

**Forest Management and Stump-to-Forest Gate Chain of Custody  
Compliance Certification Evaluation Report for the:**

**森林经营及产销监管链符合性认证评估报告**

**Hecheng Bamboo Forest  
Under the  
Management of**

**JIANGXI NANFANG LINCHANG CO., LTD**

**江西南方林场有限公司**

**Conducted under the auspices of the SCS Forest Conservation Program  
SCS is a Forest Stewardship Council Accredited Certification Body**

**CERTIFICATE NUMBER 认证编码  
SCS-FM/COC-000118N**

**Lead Author 主任审核员: Dr. S.K.Yap**

**Date of Field Audit 审核日期: March 9-13, 2009**

**Date of Report 报告撰写日期: June 2, 2009**

**Submitted to:**

**JIANGXI NANFANG LINCHANG CO., LTD**

**江西南方林场有限公司**

**SCIENTIFIC CERTIFICATION SYSTEMS  
2000 Powell St. Suite Number 1350  
Emeryville, CA 94608, USA  
[www.scscertified.com](http://www.scscertified.com)**

**SCS Contact: Dave Wager [dwager@scscertified.com](mailto:dwager@scscertified.com)  
Contact: Jiangxi Nanfang Linchang Co. Ltd.**

### **Organization of the Report**

This report of the results of our compliance evaluation is divided into two sections. Section A provides the public summary and background information that is required by the Forest Stewardship Council. This section is made available to the general public and is intended to provide an overview of the pre-evaluation process, the management programs and policies applied to the forest, and the results of the pre-evaluation. Section A will be posted on the SCS website ([www.scscertified.com](http://www.scscertified.com)). Section B contains more detailed results and information for the use of Jiangxi Nanfang Linchang Co. Ltd..

本次符合性评估报告结果主要包括 2 个部分，A 部分包括森林管理委员会所要求的公共摘要和信息背景，本部分内容保证公开摘要的可靠性，并体现预评估过程、林地经营项目及政策和预评估结果。SCS 网站上可查 A 部分有关内容 ( [www.scscertified.com](http://www.scscertified.com) )。B 部分包括江西南方林场有限公司的详细信息。

## FOREWORD 前言

Scientific Certification Systems, a certification body accredited by the Forest Stewardship Council (FSC), was retained by Jiangxi Nanfang Linchang Co. Ltd. to conduct a compliance certification evaluation of its bamboo forest. Under the FSC/SCS certification system, forest management operations meeting international standards of forest stewardship can be certified as “well managed”, thereby enabling use of the FSC endorsement and logo in the marketplace.

科学认证体系是森林管理委员会 ( FSC ) 认可的一家认证机构，受雇于江西南方林场有限公司对其竹林开展森林认证工作。在 FSC/SCS 认证体系的指导下，森林经营活动符合森林管理国际标准可被认可为“经营良好的”，由此通过 FSC 确认并在市场上使用 FSC 标识。

In 9-13 March 2009, an interdisciplinary team of forestry, natural resource and social specialists was empanelled by SCS to conduct the evaluation. The team collected and analyzed written materials, conducted interviews and completed a 4-day field and office audit of the subject property as part of the certification evaluation. Upon completion of the fact-finding phase of the evaluation, the team assessed conformance to the 56 FSC Criteria in order to determine whether award of certification was warranted. As there were major non-compliances resulting in Major Corrective Action Requests (CARs) being raised, documentation verification was required to reassess the corrective actions taken to close these Major CARs.

2009年3月9日至13日，SCS聘请林业、自然资源及社会专家组成的审核小组开展评估工作。该审核小组通过收集并分析书面材料，通过现场访问共用4天时间完成林地及办公室认证主评估。在评估过程中，审核小组依据FSC的56个标准依次审核判定是否授予证书。如果存在严重不符合项，需要采取措施进行整改，重新评估后关闭不符合项。

As detailed below, three pre-conditions (also known as Major Corrective Action Requests) that were stipulated by the audit team upon completion of the field audit were to be addressed by Jiangxi Nanfang Linchang Co. Ltd. and cleared by SCS prior to finalization of this report. In the event that a certificate is awarded, Scientific Certification Systems will post this public summary of the report on its web site ([www.scscertified.com](http://www.scscertified.com)).

审核小组此在次主评估过程中发现江西南方林场有限公司有三个前提条件（亦作为严重不符合项），在SCS完成本报告之前，江西南方林场有限公司已经完成了整改要求。科学认证体系SCS将把本报告摘要公布在此网站[www.scscertified.com](http://www.scscertified.com)。

Section A- Public Summary and Background Information 公布摘要与背景资料 .....	6
1.0 GENERAL INFORMATION 基本信息 .....	6
1.1 FSC Data Request FSC 数据要求 .....	6
1.2 Management Context 经营管理背景 .....	8
1.2.1 Environmental Context 环境背景 .....	13
1.2.2 Socioeconomic Context 社会经济背景 .....	14
1.3 Forest Management Enterprise 森林经营企业 .....	15
1.3.1 Land Use 土地使用 .....	15
TABLE 1 表 1.....	15
Distribution of the harvesting units within the FMU 采伐单元分布情况.....	15
1.3.2 Land Outside Scope of Certification 未在认证范围内的林地.....	21
1.4 Management Plan 经营方案.....	21
1.4.1 Management Objectives 经营目标.....	21
1.4.2 Forest Composition 森林结构 .....	21
1.4.3 Silvicultural Systems 森林作业系统.....	22
1.4.4 Management Systems 管理系统 .....	23
1.4.5 Monitoring System 监测系统.....	24
1.4.6 Estimate of Maximum Sustainable Yield 预计最大可持续产量 .....	24
1.4.7 Estimated, Current and Projected Production 当前产量与预计产量 .....	25
2.0 Guidelines/Standards Employed 指南/标准.....	25
3.0 THE FULL EVALUATION ASSESSMENT PROCESS 主评估过程 .....	25
3.1 Assessment Dates 审核日期.....	25
3.2 Assessment Team 审核小组.....	25
3.3 Assessment Process 评估过程.....	32
3.3.1 Itinerary 行程 .....	32
3.3.2 Evaluation of Management System 经营体系评估 .....	33
3.3.3 Selection of FMU's to Evaluate 评估 FMU 的选取 .....	34
3.3.4 Sites Visited 访问场所 .....	34

此次实地审核范围包括了该营林单位的 3 个地理区域的多个小班，同时也到其县自然保护区参观。只有一处竹林在进行采伐，整个过程均是人工采伐，

由承包商使用镰刀将竹子伐倒并沿着斜坡滑到坡底。林区内采伐现场没有刹车痕迹。 .....	34
3.3.5 Stakeholder Consultation 利益相关方咨询 .....	34
3.3.6 Other Assessment Techniques 其他评估技术 .....	40
3.4 Total Time Spent on pre-evaluation audit 预评估审核时间 .....	40
3.5 Process of Determining Conformance 符合性判定过程 .....	40
4.0 Results of the Evaluation 评估结果 .....	42
表 4.1 包括了审核员在营林单位依据 FSC 原则与标准发现的缺点与不足。该表给出了不符合项编号。 .....	42
Table 4.1 Notable strengths and weaknesses of the forest management enterprise relative to the P&C 总结森林经营单位执行 P&C 标准的优势与不足 .....	43
4.2 Preconditions 前提条件 .....	47
5.0 Certification Decision 认证决定 .....	49
5.1 Certification Recommendation 认证推荐 .....	49
5.2 Initial Corrective Action Requests 初次整改行为要求 .....	50
6.0 Surveillance Evaluations 监督评估 .....	56
7.0 Summary of SCS Complaint and appeal Investigation Procedures SCS 投诉与申诉调查程序摘要 .....	56

## SECTION A- PUBLIC SUMMARY AND BACKGROUND INFORMATION公布摘要与背景资料

### 1.0 GENERAL INFORMATION基本信息

#### 1.1 FSC Data Request FSC数据要求

Applicant entity 申请单位	Jiangxi Nanfang Linchang Co. Ltd 江西南方林场有限公司
Contact person 联系人	Mr. Wang Biao 王彪
Address 地址	Jiangxi Nanfang Linchang Co. Ltd Jianshe Dong Road, Hecheng Town, Zixi County, Jiangxi, CHINA 中国江西省资溪县鹤城镇建设东路
Telephone 电话	+86 794 5782266
Fax 传真	+86 794 5789089
E-mail 邮箱	jxnflc@yeah.net
Certificate Type 认证类型	Single FMU
Number of FMU's	One
Number of FMUs in scope that are	
less than 100 ha in area	0
100 - 1000 ha in area	0
1000 - 10 000 ha in area	One 2793 ha FMU consisting of 205 stands of 1 to 44 ha each in size. Total ha = 2793
more than 10 000 ha in area	0
Location of certified forest area 认证林地方位	
Latitude	27° 28' to 27° 55'
Longitude	116° 46' to 117° 17'
Forest zone	
Total forest area in scope of certificate which is included in FMUs that:	
are less than 100 ha in area	0
are between 100 ha and 1000 ha in area	0
meet the eligibility criteria as <i>low intensity</i> SLIMF FMUs	0
Total forest area in scope of certificate which is: 认证面积	
privately managed <sup>1</sup> 自我经营	2,792.9 ha ,(2752.9 ha with forest cover)

<sup>1</sup> The category of 'private management' includes state owned forests that are leased to private companies for management, e.g. through a concession system.

state managed 国家经营	0
community managed <sup>2</sup> 集体经营	0
Number of forest workers (including contractors) working in forest within scope of certificate 林地工人人数	14 permanent staff and 80 contract workers
Area of forest protected from commercial harvesting of timber and managed primarily for conservation objectives 林地内预留保护面积	57.1 ha
Area of forest protected from commercial harvesting of timber and managed primarily for the production of NTFPs or services 非木质林产品林地面积	0
Area of forest classified as 'high conservation value forest' 高保护价值林地面积	Preliminary survey indicated the absence of HCVF attributes
List of high conservation values present <sup>3</sup> HCVF清单	None.
Total area of production forest (i.e. forest from which timber may be harvested) 用材林面积	2,753 ha with bamboo/tree cover
Area of production forest classified as 'plantation' for the purpose of calculating the Annual Accreditation Fee (AAF) 人工林面积	0
Area of production forest regenerated primarily by replanting <sup>4</sup> 人工更新面积	18 ha for broadleaf and coniferous forest trees
Area of production forest regenerated primarily by natural regeneration 天然更新面积	2,103.9 ha of bamboo forest 55.4 ha coniferous/broadleaf forest
List of main commercial timber and non-timber species included in scope of certificate (botanical name and common trade name) 商业用材树种和非木质树种清单	Bamboo <i>Phyllostachys pubescens</i> , tree species Chinese fir ( <i>Cunninghamia lanceolata</i> ) and Pine ( <i>Pinus massoniana</i> )
Approximate annual allowable cut (AAC) of commercial timber 商业用材树种预计年采伐量	1,012,300 poles or 482 poles per ha with a retention of a minimum 2,000 poles per ha
Approximate annual commercial production of non-timber forest products included in the scope of the certificate, by product type 非木质林产品的预计年产量	1.012 million bamboo poles per year 每年约1012000根竹子
List of product categories included in scope of joint FM/COC certificate and therefore available for sale as FSC-certified products (include basic description)	Bamboo poles and timbers. 竹子和木材

<sup>2</sup> A community managed forest management unit is one in which the management and use of the forest and tree resources is controlled by local communities.

<sup>3</sup> High conservation values should be classified following the numbering system given in the ProForest High Conservation Value Forest Toolkit (2003) available at [www.ProForest.net](http://www.ProForest.net)

<sup>4</sup> The area is the *total* area being regenerated primarily by planting, *not* the area which is replanted annually. NB this area may be different to the area defined as a 'plantation' for the purpose of calculating the Annual Accreditation Fee (AAF) or for other purposes.

of product - e.g. round wood, pulp wood, sawn timber, kiln-dried sawn timber, chips, resin, non-timber forest products, etc.)产品种类	
-----------------------------------------------------------------------------------------------------------------------------------	--

## 1.2 Management Context 经营管理背景

Jiangxi Nanfang Linchang Co., Ltd had been approved by the government in 2004 to contract from the local commutes to harvest and reforest an area of 2,752.9 ha in 3 main geographical regions within the county of Zixi near the town of Hecheng in the Province of Jiangxi. These sites are dominated by bamboo covering 2,103.9 ha (76.42%), which had established themselves over many decades. Its main activity is the harvesting of bamboo, all of the monopodial species of *Phyllostachys pubescens* with small amount of other bamboo species. Small areas of forest with Chinese fir (*Cuunninghamia lanceolata*) and Pine (*Pinus massoniana*) are also found within the forest management unit (FMU). Harvesting of bamboo was initiated in 2006. The *Forest Management Plan 2008 to 2012* states that the bamboo forest and the coniferous tree species will be managed for optimum growth and production.

江西南方林场有限公司经政府批准，自 2004 年承包 2752.9 公顷林地，分布在江西省资溪县鹤城镇附近的 3 个地区，其中竹林覆盖面积 2103.9 公顷（76.24%），2006 年开始毛竹采伐。江西南方林场主要经营毛竹，有少量木材树种，如杉木和马尾松。森林经营方案（2008-2012）中承诺将适度经营毛竹和松柏树木。

Management is divided into 3 forest management regions, 8 villages and 205 harvesting sites for silvicultural works and harvesting purposes. A management programme for the 3 forest management regions is presented in the management plan. The plan also includes a programme for artificial regeneration of selected sites with forest tree species.

营林范围主要分布在 3 个地区，8 个村 205 个采伐场所。营林方案中体现了 3 个地区的经营计划，同时在此营林计划中也包括了林内树木预留地块的人工更新方案。

Harvesting of bamboo poles starts at age four but not exceeding seven years as this period is considered the optimum yield of the bamboo. Projected production of the bamboo is at 1,012,300 poles annually.

