## PUBLIC SUMMARY

<table>
<thead>
<tr>
<th>Audited Organization</th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Certificate Holder</td>
<td>Tien Phong Forestry State Own One Member Limited Company</td>
<td></td>
</tr>
<tr>
<td>Street</td>
<td>n.a.</td>
<td></td>
</tr>
<tr>
<td>ZIP/Postal Code</td>
<td>n.a.</td>
<td></td>
</tr>
<tr>
<td>Town/City</td>
<td>Thuy Bang Commune, Huong Thuy Town</td>
<td></td>
</tr>
<tr>
<td>Country</td>
<td>Thua Thien Hue Province, Vietnam</td>
<td></td>
</tr>
<tr>
<td>Phone</td>
<td>+54 3865905</td>
<td></td>
</tr>
<tr>
<td>Telefax</td>
<td>+54 3865905</td>
<td></td>
</tr>
<tr>
<td>E-Mail</td>
<td><a href="mailto:lamnghieptienphong@yahoo.com">lamnghieptienphong@yahoo.com</a></td>
<td></td>
</tr>
<tr>
<td>Internet</td>
<td><a href="http://www.lamnghieptienphong.com.vn">www.lamnghieptienphong.com.vn</a></td>
<td></td>
</tr>
</tbody>
</table>

### Contact person for FSC

- **Name**: Tin Ton That Ai  
- **Phone**: +54 3865905  
- **E-Mail**: lamnghieptienphong@yahoo.com

### Certificate

- **Certificate type**: Single  
- **Issue date**: 17. January 2017  
- **FSC FM/COC certificate number**: GFA-FM/COC-002964  
- **FSC License Code**: FSC-C131443  
- **National FSC FM Standard for**: Country  
- **Generic GFA Standard, adapted for FM in**: Country, Vietnam  
- **Version**: 1.1  
- **Further standards**: Requirements for the use of FSC-Trademarks FSC-STD-50-001 V1-2

### Date, Audit Type, Auditor/s

- **Audit type**: 1st Surveillance Audit  
- **Audit date**: 09. – 10.11.2017  
- **Lead auditor**: Martin Opitz  
  - Qualification: M.Sc. Forestry, GFA FM/COC Lead Auditor since 2011  
- **Other auditors/experts**: Le Thi Loc  
  - Qualification: M.Sc. Forestry, GFA FM/COC Auditor since 2016
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1 Scope of Certification

<table>
<thead>
<tr>
<th>Geographic location:</th>
<th>Latitude:</th>
<th>N/S 16°25’02.17</th>
</tr>
</thead>
<tbody>
<tr>
<td>Longitude</td>
<td>E/W 107°35’08.81</td>
<td></td>
</tr>
<tr>
<td>Forest zone:</td>
<td>boreal</td>
<td>temperate, subtropical, tropical</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Forest Type:</td>
<td>Natural</td>
<td>Plantation, Semi-natural and mixed plantation &amp; natural forest</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Tenure management:</td>
<td>Concession</td>
<td>Community, Private, Public</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Tenure ownership:</td>
<td>Government</td>
<td>Community, Private, Public, Indigenous</td>
</tr>
<tr>
<td>Certified forest area:</td>
<td>Total area in ha:</td>
<td>Total number of FMUs:</td>
</tr>
<tr>
<td></td>
<td>3,096.4</td>
<td>1</td>
</tr>
<tr>
<td>FMU numbers per size class:</td>
<td>&lt;100 ha</td>
<td>100-1000 ha, 1000-10.000 ha, &gt; 10.000 ha</td>
</tr>
<tr>
<td></td>
<td>FMUs</td>
<td>FMUs, 1 FMUs, FMUs</td>
</tr>
<tr>
<td>Number of group members per size class:</td>
<td>&lt;100 ha</td>
<td>100-1000 ha, 1000-10.000 ha, &gt; 10.000 ha</td>
</tr>
<tr>
<td></td>
<td>FMUs</td>
<td>FMUs, FMUs, FMUs</td>
</tr>
<tr>
<td>AAF Class</td>
<td>Natural forest - Boreal: ha, SLIMF Boreal: ha</td>
<td>Plantations: SLIMF Plantations: 3,096.4 ha</td>
</tr>
<tr>
<td></td>
<td>Natural forest - Conservation: ha, SLIMF Conservation: ha</td>
<td>Natural forest - Temperate: ha</td>
</tr>
<tr>
<td></td>
<td>Natural forest - Community: ha, SLIMF Community: ha</td>
<td>Natural forest - Tropical: ha</td>
</tr>
<tr>
<td>Scope of certification:</td>
<td>Forest management and trade of</td>
<td>Roundwood</td>
</tr>
<tr>
<td>Nr.</td>
<td>Product type(s)*</td>
<td>Level*</td>
</tr>
<tr>
<td>1</td>
<td>Roundwood (logs)</td>
<td>W1.1</td>
</tr>
</tbody>
</table>

* Acc. to FSC Product Classification (FSC-STD-40-004 a)
2 Changes since last evaluation

2.1 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):
☑ No changes since the last audit.

