

SUSTAINABLE FOREST MANAGEMENT STANDARD



VFCS ST 1003:2019

Vietnam Forest Certification Office

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Document name:	Sustainable forest management standard
Document title:	VFCS ST 1003:2019
Approved by:	Vietnam Forest Certification Office
Issue date:	6/9/2019
Application date:	6/9/2019
(Date of entry into force)	

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Abbreviations

CCR	Forest Certification
CRN	Small forest owner
FSC	Forest Stewardship Council
HTX	Agricultural Cooperatives
KHLN	Forestry Sciences
NN&PTNT	Agriculture and Rural development
NT	Principle
NWG	National group of experts on Sustainable forest management and Forest Certification
PEFC	Programme for the Endorsement of Forest Certification
QLRBV	Forest protection and management
SFMI	Research Institute for Sustainable forest management and Forest certification
TCLN	Vietnam Administration of Forestry
TCVN	National standard
VNTLAS	Vietnam's timber legality assurance system

I. Introduction

The sustainable forest management standard, developed and issued by the Vietnam Forest Certification Office (VFCO), is to promote sustainable forest management and forest certification in Vietnam. This standard specifies the requirements for sustainable forest management that forest owners shall implement to obtain forest certification under the Vietnam Forest Certification Scheme (VFCS). The standard is also the basis for Certification Bodies (CBs) to apply for assessing and issuing forest certifications against VFCS.

The process of developing the forest management standard complies with the principle of independent and participation of relevant stakeholders in transparency, with the consent of the involved parties. Steps to develop the standard comply with the requirements of PEFC (PEFC ST 1001: 2010) while the process to promulgate follows Vietnamese law and regulations approved by Vietnam Administration of Forestry (VNFOREST). The standard has been developed through 2 main stages:

Phase 1: Develop a set of principles of sustainable forest management for Vietnam (in the period of 1998-2014): it has been based on the forest management standard of FSC and has been conducted by the National Working Group on sustainable forest management and forest certification, after that VNFOREST established an expert group to review and revise the set of principles, finally it was promulgated in the Circular 38/2014 / TT-BNNPTNT by the Ministry of Agriculture and Rural Development in 2014.

Phase 2: Develop the sustainable forest management of VFCS (2016-2018): Reviewing and revising the set of principles issued in the Circular 38/2014/TT-BNNPTNT, in order to harmonize with the requirements of the PEFC's forest management standard and the requirements of legal timber definition in Vietnam Timber Legality Assurance System (VNTLAS) issued in the Circular No. 28/2018/TT-BNNPTNT by the Ministry of Agriculture and Rural Development in 2014.

II. Normative references

Pursuant to the Decision No. 1288/QD-TTg dated October 1, 2018 of the Prime Minister approving the Project on Sustainable Forest Management and Forest Certification and approving the establishment and operation of the Vietnam Forest Certification Scheme;

Pursuant to the Decision No. 83/QD-BNN-TCLN dated January 12, 2016 of the Minister of Ministry of Agriculture and Rural Development on approving the Programme on sustainable forest management and forest certification in the period of 2016- 2020;

Pursuant to the Decision No. 3454/QD-BNN-TCLN dated August 22, 2017 of the Minister of Ministry of Agriculture and Rural Development on the Establishment of a Standard Development Group to develop the standards of sustainable forest management and the chain of custody forest- based products;

Pursuant to the Circular No. 28/2018/TT-BNNPTNT dated November 16, 2018 of the Minister of Ministry of Agriculture and Rural Development on the Regulation on Sustainable Forest Management;

Based on the document title PEFC ST 1003:2010, Sustainable Forest Management-Requirements.

III. Scope

This standard provides requirements and indicator systems for voluntary forest management unit/forest owner who shall meet to implement sustainable (natural and/or plantation) forest management certification under the system of VNFCS.

This standard provides forest certificate bodies with basis for auditing and assessing sustainable forest management according to Viet Nam Forest Certification Scheme (VNFCS)

IV. Terms and Definitions

Term	Definition	Sources
Occupational safety	Meaning measures to prevent and combat the impact of hazardous factors to make sure that no illness or mortality happens to people during the working process.	Law No. 84/2015/QH13 dated June 25, 2015 by The National Assembly on Occupational safety and Hygiene
Timber yard	Is a place storing the entire volume of timber in logging area	Circular No. 35/2011/TT-BNNPTNT dated May 20, 2011 by Ministry of Agriculture and Rural Development on Guidance on Logging and Full exploitation of timber and Non-timber forest products
Land use status map	Is a map that demonstrates the distribution of various types of land at a specified time, and is built for every single administrative unit.	Law No. 45/2013/QH13 dated September 29, 2013 by The National Assembly on Land
Biodiversity conservation	Meaning the protection of the abundance of natural ecosystems which is important, specific or representative; the protection of permanent or seasonal habitats of wild species, environmental landscape and the unique beauty of nature; the rearing, planting and care of species on the list of endangered precious and rare species prioritized for protection;	Law No. 20/2008/QH12 dated September 13, 2008 by The National Assembly on Biodiversity

	and the long-term preservation and storage of genetic specimens.	
Foreign signatory	Refers to any State, international organization or other entity is recognized as a subject of international law.	Law No. 108/2016/QH13 dated April 09, 2016 by The National Assembly on Treaties
Related parties/ Stakeholders	<p>Regardless of which individuals or groups of people or organizations can be affected by activities from forest owners. It may include people living in downstream, individuals, groups or entities located close to forest owners. Stakeholders are as follow:</p> <ul style="list-style-type: none"> - State management agency - Local government - Residential communities and local people live in forests and near forests - Workers - Residential communities and local people live downstream - Enterprises in the area - Social and political organizations - Social organization - Social - professional organization - Non-governmental organizations - Independent expert 	

