



Forest Stewardship Council®

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The framework of China Smallholder Project

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## 1. Purpose

- To test 4 alternatives to comply with indicator 6.5.5
- Risk assessment for smallholder based on new NFSS to find the low risk indicators for smallholder in order to guide risk-based audit for CB and attempt to apply for the risk-based approach project from PSU
- Conduct the FSC certification impact assessment in China

## 2. Framework of 4 alternatives for indicator 6.5.5

### 2.1 The requirement of indicator 6.5.5

Indicator 6.5.5 Representative Sample Areas\* in combination with other components of the conservation areas network\* comprise a minimum 10% area of the Management Unit\*.

**Note:** Conservation Areas Network is those portions of the Management Unit\* for which conservation is the primary and, in some circumstances, exclusive objective; such areas include representative sample areas\*, conservation zones\*, protection areas\*, connectivity\* areas and High Conservation Value Areas\*.

As the Representative Sample Areas is one important component of the CAN, so list the requirement of RSA as below:

Indicator 6.5.2 Representative sample areas\* of native ecosystems\* are protected, where they exist.

Indicator 6.5.3 Where Representative Sample Areas\* do not exist, or where existing areas inadequately represent native ecosystem\*, or are otherwise insufficient, a proportion of the Management Unit\* is restored\* to more natural conditions\*.

Note: if there are insufficient or no representative samples areas within the MU, and under the following conditions, the organization could set-aside requirements outside the Management Unit (MU), the conditions as below:

- The MU is smaller than 50 ha;
- The Organization shall identify rare and threatened species and their habitats in the MU.

When they exist although are insufficient in size, measures for their survival and viability

shall be identified and put in place.

- The outside area is in the same forest landscape. For auditing purposes landscape is defined as the quaternary water catchment area.

- Sites to be conserved outside of the MU are representative samples of existing ecosystems.

- The outside area is not commercially harvested and is under a legal protection status, OR there is a binding contract between the Organization and the owner of the outside area to:

- a) Protect the area in its natural stage;
- b) Mark the boundaries of the area in the field and on maps;
- c) Allow certification bodies to access area for inspection.

Financial assistance alone does not constitute compliance with the requirements of criterion 6.5.5. Some conservation efforts have to be demonstrated within the MU. Other examples of conservation efforts may be presented to PSU for evaluation on a case by case basis.

## 2.2 General Pilot sites selecting criterions

- a) Group certificates are within regions that hold strategic interest for FSC;
- b) Demonstrated barriers for smallholder certification in the region, particularly to comply with indicator 6.5.5;
- c) Participating groups will mainly be chosen from 3 types of forested landscape where smallholders can find it difficult to comply with 6.5.5:
  - including land dominated by agriculture farm;
  - land dominated by plantations; and
  - land where natural vegetation is either sparse or segmented or highly degraded.
- d) Type of participant: smallholders or group certificates where each member's forest area no more than 50ha ;

- e) All smallholder management units intending to participate in the pilot test shall already be or aim to get FSC-certified;
- f) Group size (different group sizes, based on the available resources);
- g) Willingness to cooperate and help reaching conclusions through participation in the pilot test.

Note: The general criteria are the baseline for all 4 alternatives. The requirements for each alternative are described in the specific section accordingly.

## 2.3 Implementation framework of alternative 1

### 2.3.1 Description of alternative 1

Where available, include in the group certification adjacent FMUs prioritizing conservation, to bring additional strength to its management through the implementation of China NFSS;

#### **Conditions:**

- The outside area should follow the description of China NFSS indicator 6.5.3, which defines that conservation as one management goal shall be articulated and prioritized.
- Including the outside area, the size of the CAN is no less than 10% of certified area.
- The outside area should be located in the same county or the adjacent county.

### 2.3.2 Pilot Candidates requirements:

Two pilots will be selected for alternative 1. One is who have already included the outside area in the certification scope and the CAN is no less than 10%. The other one is who did not meet the requirement of 10%CAN.

### 2.3.3 Action plan and assessment methodology:

- Pick the pilot candidates and sign the third-party agreement (FSC China, CB and CH, See Annex 1 The third-party agreement template)
- Technical expert hired by FSC China describe the requirements for alternative 1 and give advice to the pilot based on the on-site investigation.
- The pilot implements the action request.
- To assess if the management of the outside area is complied with alternative 1 and other requirements of for principle 6 by technical expert and certification body. (Technical expert submits the checklist for alternative 1. Annex 2 is the checklist for alternative assessment. CB submits the audit report and the checklist provided by FSC China. Annex 3 is the checklist for CB. Pilot submits the checklist provided by FSC China. Annex 4 is the checklist for pilot)
- Issue temporary FSC certificate only if agreed by FSC China and CB(This temporary certificate will be effective until 2021.07.31)

## 2.4 Implementation framework of alternative 2

### 2.4.1 Description of alternative 2

Where appropriate, provide service to local conservation unit so as to bring additional strength to its management;

#### **Conditions:**

- The local conservation unit is in similar forest landscape.
- The local conservation unit publicly make commitments to FSC policy of association.
- CB and/or ASI and/or FSC have the right to access the unit and to verify if those services are delivered according to management plan.
- Beside the service provided area, the size of the CNA is no less than 10% of certified area.
- The conservation unit should be located in the prefecture-level city or the adjacent prefecture-level city.

### 2.4.2 Pilot Candidates requirements:

Two pilots will be selected for alternative 2. The FMUs who presently cannot comply

with indicator 6.5.5 will be picked.