2.2 Accidents in forest work since the last audit
☑ No serious/ fatal accidents occurred.

2.3 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>Starner (Oxolinic acid)</td>
<td>Fungicide</td>
<td>3010 g</td>
<td>☑ permanent</td>
</tr>
<tr>
<td>Tilt Super (Propiconazole, Difenoconazole)</td>
<td>Fungicide</td>
<td>600 ml</td>
<td>☐ occasional</td>
</tr>
<tr>
<td>Ara Super 350 EC (Azoxystrobin, Difenoconazole)</td>
<td>Fungicide</td>
<td>4200 ml</td>
<td></td>
</tr>
<tr>
<td>Physan (Quaternary Ammonium sal)</td>
<td>Bactericide</td>
<td>1920 ml</td>
<td></td>
</tr>
<tr>
<td>Bám dính (Linear Alkyl bezen, Solfonic acid, Lauryl Alkyl sulfonet)</td>
<td>Increases adhesion of pesticides</td>
<td>2400 ml</td>
<td></td>
</tr>
<tr>
<td>Anvil (Hexaconazole)</td>
<td>Fungicide</td>
<td>4 l</td>
<td></td>
</tr>
<tr>
<td>Antracol (Propineb)</td>
<td>Fungicide</td>
<td>4000 ml</td>
<td></td>
</tr>
<tr>
<td>Validacin (Validamycin)</td>
<td>Fungicide</td>
<td>1800 ml</td>
<td></td>
</tr>
<tr>
<td>Kamsu (Kasugamycin)</td>
<td>Fungicide</td>
<td>5400 ml</td>
<td></td>
</tr>
<tr>
<td>Cyo Super (Dinotefuran)</td>
<td>Pesticide</td>
<td>136.6 g</td>
<td></td>
</tr>
<tr>
<td>Amira (Thiamethoxam)</td>
<td>Pesticide</td>
<td>110 g</td>
<td></td>
</tr>
<tr>
<td>Polyoxin (Polyoxin complex)</td>
<td>Antimicrobial medication</td>
<td>950 g</td>
<td></td>
</tr>
<tr>
<td>Benkocid (Glutarade-hyde, Benzalkonium chloride, Amyl acetate)</td>
<td>Insecticide</td>
<td>1 l</td>
<td></td>
</tr>
<tr>
<td>Movento (Spirotetramat)</td>
<td>Pesticide</td>
<td>600 ml</td>
<td></td>
</tr>
</tbody>
</table>

3 Evaluation process (Surveillance audits)

3.1 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

### 3.2 Sampling and Field Audit

#### 3.2.1 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 below

Justification for selection:
Single certificate

#### 3.2.2 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>
<tbody>
<tr>
<td>n.a.</td>
<td>n.a.</td>
<td>Interviews with randomly selected stakeholders via phone</td>
<td>No negative comments</td>
</tr>
<tr>
<td>9.11.2017</td>
<td>Tien Phong office</td>
<td>Opening meeting:</td>
<td>Mr. Martin Optiz – Lead auditor GFA</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- Presentation of auditors and client staff, and ASI observers.</td>
<td>Ms. Le Thi Loc – auditor GFA</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- Define sites to visit</td>
<td>Mr. Tong Phuoc Binh – Tech. Dept.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- Document review</td>
<td>Mr. Le Van Hoa – Provincial FDP</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- CAR closing</td>
<td>Mr. Abdul Haye Semail - ASI auditor</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Ms. Cu Thi Le Thuy – ASI auditor</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>(further participants are listed in the Annex)</td>
</tr>
</tbody>
</table>

Auditor Martin Opitz

Com 114 a2 Area (30 ha) recently cleared and replanted with Acacia; partly areas left open for planting of native species Severe Erosion

Comp 129 c2 Area planted with Pine between 2014 – 2017; appearance of trees does not testify best quality

Comp 129 b4, b6, b7 Acacia planted in 2011; in the process of being cleared; inspection of field camp, control of cutting technique; Interview with forest ranger Skidding lines are not marked in harvesting design; no toilet facilities at camp; cutting technique need improvement

Auditor Le Thi Loc

Binh Dien Nursery Interview with staff, control of storage facilities, crosscheck of purchase and application records.

