillance 1| 2016 / July        | CONF                   | Trieu Hai Company Forestry | 1.1 - 1.2 – 1.3 – 1.4 – 1.5 – 1.6 2.1 – 2.3  
4.1 – 4.2 – 4.3 – 4.4 – 4.5  
5.3 – 5.4 – 5.5 – 5.6.  
6.1 – 6.2 – 6 – 6.4 – 6.5 – 6.6 – 6.7 – 6.9 – 6.10  
7.1 – 7.2 – 7.3 – 7.4  
8.1 – 8.2 – 8.3 – 8.5  
9.1  
10.1 – 10.2 – 10.4 – 10.5. |
| Surveillance 2| 20 / Month         |                        |                           |                                               |
| Surveillance 3| 20 / Month         |                        |                           |                                               |
| Surveillance 4| 20 / Month         |                        |                           |                                               |

Consultation with stakeholders / comments / complaints

- There were neither comments nor complaints from stakeholders since the last audit.

During the audit, stakeholders may also be contacted and interviewed by the audit team. The auditors interviewed the following stakeholders:

Le Quang Tuyen (Quang Tri township forest ranger).

- The interviewed stakeholders did not submit comments requiring a formal reply within the framework of this audit report.
Principles & Criteria | Stakeholder Comments | Answers
--- | --- | ---
Principle 1 | Trieu Hai Co. complies fully with Vietnamese laws on business and operation activities (forestry laws, labor law). Their boundary was clearly defined and the changes were legally documented. | No necessary
Principle 2 | No comments | NA
Principle 3 | No comments | NA
Principle 4 | No comments | NA
Principle 5 | No comments | NA
Principle 6 | No comments | NA
Principle 7 | No comments | NA
Principle 8 | No comments | NA
Principle 9 | No comments | NA
Principle 10 | No comments | NA

4. 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 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.

CARs from previous audits

☐ Not applicable, no previous CARs open
CAR # | 2015-01
---|---
Short Title | Safety equipment
Grade | ☑ Minor
Scope of CAR: | ☑ FM: Forest Management Enterprise, resp. Group Entity
| ☐ FM: Group member(s):
Normative Reference | ☑ GFA Interim Standard for FM
| ☐ National FSC FM Standard
| ☐ FSC-STD-30-005, V.1.0
Clause | 4.2.4
Requirement acc. standard | 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: …).
Description of identified non-conformity | The FME has no own harvesting workers. According to the interviews with the staff, the harvesting teams from the buyers are equipped with the relevant safety equipment; pictures about the safety equipment were shown. But this could not be cross-checked by the auditors because there was no work because of heavy rainfall. The FME have no check of the contractors about using the required safety equipment.
Timeframe | ☑ Until next audit, not later than 29.07.2016 (3 months after the last audit day)
| ☐ Before certificate issue
| ☐ XX.XX.20XX
Analysis and Actions (to be filled by the organization)
Root Cause Analysis | Provide workers including contractor safety equipments that are relevant to the tasks of workers, the equipment used and consistent with ILO Code of Practice on Safety and Health in Forestry
Corrective Actions | Check workers, contractor on safety and hygiene conditions; Update monitoring sheet, take photos of workers equipped with protective clothes; scan bills of purchasing safety equipments.
Preventive Actions | Check and monitor regularly both workers and contractor
Evaluation of Corrective Action (by GFA Certification)
Status | ☐ CAR closed: Root Cause Analysis and Actions are appropriate.
| ☑ CAR not closed: Root Cause Analysis and Actions are not appropriate.
Rationale and objective evidences revised

The company needs five teams to do the jobs planned. Each team is comprised of 1 chainsaw operator and six supporting workers.

The company has only bought personal protective equipment for one chainsaw operator but there are 4 more chainsaw operators. Invoice: 15539. Total supply is:
- 1 Personal protective wear.
- 1 Pair of shoes.
- 1 Helmet.
- 1 Pair of gloves.

In Compartment 835A Plot A4 from the checklist, the company registered that all the chainsaw operators had their PPE.

Documents:
- Evidence to close the CAR.
- Personal protective equipment for the workers (support workers)
- Personal protective equipment for the chainsaw operators.
- Monitoring of contractor harvesting workers.

The company has revised the contract and has included a clause (Article 4, point #3, Contract #17/HDKT) excluding contractors in case they violate indicators of principle # 4.2.

Major CAR 2016-01 - The company could not provide evidence for the supplying of personal protective equipment for four hired chainsaw operators. The company need five chainsaw operators for the works planned.
<table>
<thead>
<tr>
<th>CAR #</th>
<th>2015-02</th>
</tr>
</thead>
<tbody>
<tr>
<td>Short Title</td>
<td>Regulations concerning exclusion of contractors</td>
</tr>
<tr>
<td>Grade</td>
<td>☒ Minor</td>
</tr>
<tr>
<td>Scope of CAR:</td>
<td>☒ FM: Forest Management Enterprise, resp. Group Entity</td>
</tr>
<tr>
<td>Scope of CAR: Group member(s):</td>
<td></td>
</tr>
</tbody>
</table>
|Normative Reference| GFA Interim Standard for FM
☐ National FSC FM Standard
☐ FSC-STD-30-005, V.1.0
|Clause:| 4.2.9|
|Requirement acc. standard| 4.2.9 contractors not complying with all above mentioned indicators are excluded from forest operations.|
|Description of identified non-conformity| 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 violations of the indicators of principle 4.2.|
|Timeframe| ☒ Until next audit, not later than 29.07.2016 (3 months after the last audit day) |
|☐ Before certificate issue |
|☐ XX.XX.20XX|
|Analysis and Actions (to be filled by the organization)| |
|Root Cause Analysis| Any contractors who do not comply with all above mentioned indicators will be excluded from forest operations.|
|Corrective Actions| Supplement regulations on the contractor in the contract. Contractor has to comply with:
- Safety equipment.
- Conform to FSC standards.
- Comply with ILO.
- Comply with CITES on wildlife trade;
- Contractor should be technically capable and workers must be trained before operation.
- Contractor is subject to monitor and control by the company technician. => Those contractors that are not meeting the above-mentioned requirements will be terminated.|
|Preventive Actions| Check and monitor the contractors|
|Evaluation of Corrective Action (by GFA Certification)| |
|Status| ☒ CAR closed: Root Cause Analysis and Actions are appropriate. |
|☐ CAR not closed: Root Cause Analysis and Actions are not appropriate. |
|Rationale and objective evidences revised| The company has revised the contract and has included a clause (Article 4, point #3, Contract #17/HDKT) of excluding contractor in case he violates indicators of principles # 4.2.
The CAR was properly closed.
### CAR # 2015-03