Genetically modified organism	Meaning an organism whose genetic structure has been modified by the gene transfer technology.	Law No. 20/2008/QH12 dated September 13, 2008 by The National Assembly on Biodiversity
Hazardous wastes	Refer to the waste that exhibits one or more of hazardous traits such as toxicity, reactivity, infectivity, ignitability, corrosivity or other poisonous characteristics.	Law No. 55/2014/QH13 dated June 23, 2014 by The National Assembly on environmental protection
Solid waste	<p>Meaning waste in solid or paste form (also called waste sludge) discharged from production, business, service, daily life or other activities.</p> <p>Solid waste includes ordinary solid waste and hazardous solid waste.</p> <p>Solid waste generated in daily-life activities of individuals, households or at public places is collectively referred to as daily-life solid waste. Solid waste generated in industrial production, craft villages, business and service activities or order activities is collectively referred to as industrial solid waste.</p>	<p>Decree No. 38/2015/NĐ-CP dated April 24, 2015 by the Government on management of waste and discarded materials</p> <p>Decree No.59/2007/ND-CP dated April 9, 2007 by the Government on solid waste management</p>
Payment for forest	Meaning a provision and payment relationship in which users of forest	Decree No. 99/2010/ND-CP dated September 24, 2010 by the Government on the

environment services	environment services pay to providers of these services	policy on payment for forest environment services
Forest owner	May be an organization, household, individual or community that is allocated or leased out a forest by the State; allocated or leased out land for afforestation, forest regeneration or development; receives transfer of the forest, receives the forest as a gift or inherits the forest according to regulations of law.	Law No. 16/2017/QH14 dated November 15, 2017 by The National Assembly on Forestry
Certificate of sustainable forest management”	Is a document that recognizes certain forest area satisfying criteria for sustainable forest management.	Law No. 16/2017/QH14 dated November 15, 2017 by The National Assembly on Forestry
Communities	Including Vietnamese communities residing in the same village, street quarter or similar residential area sharing the same customs and practices or the same family line.	Law No. 45/2013/QH13 dated November 29, 2013 by The National Assembly on Land Law No. 29/2004/QH11 dated December 3, 2004 by The National Assembly on forest protection and development.

Technical infrastructure construction	Including transportation, water supply, drainage, electricity, lighting, telecommunications, solid waste management, cemeteries.	Circular No. 01/2016/TT-BXD dated February 1, 2016 by the Ministry of construction on promulgating of National technology standard "Infrastructure works"
Silviculture works	Being an agricultural and rural development project, made up of the implementation of silvicultural investment activities according to design and cost estimates, including: Planting, tending and protecting forests; zoning off for natural regeneration, zoning off for regeneration with supplementary planting of forest trees; Forest rehabilitation and other related activities.	Circular No. 23/2016/ TT-BNNPTNT dated June 30, 2016 by the Ministry of Agriculture and Rural Development on guiding some contents of silvicultural management
Environmental impact assessment	Refers to the analysis and prediction of environmental impacts of specific investment projects in order to take preventive measures to protect the environment during the implementation of such projects.	Law No. 29/2004/QH11 dated December 3, 2004 by The National Assembly on forest protection and development.
Wetlands	Wetlands are areas of marsh, fen, peatland or water, whether natural or artificial, permanent or temporary, with water that is static or flowing, fresh, brackish or salt, including areas of marine water the depth of which at low tide does not exceed six meters.	The Ramsar Convention, 1971. Article 1.1

Forest environment services	Are activities that provide value for the use of the forest environment.	Law No. 16/2017/QH14 dated November 15, 2017 by The National Assembly on Forestry
Treaty	Meaning an agreement in written form concluded in the name of the State or in the name of the Government of the Socialist Republic of Vietnam with a foreign contracting party, that give rise to, change or terminate rights and obligations of the Socialist Republic of Vietnam under international law, regardless of its title, such as treaty, convention, pact, covenant, agreement, protocol, memorandum of understanding, note or another title.	Law No. 108/2016/QH13 dated April 9, 2016 by The National Assembly on Treaties
Certificate of land use rights and ownership of houses and other land-attached assets	Is a legal certificate in which the State certifies the lawful land use rights and ownership of houses and land-attached assets of the person who has land use rights and ownership of houses and land-attached assets	Law No. 45/2013/QH13 dated November 29, 2013 by The National Assembly on Land
Genetically Modified Crop	Crops which their gene structure are modified by gene transformation technologies and to be used as intended crop production	Circular No 69 /2009/TT-BNNPTNT dated October 27, 2009 by the Ministry of Agriculture and Rural development on Risk assessment of genetically modified crops to biodiversity and environment

Legal timber	Meaning timber or timber products that is used, traded or produced under regulations of Vietnam law.	Law No. 16/2017/QH14 dated November 15, 2017 by The National Assembly on Forestry
Prohibited acts in forestry activities	<p>Including</p> <ol style="list-style-type: none"> 1. Illegally felling, deforesting, exploiting or encroaching forests. 2. Illegally discharging sewage or bringing toxic chemicals, explosives, flammable substances, tools or vehicles into forests; grazing cattle or livestock in strictly protected sub-zones of reserve forests or newly planted forests. 3. Illegally hunting, shooting, catching, caging, slaughtering, transporting or trading in forest animals; illegally collecting specimens of forest plant or animal species. 4. Destroying forest resources, ecosystems or works used for forest protection and development. 5. Violating regulations on fire safety in forests; prevention and elimination of organisms harmful to forests; management of harmful allochthonous species; provision of forest environmental services. 6. Storing, trading in, transporting, processing, advertising, displaying, exporting, importing, temporarily 	Law No. 16/2017/QH14 dated November 15, 2017 by The National Assembly on Forestry