Comp 121, sub.comp. 1 & 9 Protection forest, Pine and native species; buffer zones maintained, inspection of forest ranger camp First aid kit missing

10.11.2017 Auditor Martin Opitz

House of contractor Interview with contractor

House of chainsaw operator (sub-contractor) Interview with chainsaw operator; control of PPE, control of chainsaw
3.3 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:

- Thừa Thiên Huế Department of Labour - Invalids and Social Affairs
- Chief of Financial Department for Business/Enterprise
- Chief of Provincial Social Insurance
- Huong Tho CPC – Chairman
- Huong Tho CPC - Land officer
- Huong Bang CPC – Chairman
- Thuy Bang CPC - Land officer

The interviewed stakeholders did not submit comments requiring a formal reply within the framework of this audit report.

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 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.

4.1 CARs from previous audits

<table>
<thead>
<tr>
<th>CAR #</th>
<th>2016-01</th>
</tr>
</thead>
<tbody>
<tr>
<td>Short Title</td>
<td>PSE storage at nurseries</td>
</tr>
<tr>
<td>Grade</td>
<td></td>
</tr>
<tr>
<td>☐ Major</td>
<td>☒ Minor</td>
</tr>
<tr>
<td>Scope of CAR:</td>
<td></td>
</tr>
<tr>
<td>☒ FM: Forest Management Enterprise, resp. Group Entity</td>
<td></td>
</tr>
<tr>
<td>☐ FM: Group member(s):</td>
<td></td>
</tr>
<tr>
<td>Normative Reference</td>
<td></td>
</tr>
<tr>
<td>☒ GFA Interim Standard for FM</td>
<td>Clause:</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>
<tr>
<td>☐ Other:</td>
<td></td>
</tr>
<tr>
<td>Requirement acc. standard</td>
<td>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.</td>
</tr>
<tr>
<td>Description of identified non-conformity</td>
<td>PSE needs to be stored at the nursery in order to make sure, that a) PSE is at hand when needed, b) the PSE applied is functional and adequate for its purpose. At the nursery Hai Cat not functional masks and glasses could be shown during the onsite visit.</td>
</tr>
<tr>
<td>Timeframe</td>
<td>☒ Until next audit, not later than 28.10.2017 (12 months after the last audit day)</td>
</tr>
<tr>
<td>☐ Before certificate issue</td>
<td></td>
</tr>
<tr>
<td>☐ XX.XX.20XX</td>
<td></td>
</tr>
<tr>
<td>Analysis and Actions (to be filled by the organization)</td>
<td></td>
</tr>
</tbody>
</table>
| Root Cause Analysis | - The Company has prepared safety equipment for nursery labours, including safety equipment when using plant protection chemicals. Using plant protection chemicals was not regular so it was not timely noticed if safety equipment was missing. 
- Limited and improper awareness on safety equipment in nurseries (for using plant protection chemicals) so safety equipment for using plant protection chemicals fails to meet ILO's standards. |
| Corrective Actions | - Providing knowledge on using plant protection chemicals, using safety equipment when using plant protection chemicals (Training record 29.5.2017).
- Prepare safety equipment as ILO's standards (List of PPE 29.5.2017)
- Invoice # 0088731 dated 2/6/17 for purchasing PSE/PPE
- Issue regulations on using plant protection equipment, using and managing safety equipment in nurseries.
| Preventive Actions | - Training and awareness raising annually.
- Frequently monitor and check safety equipment uses.
- Prepare an extra set in case of missing or breaking. |
### 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
Sufficient countermeasures were conducted, CAR can be closed.

---

#### CAR # 2016-02

<table>
<thead>
<tr>
<th>Short Title</th>
<th>Exclusion of contractors in case of contract violation.</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Grade</th>
<th>FM: Forest Management Enterprise, resp. Group Entity</th>
</tr>
</thead>
<tbody>
<tr>
<td></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
- Other:

#### Requirement acc. standard
Contractors not complying with all above mentioned indicators are excluded from forest operations.