**Short Title:** Oil absorbencies

**Grade:**
- [ ] Major
- [x] Minor

**Scope of CAR:**
- [x] FM: Forest Management Enterprise, resp. Group Entity
- [ ] FM: Group member(s):

**Normative Reference**
- [ ] GFA Interim Standard for FM
- [ ] National FSC FM Standard
- [ ] FSC-STD-30-005, V.1.0

**Requirement acc. standard**
6.5.4 Operators are aware of and able to implement adequate emergency procedures to clean up following accidental oil and chemical spillages.

**Description of identified non-conformity**
During the audit it was noticed that there are no regulations inside the contract about how to handle oil and/or chemical spillages caused by the harvesting workers of the buyer/note. Evidence was given by interviews with forest workers and staff.

**Timeframe**
- [x] Until next audit, not later than 29.07.2016 (3 months after the last audit day)
- [ ] Before certificate issue
- [ ] XX.XX.20XX

**Analysis and Actions (to be filled by the organization)**

**Root Cause Analysis**
- Oil spillage

**Corrective Actions**
- Adding regulations on how to deal with oil spillage in the contract
- Prepare a procedure of handling oil spillage with illustration;

**Preventive Actions**
- Monitor and check the contractors

**Evaluation of Corrective Action (by GFA Certification)**

**Status**
- [x] CAR closed: Root Cause Analysis and Actions are appropriate.
- [ ] CAR not closed: Root Cause Analysis and Actions are not appropriate.

**Rationale and objective evidences revised**
Contract was revised (Art. 3, #17/HDKT), a procedure of handling oil spillage was written, and a training was organized (List of trainee, 21-23/4/2016).
The CAR was properly closed.
### FM Audit Report

**CAR #** 2015-04

**Short Title** Plans for the identification of RET-species

**Grade**
- [ ] Major
- [x] Minor

**Scope of CAR:**
- [x] FM: Forest Management Enterprise, resp. Group Entity
- [ ] FM: Group member(s):

**Normative Reference**
- [ ] GFA Interim Standard for FM
- [ ] National FSC FM Standard
- [ ] FSC-STD-30-005, V.1.0

**Clause:** 7.1.7

**Requirement acc. standard**
7.1.7 Plans for the identification and protection of rare, threatened and endangered species.

**Description of identified non-conformity**
A survey about the presence of rare, endangered and threatened species was done together with WWF. But according to the document check plans for the identification and protection of rare, threatened and endangered species in the future are not developed yet.

**Timeframe**
- [x] Until next audit, not later than 29.07.2016 (3 months after the last audit day)
- [ ] Before certificate issue
- [ ] XX.XX.20XX

**Analysis and Actions (to be filled by the organization)**

<table>
<thead>
<tr>
<th>Root Cause Analysis</th>
<th>Corrective Actions</th>
<th>Preventive Actions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Survey of rare and endangered species</td>
<td>Planning for a survey of rare and endangered species</td>
<td>- Enhance forest protection activities;</td>
</tr>
<tr>
<td></td>
<td>Filling the monitoring form.</td>
<td>- Raising awareness on wildlife protection for local people.</td>
</tr>
<tr>
<td></td>
<td>Mapping monitoring location.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Annual report on wildlife monitoring;</td>
<td></td>
</tr>
</tbody>
</table>

**Evaluation of Corrective Action (by GFA Certification)**

**Status**
- [x] CAR closed: Root Cause Analysis and Actions are appropriate.
- [ ] CAR not closed: Root Cause Analysis and Actions are not appropriate.
Rationale and objective evidences revised

Documents analysed:
Fauna evaluation map. Transects (Two maps).
Assessment report of wildlife 2015 that include planning of activities. Area analysed: 34.4 hectares.

In the document "Assessment report of wildlife 2015" monitoring planning has been developed to identify if there are rare, threatened and endangered species.

The monitoring was done on 29/02/2016.

Compartment 802 (29/02/2016). The company identified the species indicated below.
Wild fowl.
Rat.
Birds.
Snake.
Squirrel.
Ants.
Bees.
Termites.

Compartment 815 (25/02/2016). The company identified the species indicated below.
Wild fowl.
Birds.
Snakes.
Rats.
Weasels.
Wild boars.
Ants.
Bees.

Conclusion of the document: Section VI states that no rare, threatened and endangered species were identified.

The monitoring will be repeated in August of 2016. A new planning has been analysed.

Interviews with WWF show that no rare, threatened and endangered species exist in the province of Quang Tri.

The CAR is properly closed.

