

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

Anhui Longhua Bamboo Product Co., Ltd

安徽龙华竹业有限公司

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

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Lead Author 主任审核员: Dave Wager

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Anhui Longhua Bamboo Product Co., Ltd

安徽龙华竹业有限公司

SCIENTIFIC CERTIFICATION SYSTEMS

2000 Powell St. Suite Number 1350

Emeryville, CA 94608, USA

www.scscertified.com

SCS Contact: Dave Wager dwager@scscertified.com

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). Section B contains more detailed results and information for the use of Anhui Longhua Bamboo Product 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)。B 部分包括安徽龙华竹业有限公司的详细信息。

FOREWORD

Scientific Certification Systems, a certification body accredited by the Forest Stewardship Council (FSC), was retained by Anhui Longhua Bamboo Product 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 27-30 Oct 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 3-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 10 月 27 日至 30 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 Anhui Longhua Bamboo Product 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).

审核小组此在次主评估过程中发现安徽龙华竹业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，安徽龙华竹业有限公司需要完成相关整改工作。科学认证体系SCS将把本报告摘要公布在此网站www.scscertified.com。

Contents

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	9
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	14
1.3.1 Land Use 土地使用	14
TABLE 1. Distribution of the bamboo and natural forest units within the 16 FMUs ..	15
1.3.2 Land Outside Scope of Certification 未在认证范围内的林地	15
1.4 Management Plan 经营方案	16
1.4.1 Management Objectives	16
1.4.2 Forest Composition 森林结构	16
1.4.3 Silvicultural Systems 森林作业系统	16
1.4.4 Management Systems 管理系统	17
1.4.5 Monitoring System 监测系统	17
1.4.6 Estimate of Maximum Sustainable Yield 预计最大可持续产量	18
1.4.7 Estimated, Current and Projected Production 当前产量与预计产量	18
2.0 Guidelines/Standards Employed 指南/标准	18
3.0 THE FULL EVALUATION ASSESSMENT PROCESS 主评估过程	18
3.1 Assessment Dates 审核日期	18
3.2 Assessment Team 审核小组	19
3.3 Assessment Process	23
3.3.1 Itinerary	23
3.3.2 Evaluation of Management System 经营体系评估	25
3.3.3 Selection of FMUs to Evaluate 评估 FMU 的选取	25
3.3.4 Sites Visited 访问场所	25
3.3.5 Stakeholder Consultation 利益相关方咨询	26
3.3.6 Other Assessment Techniques 其他评估技术	30

3.4	Total Time Spent on pre-evaluation audit 预评估审核时间.....	30
3.5	Process of Determining Conformance 符合性判定过程	30
4.0	Results of the Evaluation 评估结果	31
	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。	32
	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.....	33
4.2	Preconditions 前提条件	40
5.0	Certification Decision	45
5.1	Certification Recommendation	45
5.2	Initial Corrective Action Requests	45
6.0	Surveillance Evaluations 监督评估.....	52
7.0	Summary of SCS Complaint and appeal Investigation Procedures.....	53
SCS	投诉与申诉调查程序摘要	53

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	Anhui Longhua Bamboo Product Co. Ltd 安徽龙华竹业有限公司
Contact person 联系人	Mr. Yu Liangchong
Address 地址	Economic Development Zone, Huoshan County, Anhui Province, China 237200 安徽省霍山县工业园区
Telephone 电话	+86 564-5222866
Fax 传真	+86 564-5222867
E-mail 邮箱	fyl@guoyabamboo.com
Certificate Type 认证类型	Group
Number of FMU's	16
Number of FMUs in scope that are	
less than 100 ha in area	0
100 - 1000 ha in area	16 Total ha = 6777
1000 - 10 000 ha in area	0
more than 10 000 ha in area	0
Location of certified forest area 认证林地方位	
Latitude	31° 00' to 31° 33'
Longitude	115° 55' to 116° 43'
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 ¹ 自我经营	7153
state managed 国家经营	0
community managed ² 集体经营	0

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

Number of forest workers (including contractors) working in forest within scope of certificate 林地工人数	565 forest 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	About 375.7 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 ³ HCVF清单	None.
Total area of production forest (i.e. forest from which timber may be harvested) 用材林面积	6777.8 ha with bamboo 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 ⁴ 人工更新面积	0
Area of production forest regenerated primarily by natural regeneration 天然更新面积	6777.8 ha of bamboo 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	2,600,000 poles to 3,100,000 poles per year
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	0
List of product categories included in scope of joint FM/COC certificate and therefore available for sale as FSC-certified products (include basic description of product - e.g. round wood, pulp wood, sawn	Bamboo poles.

² 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.

³ 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

⁴ 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.

timber, kiln-dried sawn timber, chips, resin, non-timber forest products, etc.)产品种类	
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1.2 Management Context

Anhui Longhua Bamboo Product Co., Ltd has been approved by the government to contract from the local commutes to harvest and reforest an area of 6,777.8 ha within the county of Huoshan in Anhui Province. This site is forested mainly by bamboo that has been established by the local commutes over many decades. Its main activity is the harvesting of bamboo mainly of the monopodial species of *Phyllostachys pubescens* within the plantation. The bamboo forests are located in 15 villages and 1 forest farm in Houshan County. Each village is made up of bamboo forest, deciduous forest (secondary forest), and agricultural land. Since ALB does not own or have tenure rights to these forests- this FSC assessment is being designed as a group assessment. ALB is the group manager (or group entity) and the 15 Villages and 1 forest farm are the group members. The names and acreages of the group members are listed in Table 1 (page 11).

In the group member villages the bamboo has been established over many decades. ALB's main activity is the harvesting of bamboo, all of the monopodial species of *Phyllostachys pubescens*.

安徽龙华竹业有限公司由政府批准，与当地居民签署合同，在安徽省霍山县采伐和再造林区面积 6777.8 公顷。该地主要种植竹子，这些竹子当地居民种植已有几十年。其主要活动是在人工林内采伐竹子，主要是毛竹。竹林分别位于 15 个村，还有 1 个林场位于霍山县。每个村由竹林、落叶林和农地组成。由于龙华公司对这些林地并没有占有或所有权，因此这个 FSC 评估是以“团体认证（小组评估）”的形式进行的。龙华公司是团体的管理者，那 15 个村和 1 个林场则是组员。各组成员的名称及各自的面积已在表 1 中列明。

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 2,600,000 poles to 3,100,000 poles annually.

竹子的采伐一般在竹子生长的第四年，但是不会超过 7 年，因为这段时间被认为是竹子的最佳产量时期。竹子年均产量大约在 2600000 到 3100000 根。

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) 中华人民共和国安全生产法 (2002)
- 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) (State Forestry Administration) 森林经营方案编制与实施纲要 (2006) (国家林业局)

- 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 Huoshan County distributed within 3 regions and 1 forest farm in the county. It has a topographical variation from 350m to 800m with the highest site located on the southeast of the county. The vegetation consisted originally mainly of subtropical broadleaf 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.

森林经营单元位于霍山县内，分布在 3 个地区及 1 个林场内。海拔分布自 300-800 米，其最高地位于该县东南部。最初的植被是亚热带阔叶树种。现在该地区主要种植单茎类毛竹及少量的裸子植物和阔叶林树种。

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 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.

森林经营单元 (FMU) 对竹林进行了环境影响评估，用于评定霍山县的生物资源、潜在影响和社会构成。同时也详述了必要的缓解措施，报告表明该县的水资源质量良好，有关该地区的相关记录也是在国家认可的范围内。由于每次的竹子采伐规模较小，并没有对环境带来严重的影响。

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.