#### **2.4.3 Action plan and assessment methodology:**

- Pick the pilot candidates and sign the third-party agreement (FSC China, CB and CH, See Annex 1 The third-party agreement template)
- Technical expert hired by FSC China describe the requirements for alternative 2 and give advice to the pilot based on the on-site investigation
- Conservation unit will follow the advices provided by technical expert. These advices followed by FSC guidance for demonstrating ecosystem service impacts.
- To assess if the management of the outside area is complied with alternative 2 and other requirements of for principle 6 by technical expert and certification body. (Technical expert submits the checklist for alternative 2. Annex 2 is the checklist for alternative assessment. CB submits the audit report and the checklist provided by FSC China. Annex 3 is the checklist for CB. Pilot submits the checklist provided by FSC China. Annex 4 is the checklist for pilot)
- Issue temporary FSC certificate only if agreed by FSC China and CB(This temporary certificate will be effective until 2021.07.31)

## **2.5 Implementation framework of alternative 3**

### **2.5.1 Description of alternative 3**

Where possible, provide fund to certify ecosystem services from FMU within similar ecosystem where such service is bountiful.

#### **Conditions:**

- Fundraising mechanism and hosting entity are identified.
- FMU make payment to compensate for its decision to maintain the deficiency of natural ecosystem.
- The amount of the fund should be equal to the ecosystem service value which 10% FMU area could provide.
- The area in the ecosystem services certifications scope should locate in the similar climatic zones and forest landscape.

### **2.5.2 Pilot Candidates requirements**

One pilot will be chosen. The FMU where native ecosystem is maintained in good condition could be certified for ecosystem service.

### **2.5.3 Action plan and assessment methodology:**

- Pick the pilot candidates for ecosystem service certification
- Help the FMU to get ecosystem service impact certification.
- To assess the price of the ecosystem service.
- The social and economic cost analysis.
- Develop the fundraising mechanism

## **2.6 Implementation framework of alternative 4**

### **2.6.1 Description of alternative 4**

Exemption from 6.5.5

### **2.6.2 Conditions:**

- Alternative 1), 2), and 3) are not available.
- Alternative 1), 2), and 3) are not accessible after the endeavor.

### **2.6.3 Pilot Candidates requirements**

One pilot will be chosen. The FMUs who could not comply with indicator 6.5.5 (alternative 1, 2, 3 unavailable and inaccessible) .

### **2.6.4 Action plan and assessment methodology:**

- Pick the pilot candidates and sign the third-party agreement (FSC China, CB and CH, See Annex 1 The third-party agreement template)
- Technical expert hired by FSC China describe the requirements for alternative 4 and give advice to the pilot based on the on-site investigation.
- To assess if the management of the outside area is complied with alternative 4 and other requirements of for principle 6 by technical expert and certification body. (Technical expert submits the checklist for alternative 2. Annex 2 is the checklist for alternative assessment. CB submits the audit report and the checklist provided by FSC China. Annex 3 is the checklist for CB. Pilot submits the checklist provided by FSC China. Annex 4 is the checklist for pilot)
- Issue temporary FSC certificate only if agreed by FSC China and CB(This



temporary certificate will be effective until 2021.07.31)

## 2.7 Follow-up procedure

- Submit the assessment report of 4 alternatives to PSU for approval
- PSU make the final decision of which alternatives could be approved.
- Smallholders could choose to meet the indicator 6.5.5 or the approved alternatives.

### 3. The framework of risk assessment

#### 3.1 The methodology and steps of risk assessment

##### 3.1.1 Step 1: Initial scoring the risk of the NFSS indicators

FSC invited key stakeholders to score the risk of all the NFSS indicators initially. The key stakeholders include 7 representatives. Among them, 3 are the small project members represent CAF (Chinses Academy of Forestry), IKEA and WWF respectively. The other 4 representatives are from 4 CBs (Only 4 CBs operate FSC FM certification business in China). The scoring principles are as follows:

1 point: Most smallholders in China can meet the requirements of this indicator, and the risk can be neglected.

3 points: Some smallholders have difficulties to comply with the requirements of this indicator.

5 points: Most of the smallholders in China could not meet the requirements of the indicator.

**Scoring and Statistical Method:** Each indicator has seven scores, the result is the final average score which removed the highest score and the lowest score.

##### 3.1.2 Step 2: select the indicators for field test

Pick up the indicators which are scored 1 in step 1 for the field test.

##### 3.1.3 Step 3: Confirm the sites for field test

The pilots for the alternatives for indicator 6.5.5 will be chosen for the field test.

##### 3.1.4 Step 4: Carry out field test and fill out in the checklist

The consultant who is hired by FSC China does the verification based on the developed checklist (Included all the indicators which are scored 1 for the step 1) on site.

##### 3.1.5 Step 5: Select the low risk indicators

Pick up these indicators that indicate low risk during the field test for further verification.

##### 3.1.6 Step 6: Collect information for the indicators chosen during step 5

Collect below information for the indicators that are chosen during step 5:

- Very low likelihood of occurrence;
- The value represented by the indicator is sufficiently evaluated and controlled by regulatory authorities;
- No incidents of negative impact on the value represented by the indicator by forest management have been reported in the country within the last 5 years (either through a corrective action request (CAR) issued by a CB in an FSC audit, or through a formal complaint by a stakeholder);
- There is demonstrated key stakeholder support across all chambers.

#### **3.1.7 Step 7:Write risk assessment report**

Analyse all the information and write the assessment report

#### **3.1.8 Step 8:Attempt to apply for risk-based approach**

As FSC China NFSS will be revised in 2010, we plan to apply risk-based approach together with the NFSS revision process. The revision need to be finished in the middle of 2021. The risk-based approach will be focus on the very low risk indicators and only applicable for smallholders.