4年生至7年生的竹子是采伐的最佳时期，该营林单位年产量在1,012,300株。

The principal regulations of greatest relevance to forest managers in the FMU are associated with the following statutes 与营林单位有关的法律法规：

***Pertinent Regulations at the National and Provincial Level:***

国家与地方性法规：

- Forest Laws of the People’s Republic of China (1984, revised in 1998) 中华人民共和国森林法 ( 1984 , 1998 年修订 )
- Desertification Prevention and Control Law of the People’s Republic of China (2001) 中华人民共和国防沙治沙法 ( 2001 )
- Water Law of the People’s Republic of China (1998) 中华人民共和国水法 ( 2002 )
- Soil and Water Conservation Law of the People’s Republic of China (1991) 中华人民共和国水土保持法 ( 1991 )
- Law on Water Pollution Prevention and Control of the People’s Republic of China (1984, revised in 1996) 中华人民共和国水污染防治法 ( 1984 , 1996 修订 )
- Land Management Law of the People’s Republic of China (1999) 中华人民共和国国土管理法 ( 1999 )
- Wildlife Conservation Law of the People’s Republic of China (1988) 中华人民共和国野生动物保护法 1988
- Seed Law of the People’s Republic of China (2000) 中华人民共和国种子法 ( 2004 )
- Labor Law of People’s Republic of China (2007) 中华人民共和国劳动法 ( 2007 )
- Worker’s Union Law of the People’s Republic of China (1992, revised in 2001) 中华人民共和国工会法 ( 1992 , 2001 修订 )
- Property Right Law of the People’s Republic of China (2007) 中华人民共和国物权法 ( 2007 )
- Rural Land Contracting Law of the People’s Republic of China (2003) 中华人民共和国农村土地承包法
- Safe Production Law of the People’s Republic of China (2002) 中华人民共和国

- Environment Impact Assessment Law of the People's Republic of China (2002) 中华人民共和国环境影响评价法 ( 2002 )
- Environment and Natural Resources Protection Law of the People's Republic of China (2001) 中华人民共和国环境与自然资源保护法 ( 2001 )
- Animal Epidemic Prevention Law of the People's Republic of China (1997) 中华人民共和国动物防疫法 ( 1997 )
- Flood Control Law of the People's Republic of China (1997) 中华人民共和国防洪法 ( 1997 )
- Law on Imported and Exported Fauna and Flora Quarantine of the People's Republic of China (1991) 中华人民共和国进出境动植物检疫法 ( 1991 )
- Law on Hunting Gun and Bullet Management of the People's Republic of China (1993) 中华人民共和国猎枪弹具管理办法 ( 1993 )
- Law on Promoting the Transfer of Science and Technological Achievements of the People's Republic of China (1996) 中华人民共和国促进科技成果转化法 (1996)

### **Regulations 法规**

- Regulations for the Implementation of the Forest Law of the People's Republic of China (1986, revised in 2000) 中华人民共和国森林法实施条例 ( 1986 , 2000 修订 )
- Regulations on Nature Reserves of the People's Republic of China (1994) 中华人民共和国自然保护区条例 ( 1994 )
- Regulations for the Implementation of Terrestrial Wildlife Conservation (1992) 中华人民共和国陆生野生动物保护实施条例 ( 1992 )
- Regulations on Wild Flora Conservation of the People's Republic of China (1997) 中华人民共和国野生植物保护条例 ( 1997 )
- Regulations on Protecting New Plant Varieties of the People's Republic of China (1997) 中华人民共和国植物新品种保护条例 ( 1997 )
- Regulations for the Implementation of the Soil and Water Conservation Law of the People's Republic of China (1993) 中华人民共和国水土保持法实施条例 ( 1993 )
- Regulations on Converting Cropland to Forests of the People's Republic of China (2003) 中华人民共和国退耕还林条例 ( 2003 )

- Regulations for the Implementation of the Land Management Law of the People's Republic of China (1999) 中华人民共和国土地管理法实施条例 ( 1998 )
- Regulations on Forest Disease and Pest Control of the People's Republic of China (1989) 中华人民共和国森林病虫害防治条例 ( 1989 )
- Regulations on Forest Fire Prevention of the People's Republic of China (1988) 中华人民共和国森林防火条例 ( 1988 )
- Regulations on Seed Management of the People's Republic of China (1989) 中华人民共和国种子管理条例 ( 1998 )
- Regulations for the Implementation of the Law on the Imported and Exported Wild Fauna and Flora of the People's Republic of China (1996) 中华人民共和国进出口动植物检疫条例实施 ( 1996 )
- Regulations on Flood Control of People's Republic of China (1998) 中国人民共和国防汛条例 ( 1998 )

#### **Administrative Regulations and Rules 部门规章**

- Measures for the Registration of Timber and Forest Land Tenure (2001) 林木和林地权属登记管理办法 ( 2001 )
- Measures for the Verification and Approval of the Occupation and Confiscation of Forest Land (2001) 占用征用林地审核审批管理办法 ( 2001 )
- Measures for Dispute Settlement on Timber and Forest Land Tenure (1996) 林木林地权属争议处理办法 ( 1996 )
- Measures for Nature Reserves of Forest and Wildlife Category (1985) 森林和野生动物类型自然保护区管理办法 ( 1985 )
- Measures for the Natural Forest Protection Program (2006) 天然林资源保护工程管理办法 ( 2006 )
- Measures for Forest Harvest and Regeneration (1987) 森林采伐更新管理办法
- Measures for Forest Resources Files (1986) 森林资源档案管理办法
- Interim Measures for Afforestation Quality Control (2003) 造林质量管理暂行办法 ( 2003 )
- Interim Regulations on Developing Annual Forest Harvest Quota (1985) 制定年森林采伐限额暂行规定
- Measures for Seed Quality (2007) 种子质量管理办法 ( 2007 )

- Measures for Prompting the Use of Good Forest Breeds (1997) 林木良种推广使用管理办法
- Measures for the Package and Label of Forest Seeds (2002) 林木种子包装和标签管理办法
- Measures for the Production and Management License of Forest Seeds (2002) 林木种子生产经营许可证管理办法
- Regulations on the Annual Verification System of Production and Management License of Forest Seeds (2003) 林木种子生产经营许可证年检制度规定
- Measures for the Quality Supervision of Tree Seedling of the State Forestry Administration of China (2002) 国家林业局林木种苗质量监督管理规定
- Measures for Quarantine Approval of Introducing Exotic Species (1980) 国外引种检疫审批管理办法
- Measures for the Implementation of the Management and Supervision of the State-owned Forest Resources and Assets (Try out) (1996) 国有森林资源资产管理督查的实施办法
- Measures for the Implementation of the Regulations on Protecting New Plant Varieties of the People's Republic of China (1999) 中华人民共和国植物新品种保护条例实施细则 (林业部分)
- Regulations on the Quarantine, Approval and Supervision of Introducing Tree Seeds and Seedlings and other Propagating Materials (2003) 引进林木种子苗木及其他繁殖材料检疫审批和监管规定

*Note: All above-mentioned regulations or rules were released by State Forestry Administration or former Forestry Ministry. 注：以上部门规章均为国家林业局或原林业部颁布*

#### **Technical Codes and Guidelines 技术规程和指南**

- List of Species and Countries Prohibited Trading Released by CITES Secretariat (2001) 濒危野生动植物种国际贸易公约秘书处公布禁贸物种和国家名单
- List of Wild Flora under Priority State Protection (First Group) (1999) (State Forestry Administration and Ministry of Agriculture) 国家重点保护野生植物名录 (第一批) (1999) (国家林业局、农业部)
- GB/T 18337.3-2001 Technical Codes for the Establishment of Public Benefits Forest (2001) GB/T 18337.3-2001 《生态公益林建设 技术规程》
- Outlines for Developing and Implementing Forest Management Plan (2006)

- Guidelines for Sustainable Forest Management in China (2006) (State Forestry Administration)中国森林可持续经营指南 ( 2006 ) ( 国家林业局 )
- LY/T1646-2005 Codes for Forest Harvest Operations (2005) LY/T1646——2005 《森林采伐作业规程》
- LY/T 1607-2003 Codes for the Design of Afforestation Operations (2003) LY/T1607——2003 《造林作业设计规程》
- LY/T 1706-2007 Technical Codes for Breeding Fast-growing and High-yielding Timber Forest (2007) LY/T 1706-2007 《速生丰产用材林培育技术规程》
- GB/T 1690-2004 Technical Codes for Mountain (Sand) Closure (2004) GB/T15163——2004 《封山 ( 沙 ) 育林技术规程》
- LY/T 1690-2007 Technical Codes for the Improvement of Low-yielding Forest (2007) LY/T 1690-2007 《低效林改造技术规程》
- LY/T 1692-2007 Technical Codes for the Importance Evaluation of Genetically-modified Forest Plants and their Products (2007) LY/T 1692-2007 《转基因森林植物及其产品重要性评价技术规程》

### 1.2.1 Environmental Context 环境背景

The FMU is located within the Zixi County distributed within 3 regions and 8 villages of the county. It has a topographical variation from 100m to 800m with the highest site located on the south east of the county. The vegetation consisted originally mainly of subtropical broad leaf flora species. The area is now dominated by the monopodial bamboo species of *Phyllostachys pubescens* with a small amount of Gymnospermous and broadleaf tree species found within the same bamboo forest. 该 FMU 分布在资溪县内的三个地区的 8 个乡村，其海拔分布在 100 米至 800 米，最高点位于该县的东南方。植被组成主要是亚热带阔叶植物种。该地区的毛竹 ( *Phyllostachys pubescens* ) 占据主导地位，同时生有少量针叶材和阔叶材。

The FMU area consisted of 2,792.9 ha with 2,752.9 ha with forest cover. Of the latter 2,103.9 ha are covered by bamboo, 591.9 ha of broadleaf and coniferous forest and 57.1 ha protected forest. The non bamboo component is constituted by broadleaf, coniferous and mixed broadleaf coniferous forests. 该 FMU 面积 2792.9 公顷，林木覆盖面积有 2752.9 公顷，其中 2103.9 公顷竹林，591.9 公顷阔叶林和混交林，57.1 公顷预留保护林地。

The FMU has conducted an Environmental Impact Assessment of the bamboo forest to assess the biological resources, potential impacts and the social composition of the county. It has also elaborated on the mitigation measures required. The report indicates that the existing air and water qualities within the county to be good. Records obtained the area were within the national acceptable levels. Owing to the small size of each bamboo patch harvesting activities have not created serious environmental impacts.

该 FMU 已完成竹林的环境影响评估，以便评定生物资源、潜在影响以及本县的社会构成，同时阐述了相关的缓解措施。此报告中还体现了该县城当前的空气和水的质量为优等；相关记录符合其国家要求水平。由于每块竹小班采伐规模小，并未造成严重的环境影响。

The use of chemical pesticides is presently confined to pest control whenever the problem arises. The bamboo forest does not have weed problem. Fertilizer, mainly urea, is applied to promote bamboo growth through application into each bamboo stump thus avoiding leaching into the surrounding soil. All forms of hunting and poaching are prohibited within the forest on lease to the company.

化学农药的使用目前仅限于虫害的控制，该竹林没有杂草问题。用于促进竹子生长的肥料主要是尿素，通常洒在每个竹桩中以免渗透到周边土壤中。该公司租赁的林地范围内禁止一切形式的狩猎和偷猎。

There is a network of roads of around 77 km that is constructed and maintained by the company. These are essential for the transportation of the harvested bamboo poles to the collecting point. 该公司建立并维护了约 77km 的公路网，对于集中伐倒竹竿及其运输是必不可少的组成部分。

### **1.2.2 Socioeconomic Context 社会经济背景**

The local communities have leased their land to the company for management and production of mainly bamboo poles. The lease is for 50 years and is monitored by the County Forestry Bureau. The landowners who are mainly farmers have through the years established themselves within and around the bamboo forests planting mainly agricultural crops. They are still permitted to conduct their traditional farming practices supplementing their incomes by being contractors of the company for bamboo poles harvesting and tending of the bamboo forest. From meetings with representatives of the communities they are generally happy with the present arrangement and have no specific grievances on the operation of the company. 当地组织在当地县林业局的监督下，将林地租赁给该公司用于经营竹林，租赁期限为 50 年。竹林周边主要是当地农民种植的农作物，该公司同时鼓励当地农民采用传统的耕作模式对其竹林进行抚育采伐，

以提高当地农民收入水平。通过与当地社区代表的会谈，我们了解到当地农民很满意该公司当前的管理模式。

### 1.3 Forest Management Enterprise 森林经营企业

#### 1.3.1 Land Use 土地使用

The bamboo forest sites leased by the company are distributed in 3 main geographical regions of the county. The lease is through a rental system with annual payment per ha as specified in a contract supervised by the Forestry Agency. These are managed by 3 geographical units in 8 villages and divided into 205 harvesting units. The biggest region is in Ma Tou San with 4 villages, 112 harvesting units covering an area of 1,333.9 ha. The second region is Hecheng covering an area of 886 ha with 66 harvesting units in 2 villages. The smallest is Shi Jia with 2 villages, 27 harvesting units and only 533 ha. The distribution of the various units and area is shown in Table 1. The area of each unit varies from the smallest with 44.5 ha to only 1 ha in area. As mentioned above the bamboo forest dominates the area with smaller patches of coniferous and broadleaf forest types.