<table>
<thead>
<tr>
<th>CAR #</th>
<th>2016-05</th>
</tr>
</thead>
<tbody>
<tr>
<td>Short Title</td>
<td>Procedure for the regular revision and updating of the management plan.</td>
</tr>
<tr>
<td>Grade</td>
<td>☒ Major ☒ Minor</td>
</tr>
<tr>
<td>Scope of CAR:</td>
<td>☒ FM: Forest Management Enterprise, resp. Group Entity</td>
</tr>
<tr>
<td>Requirement acc. standard</td>
<td>Clause: 7.2.1</td>
</tr>
<tr>
<td>Description of identified non-conformity</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>Timeframe</td>
<td>☒ Until next audit, not later than 29.07.2016 (3 months after the last audit day)</td>
</tr>
<tr>
<td></td>
<td>☐ Before certificate issue</td>
</tr>
<tr>
<td></td>
<td>☒ XX.XX.20XX</td>
</tr>
</tbody>
</table>
Analysis and Actions (to be filled by the organization)

<table>
<thead>
<tr>
<th>Root Cause Analysis</th>
<th>Corrective Actions</th>
<th>Preventive Actions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Set up procedures for regular revision and updating of management plan.</td>
<td>Planning for revision; Updating forest protection &amp; management plan; Meeting FSC team every 3 months for revision of procedures.</td>
<td>- Updating information in accurate &amp; timely manner. - Propose an appropriate revision.</td>
</tr>
</tbody>
</table>

Evaluation of Corrective Action (by GFA Certification)

<table>
<thead>
<tr>
<th>Status</th>
<th>CAR closed: Root Cause Analysis and Actions are appropriate.</th>
<th>CAR not closed: Root Cause Analysis and Actions are not appropriate.</th>
</tr>
</thead>
</table>

Rationale and objective evidences revised

The SFM Plan was prepared first time in 2015, and revised 1st time in 4/2016 (observed). In this updated version, point XII (p.58) stated SFM Plan would be revised annually based on (i) results of production monitoring, (ii) feedback from stakeholders, (iii) socio-economic changes via report by local authorities. The CAR is properly closed.

CAR # 2015-06

<table>
<thead>
<tr>
<th>Short Title</th>
<th>Revision of the management plan</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Grade</th>
<th>Major</th>
<th>Minor</th>
</tr>
</thead>
<tbody>
<tr>
<td>Scope of CAR:</td>
<td>FM: Forest Management Enterprise, resp. Group Entity</td>
<td>FM: Group member(s):</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Normative Reference</th>
<th>Clause:</th>
</tr>
</thead>
<tbody>
<tr>
<td>GFA Interim Standard for FM</td>
<td>7.2.2</td>
</tr>
<tr>
<td>National FSC FM Standard</td>
<td></td>
</tr>
<tr>
<td>FSC-STD-30-005, V.1.0</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Requirement acc. standard</th>
<th>7.2.2 In the revision of the management plan relevant opinions of research institutes, environmental and social non-government organizations are considered.</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Description of identified non-conformity</th>
<th>According to the interviews and document-checks there is no such system developed.</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Timeframe</th>
<th>Until next audit, not later than 29.07.2016 (3 months after the last audit day)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Before certificate issue</td>
<td></td>
</tr>
<tr>
<td>XX.XX.20XX</td>
<td></td>
</tr>
</tbody>
</table>

Analysis and Actions (to be filled by the organization)

<table>
<thead>
<tr>
<th>Root Cause Analysis</th>
<th>Corrective Actions</th>
<th>Preventive Actions</th>
</tr>
</thead>
<tbody>
<tr>
<td>In the revision of the management plan relevant opinions of research institutes, environmental and social non-government organizations are considered</td>
<td>Summarize forest protection &amp; management plan, and update the contents. Conduct stakeholder consultation; Collect feedback and comments. Prepare a revised version.</td>
<td>Enhance research and applying proper science-technological advance in order to increase profit.</td>
</tr>
</tbody>
</table>

Evaluation of Corrective Action (by GFA Certification)

<table>
<thead>
<tr>
<th>Status</th>
<th>CAR closed: Root Cause Analysis and Actions are appropriate.</th>
<th>CAR not closed: Root Cause Analysis and Actions are not appropriate.</th>
</tr>
</thead>
</table>
**Rationale and objective evidences revised**

There were 7 feedbacks from stakeholders on SFM plan; They come from research institute (18/03/2016), communal authorities (10/03/2016), district and provincial forestry department (09/03/2016).

All the comments are positives.
CAR is properly closed.

---

**CAR #**

<table>
<thead>
<tr>
<th>2015-07</th>
</tr>
</thead>
</table>

**Short Title**

Monitoring of wildlife

**Grade**

- [x] Major
- [ ] Minor

**Scope of CAR:**

- [x] FM: Forest Management Enterprise, resp. Group Entity
- [ ] FM: Group member(s):

**Normative Reference**

- [ ] GFA Interim Standard for FM
- [ ] National FSC FM Standard
- [x] FSC-STD-30-005, V.1.0

**Clause:**

8.1.1

**Requirement acc. standard**

8.1.1 All activities that require monitoring are identified.

**Description of identified non-conformity**

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

**Timeframe**

- [x] Until next audit, not later than 29.07.2016 (3 months after the last audit day)
- [ ] Before certificate issue
- [ ] XX.XX.20XX

**Analysis and Actions (to be filled by the organization)**

**Root Cause Analysis**

Lack of wildlife monitoring plan

**Corrective Actions**

Planning for a survey of rare & endangered wildlife species
Fill up the monitoring form.
Mapping the monitoring locations.
Prepare a report after each year;

**Preventive Actions**

Enhance forest protection & management;
Raising local awareness on wildlife conservation & management.

**Evaluation of Corrective Action (by GFA Certification)**

**Status**

- [x] CAR closed: Root Cause Analysis and Actions are appropriate.
- [ ] CAR not closed: Root Cause Analysis and Actions are not appropriate.

**Rationale and objective evidences revised**

Documents:
Fauna evaluation map. Transects (Two maps).
Assessment report of wildlife 2015 that includes planning of activities. Area analysed: 54,4 hectares.