	<p>importing, temporarily exporting or transiting forest products against regulations of Vietnam law and international agreements to which the Socialist Republic of Vietnam is a signatory.</p> <p>7. Exploiting natural resources, mineral resources or forest environment; building, digging, damming, stopping natural flows or other activities against regulations of law that lead to change in the natural landscape structure of forest ecosystems.</p> <p>8. Illegally allocating, leasing out or appropriating forests, converting types of forests, repurposing of forests; illegally exploiting or transporting forest products; illegally changing forest area, transferring, inheriting, gifting, mortgaging or contributing capital with the value of forest use rights or planted production forest ownership; discriminating against religions, beliefs or genders when allocating or leasing out forests.</p> <p>9. Illegally using materials for forest products processing.</p>	
Ecosystem	Meaning a community of organisms and non-living elements interacting and metabolizing as a functional unit in a certain geographical area	Law No. 20/2008/QH12 dated September 13,2008 by The National Assembly on Biodiversity

Chemical	Meaning an element, a compound or a mixture which is exploited or created by humans from natural or artificial raw materials	Law No. 06/2007/QH12 dated November 21,2007 by The National Assembly on Chemicals
Forestry operations	Including one or some activities related to management, protection, development and use of forests; forest products processing and trade.	Law No. 16/2017/QH14 dated November 15, 2017 by The National Assembly on Forestry
A labor contract	Is an agreement between an employee and an employer on the paid job, the working conditions, the rights and obligations of each party in the labor relation.	Law No. 10/2012/QH13 dated June 18, 2012 by The National Assembly on Labor code
Nature conservation area (below referred to as conservation area)	Meaning a geographical area that has fixed boundaries and functional sections for biodiversity conservation.	Law No. 20/2008/QH12 dated September 13, 2008 by The National Assembly on Biodiversity
Forest product	Meaning a product that is utilized from the forest including forest plants, animals and other forest organisms consisting of timbers, non-timber forest products, rattan and bamboo products after being processed.	Law No. 16/2017/QH14 dated November 15, 2017 by The National Assembly on Forestry
Non-timber forest products	Goods of biological origin other than wood derived from forests, other wooded land and trees outside forests”	FAO, 1999

Charges	Are a fixed amount of money that shall be paid by organizations or individuals for public services for state management provided by regulatory agencies as prescribed in the list of fees and charges enclosed herewith.	Law No. 97/2015/QH13 dated November 25, 2015 by The National Assembly on Fees and charges
Native species	A species, subspecies, or lower taxon, occurring within its natural range (past or present) and dispersal potential (i.e. within the range it occupies naturally or could occupy without direct or indirect introduction or care by humans.	IUCN, 2000. IUCN Guidelines for the Prevention of Biodiversity Loss caused by Alien Invasive Species. IUCN, Species Survival Commission, Gland, Switzerland.
Endemic species	Meaning a species that exists and grows only within a narrow scope of distribution restricted to a certain territorial area in Vietnam and its existence is not identified elsewhere in the world.	Law No. 20/2008/QH12 dated September 13, 2008 by The National Assembly on Biodiversity
Wild species	Meaning species of animals, plants, microorganisms and fungi that live and grow in line with natural rules	Law No. 20/2008/QH12 dated September 13, 2008 by The National Assembly on Biodiversity
Alien species	Meaning a species that appears and grows in an area that is not its natural habitat	Law No. 20/2008/QH12 dated September 13, 2008 by The National Assembly on Biodiversity
Invasive alien species	Meaning an alien species that invades the habitat of or causes harms to indigenous species,	Law No. 20/2008/QH12 dated September 13, 2008

	causing ecological imbalance in the area where it appears and grows.	by The National Assembly on Biodiversity
Endangered precious and rare species prioritized for protection	Meaning wild species, crops or domestic animals, microorganisms or fungi which are endemic and of special scientific, medical, economic, ecological, scenic, environmental or cultural historical values, exist in few numbers or are in danger of extinction.	Law No. 20/2008/QH12 dated September 13, 2008 by The National Assembly on Biodiversity
Forest environment	Includes the components of the forest eco-system: plants, animals, microorganisms, water, soil, air and natural landscapes. Forest environment has use values to meet social and human needs, referred to as use values of the forest environment, including soil protection, water source regulation, headwater protection, coastal protection, natural disaster prevention and combat, biodiversity, carbon sequestration and retention, tourism, habitat and spawning ground of organisms, timber and other forest products.	Decree No. 99/2010/ND-CP dated September 24, 2010 by the Government on the policy on payment for forest environment services
Employees	Are people from 15 years old and above, capable of working, working under labor contracts, receiving salaries and subject to the management of the employers.	Law No. 10/2012/QH13 dated June 18, 2012 by The National Assembly on Labor code
The employers	Are enterprises, agencies, organizations, cooperatives, households and individuals hiring,	Law No. 10/2012/QH13 dated June 18, 2012 by The

	employing employees under labor contracts. The individuals must be sufficiently capable of civil acts.	National Assembly on Labor code
Genetic resource	Includes all species and genetic specimens in nature, conservation areas, biodiversity conservation facilities and scientific research and technological development institutions and in nature.	Law No. 20/2008/QH12 dated September 13, 2008 by The National Assembly on Biodiversity
Chemical fertilizers (also known as inorganic fertilizers)	Including different types of fertilizers which are produced mainly from inorganic substances or synthetic organic substances that have been treated through chemical processes or mineral processing;	Decree No. 108/2017/ND-CP dated September 20, 2017 by the Government on fertilizer management
Organic fertilizers	Including different types of fertilizers which are produced mainly from natural organic substances (excluding synthetic organic substances that have been treated through physical process such as drying, grinding, sieving, mixing and moistening or biological processes such as fermenting and extraction;	Decree No. 108/2017/ND-CP dated September 20, 2017 by the Government on fertilizer management
Biological fertilizers	Including different types of fertilizers produced through biological processes or natural fertilizers which contain one or multiple biological substances such as humic acids, fulvic acids, amino acids, vitamins or other biological substances.	Decree No. 108/2017/ND-CP dated September 20, 2017 by the Government on fertilizer management

