

**CIRCULAR  
ON SUSTAINABLE FOREST  
MANAGEMENT**

**28/2018/TT-BNNPTNT**

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Number: 28/2018/TT-  
BNNPTNT

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*Ha Noi, November 16<sup>th</sup>, 2018*

# **CIRCULAR ON SUSTAINABLE FOREST MANAGEMENT**

- Pursuant to Decree 15/2017/NĐ-CP dated February 17<sup>th</sup> 2017 of the Government providing functions, tasks power and organizational structure of the Ministry of Agriculture and Rural Development;
- Pursuant to the Law on Forestry dated November 15<sup>th</sup> 2017;
- At the request of the Director General of the Viet Nam Administration of Forestry;

Minister of Agriculture and Rural Development promulgates the Circular providing for sustainable forest management.

## **Chapter I**

### **GENERAL PROVISIONS**

#### **Article 1. Scope of governing**

This circular stipulates in detail content, methodology of the sustainable forest management scheme; order, procedure in development, approval of sustainable forest management scheme; criteria applied in sustainable forest management and forest certification.

#### **Article 2. Applicable entities**

This Circular applies to organizations, forest owners involving in developing, approving and implementing sustainable forest management scheme, circular for sustainable forest management scheme and forest certification.

#### **Article 3. Development, implementation and amendment of**

## **sustainable forest management scheme**

1. Forest owners are responsible for development, implementation of sustainable forest management scheme in accordance with provisions at point 1 Article 27 the Law on Forestry.
2. Forest owners shall develop the sustainable forest management scheme by their own or hire a consultancy organization for development of the sustainable forest management scheme.
3. The time for implementation of the sustainable forest management scheme is maximally 10 years since the date the scheme is approved. In the case the forest area, forestry land which influence the use of the forest are adjusted by competent State agencies or when the forest owner needs to amend the plan of management, production, business, it/she/he must adjust the sustainable forest management scheme, submit the adjusted contents to State competent agencies for approval.

### **Article 4. Dossier, documents, maps that inform the formulation of SFM scheme**

1. Dossier, documents, maps that inform the formulation of sustainable forest management scheme must be legal and still valid.
2. Dossier, documents, maps shall be produced through data collection, primary research/survey or secondary research/survey that retrospect from the past to the moment of sustainable forest management scheming, if there is any change, survey, inventory, updating of statistics must be done.
3. Types of maps, the scale of maps used in sustainable forest management scheme:
  - a) Types of maps include: map of forest status in accordance with Viet Nam standard number 11565:2016; map of land use status in accordance to provisions of the Ministry of Natural Resources and Environment;
  - b) The scale of map: 1/5.000 or 1/10.000 or 1/25.000 or 1/50.000 following the reference system of VN 2000 and forest owners select the type of map by their own appropriate to the forest area.

## **Chapter II CONTENT OF THE SUSTAINABLE FOREST MANAGEMENT SCHEME**

### **Article 5. The content of SFM scheme as for special-use forest**

1. Assessment of natural, socio-economic conditions, status of national defense and security, forest ecosystem, biodiversity, historical, cultural, landscape relics:
  - a) Assessment of the land use status, forest ecosystem, biodiversity, historical, cultural, landscape relics within the boundary of the forest; assessment of the natural

conditions regarding geographical places, terrain, hydrology and climate, soil and society, economy according to statistics;

b) Summary of characteristics of population, labourer, nations, per capita income / year using Form 01 in Annex VII attached to this Circular;

c) Summary, assessment of the status quo of infrastructure for transportation using Form 02 Annex VII attached to this Circular;

d) Summary, assessment of the status quo of land use of forest owners based on statistics or land inventory at commune level of the most recent year to the year when the sustainable forest management scheme was formulated using Form 03 in the Annex attached to this Circular;

đ) Summary, assessment of the status quo of forest, forest reserve based on statistics, inventory and monitoring of forest resources using Form 04 and Form 05 in Annex VII attached to this Circular;

e) Assessment of diversity of main forest floral, faunal species; identification of forest floral and faunal species and their habitats; identification of degraded forest ecosystems in need of restoration, landscape areas in need of protection and compiled list of forest floral and faunal species using Form 06, 07, 08 and 09 of Annex VII attached to this Circular.

2. Identification of objective, scope in sustainable forest management during the term of the scheme implementation:

a) Regarding environment: identification of the total forest area that is protected, forest coverage, degraded forest area in need of restoration; ecosystems, biodiversity, forest floral species, forest faunal species, indigenous species under protection, development and conservation of native trees species; reduction of forest fire, legal violation on forestry;

b) Regarding society: creation of jobs, increase income to labourers; stabilization of livelihood of people living in the buffer zone; improving awareness on sustainable forest management, step by step complete the infrastructure system;

c) Regarding economy: identification of sustainable finance source from PFES activities, ecotourism, leisure and recreation service, lease of forest environment, fee, charge, output of timber harvested from planted forest for research, scientific experiments, non-timber forest products, forest carbon reserve.