In the document “Assessment report of wildlife 2015” monitoring planning has been developed to identify if there are rare, threatened and endangered species.

The monitoring was done on 29/02/2016.
Compartment 802 (29/02/2016). The company identified the species indicated below.
Wild fowl.
Rat.
Birds.
Snake.
Squirrel.
Ants.
Bees.
Termites.
Compartment 815 (25/02/2016). The company identified the species indicated below.
Wild fowl.
Birds.
Snakes.
Rats.
Weasels.
Wild boars.
Ants.
Bees.

Conclusion of the document: Section VI states that no rare, threatened and endangered species were identified.

The monitoring will be repeated in August of 2016. A new planning has been analysed.

Interviews with WWF show that no rare, threatened and endangered species exist in the province of Quang Tri.

The CAR is properly closed.

---

**CAR #** 2015-08

**Short Title** Cost of monitoring

**Grade**

☐ Major | ☒ Minor

**Scope of CAR:**

☒ FM: Forest Management Enterprise, resp. Group Entity

☐ FM: Group member(s):

**Normative Reference**

☒ GFA Interim Standard for FM
☐ National FSC FM Standard
☐ FSC-STD-30-005, V.1.0

**Clause:** 8.1.3

**Requirement acc. standard**

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.

**Description of identified non-conformity**

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).

**Timeframe**

☒ Until next audit, not later than 29.07.2016 (3 months after the last audit day)

☐ Before certificate issue

☐ XX.XX.20XX

**Analysis and Actions (to be filled by the organization)**

**Root Cause Analysis**

Budget/cost for monitoring and evaluation

**Corrective Actions**

Estimate costs for all monitoring activities;
Prepare a list of monitoring staff.

**Preventive Actions**

At the beginning of a year, the FSC team estimates the costs for monitoring and get approval from leaders of the company.

**Evaluation of Corrective Action (by GFA Certification)**

**Status**

☒ CAR closed: Root Cause Analysis and Actions are appropriate.

☐ CAR not closed: Root Cause Analysis and Actions are not appropriate.

**Rationale and objective evidences revised**

Documents analysed:
Invoice 187/KD (04/07/2016).
The annual budget specifies the cost associated with monitoring. 195/KH-CT.

I checked documents that defined:
• Activity: Nursery (970,000 plants), plantation, tending, environmental assessment, inventory, harvesting, post-harvesting assessment, forest protection, growth monitoring, wildlife monitoring.
• Unit: Tree and Hectare.
• Time
• Intensity.
• Cost all monitoring activities.

Nursery: Monitoring of 05/01/2016, 12/01/2016, 18/01/2016 and 27/01/2016. Ok.

Plantation: Compartment 835A Sub compartment 8 Plot 6. 27/01/2016, 30/01/2016, 23/02/2016.

Observation 2016-01: The plantation monitoring doesn’t include checking if pests and disease exist. Plantation (plot 8) Pre-harvesting monitoring. I have checked maps, sample plots (1x1m) and records which show that the company has analysed the existing plant species before and after the harvesting has been done. Plot 10-TR-K1 8 Sub compartment 4 and compartment 800, 15-TR-K1 Sub compartment 5, compartment 835E, Plot 15 Sub compartment 5 and compartment 835E.

Environmental assessment monitoring and wildlife monitoring have been checked in the closing of other CARs.

Harvesting. Plot A4.

CAR # 2015-09

Short Title Monitoring about deterioration or disturbance for buffer-zones is missing

Grade ☒ Major ☐ Minor

Scope of CAR:
☒ FM: Forest Management Enterprise, resp. Group Entity
☐ FM: Group member(s):

Normative Reference
☐ GFA Interim Standard for FM
☐ National FSC FM Standard
☐ FSC-STD-30-005, V.1.0

Clause: 8.2.4

Requirement acc. standard 8.2.4 Conservation areas (see 6.2) are regularly monitored to ensure that there is no evidence of deterioration or disturbance.

Description of identified non-conformity For the established buffer-zones (conservation areas) a monitoring about deterioration or disturbance is missing.

Timeframe ☒ Until next audit, not later than 29.07.2016 (3 months after the last audit day)
☐ Before certificate issue
☐ XX.XX.20XX

Analysis and Actions (to be filled by the organization)

Root Cause Analysis Monitoring buffer-zones regularly;

Corrective Actions Monitoring buffer zone areas:
Filling the form.
Taking photos.
Preparing a synthesized report.
Preventive Actions:
Reinforce monitoring activities in buffer zones allocated along stream and lakes; Collaborate with relevant agencies to prevent encroachment and illegal cutting.

Evaluation of Corrective Action (by GFA Certification):

| Status                          | ☑ CAR closed: Root Cause Analysis and Actions are appropriate. |
|                                | ☐ CAR not closed: Root Cause Analysis and Actions are not appropriate. |

Rationale and objective evidences revised:
Documents analysed:

Conclusion for the company: There is not negative impact in the buffer zone analysed.
Recommendation for the company: It is necessary patrols on these areas in order to avoid negative impact and illegal activities.
The CAR is properly closed.

CAR # 2015-010

Short Title: Monitoring of fauna in buffer-zones

Grade:
☐ Major
☒ Minor

Scope of CAR:
☒ FM: Forest Management Enterprise, resp. Group Entity
☐ Group member(s):

Normative Reference:
☐ GFA Interim Standard for FM
☐ National FSC FM Standard
☐ FSC-STD-30-005, V.1.0

Clause: 8.2.5

Requirement acc. standard:
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.

Description of identified non-conformity:
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.