当地社区将他们的土地租赁给龙华公司，由龙华公司对竹子进行管理和生产。租赁期为 50 年，并由县林业局对其进行监管。土地所有人主要是农民，多年来他们主要在竹林周边及竹林间种植农作物。他们同时仍然可以通过成为公司的合同工进行传统的农耕活动以补贴收入，这些活动主要是采伐和管理竹林。根据和这些社区代表的谈话，他们普遍对现在的安排都非常满意，对公司的运行没有什么不满。

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 towns of Huoshan County. The lease is through a rental system with annual payment per hectare as specified in a contract supervised by the Forestry Agency. These are managed by 3 geographical units in 16 villages and divided into 205 harvesting units. The biggest region is in Gaoling village, covering an area of 850.4 ha. The second region is Foziling village covering an area of 809.0 ha. The smallest is Shiyanghe village, of only 127.4 ha. The distribution of the various units and area is shown in Table 1 on the following page.

龙华公司租赁的竹林分布在霍山县的 3 个乡镇。租赁是通过每年按每公顷支付合同中所指定的数额完成的，这个合同由林业部门监督。这些竹林由 16 个村的 3 个单位进行管理，并被划分为 205 个采伐区域。最大面积在高岭村，竹林覆盖面积为 850.4 公顷。第二个区域在佛子岭村，竹林覆盖面积为 809 公顷。最小面积是石洋河村，只有 127.4 公顷。不同的区域分布及面积已在表 1 中列出。

TABLE 1. Distribution of the bamboo and natural forest units within the 16 FMUs

乡镇/林场	村委会 Village	认证毛竹面 Bamboo Area (Hectares)	其中阔叶树 种面积 (Hectares) Natural Forest reserve	占百分比 Percentage FMU in Natural Forest Reserve
佛子岭镇	汪家冲村 – Wangjiachong	276.253	17.127	6.2%
	通水灌村 – Tongshuiguan	371.326	19.680	5.3%
	留家园村 – Liujiayuan	440.0887	24.204	5.5%
	高岭村 – Gaoling	850.444	42.522	5.0%
	佛子岭村 – Foziling	809.049	48.542	6.0%
	长岭村 – Changling	824.73	42.885	5.2%
诸佛庵镇	石家河村 – Shijiahe	764.35	38.981	5.1%
	小堰口村 – Xiaoyankou	290.743	14.537	5.0%
	桃源河村 – Taoyuanhe	618.256	33.385	5.4%
大化坪镇	大化坪村 – Dahuaping	169.216	10.152	6.0%
	舞旗河村 – Wuqihe	275.1287	17.883	6.5%
	俞家畈村 – Yujiawan	355.1	23.791 7	6.7%
	石洋河村 – Shiyanghe	127.433	7.900866	6.2%
	王家河村 – Wangjiahe	193.7167	12.397866	6.4%
	白莲崖村 – Bailianya	239.113	12.194	5.1%
茅山林场	茅山林 – Maoshan Forest Farm	172.9	9.509	5.5%
总计Total	6777.85 hectares		375.69 hectares	

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

The scope of the certificate is comprised of the 16 FMUs under contract with ALB to supply bamboo. In some cases, the villages do have other land outside of these 16 FMUs. However, since this is a group certification of ALB (which does not own any other land) the partial certification requirements do not apply.

林区认证范围包括与龙华公司签订合同提供竹子的 16 个森林经营单元。在某些情况下，各个村也有一些在这 16 个森林经营单元以外的土地。但是，由于龙华公司的认证属于团体认证（龙华公司本身并没有其他土地），因而此项要求不适用于此。

1.4 Management Plan 经营方案

1.4.1. Management Objectives

- 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
- Enhance fire protection measures and pests and diseases control
- Ensure sufficient funding for all these activities
- 通过合理的管理技术增加竹林产量
- 通过种植提高选定树种的再生率
- 保护森林资源和生态功能
- 增强防火措施及虫害疾病的控制
- 确保有足够的资金用于以上活动

1.4.2 Forest Composition 森林结构

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 FMUs. The first group consists mainly of Chinese fir (*Cunninghamia lanceolata*) and Chinese Red Pine (*Pinus massoniana*), both of which are of commercial importance. 这个竹林主要种植毛竹，同时林区内也有小范围的针叶林和阔叶林树种，主要有中国冷杉和中国红松（马尾松），这两者都有很大的商业用途。

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*. 林区目前正在优化毛竹的产量。

Eventually, as indicated in the Forest Management Plan, harvesting will also be carried out on the small amount of Chinese fir (*Cunninghamia lanceolata*) and Chinese Red Pine (*Pinus massoniana*) within the forest. Artificial regeneration by seedlings will also be implemented to supplement the available naturally regenerated trees.

最后，正如在“森林经营方案”这一项表明的一样，营林单位会在林区内采伐少量的中国冷杉和马尾松，人工补植幼苗确保树木的天然恢复。

1.4.4 Management Systems 管理系统

It was estimated in the Forest Management Plan (2008 to 2018) that there are 6777.8 ha of *Phyllostachys pubescens* and native tree species in the FMU. The bamboo species is harvested at the age of 6 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 2,600,000 poles to 3,100,000 poles and about 33 poles per mu (1 ha = 15 mu).

据森林经营方案（2008 到 2018）估计，在森林经营单元内有 6777.8 公顷的毛竹种植，竹子在第六年时采伐，但不会超过 7 年，以保证最优产量。采伐完成之后，他们会进行竹笋的筛选以保证留下的竹笋的能优质生长。年产量大约在 2600000 根到 3100000 根，大约 33 根/亩（1 公顷=15 亩）

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 *Forest Monitoring & Evaluation Plan* and *Chain of Custody Management Procedure*. 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. Also see CAR 2009.13.

监测系统与国家森林法一致，属于综合性的预防性做法。在该地区有每个树种的生长数据的记录。在“森林监测与评估计划和 COC 管理流程”中有关于监管的书面指南，这些书面指导是为认证评估作准备，但公司并没有出示定期检测的数据。竹子和树木的生长数据在森林经营计划中有列出来。见 CAR 2009.13

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 its own bamboo flooring mill. The load of bamboo poles will only be accepted at the factory when the transport certificate is in order following verification.

同样，对于将竹子从采伐地运送到工厂的运输也有一个特定的监测系统。竹子由采伐工人在指定的地点采伐后再将其装到卡车上。每一次货运都会有一个备案记录表格，表格中记录了竹子数量、竹竿大小、产地、送到地址、司机姓名、车牌号、日

期及运输时间，这些数据会被汇总在其地板厂出具的运输证明中，工厂只接受经过核实的运输证明的竹子的装运。

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 2,600,000 poles to 3,100,000 poles annually. This was based on the area of bamboo forest and the estimated number of bamboo poles.