该公司承包的竹林分布在其县城的 3 个地区，涵盖了 8 个乡村分为 205 个采伐单元，承包合同由当地林业部门监督管理，且规定了每年依据面积支付承包费用。面积最大的区域在马头山，包括 4 个村 112 个采伐单元，面积 1333.9 公顷；排名第二的区域是鹤城，面积是 886 公顷，包括 66 采伐单元分布在 2 个村子；面积最小的区域是石家，分布在 2 个村 27 个采伐单元，仅有 533 公顷。（详细内容请见表 1）这些区域面积自 44.5 公顷到 1 公顷大小不等。上述区域中竹林占主导地位，少量针叶林和阔叶林。

**TABLE 1 表 1**

**Distribution of the harvesting units within the FMU 采伐单元分布情况**

Geographical unit	Village	Area of each harvesting unit	Dominant Forest type
Hecheng	三江	22.3	Bamboo
Hecheng	三江	16.5	Bamboo
Hecheng	三江	19.1	Bamboo
Hecheng	三江	23.2	Bamboo
Hecheng	三江	19.4	Bamboo
Hecheng	三江	19.0	Bamboo

Hecheng	三江	19.2	Bamboo
Hecheng	三江	13.4	Bamboo
Hecheng	三江	19.2	Bamboo
Hecheng	三江	27.8	Coniferous
Hecheng	三江	5.8	Broadleaf
Hecheng	三江	8.8	Broadleaf
Hecheng	三江	2.4	Bamboo
Hecheng	三江	10.7	Coniferous
Hecheng	三江	18.0	Broadleaf
Hecheng	三江	19.5	Broadleaf
Hecheng	三江	13.8	Bamboo
Hecheng	三江	9.7	Coniferous
Hecheng	三江	18.9	Bamboo
Hecheng	三江	21.1	Bamboo
Hecheng	三江	24.8	Broadleaf
Hecheng	三江	23.6	Broadleaf
Hecheng	三江	14.7	Broadleaf
Hecheng	三江	0.5	Bamboo
Hecheng	云际	13.3	Bamboo
Hecheng	云际	11	Bamboo
Hecheng	云际	26	Bamboo
Hecheng	云际	6.1	Coniferous
Hecheng	云际	18.9	Bamboo
Hecheng	云际	9.3	Broadleaf
Hecheng	云际	10.6	Bamboo
Hecheng	云际	22.3	Bamboo
Hecheng	云际	5	Coniferous
Hecheng	云际	1	Broadleaf
Hecheng	云际	17.9	Bamboo
Hecheng	云际	14.2	Bamboo
Hecheng	云际	20.5	Bamboo
Hecheng	云际	3.7	Coniferous
Hecheng	云际	6	Bamboo
Hecheng	云际	7.1	Broadleaf
Hecheng	云际	15.5	Bamboo
Hecheng	云际	4.7	Broadleaf
Hecheng	云际	12.5	Bamboo
Hecheng	云际	6.2	Coniferous
Hecheng	云际	15	Bamboo
Hecheng	云际	21.4	Bamboo
Hecheng	云际	3.5	Coniferous

Hecheng	云际	1.9	Coniferous
Hecheng	云际	16.8	Bamboo
Hecheng	云际	6.5	Coniferous
Hecheng	云际	2.1	Coniferous
Hecheng	云际	4.5	Broadleaf
Hecheng	云际	16.4	Bamboo
Hecheng	云际	22	Bamboo
Hecheng	云际	1.3	Broadleaf
Hecheng	云际	6	Broadleaf
Hecheng	云际	22.4	Bamboo
Hecheng	云际	3	Bamboo
Hecheng	云际	1.3	Coniferous
Hecheng	云际	23	Bamboo
Hecheng	云际	26.2	Bamboo
Hecheng	云际	22.8	Bamboo
Hecheng	云际	17	Bamboo
Hecheng	云际	24.4	Bamboo
Hecheng	云际	2.7	Broadleaf
Hecheng	云际	2.6	Coniferous
Subtotal		886.0	
Shi Jia	际上	13.6	Bamboo
Shi Jia	际上	10.3	Bamboo
Shi Jia	际上	20	Bamboo
Shi Jia	际上	38.0	Bamboo
Shi Jia	际上	39.6	Bamboo
Shi Jia	际上	23.3	Bamboo
Shi Jia	际上	1.5	Broadleaf
Shi Jia	际上	34.7	Bamboo
Shi Jia	际上	25.9	Bamboo
Shi Jia	际上	20.3	Bamboo
Shi Jia	际上	25.8	Bamboo
Shi Jia	际上	29.2	Bamboo
Shi Jia	际上	17.3	Bamboo
Shi Jia	际上	1.8	Bamboo
Shi Jia	际上	27	Bamboo
Shi Jia	关刀山	11.8	Bamboo
Shi Jia	关刀山	17.5	Bamboo
Shi Jia	关刀山	19	Bamboo
Shi Jia	关刀山	28.3	Bamboo
Shi Jia	关刀山	3.7	Coniferous

Shi Jia	关刀山	11.7	Bamboo
Shi Jia	关刀山	27.2	Bamboo
Shi Jia	关刀山	24.6	Bamboo
Shi Jia	关刀山	24.5	Bamboo
Shi Jia	关刀山	14.5	Bamboo
Shi Jia	关刀山	13.6	Bamboo
Shi Jia	关刀山	8.3	Bamboo
Subtotal		533	
Matoushan	里大源	21	Bamboo
Matoushan	里大源	2.8	Coniferous
Matoushan	里大源	26.5	Bamboo
Matoushan	里大源	21.2	Bamboo
Matoushan	里大源	18.9	Bamboo
Matoushan	里大源	25.1	Bamboo
Matoushan	里大源	3.9	Bamboo
Matoushan	里大源	5.9	Coniferous
Matoushan	里大源	5.8	Broadleaf
Matoushan	里大源	17.6	Bamboo
Matoushan	里大源	6.7	Coniferous
Matoushan	里大源	23.8	Bamboo
Matoushan	里大源	18	Bamboo
Matoushan	里大源	21.2	Bamboo
Matoushan	里大源	1	Coniferous
Matoushan	里大源	10.4	Bamboo
Matoushan	里大源	6.3	Broadleaf
Matoushan	里大源	1	Bamboo
Matoushan	里大源	1.5	Coniferous
Matoushan	里大源	1.5	Broadleaf
Matoushan	里大源	18	Bamboo
Matoushan	里大源	17.7	Bamboo
Matoushan	里大源	12.4	Bamboo
Matoushan	里大源	13.5	Bamboo
Matoushan	里大源	5.7	Coniferous
Matoushan	里大源	2.8	Coniferous/Broadleaf Mix
Matoushan	里大源	10.5	Coniferous
Matoushan	里大源	7.4	Coniferous
Matoushan	里大源	20.2	Bamboo
Matoushan	里大源	10.4	Bamboo
Matoushan	岳家岭	32.4	Bamboo
Matoushan	岳家岭	16.8	Bamboo

Matoushan	岳家岭	6.4	Broadleaf
Matoushan	岳家岭	2.5	Coniferous
Matoushan	岳家岭	4.2	Bamboo
Matoushan	岳家岭	3.3	Bamboo
Matoushan	岳家岭	4.5	Bamboo
Matoushan	岳家岭	3.7	Coniferous
Matoushan	岳家岭	3.0	Coniferous
Matoushan	岳家岭	2.8	Bamboo
Matoushan	岳家岭	4.9	Coniferous
Matoushan	岳家岭	10.3	Bamboo
Matoushan	岳家岭	17.5	Bamboo
Matoushan	岳家岭	3.0	Bamboo
Matoushan	岳家岭	1.9	Coniferous
Matoushan	岳家岭	3.6	Broadleaf
Matoushan	岳家岭	4.1	Bamboo
Matoushan	岳家岭	13.2	Bamboo
Matoushan	杨坊	23.6	Bamboo
Matoushan	杨坊	24.5	Bamboo
Matoushan	杨坊	32.5	Bamboo
Matoushan	杨坊	36	Bamboo
Matoushan	杨坊	16.3	Bamboo
Matoushan	杨坊	23.6	Bamboo
Matoushan	杨坊	25	Bamboo
Matoushan	杨坊	22.8	Bamboo
Matoushan	杨坊	23.9	Bamboo
Matoushan	杨坊	30.5	Bamboo
Matoushan	杨坊	4.8	Bamboo
Matoushan	杨坊	13.1	Broadleaf
Matoushan	杨坊	7.7	Bamboo
Matoushan	杨坊	10	Broadleaf
Matoushan	杨坊	12.3	Bamboo
Matoushan	杨坊	10.6	Broadleaf
Matoushan	杨坊	4.9	Bamboo
Matoushan	杨坊	10.1	Broadleaf
Matoushan	杨坊	12.6	Bamboo
Matoushan	杨坊	6.2	Broadleaf
Matoushan	杨坊	7.3	Bamboo
Matoushan	杨坊	3.9	Bamboo
Matoushan	杨坊	3.6	Broadleaf
Matoushan	杨坊	6.4	Bamboo

Matoushan	杨坊	1.6	Coniferous
Matoushan	杨坊	6.3	Broadleaf
Matoushan	斗垣	33.6	Broadleaf
Matoushan	斗垣	1.8	Bamboo
Matoushan	斗垣	37.5	Broadleaf
Matoushan	斗垣	7.5	Bamboo
Matoushan	斗垣	8.9	Coniferous
Matoushan	斗垣	21.3	Bamboo
Matoushan	斗垣	44.5	Bamboo
Matoushan	斗垣	19.5	Bamboo
Matoushan	斗垣	37.5	Broadleaf
Matoushan	斗垣	4.1	Bamboo
Matoushan	斗垣	1.4	Coniferous
Matoushan	斗垣	12.1	Broadleaf
Matoushan	斗垣	12.3	Bamboo
Matoushan	斗垣	9.3	Broadleaf
Matoushan	斗垣	2.6	Broadleaf
Matoushan	斗垣	20.8	Bamboo
Matoushan	斗垣	15.1	Broadleaf
Matoushan	斗垣	12.6	Bamboo
Matoushan	斗垣	4.7	Coniferous
Matoushan	斗垣	7.7	Bamboo
Matoushan	斗垣	8.6	Bamboo
Matoushan	斗垣	1.1	Coniferous
Matoushan	斗垣	5.7	Bamboo
Matoushan	斗垣	3.8	Coniferous
Matoushan	斗垣	5.4	Coniferous
Matoushan	斗垣	11.6	Coniferous
Matoushan	斗垣	4.7	Bamboo
Matoushan	斗垣	11.3	Bamboo
Matoushan	斗垣	8.6	Bamboo
Matoushan	斗垣	3.0	Broadleaf
Matoushan	斗垣	14.8	Broadleaf
Matoushan	斗垣	5.5	Bamboo
Matoushan	斗垣	5.7	Coniferous
Matoushan	斗垣	2.4	Broadleaf
Matoushan	斗垣	13.9	Coniferous
Matoushan	斗垣	1.0	Bamboo
Matoushan	斗垣	26.6	Broadleaf
Matoushan	斗垣	8.5	Coniferous
Subtotal		1333.9	
<b>Whole FMU</b>	<b>Grand total</b>	<b>2752.9</b>	

### 1.3.2 Land Outside Scope of Certification 未在认证范围内的林地

The FMU leased bamboo plots are all being placed under one management and are under the present forest certification preview. Owing to the scattered and sizes of these bamboo plots the FMU has worked with the County Forestry Agency on protected ecosystems outside the FMU. The FMU does not own other forest areas outside of the one seeking certification.

该营林单位租赁的所有的竹林都在统一管理下，且涵盖在当前认证范围内。鉴于这些竹林的面积和零散分布，该营林单位就其经营范围外的生态系统保护工作与当地林业部门共同合作完成。

## 1.4 Management Plan 经营方案

### 1.4.1 Management Objectives 经营目标

- The main objectives listed in the forest management plan are to 森林经营方案中列出的主要目标是：
- Increase productivity of the bamboo forest through proper management techniques
- Improve regeneration of selected tree species through planting
- Protect forest resources and ecological functions especially on sites with slopes above 35 degrees, along rivers and water catchment area.
- Enhance fire protection measures and pests and diseases control
- Ensure sufficient funding for all these activities

通过适当的经营技术提高竹林生产力；

通过种植优势树种改善繁殖能力；

保护森林资源和生态功能，特别是大于 35 度的斜坡、河流沿岸地带；

加强防火措施及病虫害防治；

保证所有营林活动所需的基金充足。

### 1.4.2 Forest Composition 森林结构

The forest consisted mainly of bamboo covering an area of 76.42% of the total area with scattered trees among the bamboos. This bamboo forest is dominated by the monopodial bamboo species of *Phyllostachys pubescens*. Small patches of forest with Coniferous and broadleaf tree species are also present in the FMU. The first group consists mainly of

Chinese fir (*Cunninghamia lanceolata*) and Pine (*Pinus massoniana*) which are of commercial importance. The first group consists mainly of Chinese fir (*Cunninghamia lanceolata*) and Pine (*Pinus massoniana*) while broadleaf species are *Choerospondias axillaris*, *Elaeocarpus decipiens*, *Elaeocarpus sylvestris*, *Mallotus philippinensis*, *Sapium sebiferum*, *Castanopsis carlesii*, *Castanopsis eyrie*, *Castanopsis fabri*, *Castanopsis fargesii*, *Castanopsis fordii*, *Castanopsis jucunda*, *Castanopsis nigrescens*, *Castanopsis sclerophylla*, *Castanopsis tibetana*, *Cyclobalanopsis glanuca*, *Cyclobalanopsis gracilis*, *Cyclobalanopsis jenseniana*, *Cyclobalanopsis nubium*, *Cyclobalanopsis stewardiana*, *Fagus longipetiolata* and *Lithocarpus cleistocarpus*.