## 4. The framework of impact assessment

### 4.1 The purpose of the impact assessment

Through investigating and evaluating the motivation and impact of FSC forest management certification in China's enterprises, analyse the existing problems and impact factors, and putting forward policy suggestions for the development of FSC certification, so as to promote its healthy development in China and better play its role in sustainable forest management in China.

### 4.2 The output of the impact assessment

To submit a report on the status, motivation and impact assessment of China's FSC certification, include:

- Current status of FSC certification in China, includes ownership, forest type, management subject, certification mode, etc.
- The motivation and willingness of enterprises to apply for FSC forest management certification.
- The impact of FSC certification's macro-socio-political.
- The impact of enterprises' forest management, social, environmental and economic
- The main problems and challenges of FSC certification and related influencing factors
- Opinions and suggestions on the long-term development of FSC certification in China

### 4.3 The methodology of the research

The research intends to combine qualitative analysis with quantitative analysis, general analysis with typical analysis, normative analysis with empirical analysis. On the basis of previous research results, the evaluation index model and comprehensive evaluation method of China's forest certification are put forward, including analysis of Corrective Action Request (CAR) issued by Certification Body, questionnaire survey (See Annex 5), stakeholder interviews and field visits, etc. The impacts of certification on Sustainable Forest Management in China and related impact factors should overcome the limitations of single evaluation method in the process of certification, and strive to achieve the

objectivity, impartiality and comprehensiveness of evaluation. Specifically include:

#### 1) Analysis of CARs issued by Certification Body

Through collecting the audit report, analyse CARs issued by CBs to determine the gaps in compliance with FSC standards for forest management units. These gaps need to be corrected by forest management units within a certain time, otherwise the certificate will be suspended or withdraw. The main contents of the study include raising the gaps which occurs more frequently and ranking the criterions by calculating the proportions of CARs occurrence from high to low, and the differences of CARs characteristic by different certification bodies.

#### 2) Model design and questionnaire survey of forest certification impact assessment indicators.

According to the objectives and requirements of forest certification, the index model of impact assessment of forest certification was designed and simplified by principal component analysis. Based on this, a questionnaire was designed to ask the importance of each interest policy on forest certification to be scored from 1 to 5 points (1 point has no impact, 2 points have limited impact, 3 points have some impact, 4 points have important impact, 5 points have significant impact, See Annex 5 The questionnaire of impact assessment). Questionnaires will be distributed to forest management enterprises, government agencies, non-governmental environmental protection organizations, trade associations, scientific research institutions, certification bodies, media representatives and members of the FSC China Working Group. Through investigation, the overall evaluation of the importance of various indicators will be quantitatively analysed, and the differences of views between forest managers and other stakeholders will be analysed.

#### 3) Case studies and field visits.

Select the certificate holder for investigation based on the principle of different forest types, different certification bodies, different forest ownership and different certification modes. The research emphasises on the evidence and interviews. Analysis and compare the impact before and after certification.

#### 4) Stakeholder interview

The key stakeholders of FSC certification in China will be selected to conduct interviews,

including representatives of forest management enterprises, non-governmental organizations, government departments, certification bodies and scientific research institutions, in order to understand the views and relevant examples of the impact of FSC certification.

## Annex 1: Third Party Agreement

### 小农户项目 FSC 中国办公室、认证机构及申请者三方协议

本服务协议（“协议”）于 2019 年 02 月 xx 日（“生效日”）由以下双方签署：

(1) FSC (Beijing) Global Forestry Management Consulting Co. Ltd.

Registered Address: RmA306, No. 11 Dongshuijing Hutong, Dongcheng District,  
Beijing 100010

Legal Representative: Ma Lichao

FSC(北京)国际林业管理咨询有限公司

注册地址：北京市东城区东水井胡同11号3A06室 邮编100010

法定代表人：马利超

- hereinafter referred to as “Party A”  
以下简称“甲方”

and,  
和

(2) CB

- hereinafter referred to as “Party B”  
以下简称“乙方”

and,  
和

(3) CH

-

hereinafter referred to as “Party C”

以下简称“丙方”

1. FSC 中国的介绍
2. CB 的介绍
3. 说明 CH 申请试点项目
4. 项目介绍:

**项目目的：** A) 评估中国森林经营标准的风险和影响，以为小农户创建一个针对适应性管理，森林经营，审核，标准制定和公开交流的清晰模式。

B) 加强小农户执行《FSC 中国国家森林管理标准》原则 6 要求的能力寻找符合 FSC 认证指标 6.5.5 的替代措施，进而在实操层面提升小农户获取 FSC 认证的可能性。

C) 进行 FSC 认证的影响评估

**项目期限：** 2018.09-2020.07

**项目说明：** 在项目期限内，参与项目的小农户经营单位采取替代指标 6.5.5 的措施，并获得临时的 FSC 证书。在项目执行期间，如果参与者单方面终止合作，则认证机构需在后续的年审中审核指标 6.5.5。项目结束后的一年内，如果 FSC 国际不认可小农户使用的替代措施，则认证机构需在此期间的年审中审核指标 6.5.5，并将符合条件的临时证书转换为常规证书。