竹林的估计年产量在 2600000 根到 3100000 根。这一估计是以竹林面积和估计的竹子数量为基础的。

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

Based on the 10 year management plan the estimated production is at 2,600,000 poles to 3,100,000 poles annually. The FME is currently salvaging all broken bamboo poles damaged by the 2007 snow storm to encourage greater production of bamboo shoots for the next generation. 在 10 年经营计划的基础上，所估计的年产量是在 2600000 根到 3100000 根。营林者目前正在抢救由于 2007 年的暴风雪造成损坏的竹子以保证下一批竹笋的更多的产量。

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

3.2 Assessment Team 审核小组

Dave Wager – FSC Lead Auditor

Mr. Wager is Director of Forest Management Certification for SCS. During his 9 years as Director, Mr. Wager has administered the program and led Forest Management and Chain-of-Custody evaluations throughout the world. Mr. Wager has led assessments of 30 forest management operations worldwide including Minnesota DNR, Pennsylvania State Forests, Massachusetts State Forests, Potlatch Corporation's Idaho Forestlands and Oregon Poplar Tree Farm, Wisconsin County Forests, Collins Pine Company, Department of Defense-Fort Lewis Installation, and operations in Brazil, Canada, Costa Rica, Japan, and Malaysia.

Wager 先生是 SCS 森林经营认证部门负责人。在作为负责人的 9 年中，Wager 先生管理世界范围内的森林经营管理和产销监管链的项目。他已经审核了 30 家森林经营，包括巴西、加拿大、哥斯达黎加、日本和马来西亚的项目。

In his role as Program Director, Mr. Wager oversees all first-time certification evaluations, annual audits, and contract renewal certifications on approximately 85 active certificate holders covering 30 million acres. In other natural resources work, Mr. Wager played a key role in the development of Starbucks CAFE Practices- a program to ensure procurement of sustainably grown and processed coffee. Mr. Wager has expertise in business and forest ecology (B.S. business, Skidmore College; M.S. Forest Resources, Utah State University) and utilizes both in his position with SCS. While studying forest ecology at Utah State University, Mr. Wager was awarded a NASA Graduate Student Research Fellowship to develop dendrochronological techniques to assess Douglas-fir growth in Utah's Central Wasatch Mountains.

作为项目负责人，Wager 先生监管了约 85 个持证企业包括 30 万公顷林地的所有工作：第一次的主审、年审和复审。在其他的自然资源项目中，如星巴克的项目中他担任非常重要的工作—项目保证采购可持续性生长的咖啡。Wager 先生在商业管理和森林生态方面具有专门的技术，并将这些专门的技术应用与工作实践。在犹他大学学习森林生态学时，他得到了美国宇航局研究生研究奖学金，研究树木年代学技术，评估犹他州中部瓦沙奇山的花旗松的生长。

Auditor

Mr. Zhao Jie 赵劫

Mr. 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

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

3.3.1 Itinerary

Day 日期	Time 时间 (am 上午、 pm 下午)	Programme 程序
27 Oct 2009 2009 年 10 月 27 日	8 : 00 pm 8 : 30 pm	Arrival at Huoshan County 抵达霍山县 ,同审核员会合 Meeting among auditors 审核员会谈
Day 1: 28 Oct 2009 2009 年 10 月 28 日	8.30 am-10.00am	Opening Meeting 首次会议 <ul style="list-style-type: none"> • Briefing by Lead Auditor on objectives of compliance assessment and programme 审核组长陈述评估目的 • Briefing by forest manager of Anhui Longhua company on the Forest Management Plan and the activities of the FMU. 营林单位领导汇报经营方案和营林活动摘要。
	10.00 am-11.30 am	Meeting with Heads of local communities, Forestry and Environment Agencies of the Province/County 会见当地社区、林业和环保部门领导
	1.30 pm-2.30 pm	Meeting with local communities in Huoshan County 召开霍山县当地社区会议
	2.30 pm-5.30 pm	Meeting with staff of the Forest Management

	6.30 pm -7.30 pm	Unit 召开森林经营单位员工会议 Documentation review 文件审核 Meeting of auditors 审核员会谈
Day 2: 29 Oct 2009	8.30 am – 11.30 am 1.30 pm-5.30 pm 5.30 pm- 6.00 pm	Meeting with local communities around the Forest Management Unit 会见森林经营单元周 边社区 Visit to harvesting sites of the bamboo forest including discussion with workers and contractors Documentation of stump to gate COC 参观竹 林采伐现场，并与工人和承包商会谈。伐桩文 件（连接 COC）。 Inspection of post felling sites with planting activities, rehabilitation areas and conservation areas (HCVF) within FMU 检查林地内采伐 迹地的造林活动、生存环境和保护区域。 Nursery and chemical stores 苗圃、化学物质存 储 Meeting of auditors 审核员会谈
Day 3: 30 Oct 2009	8.30 am- 11.00 am 11.00 am -11.30 am 11.30 am-12.00 am	Meeting among auditors on conformance of the FMU with FSC Principles and Criteria. 审核员判定森林经营单元是否符合 FSC 原则 与标准 Auditors preparation of closing meeting 审核员为末次会议做准备 Closing Meeting 末次会议

	2 : 00 pm	Auditors leave for Hefei 审核员离开
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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 ALB office and then verified in the field. 有关这部分评估的所有文件已在龙华公司办公室审核并在实地考察中证实

3.3.3 Selection of FMUs to Evaluate 评估 FMU 的选取

The forest management operation undergoing certification consists of 16 Forest Management Units but with harvesting areas spread over 3 geographical regions of the Huoshan County. All three areas were selected to visit. 3 FMU's were visited during the initial assessment and one other was visited during the preliminary assessment.

森林经营认证包括 16 个森林经营单元，主要分布在霍山县的 3 个区域。对这 3 个区域都进行了访问。其中，3 个森林经营单位是在初审中到访，另外 1 个是在预审中到访。

3.3.4 Sites Visited 访问场所

The field inspection was conducted in the three geographical zones covering the 16 group member FMU's. Only one of the sites inspected was undergoing bamboo pole harvesting. The process observed was manually conducted by contractors using a 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 used for transportation.

See section 3.3.1 for additional details

实地考察的区域包括 3 个地区的 16 个森林经营单元小组。只有 1 个地方在审查时在进行竹子的采伐。由工人用一把斧头人工砍伐竹子，并沿着斜坡将竹子滑下去。除了用于采伐时运输的道路，在这里并没有用于木材滑动的轨道。详见 3.3.1 部分。

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，同主要利益相关方询问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 ALB 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：

- ALB employees in the field
- Contractors for harvesting
- Local communities
 - Local and regionally-based environmental organizations and conservationists
 - Local and regionally-based social interest organizations
- 龙华公司在林地的工人
- 采伐承包商
- 当地社区
- 地方和区域性的环保组织和环保人员
- 地方和区域性的社会公益组织

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). Additional local stakeholders (farmers, neighbors, etc) were consulted during the field assessment. Names of groups and individuals that commented and were willing to allow names be listed in the report, are listed below:

在评估前，评估小组以邮件的形式联系了主要利益相关方的个人及组织。总共联系了 14 个小组及若干个小组成员，但只有相关政府机构有回复，他们同时也参加了面谈（见 3.3.5.1）其他当地的利益相关人员（农民、近邻等）在实地评估过程中接受了会谈。下表列出了已做过评论的小组及个人的名称。

Name	Affiliation	Consultation
Mr. Cai Yongqing	Deputy Head of Huoshan County Government office	Interview
Mr. Zheng Zongzhu	Deputy Head of Huoshan County Environmental Protection	Interview
Mr. Hao Jinglai	Deputy Director General, Huoshan County Forestry	Interview
Mr. Fang Yetao	Farmer in Zhufoan town	Interview
Mr. Cheng Yao	Farmer in Dahuaping Town	Interview
Mr. Wu Hanqing	Deputy Head of Foziling Town	Interview
Ms. Cai Lihong	Employee of FMU	Interview
Mr. Chen Xinhua	Employee of FMU	Interview
Mr. Song Yongfeng	Employee of FMU	Interview