该林地组成主要是毛竹，覆盖面积达到总面积的 76.42%，其中毛竹林中零散分布其他一些树种。竹林中主要种类是毛竹，也包括小面积的针阔叶林。第一组主要由商业意义的杉木和松树（马尾松）组成，同时阔叶树种有南酸枣、杜英、山杜英、粗糠柴、乌柏、小红栲、甜槠、罗浮栲、丝栗栲、南岭栲、乌楣栲、黑叶栲、苦槠、钩栲、青冈、小叶青冈、大叶青冈、云山青冈、褐叶青冈、水青冈、包石栎等。

#### 1.4.3 Silvicultural Systems 森林作业系统

The forest area is presently managed to optimize production of the monopodial bamboo species of *Phyllostachys pubescens*. Eventually as indicated in the Forest Management Plan harvesting will also be carried out on the small amount of Chinese fir (*Cunninghamia lanceolata*) and Pine (*Pinus massoniana*) within the forest. Artificial regeneration by seedlings will also be implemented to supplement the available natural regenerated trees. 该林地的经营目标是为了增大毛竹的产量，林地内少量的杉木和松木（马尾松）也最终将执行森林经营方案中提到的采伐方式。

#### 1.4.4 Management Systems 管理系统

It was estimated in the *Forest Management Plan 2008 to 2012* that there are 4,546,500 poles of *Phyllostachys pubescens* and other bamboo species in the FMU. The bamboo species is harvested at the age of 4 years but not exceeding 7 years for optimum yield. Following harvesting natural regeneration is practiced with culling of the bamboo shoots produced to ensure optimum growth of the retained shoots. Annual harvest is projected at 1,012,300 poles or 482 poles per ha with a retention of a minimum 2,000 poles per ha as source of bamboo shoots for natural regeneration. With proper management system the bamboo forest is expected to produce 900 shoots per ha and 485 poles per ha in a year. This is projected that annually there will be 1,031,700 poles produced in the FMU.

据森林经营方案 ( 2008-2012 ) 中预算 , 林地内有 4,546,500 株毛竹。毛竹的采伐年限一般是 4 年生 , 但不能超过 7 年 , 以实现最佳产量。采伐后的天然更新方式确保保留下的竹笋的最佳生长。预计年度采伐 1,012,300 株或每公顷 482 株 , 每公顷最少保留 2000 个竹笋以保证竹林的天然更新。在合理的管理体系指导下 , 竹林预期年产量为每公顷 900 个竹笋和毛竹 485 株/公顷。该林地预计年产量将达到 1,031,700 株。

The FMU has not embarked on harvesting of the tree species on a commercial scale. The management plan has also indicated that there is 2,912 m<sup>3</sup> of hardwood consisting of young, middle and mature aged forests with only a small amount is at the mature stage.

该营林单位尚未采伐木材 , 营林方案中包括由幼龄、中龄林和成熟林组成的杂木 2912 立方米。

#### 1.4.5 Monitoring System监测系统

The monitoring system is developed in line with the National Forestry Act with an integrated and preventive approach. Growth data of each species is documented within the area. There are written guidelines on monitoring in *FSC-FM-038 Forest Monitoring & Evaluation Plan* and *FSC-FM-024 Chain of Custody Management*. These guidelines were written in preparation of the certification assessment and data from periodic monitoring were not presented. Growth data projected for bamboo and tree species were presented in the Forest Management Plan.

监测系统符合国家林业法的综合与预防原理，该地区的树种调查数据已形成文件，并且有书面指导文件 *FSC-FM-038 森林监测与评估方案*和 *FSC-FM-024 产销监管链管理手册*。这些书面文件的准备是为了认证需要，定期的数据监测尚未开展，有关毛竹和木材的生长数据已包括在营林方案中。

There is also a defined system of monitoring the transportation of bamboo poles from the harvesting sites to the mill. The bamboo poles are harvested from designated plots by the harvesting contractors and loaded onto trucks. A docket slip recording the number of bamboo poles, size of poles as well as their origin, receiving point of the bamboo, driver name, vehicle number, date and time of transporting the bamboo poles is issued for each load. These data are then summarized in a transport certificate issued by DASSO bamboo mill. The load of bamboo poles will only be accepted at the factory when the transport certificate is in order following verification.

毛竹从砍伐现场到加工地点的运输过程附有专门的监督系统。采伐承包商负责在指定地点砍伐毛竹并搬运到卡车上，每车货物都会附带一份记录单，内容包括：毛竹数量、大小及来源、接收点、司机姓名、车辆号码、运输日期和时间。这些数据将由大庄毛竹加工厂归纳总结并颁发运输凭证，只有核查运输凭证后工厂才会接收这批毛竹。

#### 1.4.6 Estimate of Maximum Sustainable Yield预计最大可持续产量

The estimated productivity for the bamboo forest is at 1,012,300 poles annually. This was based on the area of bamboo forest and the estimated number of bamboo poles.

依据竹林面积和毛竹数量，竹林预计年产量在 1,012,300 株。

### **1.4.7 Estimated, Current and Projected Production当前产量与预计产量**

Based on the 5 year management plan the estimated production is at 1,012,300 poles annually. This figure may differ from the current figure as there was a severe snow storm in late 2007 resulting in serious damages to the bamboo forest. The FMU management is currently salvaging all broken bamboo poles to encourage greater production of bamboo shoots for the next generation.

根据 5 年营林方案估计年产量为 1,012,300 株，但由于 2007 年年底雪灾影响会造成此数据与当前数据存在差别。营林单位清理了所有的受灾竹子以确保下一代竹笋的产量。

## **2.0 GUIDELINES/STANDARDS EMPLOYED指南/标准**

The SCS Interim Standard for Forest Management Certification in China V 1.0. (January 22, 2009) was adopted for this full evaluation audit.

本次主评估审核标准：中国森林经营认证 SCS 内部标准 1.0 版 ( 2009 年 1 月 22 日 ) 。

## **3.0 THE FULL EVALUATION ASSESSMENT PROCESS主评估过程**

### **3.1 Assessment Dates审核日期**

**Certification Audit:** 9-13 March 2009

认证审核：2009 年 3 月 9 日至 13 日

### **3.2 Assessment Team审核小组**

Dr. S.K.Yap was the lead auditor with Mr. Shengfu Wu and Dr. Zhao Jie as auditors for the certification audit. The team was assisted by an observer Ms Tian Lili.

S.K.Yap 博士作为审核小组组长带领小组成员吴盛富先生、赵劭博士完成审核工作，审核员助理田莉丽也参加了整个审核过程。

CVs of auditors 审核员简历

**Dr. S.K.Yap, ([sonkheong@hotmail.com](mailto:sonkheong@hotmail.com)):**

Dr. Yap S. K. is currently an independent consultant on forestry, arboriculture and environment. He has a B.Sc. Hons. Second Class Upper (Botany) Ph. D. (Forest Biology) under the University of Aberdeen (Scotland) and University of Malaya Fellowship in Tropical Rain Forest Project. His working career started as a research officer in the Forest Research Institute Malaysia (FRIM) after his postgraduate research in the reproductive biology of forest trees. Prior leaving the institute he was the senior research officer and

Program Leader for the Urban Forestry for the Enhancement of the Environment responsible for the development of research activities in urban forestry. Constantly on call for providing technical advise on tree planting and maintenance to governmental agencies, semi-governmental bodies and private developers. Working closely with local authorities, the Department of Housing and Local Government, Department of Town and Country Planning and City Hall Kuala Lumpur.

He left the government service and was in the corporate sector involving in landscape development projects of the nation before establishing a consultancy on forestry and environment. He is an independent auditor appointed by SIRIM QAS to conduct Forest Management Certification under the cooperation between SIRIM and Forest Stewardship Council (FSC) accredited certifier - Scientific Certification System (SCS) of USA and Malaysian Timber Certification Council. He had conducted 82 forest management and RSPO audits under SCS/SIRIM-FSC and Malaysian Timber Certification Council. He was the Lead Auditor for 58 of the above assessment exercises. He is also an EMS ISO 14001 and RSPO auditor with SIRIM. He was the forest/flora ecology consultant for EIA study for landfill, thermal incinerator, forest conversion to plantation and aluminium smelter projects in the country. In 2005 he conducted 7 workshops and another one in March 2009 on EIA for the Malaysian Nature Society, Forest Certification for the Department of Forestry and another on macro EIA for the Forestry Department of Perak in 2006.

He has international experience as a FAO consultant for seed technology for the Indian Council of Forestry 1993. He was also a member of the International Union of Forestry Research (IUFRO) Working Party on Seed Problems, Member of the Acid Precipitation Committee of Japan International Forestry Promotion Organization. 1993 to 1995 and Project Leader ASEAN-Australian Tree Improvement Project in 1986 to 1987. He was actively involved with the ASEAN-Canadian Forest Tree Seed Project from 1985 to 1995 as co-chairman of the working group.

Outside his official duties Dr. Yap was the Hon. Secretary of the Malaysian Nature Society (MNS) 1992 to August 1996 and Council Member of the MNS 1989 to August 2000. He was also a member of the Technical Committee on National Park (Johor) Corporation. 1993 to 1995 and Alternate Member of the Board of Directors of the National Park Corporation (Johor) 1993 to 1995. On environmental related issues he actively participated as an Alternate Member of the National Environmental Quality Council, Ministry of Science, Technology and Environment from 1994 till 1996. He was also a member of the ad hoc Committee on EIA Review, Department of Environment. He was the Expedition Leader for The MNS Belum Expedition 1993-1994. In 2004 he conducted three workshops on EIA Review for the Malaysian Environmental NGOs under the sponsorship of DANIDA.

Dr. Yap S. K. 现在是林业、树木培育、环境方面的独立咨询顾问。他拥有英国阿伯丁大学二级上等理学学士学位（植物学），哲学博士（森林生物学），并获得马来西亚大学关于热带雨林项目的奖学金。他的职业经历开始时，在马来西亚森林研究

所担任研究员，那时他已经完成了关于森林树木的生殖生物学的研究生课程。离开研究所之前，**Dr. Yap** 已经是用来改善环境的城市林业学方面的高级研究员与项目负责人，负责城市林业学研究活动的发展。经常应邀向政府机构，事业机关及私人企业提供树木种植与养护方面的技术建议。他与当地政府机构工作关系非常紧密，如住房部、地方政府、城镇及乡村规划部以及吉隆坡市政厅。

**Dr. Yap** 建立了林业及环境的咨询制度以后，离开政府机构，供职于涉及国家景观发展项目的企业。**Dr. Yap** 被马来西亚工业标准局任命为独立审计人，在马来西亚标准局，森林管理委员会 FSC 许可的审核员 - 美国科学认证体系 SCS，以及马来西亚木材认证理事会的合作关系之下，负责处理森林经营认证事务。他已经完成了 82 项森林管理与棕榈油可持续发展圆桌会议的审计项目。他是其中 58 个审计项目的首席审核员。2005 年，**Dr. Yap** 开办了 7 家工厂，2009 年 3 月又开办了第八家。他有国际工作经历，在 1993 年，他作为联合国粮食及农业组织的顾问，为印度林业理事会提供种子技术方面的咨询建议。他也是国际林业研究联盟种子问题工作组及日本国际林业推广组织酸雨委员会的成员（1993 至 1995），从 1986 到 1987 年，东盟 - 澳大利亚树木改造项目的负责人。从 1985 年到 1995 年，作为联席主席，**Dr. Yap** 也积极参与东盟 - 加拿大森林树种项目。

在公务之外，**Dr. Yap** 是马来西亚自然学会的名誉秘书长（1992 至 1996），理事会成员（1989 至 2000）。他也是国家公园公司技术委员会的成员及董事会的侯补委员。从 1994 至 1996 年，作为国家环境质量理事会和科技与环境部的侯补委员，他积极参与与环境有关的各种议题。在 2004 年，他开办了三家工厂，在丹麦国际开发署的资助下为马来西亚民间环境组织提供环境影响评估审核。

Auditor

### **Dr. Zhao Jie 赵劫博士**

Dr. Zhao Jie has a Doctorate Degree in Forestry from the Beijing Forestry University and is currently an Associate Professor of Sustainable Forest Management of Plantation and Forest Product Market in Chinese Academy of Forestry, and has 14 years of experience in the field of forest management. He attended international training courses in FSC certification in Sweden, Chile and the UK and has over 5 years experience with FSC auditing in China. 赵劫在北京林业大学取得博士学位，目前就职于中国林业科学研

究院，是人工林可持续森林经营和林产品市场方面的教授，拥有 14 年森林经营的经验。曾在瑞典、智利和英国参加FSC认证培训，有 5 年在中国FSC审核的经验。

Auditor

**Mr. Shengfu Wu 吴盛富先生**

Mr. Shengfu Wu completed Master Degree majoring in Forestry Economy from Beijing Forestry University in 1999 after his Bachelor Degree in Wood Science & Technology from Nanjing Forestry University in 1984. He has worked 24 years on forest products and forestry management with his initial career on research on forest products and quality management in the Institute and as an officer for the Department of Forest Industry of the Ministry of Forestry.

Shengfu has wide international experience and had held leadership position with the Raute Oyj China, and provide lectures for government, institutes, associations and university in different countries. He has also worked on both national and ISO standard team on wood based panel ISO/TC89 and timber ISO/TC218.

He is currently serving in the work program Towards Sustainable Management of Planted Forest of FAO and the Plantation Certification Scheme under the SFA thus familiar with the certification programs of FSC, PEFC and the China national scheme. He received full time training for 8 months under the Timber Research and Development Association (TRADA U.K.) sponsored by FAO in 1990; two weeks training on the timber processing technology in Nastola Finland in 1995; received one week ISO9001 training in LRAC –TRADA U.K. and earned the lead auditor certificate in 2004; received one week plus three side auditor training on the CE marking and become the lead auditor in 2004; received 4 side auditor training both in UK and USA on the FSC /CoC together with leader auditors in 2006&2007; received one week Forest Certificate training and one week ISO14001 from the State Forestry Administration and earn the certificate in 2007; and received 2 side auditor training on the Forestry Management in 2008.