#### 5. FSC 中国办公室的权利和义务：

**义务：** 组织成立小农户项目工作组

制定项目运行的程序文件

制定项目的程序和要求

决定参与试点项目的小农户经营单位

保证项目的执行符合 FSC 相关的政策和要求

为认证机构提供试点项目测试的报告模板

为森林经营者提供用于收集信息的模板

**权利：** 获得申请者为符合 FSC 认证制定的所有文件。

FSC 中国办公室及其授权的专家进入经营单位进行现场访谈及验证。

获得认证机构的审核报告。

决定是否可以给申请者颁发 FSC 临时证书

#### 6 认证机构的权利和义务：

**义务：** 收集申请者的相关信息并向 FSC 中国办公室提交申请表

协助 FSC 中国办公室人员及授权专家进入经营单位进行访谈及验证



向 FSC 中国办公室提交审核报告

经 FSC 中国办公室同意，为申请者颁发临时 FSC 证书

权利：参与小农户试点项目的工作组会议。

对 FSC 中国办公室及项目组制定的程序及方法提出意见和建议。

使用 FSC 提供的测试模板对申请者进行审核

7. 申请者的权利和义务：

义务：向 FSC 中国办公室及认证机构提供与项目相关的材料。

协助 FSC 中国办公室人员及授权专家进入经营单位进行访谈及验证。

权利：对 FSC 中国办公室及项目组制定的程序及方法提出意见和建议。

经认证机构及 FSC 中国办公室确认，可获得 FSC 临时证书。

8 说明此协议是在认证机构与 FM 认证申请者签署协议基础上的补充协议

9, 未经对方书面同意，本协议的任何一方都不能泄露或者发表任何被供方视为保密的信息，

**Annex 2: checklist for alternatives assessment**

## FSC 小规模调查评估报告：标准 6.5

Name: 证书持有者名称

Address: 证书持有者地址

Certificate code(s): 证书编码 -FM/COC-

Certificate issued: 颁发时间

Report Finalized: 报告完成日期

Evaluator: 评估人

## 1. 认证范围描述(Description of certification scope)

### 1.1. 认证面积、主要树种、地理位置、经营管理方式

认证面积：

主要树种：

主要林种：

地理位置：

经营管理方式：

### 1.2. 联合认证组织者

### 1.3. 联合认证成员

联合认证中成员的定义		
成员的主要类型		
实际的森林经营者是否是成员		是 <input type="checkbox"/> 否 <input type="checkbox"/>
		说明：
成员的规模	0-50 ha	数量： ____ 个， 面积 ____ ha；
	50-500 ha	数量： ____ 个， 面积 ____ ha；
	500ha 以上	数量： ____ 个， 面积 ____ ha；

## 2.自然生态系统样区和保护区域网络(Description of RSA and CAN)

### 1.4. 认证范围的自然生态系统样区和保护区域网络

编 号	问 题	结 论
问题 1	整个认证范围是否具有自然生态系统样区和保护区域网络。	是 <input type="checkbox"/> 否 <input type="checkbox"/>
问题 2	整个认证范围的自然生态系统样区和保护区域网络, 是否达到认证总面积的 10%。	是 <input type="checkbox"/> 否 <input type="checkbox"/>
问题 3	每个面积≤50 公顷的成员, 经营范围内是否不低于经营面积的 10%自然生态系统样区或保护区域网络。	是 <input type="checkbox"/> 否 <input type="checkbox"/>
问题 4	每个面积≥50 公顷的成员, 经营范围内是否不低于经营面积的 10%自然生态系统样区或保护区域网络。	是 <input type="checkbox"/> 否 <input type="checkbox"/>
问题 5	每个面积≥50 公顷的成员, 经营范围内是否自然生态系统样区。	是 <input type="checkbox"/> 否 <input type="checkbox"/>
结论	该联合认证是否已经符合 FSC 标准 6.5 的相关要求。	是 <input type="checkbox"/> 否 <input type="checkbox"/>

## 3.联合认证选择的合理性(The conformity of alternative type)

备注：评估人员可以删除不适用的相关表格。

<p>Alternative 1 <input type="checkbox"/></p> <p>扩大认证范围, 增加天然林或其它受保护场所。  <b>候选对象:</b> 森林经营单位已经外部受保护林地, 且保护区域网络面积不低于 10%。</p>	符合性
<p>1) The outside area should follow the description of China NFSS indicator 6.5.3, which defines that conservation as one management goal shall be articulated and prioritized.            所纳入的面积应当符合 NFSS 6.5.3, 应书面规定将保护作为优先的经营目标。            证据:</p>	是 <input type="checkbox"/> 否 <input type="checkbox"/>
<p>2) Including the outside area, the size of the CNA is no less than 10% of certified area.            包括新纳入的外部面积, 保护区域网络的面积不小于认证面积的 10%。            证据:</p>	是 <input type="checkbox"/> 否 <input type="checkbox"/>

3) The outside area should be located in the same county or the adjacent county. 纳入的外部面积应该在同县或者邻县。	是 <input type="checkbox"/>
证据:	否 <input type="checkbox"/>

Alternative 2 <input type="checkbox"/> 不改变认证范围，对认证范围外天然林或其它受保护场所提供保护和管理服务。 候选对象：森林经营单位目前不符合指标 6.5.5 的要求。	符合性
1) The local conservation unit is in similar forest landscape. 与当地保护单位是类似的森林景观类型	是 <input type="checkbox"/>
证据:	否 <input type="checkbox"/>
The local conservation unit publicly make commitments to FSC policy of association. 2) 当地保护单位公开承诺遵守 FSC 的相关政策	是 <input type="checkbox"/>
证据:	否 <input type="checkbox"/>
CB and/or ASI and/or FSC have the right to access the unit and to verify if those services are delivered according to management plan. 3) 认证机构和/或 ASI 和/或 FSC 有权进入该单位，已验证参照经营方案实现了这些服务。	是 <input type="checkbox"/>
证据:	否 <input type="checkbox"/>
Beside the service provided area, the size of the CNA is no less than 10% of certified area. 4) 包括服务提供的面积，保护区域网络的面积不小于认证面积的 10%。	是 <input type="checkbox"/>
证据:	否 <input type="checkbox"/>
The conservation unit should be located in the prefecture-level city or the adjacent prefecture-level city. 5) 保护单元应当位于地级市之内，或者相邻的地级市范围之内。	是 <input type="checkbox"/>
证据:	否 <input type="checkbox"/>