Fees	Are an amount of money that shall be paid by organizations or individuals to make up for expenses for public services provided by regulatory agencies, public service providers as assigned by competent state agencies as prescribed in the list of fees and charges enclosed herewith.	Law No. 97/2015/QH13 dated November 25, 2015 by The National Assembly on Fees and charges
Waste management	Refers to the process of prevention, control, minimization, monitoring, classification, collection, transportation, reuse, recycling and disposition of wastes.	Law No. 55/2014/QH13 dated June 23, 2014 by The National Assembly on environmental protection
Site management of plantation forests	Site management of plantation forest is silvicultural activities in plantation management in order to maintain the components and sufficient productivity of site. In terms of plantation management activities, site management is understood as management of soil fertility, including technical measures on clear vegetation before planting, management of organic matter after harvesting, soil preparation land, care and nutrient management techniques to meet the needs of tree species. These activities are to maintain and improve soil fertility and forest productivity through business rotations	Nambiar, S. E. K. & Brown, A. G. (eds) 1997. Management of soil, nutrients and water in tropical plantation forests. ACIAR (Australian Centre for International Agricultural Research Monograph No. 43. 571pp.

Sustainable forest management	Is a method of forest management that ensures the achievement of forest protection and development objectives without declining values and enhancing the forest value, improving livelihoods, protecting the environment and contributing to maintain the national security.	Law No. 16/2017/QH14 dated November 15, 2017 by The National Assembly on Forestry
Planted production forest ownership”	Includes the right to own, the right to use and discretion of the forest owner towards plants, animals and other property in the forest invested by the forest owner during the allocation/lease term of afforestation.	Law No. 16/2017/QH14 dated November 15, 2017 by The National Assembly on Forestry
Forest use rights	Meaning the rights of the forest owner to utilize the forest and enjoy benefits arising therefrom.	Law No. 16/2017/QH14 dated November 15, 2017 by The National Assembly on Forestry
Forest	Is an ecosystem including forest flora and fauna, fungi, microorganisms, forestland and other environmental factors in which the main component is one or some species of trees, bamboo or arecaceae whose height is determined according to the flora of the soil or rocky mountain, submerged land, sandy land or other typical flora; with inter-regional area of at least 0.3 ha; canopy of at least 0.1.	Law No. 16/2017/QH14 dated November 15, 2017 by The National Assembly on Forestry

Special use forests	<p>Special use forests shall be mostly used to conserve natural forest ecosystems, genetic resources of forest organisms, carry out scientific research and preserve historical – cultural relics, beliefs, places of scenic beauty associated with ecotourism; hospitality and entertainment except for strictly protected sub-zones of reserve forests; and provide forest environmental services including:</p> <ul style="list-style-type: none"> a) National parks; b) Natural reserves; c) Species – habitat reserves; d) Landscape protection areas including forests used for preserving historical – cultural relics and places of scenic beauty; belief forests; forests protecting environment of urban areas, industrial parks, export-processing zones, economic zones and high-tech zones; e) Forests used for scientific research or experiment purposes; national botanical gardens; national forest nurseries. 	Law No. 16/2017/QH14 dated November 15, 2017 by The National Assembly on Forestry
Protection forests	Protection forests is to mainly protect water resources and soil, prevent erosion/landslides/floods, combat desertification, limit disasters, regulate climate,	Law No. 16/2017/QH14 dated November 15, 2017 by The National Assembly on Forestry

	<p>contribute to protect the environment and national security associated with ecotourism, hospitality and entertainment; provide forest environmental services; and are classified according to their importance including:</p> <p>a) Watershed protection forests; forests protecting water resources for communities; bordering protection forests;</p> <p>b) Wind/sand shielding protection forests; protection forests for tide shielding or sea encroachment prevention.</p>	
Production forests	<p>Production forests shall be primarily used for provision of forest products; combined forestry-agricultural-fishery production and trade; ecotourism, hospitality and entertainment; and provision of forest entertainment services.</p>	<p>Law No. 16/2017/QH14 dated November 15, 2017 by The National Assembly on Forestry</p>
Planted forest	<p>Meaning a forest that is newly planted on non-forested land, improved, replanted or regenerated after harvesting by human.</p>	<p>Law No. 16/2017/QH14 dated November 15, 2017 by The National Assembly on Forestry</p>
Mixed tree plantation	<p>A mixed tree plantation consists of two or more species on the same area</p>	<p>Forrester D, Bauhus J, Cowie AL, Vanclay JK (2006) Mixed-species plantation of eucalyptus with nitrogen fixing trees: a</p>

		review. Forest Ecology Management 233(2–3):211–230
Natural forest	Meaning a forest that is available in nature or restored by natural regeneration or regeneration with additional afforestation	Law No. 16/2017/QH14 dated November 15, 2017 by The National Assembly on Forestry
Liquid waste	<p>Is product, solution, materials in a liquid state expired or discharged from the use, production, business, services, daily-life activities, or other activities.</p> <p>In case the liquid waste product is discharged along with wastewater, it shall be called wastewater.</p>	Decree No: 38/2015/NĐ-CP dated April 24, 2015 by the Government on Management of waste and discarded materials
Habitat	Habitat means the place or type of site where an organism or population naturally occurs.	Convention on Biological Diversity (CBD) 1992[1
Livelihoods	A livelihood comprises the capabilities, assets (including both material and social resources) and activities required for a means of living. A livelihood is sustainable when it can cope with and recover from stresses and shocks and maintain or enhance its capabilities and assets both now and in the future, while not undermining the natural resource base.	DFID sustainable livelihoods guidance sheets (DFIT, 1999)