From 2003 to present he is the Director of Green Panel Consulting and Director of the market department of China National Forest Products Industry Association. He has also experiences in the administration and organization of scientific and technological studies in the forest industry market/project studies on different certification schemes on forest products industry from both home and abroad as well as management on the forest product industry on its technology, machinery, market etc. He is also in charge of short term missions, such as professional short term consultancies and studies.

He is the chief representative of Raute Oyj Beijing Office responsible for its administration on China business and projects implementations. He conducts study on the plywood technology in the China plywood industry comparing with the rest of the world. He also does market analysis for the Raute machinery possibilities on China plywood industry together with marketing and sales of Raute technology and machinery and well as the reconditioned machineries.

From 1992-1994 he is the officer in the Department of Forest Industry of the Ministry of Forestry responsible for the administration and management on the forest industry, project evaluation and improvement on the forest industry with Import & Export policy for projects implementations. During 1984-1992 he was the deputy director of China National Testing Center on Wood Based Panels, China Academy of Forestry responsible for administration on wood based panels testing, projects implementation, business development. He has developed the different testing methods on the wood based panels, the product standards on the level of Industrial, national as well as international consulting on the product, quality, industry etc.

Other experiences are 1999/5(2001/9) in the Sino-Finland Forestry Project Meetings and Study with Ministry of Agriculture and Forestry in Helsinki, visit the Forestry Research Institute, Forestry department of the University, harvesting machinery & technology companies, also visit the different forest in Finland. 2004/5 U.K. –Bath University to provide two presentations on the bamboo industry and product quality for the under graduate students and post graduate students. Exchange the views with the professors on the engineering product for the structure purpose. From 2006/1 Indonesian –Apkindo One week consulting works on forest management and products development and its marketing. Invited by the APKINDO Indonesia to provide a presentation in Jakarta for the forest industry representatives. Visits to the forestry, processing manufactures, meeting and discussion with the Ministry of Forestry, Industry Association and the manufactures to illustrate the problems, improvement of the management and processing technology and product quality and marketing. 2007/02 U.S.A Madison, WI Invited by the Forest Products Laboratory(FPL) of USDA Forest Service in One Gifford Pinchot Drive, Madison, WI to provide presentation on China Woodworking Industry and technical meetings with the FPL staffs on industrial and technical. 2007/04 Italy Venice Team leader to participate the ISO TC/89/S3 meeting, provide the presentation on the LVL and plywood development in China, provide two new ISO standard proposals on blockboard and fancy plywood. Study of comments on ISO/DIS 12466-1 “Plywood – Bonding quality – Part 1 : Test methods”, Study of comments on ISO/DIS 12466-2 “Plywood – Bonding quality – Part 2 : Requirements”, Study of comments on ISO/DIS 18776 “Laminated veneer lumber (LVL) – Definitions and requirements (enquiry close on 2007.03.12)”. 2007/10 Ukraine Lvov. As team leader to participate the ISO TC/218 meeting, provide the presentation on the Development of the Woodworking Industry in China. Study of comments on ISO 3129: Wood –Sampling Methods and General Requirements for Physical and Mechanical Tests. Resolution of the meeting for WG 6 Wooden products. 2008/01 Thailand, Chiang Mai. Team member to participate the FAO activities on Towards Responsible Management of Planted Forest, A regional workshop for the implementation of the Voluntary Guidelines for Responsible Management of Planted Forests

吴盛富先生于 1984 年从南京林业大学学士毕业，后于 1999 年在北京林业大学取得硕士学位。他已从事林产品和林业管理工作 24 个年头了，最初林产品调查，后在林业部任林产品官员。

他曾任劳特公司中国首席代表，在许多国家为政府、学术机构、协会和大学讲课。同时他还担任编制中国和 ISO 标准工作组的人造板标准 ISO/TC89 和木材 ISO/TC218 标准。

吴盛富先生现在负责联农组织的可持续森林管理项目，同时从事 SFA 的人工林认证项目，熟悉 FSC、PEFC 和中国国家项目。

1990 年参加了由联合国粮农组织赞助，由木材研究和发展协会主办的 8 个月培训；1995 年芬兰参加了为期两周的木材加工技术培训；2004 年在 LRAC -TRADA U.K 接受了为期两周的 ISO9001 培训，并取得了主任审核员证书；2004 年接受了为期一周的 CE 培训并成为主任审核员；2006-2007 在英国和美国接受 FSC-COC 的 4 边审核员培训并成为主任审核员；2007 年在国家林业局接受一周的森林认证培训和一周的 ISO14001 培训，并取得证书；2008 年接受森林经营认证培训。

从 2003 年至今吴盛富先生任北京绿奥诺建筑板材咨询中心的总经理，并任中国林产工业协会市场部主任。他具有从事国内外对林产品的科学技术研究的丰富经验，同时还从事林产品在技术、机械、市场等方面的管理的经验。他也从事一些短期项目，如专业的的咨询和研究。

他是劳特公司的中国首席代表，负责中国市场和项目执行。他进行了中国人造板行业的研究，同时对劳特机械在中国市场进行市场分析，同时销售技术和机械。

1992-1994，他任林业部林产品部门的官员，主要负责林业监督和管理、项目评估和改进、项目执行的进出口政策。1984-1992，他任中国林科院中国国家人造板检测中心副主任，负责林产品检测、项目执行和市场开发。他发展了人造板不同的检测方法、国家和行业的产品标准和关于产品、质量和行业等的国际咨询业务。

1999 年 5 至 2001 年 9 月，参加赫尔辛基的中国芬兰林业项目会议，参观了林产品研究机构、林业部门的大学和芬兰的森林。2004 年 5 月在英国的 Bath 大学为本科生和研究生进行了两场题为竹行业和产品质量的演讲。2006 年 1 月在印度尼西亚进行为期一周的森林经营和产品开发与市场咨询工作。被邀请成为行业代表在雅加达进行演讲。参观了林场、生产企业、与相关林业机构进行讨论。2007 年 2 月被 FPL 邀请就中国木材加工行业和技术做主题演讲。2007 年 4 月参加 ISO TC/89/S3

会议，进行两个提案。作为小组组长，参加了 SO TC/218 会议，进行了中国木材加工行业发展的主题演讲。2008 年 1 月在泰国参加了联合国粮农组织针对负责任的人工林的管理会议。

### 3.3 Assessment Process 评估过程

#### 3.3.1 Itinerary 行程

Date 日期	Time 时间	Activities 活动
9 March 2009	7.30 am-11.30 pm	Flights from Malaysia and Beijing. Arrival at Zixi town 抵达资溪
Day 1 10 March 2009	9.00 –10.00 am  10.30-12.30pm  12.30 –2.00 pm 2.00 – 5.00 pm 6.00-7.00 pm	<p>Opening meeting 首次会议</p> <ul style="list-style-type: none"> <li>• Lead Auditor briefing on the objectives of the certification evaluation assessment 主任审核员介绍认证评估目的</li> <li>• Briefing by the FMU on actions taken to attain FSC Certification specifications following the pre-certification assessment. 营林单位负责人介绍预评估后采取的改进措施</li> <li>• Review of documentation 审核文件</li> </ul> <p>Meeting with the Representative from the County Government Administration Office, Forestry Agency and Environmental Protection Agency of Zixi County. 会见资溪县政府、林业局和环保部门代表。</p> <p>Lunch Break</p> <p>Meeting with FMU staff, representative from the local community. 会见营林单位员工以及当地社区代表。</p> <p>Auditors meeting 审核员会议</p>
Day 2 11 March 2009	8.30 – 12.00 pm 2.00- 4.00 pm 5.00 –6.00 pm	<p>Inspection of bamboo harvesting in Mah Tou Sun of Region I 核查马头山毛竹砍伐</p> <p>Meeting with harvesting contractor 会见采伐承包商</p> <p>Visit to a local community 访问一位当地社区人员</p> <p>Visit to the protected forest of the Forestry Agency at Mah Tou San and its water catchment area 参观马头山森林保护区和水库</p> <p>Auditors meeting</p>
Day 3 12	8.30 am-12.00 pm	Inspection of bamboo forest severely damaged by snow

March 2009	1.00 - 2.00 pm 2.00 – 4.00 pm 8.00 - 8.30 pm	storm of 2007 in the Region II. 检查被 2007 雪灾损坏的竹林情况  Inspection of the dormant plots in Region I.  Meeting with the officer in charge of the Zixi Forest Checking Station, Zixi County Forestry Bureau. Inspection of fertilizer store of the FMU 会见资溪林业检查站、资溪县林业局办公人员。检查营林单位的化学品库房。
Day 4 13 March 2009	8.30 am – 12.00 pm 3.00 pm-6.00 pm	Preparation of closing report Closing meeting Travel to Nanchang
Day 5 14 March 2009	10.00 am	Flight from Nanchang

### 3.3.2 Evaluation of Management System 经营体系评估

For this evaluation assessment all documentation were examined in the office of Jiangxi Nanfang Linchang office and then verified in the field.

本次评估检查了江西南方林场的所有文件资料，同时也进行了实地考察。

### 3.3.3 Selection of FMU's to Evaluate 评估FMU的选取

The forest management operation undergoing certification consists of a single Forest Management Unit but with harvesting areas spread over 3 geographical regions of the Zixi County. All three areas were selected to visit.

本次认证林地由一个营林单位进行管理，但分布在资溪县的 3 个地理区域，审核中 3 个地区均已抽样检查。

### 3.3.4 Sites Visited 访问场所

The field inspection was conducted in the three geographical zones and subunits of the FMU. Protected Forest of the County Forestry Agency was also visited. Only one of the sites inspected was undergoing bamboo poles harvesting. The process was manually conducted by contractor using only modified axe for cutting the bamboo poles and sliding the poles down the slopes. There was no skid trails at the site as in timber harvesting except for the network of harvesting roads for transportation purpose.

此次实地审核范围包括了该营林单位的 3 个地理区域的多个小班，同时也到其县自然保护区参观。只有一处竹林在进行采伐，整个过程均是人工采伐，由承包商使用镰刀将竹子伐倒并沿着斜坡滑到坡底。林区内采伐现场没有刹车痕迹。

### 3.3.5 Stakeholder Consultation 利益相关方咨询

Pursuant to SCS protocols, consultations with key stakeholders were an integral component of the evaluation process. Consultation took place prior to and concurrent with the field evaluation. The following were distinct purposes to the consultations:

依据 SCS 协议，同主要利益相关方咨询是整个审核过程必不可少的部分。在实地审核前和审核中都有向利益相关方咨询，以下是不同目标的询问：

To solicit input from key stakeholders as to the applicability of the SCS interim draft standard, as modified to reflect forest management in China.

向主要利益相关方关于 SCS 针对中国森林经营的标准草案征求意见；

To solicit input from affected parties as to the strengths and weaknesses of Jiangxi Nanfang Linchang Ltd. management, relative to the standard, and the nature of the interaction between the company and the surrounding communities.

向受影响的组织，就江西南方林场经营管理方面的优缺点、有关标准、企业与周边社区的互动关系等征求意见；

To solicit input on whether the forest management operation has consulted with stakeholders regarding identifying any high conservation value forests.

了解森林经营单位是否就高保护价值林地向利益相关方咨询；

Principal stakeholder groups of relevance to this evaluation were identified based upon results from the scoping evaluation. The following types of groups and individuals were determined to be principal stakeholders:

此次评估中涉及的利益相关方是根据评估范围界定的，见下：

- Jiangxi Nanfang Linchang employees in the field
- Contractors for harvesting
- Local communities
- Local and regionally-based environmental organizations and conservationists
- Local and regionally-based social interest organizations
- 江西南方林场员工
- 承包商
- 当地社区
- 地方环保组织
- 当地社会感兴趣的组织

The evaluation team contacted individuals and organizations within each of these stakeholder groups prior to the assessment by e mail. In total, 14 groups and individuals were approached but only the governmental agencies responded and they also attended the in-person interviews (see section 3.3.5.1 for a summary of their comments). Names of groups and individuals that commented and were willing to allow names be listed in the report, are listed below:

审核小组在评估前以邮件的形式通知各利益相关方，共 14 个组织与个人，仅政府部门回应并同意访问（见 3.3.5.1）。下表是给出评论的且同意透露姓名的组织与个人：

Name	Affiliation	Consultation
Mr. Wan Ming 万鸣	Vice-President, Zixi County Administration 资溪县人民政府副县长	Interview and written reply
Mr. Hu Ding 胡锭	Director General, Zixi County Environmental Protection Agency 资溪县环保局局长	Interview and written reply
Mr. Zhang Yuanqing 张元庆	Deputy Director General, Zixi County Forestry Agency 资溪县林业局副局长	Interview and written reply
Mr. Li Chungcheng 李春生	Contractor for bamboo harvesting 毛竹砍伐承包商	Interview

Mr. Zhang Ailong 章爱龙	Employee of FMU	Interview
Mr. Yin Ruilin 尹瑞林	Employee of FMU	Interview
Mr. Yin Wanli 尹万里	Employee of FMU	Interview
Mr. Wu Yigao 吴益高	Employee of FMU	Interview
Mr. Wang Zhen 王震	Employee of FMU	Interview
Headmen of 11 villages	Representatives from local communities	Through questionnaires sent following the field inspection.