Alternative 3 <input type="checkbox"/>	符合性
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不改变认证范围，对认证范围外天然林或其它受保护场所的保护提供资金。 <b>候选对象：</b> 获得认证的森林经营单位的当地生态系统得到良好的保护。	
1) Fundraising mechanism and hosting entity are identified. 应当事先确定筹款机制和受体。	是 <input type="checkbox"/>
证据：	否 <input type="checkbox"/>
2) FMU make payment to compensate for its decision to maintain the deficiency of natural ecosystem. FMU 提供资金，以补偿决定维护自然生态系统所面临的资金短缺。	是 <input type="checkbox"/>
证据：	否 <input type="checkbox"/>
3) The amount of the fund should be equal to the ecosystem service value which 10% FMU area could provide. 资金的额度，应当等于 FMU 面积 10%所能够实现的生态系统服务价值。	是 <input type="checkbox"/>
证据：	否 <input type="checkbox"/>
4) The area in the ecosystem services certifications scope should locate in the similar climatic zones and forest landscape. 生态系统服务认证范围的面积，应当位于相似的气候带和森林景观。	是 <input type="checkbox"/>
证据：	否 <input type="checkbox"/>

<b>Alternative 4</b> <input type="checkbox"/> 寻求豁免。 <b>候选对象：</b> 森林经营单位无法符合 6.5.5 的要求（选择 1、2、3 都不适用，也都无法实现）	符合性
1) Alternative 1), 2) and 3) are not available. 选择 1)、选择 2)、选择 3) 都不适用。	是 <input type="checkbox"/>
证据：	否 <input type="checkbox"/>
2) Alternative 1), 2) and 3) are not accessible after the endeavor. 经过努力，选择 1)、选择 2)、选择 3) 都无法实现。 (或者企业在成本上根本无法承受)	是 <input type="checkbox"/>
证据：	否 <input type="checkbox"/>

说明 1: Option 3 中“相似的气候带和森林景观”是指

说明 2: 中国气候带类型包括: 热带、亚热带、暖温带、寒温带。

说明 3: 中国主要天然森林景观类型包括: 雨林、常绿阔叶林、落叶阔叶林、针阔混交林、竹木混交林、针叶林、灌丛。

#### 4. 整改计划和实施结果(Implementation plan and verification finding)

##### 1.5. 整改计划(implementation plan)

组织应当在技术专家的支持下, 制定一个整改计划, 以满足 FSC 标准 6.5 的相关要求。

The organization shall establish an implementation plan based on technical expert's support in order to meet the requirements of alternative.

通用要求 (适用于所有 Option) General requirements	符合性 conformity
1) 组织应当与 FSC 技术专家合作, 以设法满足标准 6.5 的要求。 The organization shall cooperate the FSC technical expert to meeting the requirements of corresponding alternative for 6.5.5	是 <input type="checkbox"/> 否 <input type="checkbox"/>
证据: Finding:	
2) 组织应咨询当地主要的利益相关方 (包括但不限于: 当地林业管理部门、环保部门、经营者等), 以了解当地是否存在潜在的生态系统样地和保护区域网络。 说明: 应保留相关证据: 访谈记录、视频等。 The organization shall consult with local key stakeholders(include but not limit to forest authority, environmental department, forest manager, etc) to understand if there are any potential RSA and CAN existed.	是 <input type="checkbox"/> 否 <input type="checkbox"/>
证据:	
3) 组织应对潜在的生态系统样地和保护区域网络进行现场调查, 并与经营者进行协商, 以评估合作的可能性。 说明: 应保留相关证据: 访谈记录、视频等。	是 <input type="checkbox"/>

The organization shall investigate the potential RSA and CAN, and consult with forest operator to assess the possibility of the cooperation.	否 <input type="checkbox"/>
证据： Finding	
4) 组织应对潜在合作方开展合作。 如无法开展合作，应提供合理的解释，并保留相关证据。 The organization shall cooperate with potential partner. If the cooperation does not success, the organization shall provide the reasonable explanation and related evidence.	是 <input type="checkbox"/> 否 <input type="checkbox"/>
证据：	

Alternative 1 <input type="checkbox"/>	符合性
1) 组织应和合作方签署联合认证协议，以确保认证范围内有符合 6.5 要求的生态系统样地及保护区域网络。	是 <input type="checkbox"/>
证据：	否 <input type="checkbox"/>
2) 组织的经营规划中，应并明确生态系统样地及保护区域网络的经营管理和保护方式。	是 <input type="checkbox"/>
证据：	否 <input type="checkbox"/>
3) 组织应对生态系统样地及保护区域网络开展相应的监测。	是 <input type="checkbox"/>
证据：	否 <input type="checkbox"/>