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

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

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

Comment/Concern	Response
<ul style="list-style-type: none"> Generally had expressed satisfaction with the present arrangement of leasing out their land. 基本满意现状 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 	Duly noted

Governmental Organizations 政府组织

Comment/Concern	Response
<ul style="list-style-type: none"> Governmental Administrative Office Huoshan 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。 	Duly noted
<ul style="list-style-type: none"> Forestry Bureau Huoshan County 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 	From the documentation provided and the field inspections conducted during the assessment the FMU has complied with all regulatory authorities. It has worked

<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>closely with the Forestry 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>
<ul style="list-style-type: none"> Environmental Protection Bureau Huoshan County 霍山县环保局 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 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>As in the case of the Forestry Bureau the FMU has good working relationship with the Environmental Protection Bureau. 同林业局的情况一样，森林经营单元始终与环保局有着良好的关系</p>

Employees and Contractors:

Comment/Concern	Response
<ul style="list-style-type: none"> 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. 森林经营单元工人 森林经营单元的工人表示对 FSC 的原则和相关规范标准有一定的理解。对就业环境、工作条件没有抱怨 	<p>Visited the contractors and employees and they did satisfy with Longhua company. 访问了承包商及工人，他们对龙华公司都很满意</p>

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

Comments	Response
<ul style="list-style-type: none"> None of the agencies or individual 	<p>None</p>

commented on the interim standard 没有组织或个人对临时标准作任何评论	
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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 Huoshan County. 在森林经营单元内对选定地区进行了实地调查，在霍山县办公室进行了文件评估。

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

A total of 12 person-days were spent on this evaluation audit. One day was for preparation and 9 days were spent in reviewing documents and site inspection with 4 days for report writing. 预审阶段共花了 12 天。1 天用于准备，另外 9 天用于审核文件及实地考察，剩下 4 天用于书写报告。

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.

Minor CARs/轻微不符合: 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。

Observations: These are subject areas where the audit team concludes that there is conformance, but either future non-conformance may result due to inaction or the FME could achieve exemplary status through further refinement. Action on observations is voluntary and does not affect the maintenance of the certificate. However, observations can become CARs if performance with respect to the indicator(s) triggering the observation falls into non-conformance.

观察项: 是指审核小组在审核中发现的某个项目并未违反标准要求, 但存潜在不符合的风险。观察项的整改措施是自愿的, 并不影响证书的延续, 然而, 观察项有可能升级为不符合项。

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/OBS #s Note- CARs 2009.1-6 were Major CARs and have been closed
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<p>P1: FSC Commitment and Legal Compliance FSC 承诺与守法</p>	<p>Meetings with the Bureau of Forestry and Department of Environment confirmed that there have been no regulatory violations. 同林业局及环保局的会议表明该公司没有违法行为。</p>	<p>ALB staff lack an understanding of the agreements and how they apply to their forest management 龙华公司的员工对 FSC 的相关协议的理解有些欠缺，并且不太了解如何将其运用到长期森林经营中。</p> <p>There is a need to improve training of understanding of P&C across all levels of organization staff, villages, and contractors. 需要对公司各个层次的员工、村民及承包商进行培训，提高其对各项原则和标准的理解。</p>	<p>CAR 2009.7</p>
<p>P2: Tenure & Use Rights & Responsibilities 所有权&使用权&职责</p>	<p>ALB maintains documentation of the legal use rights to the defined forest areas. There is evidence that individual farmer/family understands the arrangement and agrees with the terms of the contract. 龙华公司对林区的合法使用权的文件有进行存档，同时有证据表明农民个人或家庭了解这些协议并同意合同中的各项条款。</p>	<p>SCS was unable to confirm that dispute resolution procedures have been implemented. 不能确定是否实施过争端解决程序。</p>	<p>CAR 2009.8</p>
<p>P3: Indigenous Peoples' Rights 原住民的权利</p>	<p>NA</p>	<p>NA</p>	
<p>P4: Community</p>	<p>Local preference for</p>	<p>Training for the various</p>	<p>CAR 2009.9</p>

<p>Relations & Workers' Rights 社区关系&劳动者权利</p>	<p>employment opportunities is specified in the contract with villages. 在与各村的合同中有列明优先雇佣当地居民的条款。</p> <p>ALB provides safety gear and some safety training. First aid kits were available at the harvest sites. 龙华公司提供安全的设备及一些安全培训。在采伐现场有急救箱。</p> <p>The forest manager has through consultations with local communities clarified customary rights within the defined forest area. 森林经营者就林区内的传统权利与当地社区进行了沟通</p>	<p>aspects of works related to the bamboo forest is not adequate. 对和竹林有关的各种工作的培训不够。</p> <p>There was no record on safety 没有相关安全记录。</p> <p>Documentation of the review process and records of outcome have not been made available during the assessment 评估期间，未能提供评估过程的相关文件和记录</p>	<p>CAR 2009.10 CAR 2009.11</p>
<p>P5: Benefits from the Forest 森林效益</p>	<p>The projected harvesting rate of the main bamboo species is sustainable over the management period. 在经营期间的计划竹林采伐率是可持续的</p> <p>The proposed budget written in the Forest Management Plan had projected capital investment into machinery and human resources to maintain/restore the productive capacity of the bamboo forest. 在森林经营方案中</p>	<p>ALB is encouraged to diversify the mix of commercial timber (bamboo) or non-timber products 鼓励龙华公司多元化商用木种 (竹子) 或非木材类产品</p> <p>There is an opportunity for ALB to assist the villages produce products from residual bamboo material. 龙华公司可以辅助当地村民利用竹子废料进行再生产。</p>	<p>OBS 2009.1 OBS 2009.2</p>

	<p>拟定的书面预算中，有预算资金投入机械和人力资源以便维持或恢复竹林的生产量。</p> <p>During harvesting of the bamboo poles all the leaves are left behind in the forest, which provide the biomass for enriching the soil. 在采伐竹林的过程中，所有的竹叶都被留在了林区，这为肥沃土壤提供了生物质。</p>		
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<p>P6: Environmental Impact 环境影响</p>	<p>Erosion control efforts are undertaken on steep slopes Forest are monitored daily to control hunting. 在斜坡上有冲刷防护。每天有人监管林区防止乱伐现象。</p> <p>Harvesting is done using individual stem selection. Each stand is maintained as a multi-age unit. As such connectivity of wildlife habitat is maintained. 林区内通过人工选择竹子的方式进行采伐，每一个区域内都是不同生长年限的树种，这样便保证了野生植物群的连续性</p> <p>As reported by the Forestry Bureau-approximately 67% of the region is in either a reserve area or an ecological forest designation 据林业局反应，该地区有高达 67%的地方是保护区或生态公益林</p> <p>No chemical pesticides are used. 未使用化学农药</p> <p>ALB has implemented a program to control</p>	<p>Improvement in implementing environmental review is necessary 在实施环境审核方面需要提高</p> <p>Improvement in protection T&E species is needed. 提高对评估树种的保护</p> <p>Excessive trash was observed in one area of the forest. 在其中一个林区内发现了有过多的垃圾</p> <p>More training on resource protection is needed. 在资源保护方面需要更多的培训。</p>	<p>CAR 2009.12 CAR 2009.13 CAR 2009.14 CAR 2009.15</p>
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	offsite expansion of bamboo 龙华公司 实施了防止竹林林 区外扩张的方案		
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<p>P7: Management Plan 营林方案</p>	<p>There is a master plan as well as individual plans for each of the 16 FMU's 对 16 个森林经营单元有总体规划，同时针对每一个单独的森林经营单元也有单独的规划。</p> <p>ALB's forest management plans appear to be functional and effective. Caretakers are the key link to ensuring that plans are implemented properly. 龙华公司的森林经营方案有效而实用。营林者则是保证方案能有效实施的关键。</p>	<p>Training must be improved on select topic related to management 有关经营管理的主题方面的培训有待提高</p> <p>There is a public summary of their forest management plan, but it does not include all the elements of criterion 7.1. 他们的森林经营方案有一个基本的摘要，但是并没有包含标准 7.1 中所包含的所有指标</p>	<p>CAR 2009.9 CAR 2009.15 CAR 2009.16</p>
<p>P8: Monitoring & Assessment 监测与评估</p>	<p>The ALB monitoring program is designed to collect information on 8.2. a-e 龙华公司的监测方案还需要收集标准 8.2 中的信息。</p>	<p>ALB must implement procedures for improved record keeping of monitoring activities, demonstrating how monitoring covers all requirements listed under Criterion 8.2. 龙华公司应对监测活动进行记录，以表明监测活动是遵守了在标准 8.2 中所列明的各项要求</p> <p>ALB has developed a public report for its water quality monitoring, however, the other monitoring requirements of 8.2 are not reported publically 龙华公司制定了水质监测报告，但是标准 8.2 中所列明</p>	<p>CAR 2009.17 CAR 2009.19</p>