#### Description of identified non-conformity
In selling contract no. 583/2016 dated 15/4/2016 (selling standing trees) assessed during the onsite visit, a respective paragraph allowing the FMU to exclude a contractor from the forest operations in case of violation of clearly mentioned indicators/requirements was missing.

#### Timeframe
- Until next audit, not later than 28.10.2017 (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
- The Company had an oral agreement upon the content with the contractor, but did not state the specific article in the contract.
- Limited awareness on this issue.

#### Corrective Actions
- Agree with the contractors to include the article in relevant contracts.
- Addendums were added to contracts allowing the company to terminate a contract (contract 03/2017/HDMB 24.3.2017)
  - Contract # 03/2017/HDMB dated 24/3/17 on selling timber
  - Contract # 25/2017/HDMB dated 18/4/2017 on planting forest (article VI)
  - Contract # 47/2017/HDMB dated 12/9/2017 on forest tending;
- Monitor and supervise the contractors’ implementation against the agreed terms.

#### Preventive Actions
- The addendum will be used in the future

### 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
Sufficient countermeasures were conducted, CAR can be closed.

---

#### CAR # 2016-03

<table>
<thead>
<tr>
<th>Short Title</th>
<th>Systematic stakeholder consultation</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Grade</th>
<th>FM: Forest Management Enterprise, resp. Group Entity</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Minor</td>
</tr>
</tbody>
</table>
### Normative Reference

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

### Requirement acc. standard

Systems for periodical stakeholder consultation (e.g. round table meetings) are in place and implemented.

### Description of identified non-conformity

Although both interviewed CPCs and local people confirmed that the FMU Tien Phong did not seriously violate their rights, there is no measure to ensure that communities and its members know about the company’s forest operations, which might potentially effect their rights and resources.

### Timeframe

- Until next audit, not later than 28.10.2017 (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

The Company consulted the relevant stakeholders, including the local authority (Commune People's Committee) and relevant units, but did not consult the local communities. It was explained by the Company that the local authority was the representative level (elected by the local people), to protect the rights of the local communities and people.

#### Corrective Actions

- Develop a stakeholder consultation guideline. (#388/QĐ-CTLNTP dated 31/12/2016).
- Consult the local stakeholders: by sending them the summary of the Company's operational plan, forest protection and management proposals; conduct discussions, and in-depth interviews with community's representatives, relevant units where the company's forests located (corresponding post invoice of sending the summary of FMP and annual operational plan to all stakeholders where checked).

#### Preventive Actions

- Develop regulations, guidelines on stakeholder consultation
- Include stakeholder consultation activities in the annual work plan of the company
- Conduct monitoring of the implementation process.

### 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**
  - Sufficient countermeasures were conducted, CAR can be closed.

### Normative Reference

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

### Clause

- 4.4.4

---

**CAR #**

**2016-04**

**Short Title**

Size of clear cuts

**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
- ☐ Other:

- **Clause:**
  - 6.3.2
<table>
<thead>
<tr>
<th>Requirement acc. standard</th>
<th>Systems that use small clearfell areas, selective felling and create varied age class have been considered.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Description of identified non-conformity</td>
<td>Total harvesting area of compartment 118, subcompartments 7, 8, 9 together with compartment 135, subcompartments 2, 3 sums up to more than 50ha. A mosaic of stand ages and rotations is not created;</td>
</tr>
<tr>
<td>Timeframe</td>
<td>✔ Until next audit, not later than 28.10.2017 (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>Analysis and Actions (to be filled by the organization)</td>
<td></td>
</tr>
</tbody>
</table>
| Root Cause Analysis | • This issue wasn't regulated yet, Vietnam forestry law just regulates that, no EIA needed if the harvesting area is less than 200ha (Degree No. 18 in 2015 of Governent)  
• Lack of the detailed methodology on forest protection and management |
| Corrective Actions | • Develop a methodology for forest harvesting, for an orientation of annual and long-term harvesting planning.  
• Develop annual specific harvesting plan, showing on the maps, identifying forest plots to be harvested and harvesting area. Calculate, consider all economic and environmental factors to define a suitable harvesting scale and time  
• Conduct planning and planting forests of different age class in the area, develop a strategy for forest plantation of long-term rotation mixed with short-term rotation) => Prepare a project proposal for sawlog production forest plantation.  
• Plant mixed forests (Acacia species mixed with native species) to mitigate environmental impacts during harvesting operations (and include this content in the company restructure proposal for the period of 2016-2020)  
• Carry out planting trees right after harvesting and apply low-impact harvesting techniques to reduce impacts on the environment.  
• Protect (if necessary additionally plant) buffer zones and green belts near rivers to reduce environmental impacts after harvesting  
• Apply suitable silvicultural measures to reduce environmental impacts after harvesting, such as: no burning vegetation, which is to control soil erosion and runoff. For hybrid Acacia which is fast growing species, apply additional fertilization in the first year after planting to help trees to close canopy in 10 - 12 months, and to control soil erosion and runoff.  
• Carry out monitoring of the implementation. |
| Preventive Actions | • Develop a methodology to define norms and species to be harvested for SFM.  
• Develop a strategy for business models of sawlog production (long-term rotation) to be mixed with short term rotation in the entire areas of the production forests.  
• Include the strategy for forest plantations mixed between Acacia species with native species, with the target of 700 - 800ha by 2030 in the Company’s Restructure Plan.  
• Conduct inventory on forest growth for sustainable management of harvesting areas.  
• Monitor the implementation. |
| 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 | Sufficient countermeasures were conducted, CAR can be closed. |
| CAR # | 2016-05 |
| Short Title | Functional PSE |
| Grade | □ Major  
✔ 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
- Other:

Clause: 6.6.6

Requirement acc. standard

If chemicals are used, proper equipment is used for the application and staff is trained appropriately.

Description of identified non-conformity

In the nursery Hai Cat PSE adequate masks and classes are not provided. The workers apply normal sunglases and causal masks that are worn e.g. when driving motor scooters. At the tissue nursery functional PSE could be observed.

Timeframe

- Until next audit, not later than 28.10.2017 (12 months after the last audit day)
- XX.XX.20XX

Analysis and Actions (to be filled by the organization)

Root Cause Analysis

- The Company has prepared safety equipment for nursery labours, including safety equipment when using plant protection chemicals. Using plant protection chemicals was not regular so it was not timely noticed if safety equipment missing.
- Limited and improper awareness on safety equipment in nurseries (for using plant protection chemicals) so safety equipment for using plant protection chemicals fails to meet ILO's standards

Corrective Actions

- Providing knowledge on using plant protection chemicals, using safety equipment when using plant protection chemicals.
- Prepare safety equipment as ILO's standards
- Issue regulations on using plant protection equipment, using and managing safety equipment in nurseries.
- Development of plans/frequent monitor using safety equipment and managing safety equipment (safety equipment record)
- See also documents listed in CAR 2016-01

Preventive Actions

- Training and awareness raising annually.
- Frequently monitor and check safety equipment uses.
- Prepare an extra set in case of missing or breaking.
- See also documents listed in CAR 2016-01

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

Sufficient countermeasures were conducted, CAR can be closed.

CAR # 2016-06

Short Title Precise and repeatable monitoring procedures

Grade

- Major
- 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
- Other:

Clause: 8.1.1

Requirement acc. standard

All activities that require monitoring are identified.
Description of identified non-conformity

3 out of 10 monitoring procedures were assessed in depth by the audit team. It was detected, that not all procedures are clearly precise and repeatable. E.g. the procedures for “after harvest” monitoring require the classification of the impact as “no impact”, “low impact”, “medium impact” and “serious impact” without specifying how no, low, medium or serious impact is defined. Thus, it is likely that two different monitoring teams would have to different results of the monitoring. It needs to be ensured that the result of a monitoring conducted can be repeated without a high risk of a different result.

Timeframe

☒ Until next audit, not later than 28.10.2017 (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
In 2016, The Company had implemented the monitoring for its activities. Nonetheless, due to the inexperience in monitoring and evaluation, forms/templates are not completed.

Corrective Actions
• Update forms for monitoring and evaluation (M&E)
• Inform relevant staff to updating M&E forms.
• Provide guidelines on how to record the forms and perform monitoring practices.

Preventive Actions
• Issue guidelines on M&E system and evaluate forestry activities in forest protection (16.5.2017)
• Frequently update and finalize M&E system for actual situation
• Report on the results of M&E

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 new M&E guidelines were assessed in depth by the audit team. The precision of the monitoring parameters improved that will lead to a replicable result. Sufficient countermeasures were conducted, CAR can be closed.

CAR #
2016-07

Short Title
Area of plantations with mixed species crops

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
☐ Other:

Clause: 10.3.3

Requirement acc. standard
A minimum 20% of the plantation consists of mixed species crops, unless it is consistent with the natural distribution pattern for the species in the region concerned.