Alternative 2 <input type="checkbox"/>	符合性
1) 组织应和合作方分析在生态系统服务功能方面的潜力（或不足）。 说明 1: 组织应以书面的形式明确在哪些方面具有提高的潜力，包括（但不限于）：生物多样性保护、固碳和贮存、流域服务、土壤保持、游憩服务。 说明 2: 可以是一种功能，也可以是多种功能。	是 <input type="checkbox"/> 否 <input type="checkbox"/>
证据：	
2) 组织应和合作方应就如何提高合作、方生态系统功能达成书面合作协议，并明确双方的责任与义务。 说明 1: 参照《体现生态系统服务影响的评估指南》，	是 <input type="checkbox"/> 否 <input type="checkbox"/>
证据：	



<p>3) 组织和合作方应落实了双方所达成的协议，并采取了相应的措施，以提高生态系统服务功能。</p> <p>说明 1：参照《体现生态系统服务影响的评估指南》，组织应和合作方制定详细并可行的措施和计量方法。</p> <p>说明 2：组织和合作方应执行这些措施，并开展计量。</p> <p>说明 3：组织和合作方的监测结果，可以验证生态系统服务功能得到提高。</p>	<p>是 <input type="checkbox"/></p> <p>否 <input type="checkbox"/></p>
证据：	
4) 组织和合作方应接受认证机构的审核。	<p>是 <input type="checkbox"/></p> <p>否 <input type="checkbox"/></p>

Alternative 3 <input type="checkbox"/>	不适用 <input checked="" type="checkbox"/>
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Alternative 4 <input type="checkbox"/>	不适用 <input checked="" type="checkbox"/>
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#### 1.6. 实施结果(Verification result)

Alternative 1 <input type="checkbox"/>	符合性
<p>1) if the management of the outside area is complied with FSC's requirements, especially for principle 6.</p> <p>认证范围之外的面积是否符合 FSC 的要求，尤其是原则 6 的要求。</p>	<p>是 <input type="checkbox"/></p> <p>否 <input type="checkbox"/></p>
证据：	
<p>2) The conservation objective of the outside area, and what kinds of activities have been conducted, if such activities are adapted to the conservative objective.</p> <p>外部面积的保护目标，开展了什么样的活动（如果这些活动是为了适应保护目标）。</p>	<p>是 <input type="checkbox"/></p> <p>否 <input type="checkbox"/></p>
证据：	
<p>3) The social and economic cost analysis.</p> <p>社会成本、经济成本分析</p>	<p>是 <input type="checkbox"/></p>

证据:	否 <input type="checkbox"/>
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Alternative 2 <input type="checkbox"/>	符合性
1) Consent from the conservation unit that it will follow the framework described by FSC guidance for demonstrating ecosystem service impacts 获得保护单位同意,并依据 FSC 指南来表明生态系统服务影响,遵守其框架。	是 <input type="checkbox"/> 否 <input type="checkbox"/>
证据:	
2) Help them to establish the ecosystem service management system 帮助他们建立生态系统服务管理体系。	是 <input type="checkbox"/> 否 <input type="checkbox"/>
证据:	
3) To assess if such alternative will bring additional environmental value 对于该选项是否带来额外的环境价值,开展评估	是 <input type="checkbox"/> 否 <input type="checkbox"/>
证据:	
4) The social and economic cost analysis. 社会成本、经济成本分析	是 <input type="checkbox"/> 否 <input type="checkbox"/>

Alternative 3 <input type="checkbox"/>	符合性
1) Help the FMU to get ecosystem service impact certification. 帮助森林经营单位获得生态系统服务影响认证。	是 <input type="checkbox"/> 否 <input type="checkbox"/>
证据:	
2) To assess the price of the ecosystem service. 对生态系统服务的价格,进行了评估。	是 <input type="checkbox"/> 否 <input type="checkbox"/>
证据:	
3) The social and economic cost analysis. 社会成本、经济成本分析。	是 <input type="checkbox"/> 否 <input type="checkbox"/>
证据:	

Alternative 4

不适用

### Annex 3: Template for feedback by CB

This report is designed to collect information about the pilot test. It is a mandatory requirement and has to be filled in by the participating certification body, and sent to FSC China office within 14 days of the pilot test implementation.

#### Report Template

##### Part I – General Information

<b>1</b>	<b>Certification body</b>	<i>Please include here the name of the certification body, lead auditor and audit team.</i>
<b>2</b>	<b>Location of the group certificate</b>	<i>Please include here the Country, Province, City and District where the group entity is located.</i>
<b>3</b>	<b>Type of evaluation</b>	<i>Please select the evaluation carried out:</i> <input type="checkbox"/> Main evaluation <input type="checkbox"/> Surveillance audit <input type="checkbox"/> Others (specify)
<b>4</b>	<b>Characteristics of the FSC certificate</b>	<i>Please include here the following information:</i> Number of members: [    ] Number of SLIMF members: [    ] Area (in hectares): [    ] Area of SLIMF management units: [    ] Percentage of CAN: [    ] FSC Certificate Code: [    ] First Issue Date: [    ] Last Issue Date: [    ] Expiry Date: [    ]

##### Part II - Evaluation of feasibility and implications of the alternative approaches to comply with indicator 6.5.5

###### 1. Evaluation of conformity with the Principle 6

*Describe how the smallholder conforms with the principle 6:*

*The certification body can provide a detailed checklist of conformity for each requirement on a separate document as an annex.*

*Please, indicate any non-conformities identified during the evaluation.*

## **2. Evaluation of feasibility and implications of the alternative approaches**

*Describe the alternative approaches the participant used to comply with 6.5.5:*

*Evaluate the feasibility and implications of the alternative approaches:*

## **3. Decision on the FSC temporary certificates**

*The certification body shall state whether the group has complied with all the applicable requirements, and the decision to approve or reject the issuance of an FSC temporary certificate to the participating group.*