Timeframe:
☒ Until next audit, not later than 29.07.2016 (3 months after the last audit day)
☐ Before certificate issue
☐ XX.XX.20XX

Analysis and Actions (to be filled by the organization):

Root Cause Analysis:
Monitoring flora and fauna

Corrective Actions:
Observation, record, and taking photos at sample plots (Combined with wildlife monitoring).

Preventive Actions:
Regular monitoring flora and fauna in allocated areas; in case of detecting any rare/endangered species, conservation practices need to be done.

Evaluation of Corrective Action (by GFA Certification):

| Status                          | ☑ CAR closed: Root Cause Analysis and Actions are appropriate. |
|                                | ☐ CAR not closed: Root Cause Analysis and Actions are not appropriate. |

Rationale and objective evidences revised:
Documents analysed:
Fauna monitoring form.
Picture of plot.
Fauna evaluation map. Transects (Two maps).
The company has established a sample plot (An area of 400 m²) in the Compartment 835A - Sub compartment 9 - Plot 13. In this area the company made a fauna monitoring. The results about the study were written in the form 01A (05/04/2016).

**Conclusion below:**
- Ants.
- Termite.
- Birds.
- Snakes.
- Squirrel
- Wild fowl.

Assessment report of wildlife 2015. Include planning. Area analysed: 34,4 has.

In the document “Assessment report of wildlife 2015” planning has been developed to identify if there are rare, threatened and endangered species.

The audit team have analysed the monitoring did 29/02/2016.

Compartment 802 (29/02/2016). The company identified the species indicated below.
- Wild fowl.
- Rat.
- Birds.
- Snake.
- Squirrel.
- Ants.
- Bees.
- Termites.

Compartment 815 (25/02/2016). The company identified the species indicated below.
- Wild fowl.
- Birds.
- Snakes.
- Rats.
- Weasels.
- Wild boars.
- Ants.
- Bees.

Conclusion of the document: In the section VI has been written that no rare, threatened and endangered species were identified.

On August of 2016 the monitoring will be repeated. It is analysed new planning.

In interviews with WWF is transmitted that no rare, threatened and endangered species exist in the province of Quang Tri.

The CAR is properly closed.

### CAR #
**2015-11**

<table>
<thead>
<tr>
<th>Short Title</th>
<th>Internal monitoring</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Grade</strong></td>
<td></td>
</tr>
<tr>
<td>☒ Major</td>
<td>☒ Minor</td>
</tr>
</tbody>
</table>

**Scope of CAR:**
- ☒ FM: Forest Management Enterprise, resp. Group Entity
- ☐ FM: Group member(s):

**Normative Reference**
- ☐ GFA Interim Standard for FM
- ☐ National FSC FM Standard
- ☐ FSC-STD-30-005, V.1.0

<table>
<thead>
<tr>
<th>Clause:</th>
<th>8.2.7</th>
</tr>
</thead>
</table>

**Requirement acc. standard**
8.2.7 Contractors’ performance is monitored, including compliance with contract Specifications.
**Description of identified non-conformity**

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.

### Timeframe

- **☑ Until next audit, not later than 29.07.2016 (3 months after the last audit day)**
- **☐ Before certificate issue**
- **☐ XX.XX.20XX**

### Analysis and Actions (to be filled by the organization)

**Root Cause Analysis**

Cutting trees without felling hinge and kerfs.

**Corrective Actions**

- Complete the form of monitoring harvest.
- Provide training on harvesting procedures for subcontractor.
- Provide safety equipment.
- Add implementation procedures in the contract.

**Preventive Actions**

Enhance the monitoring and control the subcontractor.

### Evaluation of Corrective Action (by GFA Certification)

**Status**

- **☑ CAR closed: Root Cause Analysis and Actions are appropriate.**
- **☐ CAR not closed: Root Cause Analysis and Actions are not appropriate.**

**Rationale and objective evidences revised**

Provide training for chainsaw operator of contractor (4/2016), and minutes of monitoring harvesting (14.5.2016, monitoring staff: Nguyen Duy Khanh) was witnessed by the auditor.

In the field visit (TK835AK9Plot10 – post harvesting) it is observed correct cut in the stump.

Carl is properly closed

---

**CAR #**

| 2015-12 |

**Short Title**

Summaries of monitoring results

**Grade**

- ☑ Major
- ☐ Minor

**Scope of CAR:**

- ☑ FM: Forest Management Enterprise, resp. Group Entity
- ☐ FM: Group member(s):

**Normative Reference**

- ☑ GFA Interim Standard for FM
- ☐ National FSC FM Standard
- ☐ FSC-STD-30-005, V.1.0

**Clause:** 8.5.1

**Requirement acc. standard**

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).

**Description of identified non-conformity**

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

**Timeframe**

- **☑ Until next audit, not later than 29.07.2016 (3 months after the last audit day)**
- **☐ Before certificate issue**
- **☐ XX.XX.20XX**

### Analysis and Actions (to be filled by the organization)

**Root Cause Analysis**

Lack of result of monitoring the fauna

**Corrective Actions**

Provide results of monitoring the fauna and send to relevant stakeholders.
**Preventive Actions**

- Regularly monitor and check the fauna;
- Sharing information to stakeholder for protective measures.

**Evaluation of Corrective Action (by GFA Certification)**

<table>
<thead>
<tr>
<th>Status</th>
<th>CAR closed: Root Cause Analysis and Actions are appropriate.</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>CAR not closed: Root Cause Analysis and Actions are not appropriate.</td>
</tr>
</tbody>
</table>

**Rationale and objective evidences revised**

Documents:
- Summaries of monitoring results and analysis of the year 2015 are available to the public. This document has the: “Assessment report of wildlife 2015” documents attached which includes the conclusions about the monitoring of the fauna.

The CAR is properly closed.

---

**Close of observations**

Observation 2015-1: The Company has planned to consult stakeholders for SFM plan during year end meeting 2016 on Forest Protection Conference.