Description of identified non-conformity
13% of the fsc-certified area and 17% of the total FMU area is covered with mixed species crops taking into account mixed forest of Acacia and native species, mixed forest of Pine and Acacia, bare land scattered with trees and bare land without trees. A concept to increase the area of mixed forest stands is missing in order to achieve the required minimum 20% of plantations with mixed species crop.

Timeframe
☒ Until next audit, not later than 28.10.2017 (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

The Company had a strategy to plant mixed forests before practicing SFM based FSC standards (The audit team verified it in the field); however, it was not clearly shown in the SFM plan.

Corrective Actions

- Conduct a replanning for the mixed forest area and update the SFM plan for 2017 (with the target of above 20%)
- Carry out additional plantation of native species in the buffer zones, green belts.
- Plant native species in Compartment 9, Block 121, with an area of 46.3 ha (the Alternative Afforestation Project); plant 27.2 ha of native species under Pine forest canopy in 2016 and 15.5 ha in 2017 (the Tropical Rainforest Project) in Blocks 91 and 154.

Preventive Actions

- Conduct planning for mixed forests with the area of more than 20% of the total area managed by the Company and specify in the SFM plan.
- Include the target in the Company's Restructure Plan for the period of 2016-2020.

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 evidence revised

Sufficient countermeasures were conducted, the implementation of the strategy has to be observed in future audits. CAR can be closed.

4.2 CARs identified during the evaluation

☐ Not applicable, no CARs identified.

4.2.1 Major CARs

<table>
<thead>
<tr>
<th>CAR #</th>
<th>2017-01</th>
</tr>
</thead>
<tbody>
<tr>
<td>Short Title</td>
<td>Mapping</td>
</tr>
<tr>
<td>Grade</td>
<td>☒ Major</td>
</tr>
<tr>
<td>Scope of CAR:</td>
<td>☒ FM: Forest Management Enterprise, resp. Group Entity</td>
</tr>
<tr>
<td>☐ FM: 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  
☐ Other: |
| Clause: | 5.5.2 |
| Requirement acc. standard | Sensible or special areas like watersheds are considered in management planning and implementation and are designated on maps. |
| Description of identified non-conformity | According to what could be observed during the field visit as well as what information was given during document review, watercourses, buffer zones, green zones, etc. are not integral part of maps that are e.g. part of the harvesting design (Comp. 114 a2, Comp 129 b4, b6, b7). Thus, an integral component to ensure the protection of specials areas is missing. |
| Timeframe | ☐ Until next audit, not later than XX.XX.2017 (12 months after the last audit day)  
☐ Before certificate issue  
☒ 10.02.2018 |

Analysis and Actions (to be filled by the organization)
### Evaluation of Corrective Action (by GFA Certification)

<table>
<thead>
<tr>
<th>CAR #</th>
<th>2017-01</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Status</strong></td>
<td></td>
</tr>
<tr>
<td>☐ CAR closed: Root Cause Analysis and Actions are appropriate.</td>
<td></td>
</tr>
<tr>
<td>☐ CAR not closed: Root Cause Analysis and Actions are not appropriate.</td>
<td></td>
</tr>
<tr>
<td><strong>Rationale and objective evidence revised</strong></td>
<td></td>
</tr>
</tbody>
</table>
### CAR # 2017-03

**Requirement acc. standard**
The condition of the forest (presence of pests, diseases, evidence of soil compaction, erosion etc) is regularly monitored and reviewed.

**Description of identified non-conformity**
Although heavy rainfalls did take place no un-scheduled monitoring was triggered. Thus, the erosion to be observed in compartment 114 a2 was not monitored. See also Major CAR 2017-04

**Timeframe**

- Until next audit, not later than XX.XX.2017 (12 months after the last audit day)
- Before certificate issue
- 10.02.2018

**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**

---

### CAR # 2017-04

**Short Title**
Environmental Impact Assessment

**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
- Other:
- Clause: 6.1.1

**Requirement acc. standard**
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.

**Description of identified non-conformity**
The EIA conducted by the FMU does not adequately consider environmental impacts such as the severe erosion to be observed in compartment 114 a2 due to the amount of rainfall, the slope gradient and the size of area clear felled. The mitigation measures suggested are not appropriate to the scale and intensity of the forest operations conducted in compartment 114 a2.