		的其他监测要求并没有报告可提供	
P9: Maintenance of High Conservation Value Forest 高保护价值林地维护	An assessment for HCVF has been completed. ALB completed consultations with Forestry Bureau, and Env Department, and questionnaires to individual villages for HCVF 完成了对高保护价值森林的评估 龙华公司针对高保护价值森林向林业局及环保局进行了咨询，并向当地村民做了问卷调查。	ALB completed an HCVF assessment including consultation with experts (Forestry Bureau/villages), however, it seems that some possible areas may have been missed (e.g., Foziling Town- Gaoling village). 龙华公司进行了包括向专家(如林业局)咨询的这样一个高保护价值森林的评估。但是，一些情况看来有些地区(如佛子岭镇高岭村)并没有进行评估	CAR 2009.20
P10: Plantations 人工林			
Group Criteria 团体指标	Each group member is monitored weekly. 每周会对每个小组进行监测	Group members need to better understand FSC requirements 各小组需要对 FSC 有进一步的了解。	CAR 2009.7

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。

Non-conformance: ALB is not in conformance with Indicator 6.3.2 *Subject to the scale of operations, the forest operation is managed so as to maintain a full range of successional stages at distributions within the range of natural variability.*
At the time of the audit the scope of the assessment did not include the non-bamboo (natural forests) contained within the bamboo areas of each village. Thus- the only

<p>successional stage within the FMU is mature bamboo that is managed selectively. To meet Indicator 6.3.2., the natural forest within each FMU must be formally included in the scope of the certificate. The natural forest must be maintained as natural forest so that there are additional successional stages and forest types.</p> <p>不符合：龙华公司不符合 6.3.2 的指标要求。该指标要求应遵守营林规模并在天然变异范围内经营林地以保持其分布连续性。</p> <p>在审核阶段，评估的范围并没有包括每个村庄林区内的非竹植物（天然林）。因此，森林经营单元内唯一的连续性分布的植物便是选择性经营的成熟的竹子。为了符合指标 6.3.2，每个森林经营单元内的天然林需要被包括在认证范围内。天然林必须被作为天然林来保护，以保证有其他的连续分布及森林类型</p>	
<p>Major CAR 2009.1</p>	<p>Redefine the scope of the certificate to include the natural (non-bamboo) forests of each village, and ensure that these areas are not converted to bamboo. This will require implementing mechanisms to avoid the spread of bamboo into native forests. 重新确定认证范围，需要包括每个村的天然林（非竹植物），并保证这些区域的植被不被转换成竹子，需要采取一些方法防止竹林向天然林区的扩张。</p>
<p>Deadline</p>	<p>Prior to Award of Certification</p>
<p>Reference</p>	<p>Indicator 6.3.2</p>
<p>Action Taken By Certificate Holder</p>	<p>ALB provided a revised description on the 15 villages and 1 forest farm contracted by ALB. The revised scope description details each forest land area to include the natural forest along with the bamboo forest.</p> <p>The measures taken for controlling the spread of the bamboo are:</p> <ul style="list-style-type: none"> - Require the local people to maintain non-bamboo vegetation - To limit the spreading of bamboo. ALB will dig in the forest edge which is about 0.5 to 0.8 m, when the bamboo shoot gets to the trench they will cut them down to control the spread. If necessary, they will put some stones and calcareous matter into the trench. <p>龙华公司提供了修改后的和其签订合同的 15 个村及 1 个林场认证范围说明。修改后的认证范围说明详述了包括竹林和天然林的每个林区的面积。公司采取的控制竹林扩张的措施有：</p> <p>--要求当地居民保留非竹子植被</p> <p>--限制竹子扩张。龙华公司会在林区分界处挖一个约 0.5m 至 0.8m 的地沟，当竹笋生长到地沟处时，他们会将其砍掉以防止扩张。在有必要的情况下，他们也会放一些石头和石灰材料到地沟中。</p> <p>ALB implemented new procedures for maintenance of natural forests within/adjacent to bamboo forest. ALB also developed procedures for controlling expansion of bamboo forest. ALB has made a commitment to undertake measures to protect native</p>

	<p>broadleaf trees in bamboo forest and make sure that bamboo cannot expand into native forest area.</p> <p>龙华公司采取了新的措施保护竹林内或竹林附近的天然林，同时也采取了措施防止竹林的扩张。龙华公司承诺会采取措施保护竹林内的天然阔叶林，并保证竹林不会扩张到天然林区。</p>
SCS Response	<p>ALB has taken sufficient actions to ensure that natural forests are included in the scope of the certificate and that natural forests will be protected to ensure conformance with Indicator 6.3.2.</p> <p>龙华公司采取了大量的措施保证天然林在认证范围内，同时会保护天然林以符合指标6.3.2</p>
CAR Status	CAR closed

<p>Non-conformance: ALB is not in conformance with Indicator 7.1.1. as the management plan does not included specific information for each of the villages or group members.</p> <p>不符合指标 7.1.1 ,营林方案中未包含各团体成员的详细信息 ,应包含下面各个指标 :</p> <p>Per 7.1.1 the management plan must include:</p> <p>a) <i>the objectives of management</i> 营林目标</p> <p>b) <i>a description of the forest</i> 森林信息描述</p> <p>c) <i>how the objectives will be met, harvesting methods and silviculture (clear cuts, selective cuts, thinnings) to ensure sustainability</i> 如何实现目标 , 怎样通过采伐方法和更新来确保可持续性</p> <p>d) <i>sustainable harvest limits (which must be consistent with FSC criteria 5.6)</i> 可持续性的采伐限度</p> <p>e) <i>plans for monitoring forest growth</i> 森林生长量的监测方案</p> <p>f) <i>environmental/ social impacts of the plan</i> 环境/社会影响方案</p> <p>g) <i>conservation of rare species and any high conservation values</i> 濒危物种和高保护价值树种的保护措施</p> <p>h) <i>maps of the forest, showing protected areas, planned management and land ownership</i> 林相图 , 体现保护区域和计划营林活动范围区域</p> <p>i) <i>Pest and weed control planned</i> 害虫和杂草控制方案</p> <p>j) <i>Duration of the plan</i> 方案期限</p>	
Major CAR 2009.2	<p>FMP must be updated to include specific information for items a-j that are unique for each village (group member).</p> <p>营林方案必须依据每个团体成员的指标信息 a-j 进行更新</p>
Deadline	Prior to award of certification