*The decision shall specify the duration of the FSC temporary certificate, the specific group members included in the certificate, and a brief justification for the decision.*

## **4. Recommendations for further work to be carried out by the group**

*Please describe any actions that should be carried out by the group to improve its performance regarding the principle 6.*

## **5. Benefits/constrains of the alternative ways for smallholder**

**6. Impact on costs of fulfillment of indicator 6.5.5**

*Please indicate the impact on the cost of fulfilment of indicator 6.5.5*

*Please, include but not limited to money or workload.*

**7. Other suggestions and observations**

## Annex 4: Template for feedbacks provided by participant

### Introduction

This report is designed to collect information about the pilot test. It is a mandatory requirement and has to be filled in by the participating groups, and sent to the FSC China office within 14 days of the pilot test implementation.

### Report Template

#### Part I – General Information

1	<b>Group entity</b>	<i>Please include here the name of the group entity, its legal representative, an e-mail and a telephone number for contact.</i>
2	<b>Location of the group entity and the participating members.</b>	<i>Please include here the Country, Province, City and District (if applicable) where the group entity is located.</i>  <i>Please, also indicate the location of the group members and management units participating in the pilot test.</i>
3	<b>Type of evaluation</b>	<i>Please select the evaluation carried out:</i>  <input type="checkbox"/> Main evaluation <input type="checkbox"/> Surveillance audit <input type="checkbox"/> Others (specify)

#### Part II - Recommendations for the FSC China

<b>1 Requirements included in Principle 6</b>
<i>Provide your opinion about the requirements principle 6, which indicators are difficult for your organization? What kind of training do you think is useful to your compliance with the requirement?</i>

<b>1. Benefits/constrains of the alternative ways to comply with indicator 6.5.5</b>
<i>Do you think the alternative ways bring any benefits compare to indicator 6.5.5?</i> <i>Do you think the alternative ways bring any potential conflicts or problems?</i>

**2. Impact on costs of fulfillment of indicator 6.5.5**

*Please indicate the impact on the cost of fulfillment of indicator 6.5.5*

*Please, describe include but not limited to money or workload.*



## Annex 5 The questionnaire of impact assessment

### Survey of the motivations and impacts of FSC forest management certification in China

#### Dear FSC FM certificate holder and other stakeholders:

In order to better understand the impacts of FSC forest management certification and provide better service, we develop this questionnaire to collect information from certificate holders and other stakeholders. We are honored to have your answers regarding your motivations to apply for FSC certification, the impact of FM certification, as well as the challenges/problems of FSC certification in China. You are welcomed to fill in the online questionnaire (<https://www.wjx.cn/jq/34312522.aspx>), or to fill in the questionnaire in paper form. All information in this survey is treated in strict confidence and will be used for academic purpose only.

Should you have any questions, please feel free to contact us by phone or email.

Thanks for your support for us.

#### Attachment:

1. Questionnaire of forest certification
2. Best practices or successful stories regarding forest certification recruited

FSC China Office

Feb 15th, 2019

#### Contact:

ZHANG Chaoqun, Tel: 010-62889757, Email: [chaoqun\\_zhang@outlook.com](mailto:chaoqun_zhang@outlook.com)

WANG Yanyan, Tel: 010-58641358, Email: [w.yanyan@fsc.org](mailto:w.yanyan@fsc.org)

**Appendix 1**

**Questionnaire of Forest Certification**

All information in this questionnaire is treated in strict confidence and will be used for academic purpose ONLY.

**You are from:**

- Forest Management Organization authorities
- Manufactures
- Forest authorities
- Research and education organization association
- Civil organization
- Industry association
- Certification Body
- Consulting Organization
- Others:

**1. Basic information of certified companies**

*(Note: these questions are only for FM certificate holder)*

1. Company's name:		
2. Contact: _____		Position: _____
Tel: _____		Email: _____
3. Generally, the percentage of certified timber/bamboo sold as certified products in all products provided: _____%		
4. Generally, the price of certified timber/bamboo is _____% higher than non-certified timber/bamboo.		
5. The average sale of certified timber/bamboo per year during certification period is _____ M <sup>3</sup>		
6. Cost of certification and the benefits from getting certified (Please indicate the total cost and benefits for getting certified during the 5-year certification period. If the company has been certified for less than 5 years, please write down the cost and benefits since the day when the certificate is acquired until now)		
Quantitative unit: 10,000 RMB		
<b>Direct cost</b>	<b>Indirect cost</b>	<b>Benefits</b>
Pre-assessment:	External consulting fee:	Increased sales after getting certified:
Main assessment	Management improvement fee:	Government funding:
Annual audit in	Other:	Non-government funding:

total ( times):		
FSC annual administration fee in total:		Suppliers or other support:
other:		other:
Total:	Total:	Total:
<p>In generally, the cost of and benefits from getting certified: _____</p> <p><input type="checkbox"/>cost is more than benefits; <input type="checkbox"/>cost is basically equal to benefits;</p> <p><input type="checkbox"/>some benefits obtained (profit growth rate is lower than 5%);</p> <p><input type="checkbox"/>significant benefits obtained (profit growth rate is higher than 5%);</p> <p><input type="checkbox"/>profits not predictable</p>		
<p>7. Satisfaction of getting certified: _____</p> <p><input type="checkbox"/> very satisfied; <input type="checkbox"/>satisfied; <input type="checkbox"/>Neither satisfied nor dissatisfied; <input type="checkbox"/>dissatisfied; <input type="checkbox"/>very dissatisfied</p>		
<p>8. The willingness of maintain forest certification in the future: _____</p> <p><input type="checkbox"/>certainly will; <input type="checkbox"/>may be; <input type="checkbox"/>uncertain; <input type="checkbox"/>may not; <input type="checkbox"/>certainly not</p>		