Genetically modified organism	Meaning an organism whose genetic structure has been modified by the gene transfer technology.	Law No. 20/2008/QH12 dated September 13, 2008 by The National Assembly on Biodiversity
Archival materials	<p>Archival materials mean materials of value for practical activities and scientific and historical research, which are selected for storage.</p> <p>Archival materials include the master copies and originals, and lawful duplicates in case the master copies or originals are unavailable.</p>	Law No. 01/2011/QH13 dated November 11, 2011 by The National Assembly on Archives
Practices	<p>Practices mean rules of conduct obvious to define rights and obligations of persons in specific civil relations, forming and repeating in a long time, recognized and applying generally in a region, race, or a community or a field of civil.</p> <p>In cases where it is neither provided for by law nor agreed upon by the parties, practices may apply but they must not contravene the principles provided for in Article 3 of this Code.</p>	Law No. 91/2015/QH13 dated November 24, 2015 by The National Assembly on Civil code
Practice of folk beliefs	Practice of folk beliefs means the activities of worshiping ancestors and sacred symbols, of commemorating and honoring people with meritorious contributions to the country or a community; and folk rituals typical of	Law No. 02/2016/QH14 on dated November 18, 2016 by The National Assembly on Religion and Folk belief

	historical, cultural, ethical and social values.	
Religion	Religion represents the human's faith whose existence is accompanied by a system of notions and activities encompassing the objects of worship, tenets, religious law, rites and organization.	Law No. 02/2016/QH14 on dated November 18, 2016 by The National Assembly on Religion and Folk belief
Land dispute	Meaning a dispute over the rights and obligations of land users among two or more parties in a land relationship.	Law No. 45/2013/QH13 dated November 29, 2013 by The National Assembly on Land
Indigenous knowledge	“IK is unique to a particular culture and society. It is the basis for local decision-making in agriculture, health, natural resource management and other activities. IK is embedded in community practices, institutions, relationships and rituals. It is essentially tacit knowledge that is not easily codifiable”.	World Bank, 1998. Indigenous knowledge for development: a framework for action
Occupational health	Meaning measures to prevent and combat the impact of toxic factors that may cause diseases and affect people' health during the working process.	Law No. 84/2015/QH13 June 25, 2015 by The National Assembly on Occupational safety and Hygiene

V. Requirement of sustainable forest management

Criteria	Indicators
Principle 1: Compliance with national laws and related international treaties and conventions	
1.1. Forest owners shall comply with the laws and regulations of Vietnam on land and forest use rights.	1.1.1. Shall have a clear land use right certificate or decision of land allocation or land lease/forests contracts or any documents certified by local authority.
	1.1.2. In case of customary tenure or traditional land use right, forest owners shall have documents certified by the local government that there are no disputes over land use rights.
	1.1.3. Boundaries on forest land and forests shall be clearly identified on maps and sites.
1.2. Forest owners shall comply with the current laws of Vietnam on production and trading.	1.2.1. Shall comply with the national regulations on occupation, production and business as registered (not applicable to forest owners which are households, individuals and local communities).
	1.2.2. Shall file all documents and, payment records relating to their forest activities.
	1.2.3. Shall have a reimbursement plan certified by authorities to pay any taxes and fees in case they have not made full payments yet.
1.3. Forest owners shall comply with Vietnam's current laws on forest management and protection and legal timbers.	1.3.1. Shall have a sustainable forest management plan (based on the Circular No. 28/2018/TT-BNNPTNT issued by the Ministry of Agriculture and Rural Development). A summary of the sustainable forest management plan in a format comprehensible to its size and scope, including information on the applied forest management measures, is made publicly available.
	1.3.2. Shall have measures to prevent any prohibited activities in the forestry sector.
	1.3.3. Shall conduct monitoring to timely find out any illegal activities on the forest land.
	1.3.4. Shall store files and report all the illegal cases that have solved for at least five years.
	1.3.5. Shall work closely with relevant authorities to identify, report, control and prevent all illegal activities.

	1.3.6. Shall comply with the regulations on documentations, process and procedures of forest harvesting and product management, issued by the Ministry of Agriculture and Rural Development.
1.4. Forest owners shall comply with all the international treaties/conventions to which Viet Nam is a signatory.	1.4.1. Shall understand and comply with the regulations/provision of the treaties (e.g ILO, CBD 1992, POP 2001 – Stockholm convention, and CITES).
Principle 2: Community relations and community and local/ ethnic peoples' rights	
2.1. Forest owners shall recognise the legal and/or customary rights of community and local/ethnic peoples to their forests and forest land.	2.1.1. Shall respect all legal and/or customary land use rights of community and local people. Shall, through engagement with the communities, local people, and other relevant stakeholders, identify sites which are of their customary livelihood activities such as NTFPs collection, water supply for production and daily life, etc. on the map, in the field, with clear management plans presented in the sustainable forest management plan.
	2.1.2. Shall agree with communities and local people on the boundaries of forests and forest land.
	2.1.3. Shall give favor conditions/priorities to communities and local people to carry out their legal activities on their land and forests.
2.2. Forest owners shall have responsibilities to solve all disputes on ownership and land use rights in line with the laws.	2.2.1. Shall have suitable measures to solve any disputes over land and forest use rights (not applicable to forest owners that are households, individuals, and communities).
	2.2.2. Shall archive all records on disputes for at least 5 years.
2.3. Forest owners should give job opportunities and enhance livelihood for communities and local people.	2.3.1. Shall give priorities to communities and local people to participate in forest activities and the improvement of their livelihood.