Reference	Indicator 7.1.1
Action Taken By Certificate Holder	ALB provided SCS with comprehensive management plans covering each of the 16 group members as well as a master plan detailing objectives, strategies, etc across all of the villages. 龙华向 SCS 递交了更新后的营林方案包括了所有 16 个团体成员，以及详细的目标等信息
SCS Response	The plans submitted to SCS are sufficient to address Indicator 7.1.4. SCS will check on the implementation of these plans during the first surveillance audit. 该方案已补充7.1.4指标 ,SCS 将在下次年度审核时检查其执行情况
CAR Status	Closed

<p>Non-conformance: ALB is not in conformance with Indicator: 8.3.2 For “stump to forest gate chain of custody, there exist written descriptions of the materials handling and inventory control procedures (i.e., chain-of-custody procedures) to assure that logs from the certified forest area are not mixed with logs from uncertified sources. 作为‘敲开森林大门’的产销监管链 ,其中包括了原料的处理和存货记录控制程序的描述 (如产销监管链程序) ，以确保在认证的林地区域使用的标识同其他非认证资源区分开。产销监管链的程序应满足当前 FSC 相关要求。</p> <p>Written procedures exist, however, they lack detail and clarity. The level of understanding of the stump-to-gate requirements needs improvement. 虽然有书面文件，但缺少详细信息和分类，对于监管链的理解需要提高</p>	
Major CAR 2009.3	Prior to the deliver or sale of FSC certified material- ALB must revise its CoC stump-to-gate procedures so that they fully cover the FSC requirements. 在销售 FSC 认证原料之前，龙华必须更新产销监管链程序文件以保证满足 FSC 要求
Deadline	Prior to award of certification
Reference	Criterion 8.3.2
Action Taken By Certificate Holder	Anhui Longhua company applied the chain of custody certification for their mill and have a chain-of-custody management system to control the processing. For the bamboo forest, they also made a procedure on the supply chain which covers cutting and shipping to the mill. Special procedures on harvesting and shipping have been implemented. 龙华公司的加工厂已经申请了产销监管链认证并建立了管理体系来控制加工过程。针对竹林，该公司也同样编订了管理程序包括从采伐到运输的环节。 Harvesting procedure:

	<p>The workers will use the scythe and take the bamboo poles to the mountain feet and there will be a special person to inventory the quantity and tie up the poles together and mark each bundle as FSC and to avoid the mixture with uncertified poles.</p> <p>采伐程序：工人将使用镰刀伐竹然后人工运到山脚，有专人检查伐竹的质量并捆绑竹条避免混淆</p>
SCS Response	ALB's new CoC procedures are sufficient to address Indicator 8.3.2.
CAR Status	Closed

<p>Non-conformance: ALB is not in conformance with requirements for group certification requirements. Items such as:</p> <ul style="list-style-type: none"> • an agreement from members/villages that the properties will be managed consistently with FSC requirements 团体协议中体现了持续维护 FSC 要求的管理 • Removal/sanctions/corrective action for group member non-conformance. 对于不符合要求的团体成员的管理 • And other requirements as detailed in FSC-STD-30-005 标准中的其他要求 	
Major CAR 2009.4	<p>ALB must develop and implement a set of procedures for group certification that covers the requirements of FSC-STD-30-005</p> <p>龙华公司必须编订并执行团体认证程序文件，符合标准 FSC-STD-30-005 要求</p>
Deadline	Prior to Award of Certification
Reference	FSC-STD-30-005
Action Taken By Certificate Holder	<p>ALB has developed and implemented group management procedures consistent with FSC-STD-30-005. The responsibilities for the group members and group manager (ALB) have been codified. Group members, who do not conform to the standards, will be removed from the group.</p> <p>龙华已提交了团体认证程序管理文件，其中包括了对团体成员的管理</p>
SCS Response	<p>ALB's group procedures are adequate to cover FSC-STD-30-005. ALB group member have agreed to manage their properties in accordance with FSC requirements. Policies for sanctions and removal of non conforming groups have been memorialized. SCS will review the day-to-day implementation of these procures during the first surveillance audit. 龙华的团体管理程序文件涵盖了标准</p>

	的要求，且各成员同意龙华公司来按照 FSC 标准经营林地。SCS 将在下次审核时检查方案的执行情况
CAR Status	CAR Closed

5.0 CERTIFICATION DECISION

5.1 Certification Recommendation

As determined by the full and proper execution of the SCS *Forest Conservation Program* evaluation protocols, the evaluation team hereby recommends that the Anhui Longhua Bamboo be awarded FSC certification as a “Well-Managed Forest” subject to the corrective action requests stated in Section 5.2. The ALB has demonstrated that their system of management is capable of ensuring that all of the requirements of the SCS Interim Standard for China are met over the forest areas covered by the scope of the evaluation. 基于对 SCS 森林保护计划的全面完整的实行和遵守，评估小组在此建议授予龙华公司 FSC 证书，以表明是“良好经营的林区”。龙华公司表明他们的经营体系能够保证评估范围内的林区经营符合 SCS 中国临时标准中的各项要求

5.2 Initial Corrective Action Requests

Non-conformance: ALB is not in conformance with Indicator 1.2.1. <i>Forest managers demonstrate a working knowledge of all applicable fees, royalties, taxes and other charges that apply to their operations.</i> Company has purchased safety insurance for workers. However, here is no evidence to demonstrate all workers are covered. 安徽龙华公司没有达到 1.2.1 的指标要求（1.2.1 指标为：应如期缴纳相应费用，无长期未缴费证据）。营林者显示出对所有适用的费用、特许使用费及其他适用于经营管理的费用的理解。同时公司为员工购买了平安险。但是，没有资料表明公司为所有的员工都购买了平安险。	
CAR 2009.5	ALB must provide objective evidence that all workers are provided with necessary safety insurance. 龙华公司必须能够提供表明其已为所有员工购买平安险的资料。
Deadline	By the 2010 annual surveillance assessment. 在2010年监督审核之前
Reference	Indicator 1.2.2

Non-conformance: ALB is not in conformance with Indicator 1.3.2 <i>Forest managers demonstrate a sensitivity to all binding international agreements and endeavor to respect their requirements.</i> ALB staff have documents but are not fully aware of how the such agreements affect their operations. 龙华公司不符合指标 1.3.2。该指标指出：营林者	
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应向审核员证明其在结合林地运作的实际情况下关注与本国有关的国际公约，并力争满足相关要求。龙华公司的员工有相关的文件，但却不很清楚这些协定是如何影响其经营的。	
CAR 2009.6	ALB must demonstrate understanding of how applicable agreements apply to their management. 龙华公司必须理解这些公约是如何用于经营管理中的。
Deadline	By the 2010 annual surveillance assessment.
Reference	Indicator 1.3.2