**2. Motivation of forest management certification** (Please score according to the impact extent, 1 point is the lowest influence to the motivation, 5 point is the highest influence to the motivation; Please specify the best practices or stories after each question or share your experiences regarding this topic)

	Motivation	Score(1-5)
Direct market benefits	to obtain market access (FSC certificate is the mandatory requirement of the customer)	
	to obtain or enlarge market share (developing new market)	
	price premium of certified products	
Indirect market benefits	to fulfill corporate social responsibility	
	to build positive relationship with the community	
	to enhance the competitiveness	

	to improve corporate image and to establish brand image	
	to protect the environment and biological diversity	
Forest management	to introduce and adopt advanced forest management concepts and standards	
	to improve the forest management level	
	to improve forest management technical system	
	to improve the sustainable forest management capacity	
	to guarantee sustainable forest production capacity	
external support	policy support from the central or regional governments	
	pressure and support from Non-government environmental organization	
	international capital and funding supports from financial organizations	
Other (please specify) :		
Please indicate your main motivations for getting certified :		

**3.Impacts of forest certification** (Please score according to the impact extent, 1 point is the lowest influence to the motivation, 5 point is the highest influence to the motivation ; Please write down successful stories or experiences of your company at the last column of each section or present those cases in attachments)

Scope	Benefits, impact or function of forest certification	Score (1-5)
Impacts of forest management	Enhanced forest companies' awareness and capacity of sustainable forest management	
	Enhanced the enforcement of forestry related laws	

	and regulation	
	Improved the developing and implementation of forest management plan	
	Facilitated the establishment and implementation of forest monitoring and evaluation system	
	Improved the sustainable production of timber and non-timber forest products	
	Improved forest productivity and quality (eg. Growth or stock per unit area)	
	Reduced insect pest in plantations	
	Reduced the impacts of natural disasters	
	Improved forest structure and stability	
	Improved the management of exotic species, especially invasive species	
	Improved the management of rubbish and waste in forests	
	Improved the management of chemicals and fertilizers	
	Strengthened the management of GMO	
	Prevented the conversion of forests into plantations or non-forest lands	
	other:	
	Stories or best practices:	
<b>Social impacts</b>	Clearly defined forest tenure and facilitated the disputes disposal regarding forest tenure	
	Protected employees' rights	
	Improved occupational health and safety	
	Protected the traditional rights and legal rights of local people and indigenous people	
	Provided job opportunities or others services for local	

	people and indigenous people	
	Protected sites of special significance for local people and indigenous people	
	Reduced the negative impacts of forest management activities on local community, and improved forest corporation's relationship with local community	
	Enhanced the communications among various parties and facilitated all parties' participation in forest management activities	
	other:	
	Stories or best practices:	
<b>Environmental impacts</b>	Reduced the negative impacts of various forest management activities on local environment	
	Enhanced forests' environmental value and service	
	Protected biological diversity	
	Enhanced the protection of water resources	
	Protected soil structure and fertility	
	Maintained and enhanced "High Conservation Value"	
	Facilitated forest regeneration and succession	
	other:	
	Stories or best practices:	
<b>Economic impacts</b>	Price premium of certified timber and forest products	
	Stabilized and enlarged the market share	
	Enhanced the brand value and improved the corporate image	
	Facilitated the best use of timber or timber products and enhanced the added value of products	
	Facilitated the diversification of income	

	Supported or promoted the development of local industry chain	
	Acquired external funding or technical support	
	other:	
	Stories or best practices:	

**4. Problems and challenges of forest certification** (Please score according to the extent. 1 point indicates the problem is minimal, 5 point refers to serious problem)

Scope	Problem and Challenge	Score(1-5)
The preparation and implementation of forest certification	Having difficulty in fully understanding the standards	
	Having difficulty in accessing sufficient data and information support	
	the lack of support from the government	
	Having difficulty in supervising members in group certification	
The development and application of standards	The requirements of some FSC standards are difficult to meet	
	Some standards are not always feasible in China	
	Failed to emphasize and solve key forest management problems in China	
	Misunderstanding of the standards during the audit	
Forest auditing and consulting	Insufficient capacity of auditors	
	Poor professional ethics of auditors	
	Non-professional auditing by CBs	
	Insufficient capacity of training and consulting bodies	
	Lack of academic and technical support	
Operation and Supervision of FSC	The conflicts between FSC standards and current national law and governance system	

system	The interest associated between certification bodies and consulting organization	
	Poor supervision of certification body	
	Poor business credibility of some FMEs (eg. fake invoices)	
motivation and restriction of forest certification	Insufficient market demands of certified wood	
	Insufficient direct profits and low cost-benefit derived from certification	
	Lack of legal and policy support in national level	
other: (please specify)		

## 5. Suggestions for forest certification

Any suggestions for FSC certification?



## **Best practices or successful stories regarding forest certification recruited**

Please indicate your experiences, good practice or successful stories regarding to the socio-economic and environmental impacts of forest certification (indicators in the questionnaire can be used as references).

It is encouraged to present each case in 500-800 word, although there is no word limits. You are welcomed to provide photos illustrating the changes before and after forest certification and other related materials.

Thanks!