**3.3.5.1 Summary of Stakeholder Concerns and Perspectives and Responses from the Team Where Applicable 综述利益相关方的关注点及小组答复**

**3.3.5.2**

**Environmental groups 环境组织**

<b>Comment/Concern 评语/关注</b>	<b>Response 答复</b>
<ul style="list-style-type: none"> <li>There were no response from these groups</li> </ul>	None

**Community Groups & Local Residents, Including Indigenous Peoples  
社区组织和当地居民 ( 包括少数民族 )**

<b>Comment/Concern</b>	<b>Response</b>
<ul style="list-style-type: none"> <li>Generally had expressed satisfaction with the present arrangement of leasing out their land.基本满意现状</li> <li>Able to utilize the bamboo forest for their livelihood without being hindered by the FMU 可以通过竹林维持生计，未受该营林单位妨碍</li> </ul>	Duly noted

**Governmental Organizations 政府组织**

<b>Comment/Concern</b>	<b>Response</b>
<ul style="list-style-type: none"> <li>Governmental Administrative Office Zixi County 县人民政府 Stated that the FMU has provided excellent opportunities to local people job opportunities in the bamboo industry. The company has also obeyed all regulations of the county and paid all dues specified under the county administration.该营林单位为当地居民提供了很好的就业机会，且遵纪守法。</li> </ul>	Duly noted
<ul style="list-style-type: none"> <li>Forestry Bureau Zixi County 县林业局 The Bureau responded that the FMU has operated in the area in compliance with the forestry regulations Forest Laws of the People’s Republic of China in its management of the bamboo forest. Its</li> </ul>	From the documentation provided and the field inspections conducted during the assessment the FMU has complied with all regulatory authorities. It has worked closely with the Forestry

<p>harvesting regime is within the level determined by the Forest Bureau taking conservation measures for flora and fauna. It has good silvicultural practices on encouraging good growth of the bamboo species. 该营林单位的营林活动符合相关林业法律的要求，其采伐技术符合林业规定水平同时考虑动植物的保护。其优良的造林方式有利于毛竹的良好生长。</p>	<p>Bureau in the documentation of protected flora and fauna. 从所提交文件中得知该营林单位符合林业法律要求，且就动植物种保护方面体现出与林业局的密切合作。</p>
<p>• Environmental Protection Bureau Zixi County 资溪县环保局 The Bureau confirmed that the FMU has not in the management process result in pollution of the surrounding environment. Its operation has maintained proactive actions to protect the water resources and not permit any discharge of dangerous chemicals to the environment 营林活动未破坏当地环境，采取实际行动保护水资源同时禁止使用有害化学物。</p>	<p>As in the case of the Forestry Bureau the FMU has good working relationship with the Environmental Protection Bureau. The government agency is proud of the good records of environmental conditions of the district indicating low impacts of the FMU on the environment. 该营林单位同环保局合作。政府部门非常满意该林场的营林活动未对环境造成危害。</p>

**Employees and Contractors: 员工和承包商**

<b>Comment/Concern</b>	<b>Response</b>
<p>• Employees of the FMU The employees of the FMU had indicated some understanding of the specifications of FSC Principles and Criteria. There were no complaints on the conditions of employment. 员工对 FSC 原则与标准有一定了解，且对其聘用条件没有争议。</p>	<p>They will have to be guided further on the requirements of FSC Principles and Criteria- CAR 2009.1 需要更进一步接受培训。</p>

**Comments on Draft Interim Standard 内部标准草案评论**

<b>Comments</b>	<b>Response</b>
<p>• None of the agencies or individual</p>	<p>SCS will send another</p>

	<p>version of the standard out prior to the next assessment in China. SCS 将在中国进行下一个评估时发行另外一个版本。</p>
--	-----------------------------------------------------------------------------------------------------

### 3.3.6 Other Assessment Techniques 其他评估技术

Only field surveys of selected sites within the bamboo forest sites of the FMU were conducted while documentation assessment was done in the office at Hecheng, Zixi County. 仅对营林单位竹林进行抽样开展实地调查，文件评估在资溪鹤城办公室完成。

This report was submitted to one Peer Reviewer for comments and assessment of the CARs raised during the audit.

邀请业内专家评阅此报告，并审核报告中的 CARs。

### 3.4 Total Time Spent on pre-evaluation audit 预评估审核时间

A total of 14 person-days were spent on this evaluation audit. One day was for preparation and 10 days were spent in reviewing documents and site inspection with 3 days for report writing. 本次评估审核共用 14 个工作人日，1 天准备时间，10 天审核文件和现场审核，3 天书写报告。

### 3.5 Process of Determining Conformance 符合性判定过程

FSC accredited forest stewardship standards consist of a three-level hierarchy, principle, then the criteria that make up that principle, then the indicators that make up each criteria. Consistent with SCS Forest Conservation Program evaluation protocols, the team collectively determines whether or not the subject forest management operation is in conformance with every applicable indicator of the relevant forest stewardship standard. Each non-conformance must be evaluated to determine whether it constitutes a major or minor non-conformance at the level of the associated criterion or sub-criterion. Not all indicators are equally important, and there is no simple numerical formula to determine whether an operation is in non-conformance. The team must use their collective

judgment to assess each criterion and determine if it is in conformance. If the forest management operation is determined to be in non-conformance at the criterion level, then at least one of the indicators must be in major non-conformance.

FSC 认可的森林管理标准由三个部分组成：原则、标准及指标。依据 SCS-FCP 森林保护计划评估协议，审核小组搜集相关证据以判定森林经营是否符合森林管理标准要求。每个不符合项必须依据相关的标准与指标判定是否为严重或轻微不符合，并非所有的指标都是同等重要，并没有一个简单的计算公式。审核小组必须充分搜集资料以判断每个标准和决定是否正确。若某个标准出现不符合项，那么该标准范围内的指标至少有一个严重不符合。

Corrective action requests (CAR's) are issued for every instance of non-conformance. Major non-conformances trigger major CAR's and minor non-conformances trigger minor CAR's 针对每个不符合都有一个整改措施要求 (CAR's)，严重不符合对应 Major CAR's，轻微不符合对应 Minor CAR's。

***Interpretations of Major CAR's (Preconditions), Minor CARs and Recommendations***  
***Major CAR's (前提), Minor CARs 和建议***

*Major CARs/Preconditions:* Major non-conformances, either alone or in combination with non-conformances of other indicators, result (or are likely to result) in a fundamental failure to achieve the objectives of the relevant FSC Criterion given the uniqueness and fragility of each forest resource. These are corrective actions that must be resolved or closed out prior to award of the certificate. If major CAR's arise after an operation is certified, the timeframe for correcting these non-conformances is typically shorter than for minor CAR's. Certification is contingent on the certified operations response to the CAR within the stipulated time frame.

*Major CARs/前提:* 严重不符合，由于未能达到 FSC 标准中针对森林资源的有关要求导致不符合一个或多个指标内容。在认证批准前必须关闭不符合项，如果在认证通过后出现严重不符合，给定整改时间要少于轻微不符合。证书表示认证企业在规定期限内完成整改。

*Minor CARs:* These are corrective action requests in response to minor non-conformances, which are typically limited in scale or can be characterized as an unusual lapse in the system. Corrective actions must be closed out within a specified time period of award of the certificate. 是对轻微不符合采取的整改措施，通常受规模限制或定义为系统漏洞，应在颁发证书后的特定时间内完成整改。

*Recommendations 建议:* These are suggestions that the audit team concludes would help the company move even further towards exemplary status. Action on the recommendations is voluntary and does not affect the maintenance of the certificate.

Recommendations can be changed to CARs if performance with respect to the criterion triggering the recommendation falls into non-conformance.是审核小组的建议，或许能够帮助企业更深一层的规范管理，企业自愿采取行动不影响认证通过。根据对标准的响应情况，若‘建议’降格为不符合很可能会转变为 CARs。

#### **4.0 RESULTS OF THE EVALUATION 评估结果**

Table 4.1 below, contains the auditor’s findings as to the strengths and weaknesses of the subject forest management operation relative to the FSC Principles of forest stewardship. The table also presents the corrective action request (CAR) numbers related to each principle.

表 4.1 包括了审核员在营林单位依据FSC原则与标准发现的缺点与不足。该表给出了不符合项编号。

**TABLE 4.1 NOTABLE STRENGTHS AND WEAKNESSES OF THE FOREST MANAGEMENT ENTERPRISE RELATIVE TO THE P&C 总结森林经营单位执行P&C标准的优势与不足**

Principle/Subject Area 原则	Strengths Relative to the Standard 优势	Weaknesses Relative to the Standard 不足	CAR/RECs 整改要求与建议
<b>P1: FSC Commitment and Legal Compliance</b> <b>FSC 承诺与守法</b>	<ul style="list-style-type: none"> <li>▪ The FMU management has complied with all local and national regulations</li> <li>▪ Forest managers committed to FSC P&amp;C</li> <li>▪ 森林营林单位遵守国家性和地方性法律法规；</li> <li>▪ 森林经营者承诺遵守 FSC P&amp;C</li> </ul>	<ul style="list-style-type: none"> <li>▪ The FMU has its boundary demarcated by roads and creeks that are accepted by the communities. No distinct boundary markers and signage.</li> <li>▪ Understanding of FSC commitment is not fully acquired by the field staff as well as that of the contractors.</li> <li>▪ 营林单位以当地社区认可的道路与小溪作为林地边界。没有显著的标志。</li> <li>▪ 林地工人和承包商对 FSC 的了解欠缺。</li> </ul>	<ul style="list-style-type: none"> <li>▪ Recommendation 2009.1</li> <li>▪ <b>Minor CAR 2009.1</b></li> <li>▪</li> </ul>
<b>P2: Tenure &amp; Use Rights &amp; Responsibilities</b> <b>所有权&amp;使用权&amp;职责</b>	<ul style="list-style-type: none"> <li>▪ Proper long term lease agreement on its tenure and use rights for the forest presented.</li> <li>▪ Local communities able to work on their land within the FMU</li> <li>▪ Procedure for dispute resolution available</li> <li>▪ 营林单位出示了租赁协议</li> <li>▪ 当地社区人民可在此营林单位内工作</li> <li>▪ 制定了解决纠纷的程序文件</li> </ul>	<ul style="list-style-type: none"> <li>▪ No records of disputes are maintained</li> <li>▪ 未保留纠纷解决记录</li> </ul>	<ul style="list-style-type: none"> <li>▪ <b>Minor CAR 2009.2</b></li> </ul>

<b>P3: Indigenous Peoples' Rights</b> <b>原住居民的权利</b>	<ul style="list-style-type: none"> <li>▪ No documented claims by indigenous communities</li> <li>▪ Local communities are settled farmers involved in the planting of agricultural crops who have leased their land to the company.</li> <li>▪ 没有关于土著居民的文件声明</li> <li>▪ 把其土地租赁给公司经营的当地居民主要在当地务农，种植农作物</li> </ul>	<ul style="list-style-type: none"> <li>▪ No clear identification of special sites with cultural, ecological, economic or religious significance with cooperation of indigenous people</li> <li>▪ A small group of minority people not documented in the management plan</li> <li>▪ Records of the consultative process with local people not documented</li> <li>▪ 未协助土著居民划分特殊场所</li> <li>▪ 营林方案中没有列出少数民族</li> <li>▪ 没有关于当地居民询问过程的记录</li> </ul>	<ul style="list-style-type: none"> <li>▪ <b>Major 2009.1</b></li> <li>▪ <b>Minor CAR 2009.3</b></li> <li>▪ <b>Minor CAR 2009.4</b></li> </ul>
<b>P4: Community Relations &amp; Workers' Rights</b> <b>社区关系&amp;劳动者权利</b>	<ul style="list-style-type: none"> <li>▪ The FMU has provided full benefits to staff</li> <li>▪ Opportunities for employment provided to local people</li> <li>▪ 该营林单位为员工提供了比较丰厚的待遇</li> <li>▪ 为当地居民提供就业机会</li> </ul>	<ul style="list-style-type: none"> <li>▪ Training on workers' safety, use of chemical and environment protection not adequate</li> <li>▪ No records of the routine inspection of safety equipment</li> <li>▪ There is no establishment of a union for labour negotiation</li> <li>▪ 工人安全、化学品使用及保护环境方面培训欠缺；</li> <li>▪ 无安全设备检查记录</li> <li>▪ 未建立关于劳工谈判的工会</li> </ul>	<ul style="list-style-type: none"> <li>▪ <b>Minor CAR 2009.5</b></li> <li>▪ <b>Minor CAR 2009.6</b></li> <li>▪ <b>Minor CAR 2009.7</b></li> <li>▪ Recommendation 2</li> </ul>

<p><b>P5: Benefits from the Forest</b> 森林效益</p>	<ul style="list-style-type: none"> <li>▪ A budget for environmental protection has been written in the management plan</li> <li>▪ There is an optimum use of harvested materials to minimize wastage</li> <li>▪ In addition to bamboo harvest the management plan has also established silvicultural practices of tree species found within the FMU</li> <li>▪ A sustainable production of bamboo poles based on data collected</li> <li>▪ 营林方案中列出了有关保护环境的预算</li> <li>▪ 最佳利用采伐材料减少浪费</li> <li>▪ 营林方案中除了对竹子采伐作了详细规定，还包括竹林中木材树种的抚育管理；</li> <li>▪ 毛竹的可持续生产建立在数据搜集的基础上</li> </ul>	<ul style="list-style-type: none"> <li>▪ Owing to severe snow storm in December 2007 that damaged large area of bamboo forest, the management had to resort to salvage harvesting to encourage new regeneration.</li> </ul> <p>由于 2007 年的雪灾，大面积的竹林不得进行补救采伐以促进新生竹的生长。</p>	<ul style="list-style-type: none"> <li>▪</li> </ul>
<p><b>P6: Environmental Impact</b> 环境影响</p>	<ul style="list-style-type: none"> <li>▪ An EIA report has been written on the FMU which has taken into consideration of the landscape.</li> <li>▪ Use of chemicals is presently confined to pests and diseases control of bamboo</li> <li>▪ Bamboo harvesting is presently manually done thus minimal impact on the forest</li> <li>▪ Presence of buffer belts for rivers</li> <li>▪ 该营林单位完成了环境影响评估报告，且考虑到实际营林活动中；</li> <li>▪ 目前化学品的使用仅限于毛竹虫害和疾病控制</li> <li>▪ 毛竹当前是人工采伐因此对森林影响很低</li> <li>▪ 河流周边设有缓冲带</li> </ul>	<ul style="list-style-type: none"> <li>▪ Riparian buffers not clearly demarcated in the field</li> <li>▪ There are insufficient side drains along harvesting roads as specified in the EIA report</li> <li>▪ A complete list of pesticides and chemicals used in the FMU not available</li> <li>▪ 林地内河岸缓冲带划定不清晰</li> <li>▪ 环评报告中提到的道路排水沟在林地内不能充分体现</li> <li>▪ 没有完成的化学药品使用清单</li> </ul>	<ul style="list-style-type: none"> <li>▪ <b>Minor CAR 2009.8</b></li> <li>▪ <b>Minor CAR 2009.9</b></li> <li>▪ <b>Major CAR 2009.3</b></li> <li>▪ Recommendation 2009.3</li> </ul>