Non-conformance: ALB is not in conformance with Indicator 1.6.2. <i>Written copies of the FSC Principles & Criteria are available to all management and field personnel; ALB staff have copy of the FSC standard but the level of understanding throughout staff and contractors is very low.</i> 龙华公司不符合指标 1.6.2。1.6.2 的指标要求：林地主要人员都应留有一份 FSC 原则与标准的书面文件，并且营林者应熟悉掌握标准主要内容。虽然龙华的员工都有一份 FSC 标准的书面文件，但是整个林区工人及承包商对标准的认知度很低。	
CAR 2009.7	ALB must implement additional training methods, and demonstrate how understanding of FSC Standard has improved among staff, villages, and contractors. 龙华公司必须实行额外的培训，并证明所有员工、村民及承包商对 FSC 标准的理解的提高。
Deadline	By the 2010 annual surveillance assessment.
Reference	Indicator 1.6.2

Non-conformance: ALB is not in conformance with Indicator 2.3.1 <i>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.</i> SCS was unable to confirm that dispute resolution procedures have been implemented. For example, there is no evidence that villages and contractors are aware of procedure for resolving disputes. 龙华公司不符合 2.3.1 的指标要求。2.3.1 的指标是：提供以往关于所有权和使用权纠纷的保留记录，以便 SCS 审核员调查纠纷的性质和数量。SCS 审核员不能确认是否实行了纠纷解决方案。比如，没有证据表明村民和承包商了解纠纷解决的程序。	
CAR 2009.8	ALB must ensure dispute resolution procedures are understood by villages and pertinent staff and contractors. A procedure for record keeping of disputes must be established. 龙华公司必须保证村民、相关员工及承包商能够了解纠纷解决的程序，必须建立纠纷程序记录
Deadline	By the 2010 annual surveillance assessment.
Reference	Indicator 2.3.1

Non-conformance: ALB is not compliance with <i>Indicator 4.1.2 Forest managers contribute to or directly develop training programs designed to enhance the capabilities</i>	
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<i>and qualifications of local workers</i> 龙华公司不符合 4.1.2 的指标要求。该指标要求：营林者赞助或直接开展培训计划对当地劳动之进行培训,使其具备工作能力和资格。	
CAR 2009.9	Training for the various aspects of works related to the bamboo forest is not adequate. The training must including safety, chemical use and environment protection. 对和竹林有关的各种工作的员工培训不够,培训内容还必须包括安全、化学品的使用及环境的保护。
Deadline	By the 2010 annual surveillance assessment.
Reference	Indicator 4.1.2

Non-conformance: ALB is not compliance with Indicator 4.2.6 <i>Forest managers maintain up-to-date safety records; worker safety statistics deemed from the records (e.g., types of injuries, rates and trends of accidents) such records indicate exemplary performance relative to industrial norms</i> 龙华公司不符合指标 4.2.6 的要求。4.2.6 的指标要求是：营林者应及时更新有关安全记录,以提示与工业规范相关的警戒点。	
CAR 2009.10	ALB shall develop a program for maintaining records on worker safety. At a minimum, such records shall be updated annually. 龙华公司必须建立有员工安全记录的计划。这些安全记录至少应该每年更新一次。
Deadline	By the 2010 annual surveillance assessment.
Reference	Indicator 4.2.6

Non-conformance: ALB is not compliance with <i>Indicator 4.3.2. Issues and grievances raised by workers and/or their organizations are investigated promptly and in a manner that demonstrates fairness and objectivity</i> 龙华公司不符合 4.3.2 的指标要求。4.3.2 的要求是：应对工人的疑义和不满进行公证客观的调查。	
CAR 2009.11	Documentation of the review process and records of outcome must be made available during the next audit. 下一次审计时,龙华公司必须提供审核调查的文件和结果记录。
Deadline	By the 2010 annual surveillance assessment.
Reference	Indicator 4.3.2

Non-conformance: ALB is not in conformance with Indicator 6..3.1 <i>Project (site)-level environmental impact assessments, scaled to the size and complexity of operations, are systematically completed prior to commencement of site disturbing activities 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.</i> A form for site level impact assessments has been developed, but it has not yet been	
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<p>implemented. 龙华公司不符合 6.3.1 的指标要求。 该项指标的要求是：在森林经营活动开始前，应依据林地大小和复杂性对林地经营项目进行环境影响评估。对过去所有权及使用权的纠纷有相关记录，以使 SCS 审核人员能确认纠纷的性质及重要性。龙华公司建立了营林环境影响评估，但是并没有实施</p>	
CAR 2009.12	ALB must implement documented procedures for site level impact assessments. 龙华公司必须实施营林环境影响评估的相关程序。
Deadline	By the 2010 annual surveillance assessment.
Reference	Indicator 6.1.1

<p>Non-conformance: ALB is not in conformance with Indicator 6.2.3 <i>Field employees are trained in the recognition of endangered species and their habitats.</i> Interviews with the forestry bureau suggested that there were not many protected species in the areas that have bamboo- but nevertheless work is needed to protect the few that are there. 龙华公司不符合 6.2.3 的指标要求。该指标要求：应就濒危树种的确认及其聚集地对林地工人进行培训。和林业局的面谈中，林业局表示在种植竹林的地区没有太多的保护树种，但是仍然需要采取措施对林区内仅有的一些树种进行保护。</p>	
CAR 2009.13	ALB must work with the Forestry Bureau to monitor for and develop approaches to safeguard endangered species and their habitats. Efforts must include training and written material providing information about sensitive species and their habitats. 龙华公司必须同林业局一起对濒危树种及其聚集地进行检测和保护。包括对珍稀树种及其聚集地的培训及书面材料的提供。
Deadline	By the 2010 annual surveillance assessment.
Reference	Indicators 6.2.1 and 6.2.3.

<p>Non-conformance: ALB is not in conformance with Indicator 6.7.3. <i>There are on-site facilities for secure collection of chemical and solid non-organic waste.</i> Audit team observed areas of the forest with excessive trash on the ground, thus collection of non-organic waste is not sufficient. 龙华公司不符合 6.7.3 的指标要求。6.7.3 的指标是：营林现场应有安全回收废弃物的设施。 审核小组发现林区很多地方有太多的垃圾，因此对非有机垃圾的回收不够充分。</p>	
CAR 2009.14	ALB must ensure non-organic waste is properly disposed of. 龙华公司必须保证非有机垃圾能经过合理处理。
Deadline	2010 Surveillance Audit
Reference	Indicator 6.7.3

<p>Non-conformance: ALB is not in conformance with Indicator 7.3.5. <i>Appropriate to the scale and intensity of operations, forest workers are duly trained, according to a</i></p>	
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<p><i>documented protocol, as to their role in implementing the management plan</i> <i>Both employees and contractors receive sufficient levels of training with respect to the management plan.</i></p> <p>SCS observed insufficient training. 龙华公司不符合 7.3.5 的指标要求。该指标的要求是：根据营林规模和强度，依据培训计划对林地员工进行培训，以保证顺利的执行营林方案。 员工和承包商都接受了关于营林计划的充分的培训 但 SCS 审核员发现培训并不充分。</p>	
CAR 2009.15	ALB must complete an analysis of training needs relative to the FSC standard, and provide evidence of implementing improved training programs. 龙华公司必须完成关于 FSC 标准培训需求的分析，并提供实施了完善培训方案的证明
Deadline	2010 Surveillance Audit
Reference	Indicator 7.3.5