**Timeframe**

- Until next audit, not later than XX.XX.2017 (12 months after the last audit day)
- Before certificate issue
- 10.02.2018

**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.
4.2.2 Minor CARs

<table>
<thead>
<tr>
<th>CAR #</th>
<th>2017-05 / The CAR has been deleted during internal revision and raised as Observation 2017-04</th>
</tr>
</thead>
<tbody>
<tr>
<td>Short Title</td>
<td>Wood sold without invoice</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></td>
<td>☐ FM: Group member(s):</td>
</tr>
<tr>
<td>Normative Reference</td>
<td>☐ GFA Interim Standard for FM</td>
</tr>
<tr>
<td></td>
<td>☐ National FSC FM Standard</td>
</tr>
<tr>
<td>Requirement acc. standard</td>
<td>☐ FSC-STD-30-005, V.1.0</td>
</tr>
<tr>
<td></td>
<td>☐ Other:</td>
</tr>
<tr>
<td>Clause:</td>
<td>1.2.1</td>
</tr>
<tr>
<td>Description of identified non-conformity</td>
<td>Rd. 60 ha of the area are contracted to household in line with degree 1.3.4 of the Vietnamese Government. It could be observed, that wood sold by those households are partly sold without invoice. According to the information obtained in interviews and sustained by local expert households are not taxed for any income from agriculture/forestry. Nevertheless, it is common practice not to invoice the buyer as it helps the buyer to avoid taxation.</td>
</tr>
<tr>
<td>Timeframe</td>
<td>☐ Until next audit, not later than 10.11.2018 (12 months after the last audit day)</td>
</tr>
<tr>
<td></td>
<td>☐ Before certificate issue</td>
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<tr>
<td></td>
<td>☒ XX.XX.20XX</td>
</tr>
<tr>
<td>Analysis and Actions (to be filled by the organization)</td>
<td></td>
</tr>
<tr>
<td>Root Cause Analysis</td>
<td>n.a.</td>
</tr>
<tr>
<td>Corrective Actions</td>
<td>n.a.</td>
</tr>
<tr>
<td>Preventive Actions</td>
<td>n.a.</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></td>
<td>☐ CAR not closed: Root Cause Analysis and Actions are not appropriate.</td>
</tr>
<tr>
<td>Rationale and objective evidences revised</td>
<td>n.a.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>CAR #</th>
<th>2017-06</th>
</tr>
</thead>
<tbody>
<tr>
<td>Short Title</td>
<td>Toilet facilities</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>
</tbody>
</table>
### FM: Group member(s):

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

### Clause: 4.2.5

### Description of identified non-conformity

Where workers stay in camps, conditions for accommodation and nutrition comply at least with ILO Code of Practice on Safety and Health in Forestry.

The works camp visited in compartment 129 b4, b6, b7 was lacking toilet facilities although workers are staying over nights. The guidelines (So 387/QD-CTLNTP 31.12.2016) that regulate the setting up of work camps does not include any information regarding field toilets. The ranger camp visited during the onsite visit also did not have toilets.

### Timeframe

- Until next audit, not later than 10.11.2018 (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

### CAR #

2017-07

### Short Title

First Aid Kit

### 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
- Other:

### Clause: 4.2.7

### Requirement acc. standard

Health and care measures are supported by the employer (e. g. allowance for personal safety equipment).

### Description of identified non-conformity

At the ranger camp visited during the onsite visit, no first aid kit was available.

### Timeframe

- Until next audit, not later than 10.11.2018 (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)
### CAR # 2017-08

**Short Title** Monitoring of the cutting techniques  
**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  
- Other:  
**Requirement acc. standard**  
- 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**  
- According to the information obtained in interviews the forest rangers are amongst others in charge for the monitoring of the cutting techniques of e.g. contractors although they are not regularly working with chainsaws.  
- The stumps observed in the field did partly not comply with ILO requirements in regard to proper cutting techniques.  
**Timeframe**  
- ❌ Until next audit, not later than 10.11.2018 (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**  

---

### CAR # 2017-09

**Short Title** Invoicing on basis of estimated not real volumes  
**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  
- Other:  
**Requirement acc. standard**  
- All products sold by the forest operation as certified are recorded with: product type (“FSC Pure” unless introduction of other terms in FSC COC standards),
## Description of identified non-conformity

The invoice #0000102 dated 17/1/2017 according to contract # 529/2017/MBTS dated 11/4/2017 which resulted of the wood selling auction # 447/HD-BDS dated 3/4/2017 did not list the actual volume harvested but the volume estimated in the course of the pre-harvesting inventories. Thus, the exact amount of wood entering the market and thus the chain of custody is not provided.