<p>2.4. Forest owners in terms of their forest land and forests shall clearly identify and demarcate significant sites with recognised specific historical, cultural or spiritual significance and areas fundamental to meet the basic needs of communities and local people.</p>	<p>2.4.1. Shall work closely with local communities, people and other stakeholders to identify and demarcate significant sites with recognised specific historical, cultural or spiritual significance on maps and sites, then documented in sustainable forest management plan.</p>
<p>2.5. Forest owners shall resolve complaints and disputes relating to adverse impacts of forestry activities on local communities and people’s assets (soils, forests and other assets) and livelihood and health.</p>	<p>2.4.2. Shall consult with local communities, people and other stakeholders to identify and develop measures for protection of forest areas with recognised specific historical, cultural or spiritual significance and entertainment.</p>
<p>2.5. Forest owners shall resolve complaints and disputes relating to adverse impacts of forestry activities on local communities and people’s assets (soils, forests and other assets) and livelihood and health.</p>	<p>2.5.1. Shall identify potential negative impacts of each forest management activity on soils, forests and life of local communities and people to have preventive measures.</p>
<p>2.5. Forest owners shall resolve complaints and disputes relating to adverse impacts of forestry activities on local communities and people’s assets (soils, forests and other assets) and livelihood and health.</p>	<p>2.5.2. Shall have measures to prevent adverse impacts on local communities and people when implementing forest management activities.</p>
<p>2.5. Forest owners shall resolve complaints and disputes relating to adverse impacts of forestry activities on local communities and people’s assets (soils, forests and other assets) and livelihood and health.</p>	<p>2.5.3. Shall have the mechanisms and measures to resolve any complaints and disputes as well as compensate the lost and damages for local communities and people in line with the national laws.</p>
<p>2.5. Forest owners shall resolve complaints and disputes relating to adverse impacts of forestry activities on local communities and people’s assets (soils, forests and other assets) and livelihood and health.</p>	<p>2.5.4. Shall compensate the lost and damages for local communities and people in line with legal regulations or mutual agreements between two parties.</p>
<p>2.5. Forest owners shall resolve complaints and disputes relating to adverse impacts of forestry activities on local communities and people’s assets (soils, forests and other assets) and livelihood and health.</p>	<p>2.5.5. Shall maintain local communities’ infrastructures when using them for forestry activities and provide additional supports infrastructure to upgrade if applicable.</p>
<p>2.5. Forest owners shall resolve complaints and disputes relating to adverse impacts of forestry activities on local communities and people’s assets (soils, forests and other assets) and livelihood and health.</p>	<p>2.5.6. Shall archive all compliant and compensation records for at least 05 years.</p>
<p>Principle 3: Forest owners shall ensure the rights and working conditions for workers</p>	
<p>3.1. Forest owners shall ensure fairness, rights and benefits of workers in line with the national laws.</p>	<p>3.1.1. Shall have a contract or recruitment decision for employees and comply with agreements with them or their representatives on the amount of money, wages and other social benefits expressed in the contract in line with national law.</p>

	<p>3.1.2. Shall comply with the current laws and regulations on the use of adolescent, disabled and over-age workers.</p>
	<p>3.1.3. Shall not absolutely participate in or support the use of forced labor.</p>
	<p>3.1.4. Shall make sure gender equality in recruitment, training and payment.</p>
<p>3.2. Forest owners shall ensure all safety working conditions for their employees in line with the laws.</p>	<p>3.2.1. Shall provide and guide on how to use safety tools and equipments for employees based on specific working conditions.</p>
	<p>3.2.2. Shall provide trainings on how to safely use and store material and equipments that may cause incidence for their employees.</p>
	<p>3.2.3. Shall provide practical trainings on how to use chemical substances safely to health for their employees.</p>
	<p>3.2.4. Employees (including employees of contractors) shall be trained on safe working practices in compliance with the laws and regulations.</p>
<p>3.3. Forest owners shall respect the rights of workers to participate in the trade union and other rights agreed between employers/employees and employers/forest owners in line with the laws.</p>	<p>3.3.1. Shall give favour conditions to workers to participate in the trade union (not applicable to forest owners that are households, individuals and communities).</p>
	<p>3.3.2. Shall develop and comply with regulations of local democracy mechanisms, consult with and collect workers' comments on issues related to their working conditions and life.</p>
<p>3.4. Forest owners shall have and maintain the mechanisms in terms of resolving complaints and compensate for employees in the case of their loss or damages</p>	<p>3.4.1. Shall have the mechanism and measures to solve grievance and compensation for damages or losses of employees in line with the laws or agreements between employees with employer.</p>
	<p>3.4.2. Shall implement preventive measures to damages, losses and/or risks of employees' health when practising forestry activities.</p>

	<p>3.4.3. Shall compensate for employees for their damages and losses (if occurred) in line with law and regulations or agreement between the two parties.</p>
	<p>3.4.4. Shall record and archive all the records on complaints and grievance for at least 5 years.</p>
<p>Principle 4: Sustainable forest management, utilization and development</p>	
<p>4.1. All forestry practices shall be implemented as prescribed in the sustainable forest management plan.</p>	<p>4.1.1. Forest owners shall ensure that forest management practices shall be implemented as described in sustainable forest management plan and annual plan.</p>
	<p>4.1.2. If forestry activities are adjusted in the annual plan, then, Forest owners and/or management units shall ensure that the objectives of the sustainable forest management plan shall be assured.</p>
	<p>4.1.3. Forest owners shall ensure that adjustment of sustainable forest management plan shall be recorded and archived for at least 05 years.</p>
<p>4.2. Forest owners shall produce and use seedlings in line with the national regulations and laws.</p>	<p>4.2.1. Shall comply that provenance trials and recognition of new seeds/varieties/clones shall be in line with national regulations and standards approved by Ministry of Agriculture and Rural Development.</p>
	<p>4.2.2. Seedlings production shall comply with the regulations and national standards in relation to production and trade in forest nurseries, originals of seeds, seed provenances and technical guidelines for seedlings production.</p>
	<p>4.2.3. Shall use quality seeds and seedlings with clear originals.</p>
	<p>4.2.4. Forest owners are encouraged to use seeds, provenances, and clones released in the seed list by relevant authorities.</p>
	<p>4.2.5. Shall comply with regulations of importing and exporting seeds.</p>
<p>4.3. Forest owners shall apply silviculture techniques which are</p>	<p>4.3.1. Tree species selected for planting shall match with site conditions and objectives of sustainable forest management.</p>