<p>Non-conformance: ALB is not in conformance with Indicator 7.4.1. <i>Interested stakeholders are readily able to obtain a public summary of the management plan, which provides information on the primary elements of the plan, including those enumerated in criterion 7.1</i></p> <p>The public summary does not include all primary elements of criterion 7.1 and is not readily available to stakeholders. 龙华公司不符合 7.4.1 的指标要求。7.4.1 的指标是：营林单位应向利益相关方公布营林方案摘要，其基本要素应包括标准条款 7.1 公布的摘要中并没有包括标准条款 7.1 中全部的基本要素，并且没有将摘要提供给利益相关方</p>	
CAR 2009.16	The public summary must include all the elements of Criterion 7.1. The public summary must also be readily available (e.g., on the company website). 公布的摘要必须包括标准条款 7.1 中所有的基本要素。同时也必须能够提供这些摘要 (如公布在公司的网站上)
Deadline	2010 Surveillance Audit
Reference	Indicator 7.4.1

<p>Non-conformance: ALB is not in conformance with Indicators: <i>8.1.2. Forest managers have a demonstrated track record of complying with the monitoring protocols; and 8.2.2. Written records are kept of the annual or periodic harvest levels, at levels of specificity that reflect the scale and intensity of operations.</i> Through ALB caretakers and cooperation with the Forestry Bureau, ALB undertakes some monitoring activities- e.g., a network of permanent sample plots. However, there was insufficient record keeping needed to demonstrate the track record of monitoring. 龙华公司不符合 指标 8.1.2：营林者应能提供关于执行监测方案的追踪记录文件。</p>	
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<p>指标 8.2.2 年度采伐或定期采伐应保持相应的文件记录，该记录应以树种分类并符合营林规模和强度的相关要求。</p> <p>通过龙华公司的营林经营者及与林业局的合作，龙华公司采取了一些监测措施，但是，并没有足够的文件记录用以追踪监测记录。</p>	
CAR 2009.17	ALB must implement procedures for improved record keeping of monitoring activities, demonstrating how monitoring covers all requirements listed under Criterion 8.2. 龙华公司必须进行监测记录的追踪，证明监测活动都达到了标准款 8.2 中列明的各项要求
Deadline	2010 Surveillance Audit
Reference	Indicator 8.1.2; 8.2.2

<p>Non-conformance: ALB is not in conformance with Indicator: 8.2.5 <i>Information necessary to judge progress towards management objectives is collected and recorded. In all cases this will include:</i></p> <ul style="list-style-type: none"> <input type="checkbox"/> Amount of products harvested, by species <input type="checkbox"/> Effects of operations as identified under Criteria 6.1 <input type="checkbox"/> Changes in features identified under Criteria 6.2 <input type="checkbox"/> Annual monitoring of high conservation values identified under Criteria 9.1 <input type="checkbox"/> Invasive exotic species <p>龙华公司不符合指标 8.2.5 :搜集与 营林项目相关的信息 ,并做记录。这些信息包括 :</p> <ul style="list-style-type: none"> ----采伐产品的数量 (按树种分类) ---依据条款 6.1 鉴定营林活动产生的影响 ---依据条款 6.2 判定相关要素的更改 ---依据 9.1 条款对高保护价值林地的年度监测 ---侵略性外来树种 <p>ALB is not currently monitoring for conversion of natural forest to bamboo forest in each of the 15 villages- which could influence criterion 6.2 and 9.1.</p> <p>龙华公司目前并没有对 15 个村的每一个林区的天然林的保护进行监测---这就影响到了标准条款 6.2 和 9.1</p>	
CAR 2009.18	ALB must implement a program to monitor the composition and extent of natural forest within each of the 16 group villages. 龙华公司必须在 16 个村庄内对天然林的构成或扩张实行一个监测计划
Deadline	2010 Surveillance Audit
Reference	Indicator 8.2.5

<p>Non-conformance: ALB is not in conformance with Indicators 8.5.1. <i>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; the results of periodic monitoring are summarized in a document released by the forest managers or incorporated into the annual certification audit report released by SCS.</i></p> <p>ALB has developed a public report for its water quality monitoring, however, the other monitoring requirements of 8.2 are not reported publically. 龙华公司不符合指</p>	
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<p>标 8.5.1。阶段性监测结果对外公布摘要应依据 8.2 条款所列内容，且利益相关方应能较容易接受。阶段性监测结果应由营林经营者公布摘要或者公布在 SCS 发布的年度认证审核报告中。</p> <p>龙华公司公布了水质监测的一个报告，但是，8.2 中所列明的其他监测要求并没有在报告中公布出来</p>	
CAR 2009.19	<p>ALB's public summary of monitoring results must be expanded to include all topics of 8.2.</p> <p>龙华公司公布的监测结果的摘要必须包括 8.2 项下的其他要求</p>
Deadline	2010 Surveillance Audit
Reference	Indicator 8.5.1

<p>Non-conformance: ALB is not in conformance with Indicator:</p> <p>9.1.3) <i>Forest managers demonstrate a working understanding of the HCVF concept and definition and endeavour to comply with the spirit of this principle.</i></p> <p>ALB completed an HCVF assessment including consultation with experts (Forestry Bureau/villages), however, it seems that some possible areas may have been missed (e.g., Foziling Town- Gaoling village). The HCVF concepts are not fully understand by ALB. While there is no requirement that HCVF be designated if HCVF is not present, we conclude a more thorough analysis is warranted.</p> <p>龙华公司不符合指标 9.1.3</p> <p>营林者应了解 HCVF(高保护价值森林)的规定和定义 ,并达到本原则的相关要求。龙华公司进行了 HCVF 评估，包括向专家咨询建议（如林业局，村庄），但是，有一些地区并没有在这个评估范围之内（如佛子岭镇高岭村）。龙华公司并没有完全理解 HCVF（高保护价值森林）的这一概念。尽管林区没有高保护价值的木种，也并没有要求要指定的高保护价值森林，但我们要求进行更详尽的分析。</p>	
CAR 2009.20	<p>ALB must review their HCVF analysis to ensure that all categories of HCVF have been duly covered. 龙华公司必须审核他们关于 HCVF 的分析，以确保各种具有高保护价值的森林树种都在评估范围内。</p>
Deadline	2010 Surveillance Audit
Reference	Criterion 9.1.3

Observations:

Observation 2009.1	<p>ALB is encouraged to diversify the mix of bamboo, other commercial timber, and non-timber products (Observation 2009.1). 鼓励龙华公司多元化竹林种类、其他的商业木材及非商业木材产品。</p>
Reference	Indicator 5.2.2

Observation 2009.2	There is an opportunity for ALB to assist the villages to produce products from residual bamboo material. (Observation 2009.2) 龙华公司可辅助当地村庄对废弃竹料进行再生产
Reference	Indicator 5.2.3
Observation 2009.3	The management plan should be expanded to better describe the regional landscape context, e.g., more information regarding bamboo forests, native secondary forests, land-use changes, etc. 营林方案可以更好地描述地域和景观环境，如更多关于竹林，天然次森林，及土地使用变化等的信息
Reference	Indicator 6.1.3
Observation 2009.4	ALB should implement more explicit guidelines for stream management zone protection and avoiding soil erosion. 龙华公司应包含更详细的指导文件，详细描述林区保护和减小土壤侵蚀的有效措施
Reference	Indicator 6.5.1 and 6.5.2
Observation 2009.5	ALB should keep records of its safety equipment inspections. 龙华公司应有设备安全检查的相关记录
Reference	Indicator 4.2.4

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 ALB to the FSC 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.scsertified.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.scsertified.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: rhrubes@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。