## Timeframe

- ☒ Until next audit, not later than 10.11.2018 (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)

<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 evidence revised

---

### CAR 

<table>
<thead>
<tr>
<th>CAR #</th>
<th>2017-10</th>
</tr>
</thead>
</table>

### Short Title

Trademark use without approval

### 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
- ☐ Other: 

| Clause | 8.3.3 |

### Requirement acc. standard

Any use of the FSC trademark is in accordance with FSC trademark standard (FSC-STD-50-001 and related/replacing FSC policies) and is approved by GFA or other authorized institutions prior to application.

### Description of identified non-conformity

On the webpage of the company the FSC trademark is used without approval.

### Timeframe

- ☒ Until next audit, not later than 10.11.2018 (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)

<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 evidence revised
4.2.3 Observations

☐ Not applicable, no observations.

<table>
<thead>
<tr>
<th>Observations</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Observation 2017-1</td>
<td>The chain saw pants inspected seem not suitable for Vietnamese conditions as they are a) too big for average Vietnamese and b) not suitable for the tropical climate. It is recommended to adapt the pants so that they fit properly and allow a better ventilation.</td>
</tr>
<tr>
<td>Observation 2017-2</td>
<td>The chain saw inspected during the onsite visit did not have a chain catcher. It must be ensured that only fully functional chainsaws are used during operations. As the chainsaw was not used an observation is rendered.</td>
</tr>
<tr>
<td>Observation 2017-3</td>
<td>Every contractor and sub-contractor is in charge of his/her own accident insurance. It is recommended that the company is controlling if the level of insurance is adequate for the risk of potential injury severity.</td>
</tr>
<tr>
<td>Observation 2017-4</td>
<td>Rd. 60 ha of the area are contracted to household in line with degree 1.3.4 of the Vietnamese Government. It could be observed, that wood sold by those households are partly sold without invoice. According to the information obtained in interviews and sustained by local expert households are not taxed for any income from agriculture/forestry. Nevertheless, it is common practice not to invoice the buyer as it helps the buyer to avoid taxation.</td>
</tr>
</tbody>
</table>

5 Summary and further procedure (Pre-evaluation)

Not applicable in surveillance audits.

6 Certification decision

6.1 Summary of audit

In the context of the 1. surveillance audit, all minor CARs could be closed. Four (4) major CARs and six (6) minor CARs as well as three (3) observations were rendered.

6.2 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:

☑ 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 summer (July) 2018.

7 Annex

Digital map of the FMUs
List of Audit Participants
GFA dispute resolution procedure
Location of the FMUs include in the scope of certification

List of Audit Participants

<table>
<thead>
<tr>
<th>No.</th>
<th>Name</th>
<th>Position</th>
<th>Signature</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>TONG PHUOC BINH</td>
<td>Tech Dept.</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>PHAM THE SON</td>
<td>Planning &amp; Tech Dept.</td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>LE VAN HOA</td>
<td>Provincial FPD</td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>NGUYEN VU</td>
<td>WWF</td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>LE VIET TAM</td>
<td>WWF</td>
<td></td>
</tr>
<tr>
<td>6</td>
<td>PHAM THIEN GIANG</td>
<td>Planning &amp; Tech Dept.</td>
<td></td>
</tr>
<tr>
<td>7</td>
<td>TRAN MINH LOAN</td>
<td>Planning &amp; Tech Dept.</td>
<td></td>
</tr>
<tr>
<td>8</td>
<td>NGO HOANG HAI</td>
<td>Planning &amp; Tech Dept.</td>
<td></td>
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<tr>
<td>9</td>
<td>TRAN VAN TAM</td>
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<tr>
<td>10</td>
<td>NGUYEN PHU MY</td>
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<tr>
<td>11</td>
<td>LOC TU TRUNG</td>
<td>WWF</td>
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<tr>
<td>12</td>
<td>NGUYEN VIET CON</td>
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<tr>
<td>13</td>
<td>Cu Thi Le Thuy</td>
<td>ASI</td>
<td></td>
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<tr>
<td>14</td>
<td>Haye</td>
<td>ASI</td>
<td></td>
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<tr>
<td>15</td>
<td>GERHARD KUSKE</td>
<td>GFA</td>
<td></td>
</tr>
<tr>
<td>16</td>
<td>NGUYEN THI TU ANH</td>
<td>GFA</td>
<td></td>
</tr>
</tbody>
</table>
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.