Observation 2015-2: The nursery is currently using two straits of Acacia hybrid (BV10, BV16 interviewed with staff in nursery garden). The company didn’t use Acacia mangium anymore due to its less profitable (light weight) compared with Acacia hybrid.

Observation 2015-3: The Company has sent 03 chainsaw operators of contractor to attend a RIL ToT training (4/2016). They plan to have training on RIL for all harvesting team of contractor in 8/2016.

**CARs identified during the evaluation**

- Not applicable, no CARs identified.
### Major CARs

<table>
<thead>
<tr>
<th>CAR #</th>
<th>2016-01</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Short Title</strong></td>
<td>Supply of PPE for chainsaw operators</td>
</tr>
<tr>
<td><strong>Grade</strong></td>
<td>☒ Major</td>
</tr>
<tr>
<td><strong>Scope of CAR:</strong></td>
<td>FM: Forest Management Enterprise, resp. Group Entity</td>
</tr>
<tr>
<td></td>
<td>☐ FM: Group member(s):</td>
</tr>
<tr>
<td><strong>Normative Reference</strong></td>
<td>☐ GFA Interim Standard for FM</td>
</tr>
<tr>
<td></td>
<td>☐ National FSC FM Standard</td>
</tr>
<tr>
<td></td>
<td>☐ FSC-STD-30-005, V.1.0</td>
</tr>
<tr>
<td><strong>Clause:</strong></td>
<td>4.2.4</td>
</tr>
<tr>
<td><strong>Requirement acc. standard</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>
</tr>
<tr>
<td><strong>Description of identified non-conformity</strong></td>
<td>The company has only bought personal protective equipment for one chainsaw operator but there are 4 more chainsaw operators. The company need five chainsaw operators to do the works planned.</td>
</tr>
<tr>
<td><strong>Timeframe</strong></td>
<td>☑ Until next audit, not later than xx.xx.xxxx (3 months after the last audit day)</td>
</tr>
<tr>
<td></td>
<td>☐ Before certificate issue</td>
</tr>
<tr>
<td></td>
<td>☒ 19.10.2016</td>
</tr>
<tr>
<td><strong>Analysis and Actions (to be filled by the organization)</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Root Cause Analysis</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Corrective Actions</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Preventive Actions</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Evaluation of Corrective Action (by GFA Certification)</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Status</strong></td>
<td>☐ CAR closed: Root Cause Analysis and Actions are appropriate.</td>
</tr>
<tr>
<td></td>
<td>☐ CAR not closed: Root Cause Analysis and Actions are not appropriate.</td>
</tr>
<tr>
<td><strong>Rationale and objective evidences revised</strong></td>
<td></td>
</tr>
</tbody>
</table>
### Minor CARs

<table>
<thead>
<tr>
<th>CAR #</th>
<th>2016-02</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Short Title</strong></td>
<td>Implementation ILO</td>
</tr>
<tr>
<td><strong>Grade</strong></td>
<td>☒ Minor</td>
</tr>
<tr>
<td><strong>Scope of CAR:</strong></td>
<td>☒ FM: Forest Management Enterprise, resp. Group Entity</td>
</tr>
<tr>
<td><strong>Requirement acc. standard</strong></td>
<td>1.3.2 Forest managers respect ILO provisions appropriate to their region. Implementation of the following ILO conventions is a minimum requirement for certification: 29, 87, 97, 98, 100, 105, 111, 131, 138, 141, 142, 143, 155, 169, 182, ILO Code of Practice on Safety and Health in Forest Work, Recommendation 135, Minimum Wage Fixing Recommendation, 1970 (SLIMF: Forest managers are aware of and have implemented controls to ensure continuing compliance with national legislation relating to labour matters).</td>
</tr>
<tr>
<td><strong>Description of identified non-conformity</strong></td>
<td>The safety risk assessment has not taken the implantation of the ILO conventions into consideration. The definition of personal protection equipment (PPE) has not met the requirements of the ILO conventions. The company shall identify if there are any other non-compliances.</td>
</tr>
<tr>
<td><strong>Timeframe</strong></td>
<td>☒ Until next audit, not later than 19.07.2017 (12 months after the last audit day)</td>
</tr>
<tr>
<td></td>
<td>☐ Before certificate issue</td>
</tr>
<tr>
<td></td>
<td>☐ XX.XX.20XX</td>
</tr>
</tbody>
</table>

#### Analysis and Actions (to be filled by the organization)

- **Root Cause Analysis**
- **Corrective Actions**
- **Preventive Actions**

#### Evaluation of Corrective Action (by GFA Certification)

- **Status**
  - ☐ CAR closed: Root Cause Analysis and Actions are appropriate. |
  - ☐ CAR not closed: Root Cause Analysis and Actions are not appropriate. |