<p><b>P7: Management Plan</b> <b>营林方案</b></p>	<ul style="list-style-type: none"> <li>▪ An approved Forest Management Plan had been prepared</li> <li>▪ 能提供批准后的森林经营方案</li> </ul>	<ul style="list-style-type: none"> <li>▪ The social economic conditions and a profile of adjacent lands not incorporated in the FMP</li> <li>▪ No appropriate indoctrination programme for new forest workers</li> <li>▪ 森林经营方案中没有纳入社会经济条件和邻近土地边界</li> <li>▪ 对新员工没有专门的培训程序文件</li> </ul>	<ul style="list-style-type: none"> <li>▪ <b>Minor CAR 2009.10</b></li> <li>▪ Recommendation 2009.4</li> <li>▪ Recommendation 2009.5</li> </ul>
<p><b>P8: Monitoring &amp; Assessment</b> <b>监测与评估</b></p>	<ul style="list-style-type: none"> <li>▪ Good historical records of planting and silvicultural practices of the FMU</li> <li>▪ Research backing provided</li> <li>▪ COC maintained with appropriate documentation</li> <li>▪ 该营林单位种植及造林实践历史记录良好</li> <li>▪ 支持研究</li> <li>▪ 保留了 CoC 文件</li> </ul>	<ul style="list-style-type: none"> <li>▪ The public summary has not included results obtained from monitoring</li> <li>▪ Information on key indicators particularly socio-economic profiles of the operation not available</li> <li>▪ 对外公布摘要中未包括监测结果</li> <li>▪ 社会经济运作方面的信息不完整</li> </ul>	<ul style="list-style-type: none"> <li>▪ <b>Minor CAR 2009.12</b></li> </ul>
<p><b>P9: Maintenance of High Conservation Value Forest</b> <b>高保护价值林地维护</b></p>	<ul style="list-style-type: none"> <li>▪ The FMU consists of 205 small lots of 1 to 44 ha in area. Preliminary surveys were conducted to assess presence of HCVF attributes.</li> <li>▪ 该林地由 205 个 1 至 44 公顷的小班组成，目前只初步调查了存在 HCVF 的可能性。</li> </ul>	<ul style="list-style-type: none"> <li>▪ A list of stakeholders consulted on HCVF was not made available.</li> <li>▪ The Forest Management Plan has not included specific measures that ensure the maintenance or enhancement of HCVF attributes if they are present.</li> <li>▪ 缺少调查 HCVF 过程咨询的利益相关方名单</li> <li>▪ 营林方案中缺少有关保护 HCVF 的详细措施</li> </ul>	<ul style="list-style-type: none"> <li>▪ <b>Major 2009.2</b></li> <li>▪ <b>Minor CAR 2009.11</b></li> </ul>

## 4.2 Preconditions前提条件

Preconditions are major corrective action requests that are placed on a forest management operation after the initial evaluation and before the operation is certified. Certification cannot be awarded if open preconditions exist.

认证通过的前提条件是完成首次评估之后的严重不符合项整改措施，否则不能颁发证书。

The following pre-condition was placed on Jiangxi Nanfang Linchang Co., Ltd during its initial evaluation. 以下是江西南方林场有限公司在首次评估后存在的前提条件

( pre-condition ) :

<p><b>Background/Justification:</b> There is no clear identification of special sites with cultural, ecological, economic or religious significance with cooperation of indigenous people. Only preliminary surveys were conducted through questionnaires to the communities. Field workers shall also be trained in the appropriate procedures in identification and protection of these sites. There were no maps to identify and demarcate such sites</p> <p>背景/判定：没有为原住居民划定明确的场所，如传统文化、生态、经济或宗教意义等，只是对社区进行了初步的问卷调查。没有任何图示划定这样的区域。</p>	
<p><b>MAJOR CAR 2009.1</b></p>	<p>A collaborative effort with local communities to identify sites with cultural, ecological, economic or religious significance to indigenous shall be conducted. The process shall also be documented and made available to the auditors.应继续搜集有关当地居民特殊活动场所的信息，且向审核员提供有关文件。</p>
<p><b>Deadline</b></p>	<p>Prior to Award of Certification 发证之前</p>
<p><b>Reference</b></p>	<p>Criterion 3.3</p>
<p><b>Status as of May 29, 2009</b></p>	<p>A survey was conducted with collaboration of the local communities and it identified burial sites in 4 sites within the FMU. These sites are being worshiped by the local communities. Three temples sites were also identified but these were not used regularly by local communities and in fact one of them had collapsed 20 years ago. Other religions are practised by some communities but they are outside the FMU. The FMU management has instructed its staff to respect all these sites and also consulted the communities to prevent forest fires during their prayer ritual.</p> <p>经过调查确定该营林范围内有4处林块涉及当地居民的坟墓，当地居民到此祭拜。有3个寺庙也在林区内，其中1个已在20年前倒塌，当地居民已不经常使用。营林单位要求其员工注意这些场所，同时向当地社区提出当地居民在祭拜时防止火灾的发</p>

	<p>生。</p> <p>Social assessment through consultation indicated that the local communities requested designated sites for their livelihood which the FMU could provide through mutual cooperative arrangement. Surveys records and maps indicating the religious sites were presented to the auditors.</p> <p>社会调查表明，当地居民要求的维持生计的特定场所可以通过与营林单位协商安排。该项调查记录已向审核员提交。</p>
<p><b>Comments from auditors 审核员评语</b></p>	<p>A survey through collaborative effort with the local communities had identified sites of cultural, economic and religious significances to the local people. The responses and action taken by the FMU to the request for designated sites shall be monitored during the surveillance. The Major CAR is closed.</p> <p>通过向当地社区居民询问调查确定了当地居民的特殊活动场所，年度监督审核时应核实这些信息。此严重不符合项可关闭。</p>

<p><b>Background/Justification 背景/判定:</b> The management plan shall include and implement specific measures that ensure the maintenance and/or enhancement of the high conservation values consistent with the precautionary approach. These measures shall be specifically included in the publicly available management plan summary. The Forest Management Plan has not included specific measures that ensure the maintenance or enhancement of HC VF attributes if they are present. The preliminary surveys on potential HC VF sites were conducted in November 2008, after the Forest Management Plan was written. Although the surveys indicated an absence of these attributes, the Forest Management Plan must still include specific measures that ensure the maintenance and/or enhancement of the conservation attributes if and when they are detected. 森林经营方案中应当包括保 HC VF 的执行措施，这些措施应专门列入营林方案摘要中。在编写营林方案之后，营林单位在 2008 年 11 月进行了 HC VF 第一次调查，尽管调查结果未发现 HC VF，但在营林方案也应该体现相关内容。</p>	
<p><b>MAJOR CAR 2009.2</b></p>	<p>The Forest Management Plan shall include specific measures that ensure the maintenance and/or enhancement of the high conservation attributes if and when they are detected. These measures shall also be included in the public summary of the Forest Management Plan. 森林经营方案中应该列明 HC VF 保护措施，同时要体现在公布摘要中。</p>
<p><b>Deadline</b></p>	<p>Prior to Award of Certification 发证之前</p>
<p><b>Reference</b></p>	<p>Criterion 9.3</p>
<p><b>Status as of May 29, 2009</b></p>	<p>A revised Forest Management Plan is presented with an additional chapter on the attributes of HC VF and inventories to be conducted</p>

	for continually assessing the presence of these attributes within the FMU. Through surveys and consultations with local communities it was determined that there were no such attributes within the FMU. 森林经营方案中添加了一个章节专门描述 HC VF。通过向当地社区询问与调查，营林单位确定其林区内没有 HC VF。
<b>Comments from auditors 审核员评语</b>	As the revision has included specific measures for assessing and maintenance of HC VF this CAR is closed.营林方案中已补充了关于 HC VF 的评估与保护措施，此不符合项可关闭。

<b>Background/Justification 背景/判定:</b> A complete and up-to-date list of all chemical pesticides used on the defined forest area had not been maintained and made available to the SCS auditors.未能向 SCS 审核员提供有关化学药剂的使用清单。	
<b>Major CAR 2009.3</b>	A complete up-to-date list of all chemical pesticides shall be provided to the auditors. 有关化学药品的使用清单应当提供给审核员
<b>Deadline</b>	Prior to Award of Certification 发证之前
<b>Reference</b>	Indicator 6.6.2
<b>Status as of May 29, 2009</b>	In a statement dated May 25, 2009 the FMU declared that it only utilizes urea as fertilizer in the FMU. No other chemicals have been prescribed in the field and if required the chemicals selected will have to be in compliance with FSC specifications and national regulations.该营林单位在2009年5月25日的声明中宣称在林地内仅使用尿素，并无其他药品，即便使用其它药品也会按照 FSC 和国家相关法律要求。
<b>Comments from auditors 审核员评语</b>	As only chemical fertilizers are used in the FMU at the moment as declared by the management this CAR is closed. Monitoring would be conducted at the surveillance inspection to assess any chemical uses. This Major CAR is closed. 营林单位声明只采用尿素，因此此严重不符合项可关闭。监督审核中应注意审核次问题。

## 5.0 CERTIFICATION DECISION 认证决定

### 5.1 Certification Recommendation 认证推荐

As determined by the full and proper execution of the SCS *Forest Conservation Program* evaluation protocols, the evaluation team hereby recommends that the Jiangxi Nanfang be awarded FSC certification as a “Well-Managed Forest”. 经过全面妥善的执行 SCS 森林保护计划有关评估协议，审核小组建议：江西南方林场有限公司可以作为‘经营良好的森林’颁发 FSC 证书。

## 5.2 Initial Corrective Action Requests初次整改行为要求

<b>Background/Justification:</b> A translated version of the FSC Principles and Criteria had been made available to the management staff and field personnel. The forest manager has demonstrated a general conversancy with the P&C. This policy has, however, not been transmitted and explained clearly at all levels of the FMU and contractor workers. 该营林单位员工和林地工人都有 FSC 原则与标准的中文版，营林者对 P&C 有一定了解，但未对承包商工人进行培训。	
<b>CAR 2009.1</b>	The forest manager shall ensure that all levels of staff of the FMU as well as workers of contractors understand the FSC Principles and Criteria. 营林单位应保证所有的工人包括承包商都了解 FSC 原则与标准的内容。
<b>Deadline</b>	This has to be done by the 2010 annual surveillance assessment. 2010年年度监督审核时完成整改
<b>Reference</b>	Indicator 1.6.2

<b>Background/Justification:</b> This criterion requires that records are kept of past disputes over tenure claims and use rights, to a level of detail sufficient to enable the SCS auditor(s) to ascertain the nature and magnitude of the disputes. Although it was reported that there were only minor disputes on land issues which had been resolved amiably and confirmed during stakeholders’ consultation there were no records of these disputes presented. 本标准要求保留所有的纠纷记录，包括所有权声明、使用权等，以能充分说服 SCS 审核员。该单位曾出现过小的纠纷但没有保存记录文件。	
<b>CAR 2009.2</b>	All disputes shall be documented and made available to auditors. 所有的纠纷解决文件都应提交给审核员
<b>Deadline</b>	All records must be made available by the 2010 annual surveillance assessment. 2010年年度监督审核时完成整改
<b>Reference</b>	Indicator 2.3.1

<b>Background/Justification:</b> Forest manager has to determine if there are areas within the defined management unit to which indigenous peoples have customary or traditional rights to forest resources. If these sites are present they are to be demarcated on maps. A minority community consisting of SHE people has been recorded living within the FMU area. This group of people has not been clearly identified in the <i>Forest Management Plan 2008-2012</i> or their territory demarcated on maps. 营林者应划定林区内原住民的特殊活动场所，且应绘制图示文件。该林区内有少数民族居住，但在其森林经营方案（2008-2012）中未曾体现，也没有图示。	
<b>CAR 2009.3</b>	The identified indigenous community shall be identified in the Forest Management Plan and demarcated on maps. 森林经营方案中应涉及少数民族的相关信息并附加图示。
<b>Deadline</b>	By the 2010 annual surveillance assessment. 2010年年度监督审核时完成整改
<b>Reference</b>	Indicator 3.1.1

<b>Background/Justification:</b> The results of effective consultations on the concerns and perspectives of potentially affected indigenous peoples and respective actions taken to resolve these concerns are documented. There are documented procedures on consultation with local communities but records of such effective consultations were not presented during the assessment.对原住民有潜在影响及其关注点的调查结果，以及采取的相应措施都应形成文件。虽有相关的程序文件，但在审核过程中并没有相关记录文件。	
<b>CAR 2009.4</b>	Results of consultation and actions taken to resolve any concerns raised by indigenous peoples shall be documented and made available to auditors. 有关原住民某些关注点的解决措施和询问结果都应形成文件并提供给审核员。
<b>Deadline</b>	The records must be available by the 2010 annual surveillance assessment. 2010年年度监督审核时完成整改
<b>Reference</b>	Indicator 3.2.3