<p>suitable for objectives of sustainable forest management plan.</p>	<p>4.3.2. Shall apply silviculture techniques which are suitable for the ecological characteristics of tree species and different site conditions.</p>
	<p>4.3.3. Shall apply technical measures including planting, tending, harvesting and replanting for specific tree species.</p>
	<p>4.3.4. Shall apply appropriate site management for sustainable plantation management.</p>
	<p>4.3.5. Shall apply technical guidelines of promotion of natural regeneration, enrichment planting, maintenance and harvesting of natural forests for specific forest status and types.</p>
<p>4.4. Forest owners shall diversify forestry activities in relation to production and business to enhance forest benefits.</p>	<p>4.4.1. Shall diversify forestry activities in relation to production and business based on the results of survey and market information on forest products such as timbers, logs, NTFPs and ecological services.</p>
	<p>4.4.2. Shall apply diversify various income sources from forest ecosystem services.</p>
	<p>4.4.3. Shall be encouraged planting native, multi-purposes and NTFP's species with high values.</p>
	<p>4.4.4. Shall advertise and introduce their forest products, NTFPs and forest ecosystem services to public.</p>
<p>4.5. Forest owners shall have measures to prevent and minimize outbreaks of pests, and diseases.</p>	<p>4.5.1. Shall comply with technical measures to prevent and minimize outbreaks of pests, and diseases according to national regulations and standards.</p>
	<p>4.5.2. Shall have plan and implement management measures to protect and prevent outbreaks of pests, and diseases based on silvicultural, biological and chemical measures; encourage the application of environmentally friendly biological management measures;</p>
	<p>4.5.3. Shall immediately inform the local authorities when detecting the outbreak of pests, and diseases for coordinated handling.</p>
<p>4.6. Forest owners shall implement measures for</p>	<p>4.6.1. Shall have a plan and monitor for prevention and protection against forest fires.</p>

prevention and fighting of forest fire.	4.6.2. Shall have and maintain a system of prevention and protection against forest fire in line with the regulations and laws.
	4.6.3. Shall report to and cooperate with professional forestry agencies and local authorities in order to control forest fires.
	4.6.4. Shall carry out practical activities in relation to raising awareness of employees, local communities and people on forest fires.
	4.6.5. Forest fires (if happened) shall be filed for at least 05 years.
4.7. Forest owners shall appropriately harvest forest products in order to maintain forest resources in long term.	4.7.1. Shall be aware that harvested annual volume shall not exceed the increment of forest as defined in the sustainable forest management plan.
4.8. Forest owners shall build and maintain technical infrastructures in order to minimize adverse impacts on environment.	4.8.1. Shall build and maintain infrastructures including roads, skid tracks, bridges and skidding logs, logging areas in line with regulations; make sure that all the infrastructures shall be shown on maps.
	4.8.2. Shall be aware that all activities relating to construction, maintenance and operation of infrastructures will not cause potential negative impacts on environment. These activities shall be controlled and minimized.
Principle 5: Environmental management and protection in forestry activities	
5.1. Forest owners shall identify and analyse any potential impacts of forest management activities on the environment in accordance with the national laws.	5.1.1. Shall evaluate and analyse potential impacts of forest management activities on environment in line with the current national regulations and laws.
	5.1.2. Shall have plan and carry out measures to mitigate adverse impacts on the environment before implementing forestry activities.
5.2. Forest owners shall carry out measures to protect soil and water sources during the implementation of forestry activities.	5.2.1. Shall identify areas with the functions of soil and water protection such as buffer zones for rivers, streams, lakes, wetland, steep areas, and agriculture production areas on maps and sites.
	5.2.2. Shall have plans and measures to protect and restore vegetation cover on the identified areas with the functions of soil and water resources protection.

	5.2.3. Shall identify and analyse potential adverse impacts of forestry activities on soil and water resources.
	5.2.4. Shall have plans and carry out measures to mitigate adverse impacts of forestry activities on soil and water resources.
	5.2.5. Shall give priority to planting and restoring forests on bare lands, land prone to soil erosion by applying suitable soil conservation techniques.
5.3. Forest owners shall strictly control the use of chemicals and fertilizers and ensure to be safe for the environment and people's health.	5.3.1. Shall use chemicals that they are compliance with legal requirements of Viet Nam's laws and international regulations/conventions;
	5.3.2. Shall ensure that all chemicals and materials shall be kept and stored in safe places for the environment and people's health;
	5.3.3. Shall have instructions for using chemicals in order to ensure safety for the environment and people's health;
	5.3.4. Shall keep and update the list of all chemicals (pesticide, herbicide, sterilization, anti-rodent prescriptions, and growth regulators) prohibited by Viet Nam's laws and international regulations/conventions.
	5.3.5. Shall record information about type, dosage, time and place of using chemicals and chemical fertilizers.
	5.3.6. Forest owners shall limit use of chemical fertilizers and encourage use of organic and bio-fertilizers to improve the fertile of soil.
5.4. Forest owners shall control hazardous waste and ensure to be safe for the environment and people's health.	5.4.1. Shall limit hazardous wastes from forestry activities.
	5.4.2. Shall manage and collect hazardous wastes and ensure that they will be stored in safe places in line with national regulations.
	5.4.3. Shall ensure that all packages and hazardous wastes shall be treated accordingly.
Principle 6: Maintenance, conservation and enhancement of forest biodiversity	
6.1. Forest owners shall identify and demarcate forest areas with ecological importance to	6.1.1. Forest owners shall conduct forest inventory, forest mapping and development of database and consult stakeholders about forest areas with ecological importance, including:

<p>be needed for the purposes of protection and conservation.</p>	<p>a) Unique, rare and vulnerable forest ecosystems or typical forest ecosystems such as river estuary, wetland, and limestone forests;</p> <p>b) Forest areas existing endemic species and their habitats being threatened;</p> <p>c) Genetic resources are vulnerable and need to be protected;</p> <p>d) Landscape areas with significant importance at national and international levels.</p> <p>6.1.2. Shall make a planning of protection and conservation for forest areas with significant ecological importance as described in a sustainable forest management plan.</p> <p>6.1.3. Shall make a planning of monitoring and evaluation of protection and conservation for forest areas with significant ecological values.</p> <p>6.1.4. Shall update and revise the existing plans based on the results of monitoring and evaluation.</p>
<p>6.2. Forest owners shall protect fauna and flora in compliance with legal law.</p>	<p>6.2.1. Shall consult with stakeholders to construct the list of species, mapping their distributions and habitats, and collecting all information of species to be protected as regulated by Viet Nam regulations and international conventions (not applicable to forest owners who are households, individuals and communities)</p> <p>6.2.2. Shall have measures to protect identified/recorded species and their habitats. These measures shall be available to the public.</p> <p>6.2.3. Shall update data and store profiles of identified/recorded species.</p> <p>6.2.4. Shall comply with the regulations and laws of Viet Nam and international conventions on raising, planting, harvesting, utilization and trade of plant and animal species.</p> <p>6.2.5. Shall control illegal hunting and harvesting activities.</p>
<p>6.3. Forest owners shall protect or conserve forest areas with ecological importance</p>	<p>6.3.1. Shall have measures of protection and conservation for forest areas with ecological importance. These measures shall be available to the public.</p> <p>6.3.2. Shall update and store data and files of forest areas with ecological importance.</p>

and high conservation values.	6.3.3. Shall comply with the regulations and laws of Viet Nam and international conventions/regulations on the protection and conservation of forest areas with ecological importance.
	6.3.4. Shall enhance the capacity of employees and raise awareness for local community on forest areas with ecological importance.
6.4. Forest owners shall undertake measures to maintain and enhance the ecological values and the biodiversity of forests.	6.4.1. Shall apply natural promoted regeneration and enrichment planting for natural forests; they shall be aware that native tree species shall be prioritized in forest restoration, enrichment planting, and reforestation.
	6.4.2. Planting mixed tree species shall be prioritized to enhance biodiversity and sustainability of forests.
	6.4.3. Shall not use genetically modified tree species in planting. Remember that only using when sufficient scientific data on genetically-modified trees indicates that their impacts on people's health, animals and the environment are equivalent to, or more positive than that of being created by traditional breeding methods.
	6.4.4. Shall have specific measures and agreements with local communities to minimize the negative impacts of cattle grazing on natural regeneration, growth rate and biodiversity of forests;
	6.4.5. Shall reforest on bare land areas; they shall apply natural promoted regeneration or enrichment planting for natural forests.
6.5. Forest owners shall strictly control exotic tree species to avoid negative impacts on forest ecosystems.	6.5.1. Shall not introduce exotic and invasive species that adversely affect the environment.
	6.5.2. Shall be aware that importing plants and animals, genetic resources and micro-organism shall be permitted by relevant authorities.
	6.5.3. Where introducing exotic species, Forest owners shall have preventative measures to control and avoid their invasion.
	6.5.4. Shall store documents and files relating to provenance and utilization of exotic species.
6.6. Forest owners shall not directly or indirectly convert natural forest and forest areas with ecological significances	6.6.1. Shall not directly or indirectly convert natural forest and forest areas with ecological significances (including bare land) to other land use at any forms; conversion of natural forests to planted forests after 31 December 2010 is not accepted to SFM certification, except in the justifiable

to forest plantation or other land use purposes.	circumstances with the permission of the relevant authorities.
	6.6.2. Shall store documents/profiles in relation to the description and assessment of forest areas and land converted (if applicable).
Principle 7: Forests are monitored and evaluated according to sustainable forest management plans	
7.1. Forest owners shall develop Monitoring and Evaluation plan.	7.1.1. Identify monitoring and evaluation indicators; determine the progress and resources for implementing annual monitoring and evaluation for forestry activities;
	7.1.2. Procedures, recording tables, and monitoring and evaluation indicators shall be suitable with forest management plan;
	7.1.3. Monitoring and evaluation and reporting shall be assigned to staff of forest owners/management units.
7.2. Forest owners shall undertake Monitoring and Evaluation plan.	7.2.1. Shall have annual data including: Annual harvested volumes, NTFPs, changes in forest areas and the growth of forest plantation;
	7.2.2. Shall have data of every 5- years including the growth, natural regeneration and tree species composition of natural forests.
	7.2.3. Shall have data and reports on the protection or conservation of forests with ecological significance and threatened species;
	7.2.4. Shall be activities relating to the outbreak of forest diseases and pests, soil erosion and other unpredicted risks;
	7.2.5. Shall monitor environmental and social impacts of forestry activities;
	7.2.6. Shall have data of annual cost and benefit in relation to forestry activities;
	7.2.7. Shall report and release to the public the results of monitoring and evaluation relating to sustainable forest management plan.
7.3. Forest owners shall have a system to	7.3.1. A system to manage forest data and resources and forest status map shall be available;

<p>manage and store documents and files in relation to forest business and forest monitoring map system.</p>	<p>7.3.2. A system to manage forestry activities shall be available;</p>
	<p>7.3.3. A system to manage the files/documents of forest products including all steps from harvesting, transporting, processing (if available) and selling products to ensure traceability of forest products shall be available.</p>