- **Rationale and objective evidences revised**
### FM Audit Report

**CAR #** 2016-03  
**Short Title** Illegal cattle  
**Grade** ☑ Minor  
**Scope of CAR:** ☑ FM: Forest Management Enterprise, resp. Group Entity  
**Normative Reference**  
- ☑ GFA Interim Standard for FM  
- ☑ National FSC FM Standard  
- ☑ FSC-STD-30-005, V.1.0  
**Clause:** 1.5.1.  
**Requirement acc. standard** 1.5.1 A system to identify and monitor illegal or unauthorized activities is in place and implemented.  
**Description of identified non-conformity** An illegal cattle grazing was observed by the auditor in the field (two buffaloes TK835A K8 Plot 6). The company reported on damages caused by illegal cattle grazing in their 2015 report (Report nº52/BC-Cty, 26.02.2016) as well.  
**Timeframe** ☑ Until next audit, not later than 19.07.2017 (12 months after the last audit day)  
**Analysis and Actions (to be filled by the organization)**  
**Root Cause Analysis**  
**Corrective Actions**  
**Preventive Actions**  
**Evaluation of Corrective Action (by GFA Certification)**  
**Status**  
- ☑ CAR closed: Root Cause Analysis and Actions are appropriate.  
- ☑ CAR not closed: Root Cause Analysis and Actions are not appropriate.  
**Rationale and objective evidences revised**
<table>
<thead>
<tr>
<th>CAR #</th>
<th>2016-04</th>
</tr>
</thead>
<tbody>
<tr>
<td>Short Title</td>
<td>Inventory of buffer zone and marginal habitats.</td>
</tr>
<tr>
<td>Grade</td>
<td>Minor</td>
</tr>
<tr>
<td>Scope of CAR:</td>
<td>FM: Forest Management Enterprise, resp. Group Entity</td>
</tr>
<tr>
<td>Requirement acc. standard</td>
<td>Clause: 6.2.3</td>
</tr>
<tr>
<td>Description of identified non-conformity</td>
<td>The inventory of the buffer zones has not been completed (Buffer zones in TK815 K10 plot2 and TK835E K10 plot1 have not been established and demarcated on maps). The marginal habitats (conservation zones or protection areas) have not been established and demarcated on maps (Eg. bomb craters in TK835A K8 Plot 6).</td>
</tr>
<tr>
<td>Timeframe</td>
<td>Until next audit, not later than 19.07.2017 (12 months after the last audit day)</td>
</tr>
<tr>
<td>Analysis and Actions (to be filled by the organization)</td>
<td></td>
</tr>
<tr>
<td>Root Cause Analysis</td>
<td></td>
</tr>
<tr>
<td>Corrective Actions</td>
<td></td>
</tr>
<tr>
<td>Preventive Actions</td>
<td></td>
</tr>
<tr>
<td>Evaluation of Corrective Action (by GFA Certification)</td>
<td></td>
</tr>
<tr>
<td>Status</td>
<td>CAR closed: Root Cause Analysis and Actions are appropriate.</td>
</tr>
<tr>
<td>Rationale and objective evidences revised</td>
<td></td>
</tr>
<tr>
<td>CAR not closed: Root Cause Analysis and Actions are not appropriate.</td>
<td></td>
</tr>
<tr>
<td>CAR #</td>
<td>2016-05</td>
</tr>
<tr>
<td>--------------</td>
<td>---------</td>
</tr>
<tr>
<td>Short Title</td>
<td>Waste no management.</td>
</tr>
<tr>
<td>Grade</td>
<td>☑ Minor</td>
</tr>
<tr>
<td>Scope of CAR:</td>
<td>FM: Forest Management Enterprise, resp. Group Entity</td>
</tr>
<tr>
<td>Normative Reference</td>
<td></td>
</tr>
<tr>
<td>Requirement acc. standard</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>Description of identified non-conformity</td>
<td>The audit team identified waste on the ground in the TK835A K8 Plot6 zone and at the forest protection station.</td>
</tr>
<tr>
<td>Timeframe</td>
<td>☑ Until next audit, not later than 19.07.2017 (12 months after the last audit day)</td>
</tr>
</tbody>
</table>

**Analysis and Actions (to be filled by the organization)**

**Root Cause Analysis**

**Corrective Actions**

**Preventive Actions**

**Evaluation of Corrective Action (by GFA Certification)**

**Status**

- ☑ CAR closed: Root Cause Analysis and Actions are appropriate.
- ☑ CAR not closed: Root Cause Analysis and Actions are not appropriate.

**Rationale and objective evidences revised**
<table>
<thead>
<tr>
<th><strong>CAR #</strong></th>
<th>2016-06</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Short Title</strong></td>
<td>Updated of documents</td>
</tr>
<tr>
<td><strong>Grade</strong></td>
<td>☑ Minor</td>
</tr>
<tr>
<td><strong>Scope of CAR:</strong></td>
<td>☑ FM: Forest Management Enterprise, resp. Group Entity</td>
</tr>
<tr>
<td></td>
<td>☐ FM: Group member(s):</td>
</tr>
<tr>
<td><strong>Normative Reference</strong></td>
<td>□ GFA Interim Standard for FM</td>
</tr>
<tr>
<td></td>
<td>□ National FSC FM Standard</td>
</tr>
<tr>
<td></td>
<td>□ FSC-STD-30-005, V.1.0</td>
</tr>
<tr>
<td><strong>Clause:</strong></td>
<td>7.1.8</td>
</tr>
<tr>
<td><strong>Requirement acc. standard</strong></td>
<td>7.1.8 Maps describing the forest resource base including protected areas, planned management activities and land ownership.</td>
</tr>
<tr>
<td><strong>Description of identified non-conformity</strong></td>
<td>Company maps and information are not up to date. (E.g. Map of plantation TK835A K8 Plot6 does not identify the buffer zone).</td>
</tr>
<tr>
<td><strong>Timeframe</strong></td>
<td>☑ Until next audit, not later than 19.07.2017 (12 months after the last audit day)</td>
</tr>
<tr>
<td></td>
<td>☐ Before certificate issue</td>
</tr>
<tr>
<td></td>
<td>☐ XX.XX.20XX</td>
</tr>
<tr>
<td><strong>Analysis and Actions (to be filled by the organization)</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Root Cause Analysis</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Corrective Actions</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Preventive Actions</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Evaluation of Corrective Action (by GFA Certification)</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Status</strong></td>
<td>☑ CAR closed: Root Cause Analysis and Actions are appropriate.</td>
</tr>
<tr>
<td></td>
<td>☑ CAR not closed: Root Cause Analysis and Actions are not appropriate.</td>
</tr>
<tr>
<td><strong>Rationale and objective evidences revised</strong></td>
<td></td>
</tr>
<tr>
<td>CAR #</td>
<td>2016-07</td>
</tr>
<tr>
<td>---------------</td>
<td>---------</td>
</tr>
<tr>
<td>Short Title</td>
<td>Plantations too near of buffer zone</td>
</tr>
<tr>
<td>Grade</td>
<td>☒ Minor</td>
</tr>
<tr>
<td>Scope of CAR:</td>
<td>☒ FM: Forest Management Enterprise, resp. Group Entity</td>
</tr>
<tr>
<td>Normative Reference</td>
<td></td>
</tr>
<tr>
<td>Requirement acc. standard</td>
<td>10.2.2 Policies and procedures are implemented which ensure that: c) where there are corridors of natural vegetation by streamside or in gullies d) these are protected from planting and harvesting operations, and developed</td>
</tr>
<tr>
<td>Description of identified non-conformity</td>
<td>The Acacia plantation in TK835A K8 Plot 6 is too close (less than 1.5 meter) to the buffer zone (river)</td>
</tr>
<tr>
<td>Timeframe</td>
<td>☒ Until next audit, not later than 19.07.2017 (12 months after the last audit day)</td>
</tr>
<tr>
<td>Analysis and Actions (to be filled by the organization)</td>
<td></td>
</tr>
<tr>
<td>Root Cause Analysis</td>
<td></td>
</tr>
<tr>
<td>Corrective Actions</td>
<td></td>
</tr>
<tr>
<td>Preventive Actions</td>
<td></td>
</tr>
<tr>
<td>Evaluation of Corrective Action (by GFA Certification)</td>
<td></td>
</tr>
<tr>
<td>Status</td>
<td>☒ CAR closed: Root Cause Analysis and Actions are appropriate.</td>
</tr>
<tr>
<td>Rationale and objective evidences revised</td>
<td>☒ CAR not closed: Root Cause Analysis and Actions are not appropriate.</td>
</tr>
</tbody>
</table>
CAR # 2016-08