<b>Background/Justification:</b> The FMU has to contribute to or directly develop training programs designed to enhance the capabilities and qualifications of local workers. Training for the various aspects of works related to the bamboo forest is specified in Chapter 9 of the Forest Management Plan. A documentation of the various trainings provided is listed in <i>FSC-FM-013 Staff Training Records</i> . The training for contractors and workers on safety, chemical use and environment protection was, however, not adequate. 营林单位应对工人进行培训，以提高工人能力和资质。森林经营方案第9章提出要对竹林工人的各方面进行培训，见 FSC-FM-013 员工培训记录。但就工人和承包商有关人身安全、化学品使用和环境保护的知识方面的培训力度不足。	
<b>CAR 2009.5</b>	Training for workers and contractors in regard to safety, chemical

	use and environment protection shall be improved. Records of training and course materials shall be made available to auditors. 应对工人和承包商有关人身安全、化学品使用和环境保护的知识进行培训，同时应保留培训记录。
<b>Deadline</b>	By the 2010 annual surveillance assessment. 2010年年度监督审核时完成整改
<b>Reference</b>	Indicator 4.1.2

<b>Background/Justification:</b> All equipment used has to be periodically inspected and tested for safety performance. Any equipment that is deemed unsafe or in inappropriate condition has to be replaced. There was no record on regular inspection of the safety equipment used by the workers. 为安全起见，所有的设备都应定期检查。所有存在安全隐患的设备都应及时更换。工人使用的安全设备尚无定期核查记录。	
<b>CAR 2009.6</b>	Regular inspections shall be conducted and records shall be maintained.应当开展定期检查并保留记录。
<b>Deadline</b>	Such records shall be made available by the 2010 annual surveillance assessment. 2010年年度监督审核时完成整改
<b>Reference</b>	Indicator 4.2.4

<b>Background/Justification:</b> Although no labour union is formed by the staff members of the FMU or the workers of contractors, the management allows them to negotiate in accordance to Chinese Labour Law. All issues and grievances raised by workers and/or their organizations have to be investigated promptly and in a manner that demonstrates fairness and objectivity. Documentation of such investigation and resolution of grievances were not maintained. 尽管没有成立工会，但其允许公司员工和承包商依照中国劳动法发表提议。工人及其组织提出的所有问题和不满都应及时调查，公正客观的解决问题。相关调查及解决纠纷的文件未曾保留。	
<b>CAR 2009.7</b>	Documentation of the review process and records of outcome shall be made available to the auditors. 应该将调查过程及结果提交给审核员。
<b>Deadline</b>	By the 2010 annual surveillance assessment. 2010年年度监督审核时完成整改
<b>Reference</b>	Indicator 4.3.2

<b>Background/Justification:</b> The need to establish protected areas has been addressed in the management plan and also the EIA report. This includes the protection of ecological values such as riparian buffers in the FMU. It was observed that riparian buffers were	
-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	--

not demarcated on ground 营林方案和环评报告中提到建立保护区域的必要性，包括生态价值如林区内河岸缓冲带的保护。现场未发现河岸缓冲带。	
<b>CAR 2009.8</b>	All riparian buffers within the FMU shall be demarcated on the ground. 林区内应划定所有的河岸缓冲带。
<b>Deadline</b>	By the 2010 annual surveillance assessment. 2010年年度监督审核时完成整改
<b>Reference</b>	Indicator 6.4.3

<b>Background/Justification:</b> Road construction and maintenance have to ensure that road surfaces are well drained, culverts are large enough to accommodate peak flow, and water bars are properly installed so that they operate as designed. Specific guidelines are written in the EIA report on proper road construction. Inspection in the field showed that culverts were used to divert water along slopes but there were insufficient side drains especially along the steeper slopes resulting gullies being formed on the harvesting road. 公路建设与维护须确保路表面的排水良好，水渠达到泄洪要求，水坝设施完善。环评报告中的道路建设有详细描述。实地考察中发现水渠用来将水沿着斜坡引流，但在陡坡上没有足够的排水沟，因此在路面上形成了小水沟。	
<b>CAR 2009.9</b>	More side drains shall be constructed along all harvesting roads located on steep slopes to reduce soil erosion. 林内道路旁应设立更多的排水沟以减少斜坡上的土壤流失。
<b>Deadline</b>	By the 2010 annual surveillance assessment. 2010年年度监督审核时完成整改
<b>Reference</b>	Indicator 6.5.5

<b>Background/Justification:</b> Staff training records for both FMU staff and contract workers are maintained under <i>FSC-FM-013 Staff Training Records</i> as specified in the criterion. Samples of training records were examined during the assessment. Standard operating procedures for indoctrination of new forest workers including training regarding the management plan and their role therein were not available. 本标准要求 FSC-FM-013 培训记录中包括营林单位员工和承包商工人的培训记录。评估过程中抽样检查了培训记录。应当编制一份专门的培训程序，指导新员工如何执行经营方案及他们各自的职责。	
<b>CAR 2009.10</b>	Standard operating procedures for indoctrination of all newly recruited workers and related training shall be implemented. 应对新聘用的员工的编制特定程序并开展培训。

<b>Deadline</b>	By the 2010 annual surveillance assessment. 2010年年度监督审核时完成整改
<b>Reference</b>	Indicator 7.3.2

**Background/Justification:** The assessment for the presence of HCVPs shall include consultation with pertinent stakeholders and outside experts. The management of the FMU had consulted with the Forestry Agency on protected habitats, rare and threatened species as well as the local communities on cultural sites that could be present within the FMU. There is, however, an absence of consultation with other experts from the universities and NGOs

对于 HCVP 的评估应向业内相关方或有关专家进行咨询。该营林单位已向林业部门和当地社区，就保护珍稀、濒危物种等进行了咨询调查，但缺少了向大学教授及 NGO 专家的咨询。

<b>CAR 2009.11</b>	Consultations with experts from NGOs, research institutions and universities on the attributes of HCVP shall be conducted. 应向 NGO 专家、研究专员及大学教授等咨询 HCVP 有关内容。
<b>Deadline</b>	By the 2010 annual surveillance assessment. 2010年年度监督审核时完成整改
<b>Reference</b>	Indicator 9.2.1

**Background/Justification:** Interested stakeholders are readily able to obtain a public summary of the results of periodic monitoring that addresses the indicators listed in Criterion 8.2.

标准 8.2 中的指标列出的定期监测结果摘要，应能被感兴趣的利益相关方容易接受。

<b>CAR 2009.12</b>	The results of periodic monitoring shall be summarized and incorporated into the public summary that is readily available to all stakeholders. 应归纳定期监测结果摘要，并公布于众，同时应能被利益相关方接受。
<b>Deadline</b>	By the 2010 annual surveillance assessment. 2010年年度监督审核时完成整改
<b>Reference</b>	Indicator 8.5.1

### 5.3 Recommendations 建议

**Background/Justification:** Forest managers have to devote resources (manpower and money) to conduct surveillances of the defined forest area at a level such that

unauthorized activities are promptly found and controlled 营林者可以在林区内投入人力或资金以保证及时发现和控制未经许可的活动。	
<b>REC 2009.1</b>	Proper signage could be erected at the main entry points to discourage unauthorized activities and all such activities are to be documented. 可以在进入林区处树立标志，以阻止未授权的活动，记录存档。
<b>Reference</b>	Criterion 1.5 Indicator 1.5.2

<b>Background/Justification:</b> The FMU management is conscious of the impacts of the forest operation on local communities. The EIA report has included specific measures to consider the needs of the local communities through questionnaires and regular consultations. 营林单位应及时了解营林活动对当地社区的影响。环评报告中指出通过问卷调查或询问的形式，了解当地社区居民的需求。	
<b>REC 2009.2</b>	Management activities and policies could be modified as more information is obtained. 当接受其他信息时应及时更新营林活动和政策。
<b>Reference</b>	Criterion 4.4 Indicator 4.4.1

<b>Background/Justification:</b> Field surveys have been conducted by the field staff on known rare, threatened and endangered species based on standard operating procedure. 根据程序文件，对林地工人关于是否了解珍稀、濒危和受威胁的物种进行了实地调查。	
<b>REC 2009.3</b>	Regular training could be implemented with the assistance of the Forestry Bureau to further enhance the field staff knowledge of rare, threatened and endangered species as well as their habitats. 可以在林业局的协助下开展定期培训，以提高林地工人关于珍稀、濒危和受威胁的物种的认识。
<b>Reference</b>	Criterion 6.2 Indicator 6.2.3

<b>Background/Justification:</b> A <i>Forest Management Plan 2008 to 2012</i> was written for the FMU on February 2008 in accordance to National Forest Bureau requirement. The map for describing the forest resource base could be improved 依据国家林业局的要求，该林业单位在 2008 年 2 月完成了森林经营方案 (2008-2012)。体现森林资源的图示仍需改善。	
<b>REC 2009.4</b>	Improve the map for describing the forest resource. 提高森林资源

	图。
<b>Reference</b>	Criterion 7.1 Indicator 7.1.1

<b>Background/Justification:</b> A summary of the forest management plan was pasted on the wall of the house within the FMU. The public summary is also made available in the web page: <a href="http://www.dasso.com.cn">www.dasso.com.cn</a> . The public summary is not easily accessible being embedded in the web page of the parent company. 森林经营方案摘要已粘贴在公司宣传栏，同时在网站 <a href="http://www.dasso.com.cn">www.dasso.com.cn</a> 上公布。公布摘要很难在总公司网站上公布。	
<b>REC 2009.5</b>	The summary on Jiangxi Nanfang Linchang should be more prominently displayed in the web page listing. 江西南方林场的摘要应贴在网页上更醒目的部位。
<b>Reference</b>	Criterion 7.4 Indicator 7.4.1

## 6.0 SURVEILLANCE EVALUATIONS 监督评估

If certification is awarded, surveillance evaluations will take place at least annually to monitor the status of any open corrective action requests and review the continued conformance of Jiangxi Nanfang Linchang Ltd. Co. to the SCS Interim Standard for Forest Management Certification in China (January 22, 2009). Public summaries of surveillance evaluations will be posted separately on the SCS website ([www.scs-certified.com](http://www.scs-certified.com)). 认证通过后，至少每年进行一次监督审核，依据SCS森林经营认证标准（中国）（2009年1月22日），核查尚未整改完全的不符合项。监督评估的摘要将在SCS网站上公布([www.scs-certified.com](http://www.scs-certified.com))。

## 7.0 SUMMARY OF SCS COMPLAINT AND APPEAL INVESTIGATION PROCEDURES SCS 投诉与申诉调查程序摘要

The following is a summary of the SCS Complaint and Appeal Investigation Procedures, the full versions of the procedures are available from SCS upon request. The SCS Complaint and Appeal Investigation Procedures are designed for and available to any individual or organization that perceives a stake in the affairs of the SCS Forest Conservation Program and that/who has reason to question either the actions of SCS itself or the actions of a SCS certificate holder.

以下总结了 SCS 投诉与申诉调查程序，SCS 的整个程序文件都符合相关要求。SCS 投诉与申诉调查程序文件面向任何组织与个人，都有权对 SCS 或 SCS 证书持有者提有质疑。

A **complaint** is a written expression of dissatisfaction, other than **appeal**, by any person or organization, to a certification body, relating to the activities of staff of the SCS Forest Conservation Program and/or representatives of a company or entity holding either a forest management (FM) or chain-of-custody (COC) certificate issued by SCS and duly endorsed by FSC, where a response is expected (ISO/IEC 17011:2004 (E)). The SCS Complaint Investigation Procedure functions as a first-stage mechanism for resolving complaints and avoiding the need to involve FSC.

**投诉**是以书面形式来表达不满，与**申诉**不同的是，可以是任何组织和个人，对认证机构以及 SCS 森林保护计划工作人员的行为、持有 SCS 和 FSC 认可的 FM 或 CoC 证书的企业代表提出不满。

An “**appeal**” is a request by a certificate holder or a certification applicant for formal reconsideration of any adverse decision made by the certification body related to its desired certification status. A certificate holder or applicant may formally lodge an appeal with SCS against any adverse certification decision taken by SCS, within thirty (30) days after notification of the decision.

**申诉**是指证书持有者或申请人，要求认证机构对其预期的认证给出的不利决定重新审议。证书持有者或申请人，可在收到通知后的 30 天内，向 SCS 就其某些不利决定正式提出上诉。

The written Complaint or Appeal must: **书面投诉或申诉**必须符合以下要求：

- Identify and provide contact information for the complainant or appellant
- Clearly identify the basis of the aggrieved action (date, place, nature of action) and which parties or individuals are associated with the action
- Explain how the action is alleged to violate an SCS or FSC requirement, being as specific as possible with respect to the applicable SCS or FSC requirement
- In the case of complaints against the actions of a certificate holder, rather than SCS itself, the complainant must also describe efforts taken to resolve the matter directly with the certificate holder
- Propose what actions would, in the opinion of the complainant or appellant, rectify the matter.
- 提供投诉或申诉的联系方式；
- 准确清晰描述事件（日期、地点、事件性质）以及与其有关的组织或个人；
- 尽可能详细的解释违反了 SCS 或 FSC 的哪些要求；
- 有关对证书持有者的投诉，必须描述为直接解决问题所付出的努力；
- 投诉方或申诉方应给出解决问题的建议。

Written complaints and appeals should be submitted to:

书面投诉和申诉文件请提交给：

Dr. Robert J. Hrubes

Senior Vice-President

Scientific Certification Systems

2200 Powell Street, Suite 725

Emeryville, California, USA94608

Email: [rhruhes@scscertified.com](mailto:rhruhes@scscertified.com)

As detailed in the *SCS-FCP Certification Manual*, investigation of the complaint or appeal will be confidentially conducted in a timely manner. As appropriate, corrective and preventive action and resolution of any deficiencies found in products or services shall be taken and documented. SCS-FCP 认证手册中指出，不会对外泄露有关投诉或申诉的信息并及时展开调查。针对产品或服务采取的适当的改正和预防措施都应记录存档。