**Short Title**  Control of exotic species

**Grade**  ☒ Minor  ☐ Major

**Scope of CAR:**  ☒ FM: Forest Management Enterprise, resp. Group Entity  ☐ FM: Group member(s):

**Normative Reference**  
- ☐ GFA Interim Standard for FM  
- ☐ National FSC FM Standard  
- ☐ FSC-STD-30-005, V.1.0  

**Requirement acc. standard**  
- Clause: 10.4.4  
- 10.4.4 A documented procedure to monitor the performance of exotic species in place and implemented.

**Description of identified non-conformity**  
There are no implemented procedures for the control of exotic species (Acacia s.p.) in the buffer zone.

**Timeframe**  
- ☒ Until next audit, not later than 19.07.2017 (12 months after the last audit day)  
- ☐ Before certificate issue  
- ☐ XX.XX.20XX

**Analysis and Actions (to be filled by the organization)**

**Root Cause Analysis**

**Corrective Actions**

**Preventive Actions**

**Evaluation of Corrective Action (by GFA Certification)**

**Status**  
- ☐ CAR closed: Root Cause Analysis and Actions are appropriate.  
- ☒ CAR not closed: Root Cause Analysis and Actions are not appropriate.

**Rationale and objective evidences revised**

**Observations**  
- ☐ Not applicable, no observations.

<table>
<thead>
<tr>
<th>Observations</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Observation 2016-1:</td>
<td>The plantation monitory records do not identify the analysis about pest and diseases in the plantation.</td>
</tr>
<tr>
<td>Observation 2016-2:</td>
<td>The identification of the plot in the plantation monitoring records shall be improved.</td>
</tr>
</tbody>
</table>

### 5. Certification decision

**Summary of audit**

Eleven Minor CARs identified during the main audit 2015 were closed during the audit. Minor CAR 2015-01 could not be closed and was therefore upgraded to Major CAR 2016-01. In addition, seven (7) new Minor CARs and two (2) observations were identified during the 1st surveillance audit. The CARs and the observations were explained to the Trieu Hai Forestry Company staff in the closing meeting.
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:

- 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.

☐ A certificate can only be issued when all identified Major CARs mentioned above are closed due to implemented corrective actions.

- 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 July 2017.

6. Annex

- Digital map of the FMUs
- GFA dispute resolution procedure
List of group members / Forest Management Units

<table>
<thead>
<tr>
<th>Nr.</th>
<th>Contact Details</th>
<th>FMU Details</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Name of Institution or enterprise (if applicable)</td>
<td>Name</td>
</tr>
<tr>
<td>1</td>
<td>Trieu Hai Forestry Company</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4</td>
<td></td>
<td></td>
</tr>
<tr>
<td>5</td>
<td></td>
<td></td>
</tr>
<tr>
<td>6</td>
<td></td>
<td></td>
</tr>
<tr>
<td>7</td>
<td></td>
<td></td>
</tr>
<tr>
<td>8</td>
<td></td>
<td></td>
</tr>
<tr>
<td>9</td>
<td></td>
<td></td>
</tr>
<tr>
<td>10</td>
<td></td>
<td></td>
</tr>
<tr>
<td>11</td>
<td></td>
<td></td>
</tr>
<tr>
<td>12</td>
<td></td>
<td></td>
</tr>
<tr>
<td>13</td>
<td></td>
<td></td>
</tr>
<tr>
<td>14</td>
<td></td>
<td></td>
</tr>
<tr>
<td>15</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

* Privately managed (P) / state managed (G) / community managed (C)

** according to official declaration FSS STD 40-004a
Location of the FMUs include in the scope of certification

Attached

☐ A map of FMUs included in the scope of certificate is publicly available on the certificate holder’s webpage (see chapter “Audited Organization”).
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 two (2) 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 three (3) 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.