3. Identification of forest areas in degraded functional zones in need of restoration and conservation:

a) Degraded forest area in need of restoration and conservation include the area of natural poor and depleted forest and reserveless forest area;

b) Classification of forest status based on the existing reserve in order to identify the degraded forest area in need of restoration and conservation based on the result of inventory, updating of forest statistics, monitoring forest resource.

4. Identification of management, conservation, development and use of forest:

a) Compiling the land use plan of forest owners based on the commune level land use plan using Form 10 of Annex VII attached to this Circular;

b) Formulation of the plan on management, protection, protection of forest ecosystems in accordance to provision in the Regulation on Forest Management and compiling forest protection using Form 11 in Annex VII attached to this Circular;

c) Development of the biodiversity conservation plan, plan for protection of endangered, rare and precious, indigenous forest floral species, forest faunal species

in accordance to provisions at the Article 38 of the Law on Forestry, the Regulation on Forest Management and identification of forest of high conservation value in accordance with provisions in Annex IV to this Circular;

d) Development of the plan for forest fire prevention and combating in accordance to provisions in Article 39 of the Law on Forestry and the Regulation on Forest Management;

đ) Formulation of the plan for prevention and control of forest harmful pests as stipulated in provisions of Article 40 of the Law on Forestry and the Regulation on Forest Management; application of the chemical use procedure, plant protection pesticides that are safe and ensure environment protection;

e) Formulation of the forest protection plan: identification of location, area, species of trees; identification of silviculture methods, development of special-use forest in accordance to provisions in Article 45 and Article 46 of the Law on Forestry, Regulation on Forest Management and provisions of the Ministry of Agriculture and Rural Development on silviculture; compiled forest development plan using Form 11 in Annex VII attached to this Circular;

g) Formulation of the plan for scientific research, training, practicing in accordance to provisions in clause 1 Article 53 of the Law on Forestry and the Regulation on Forest Management;

h) Formulation of the plan for development of ecotourism, recreation, leisure activities appropriate to the forest potential in accordance to provisions in clauses 2, 3, 4 and clause 5 article 53 of the Law on Forestry and the Regulation on Forest Management;

i) Identification of the buffer zone and the plan for stabilization of life of people living in special-use forest in accordance with provisions in Article 54 of the Law on Forestry and the Regulation on Forest Management;

k) Plan on development, maintenance of the infrastructure in service for forest protection and development in accordance with provisions at Article 51 of the Law on Forestry, the Regulation on Forest Management and summarization using Form 13 in Annex VII to this Circular;

l) Formulation of the plan for supportive activities to residential communities and local people regarding varieties, technique, training, training on forest protection and development, sustainable forest management and infrastructure development;

m) Formulation of the plan for communication, legal education on forest protection and development, sustainable forest management;

n) Formulation of the plan on PFES, lease of forest environment;

o) Formulation of the plan on contracting local households individuals residential communities for forest protection and development in accordance with existing provisions of the State;

p) Monitoring forest changes in accordance to provisions at Article 35 of the Law on Forestry and provisions of the Ministry of Agriculture on monitoring forest resource.

5. Solution for implementation of sustainable forest management plan:

a) Solution for organization, human resource;

b) Solution for coordination with stakeholders;

c) Solution on science, technology in association with conservation and development;

d) Solution for funding source, mobilization, attraction of investment fund;

đ) Other solutions.

6. Organization for implementation of sustainable forest management plan:
  - a) Assignment of responsibility, tasks for implementation of the sustainable forest management plan;
  - b) Monitoring, supervision of the sustainable forest management plan.
7. Template of sustainable forest management plan for forest owner being organization managing special-use forest follow that in Annex II to this Circular.

## **Article 6. Content of the sustainable forest management plan as for protection forest**

1. Assessment of the natural, socio-economic conditions, status of national defense, security, status of forest resource, biodiversity in accordance to provisions at clause 1 Article 5 of this Circular.
2. Identification of objective, scope of sustainable forest management during the term of the sustainable forest management plan:
  - a) Regarding the environment: identification of total forest areas under protection, forest coverage; ensure the protection function of the forest, prevention of landslide, soil erosion, wave shielding and sea encroachment preventing, protection of sea dyke, shielding sand, wind, protection of water resources, lake and dam safety, protection the ecological environment, landscape; reduction of the number of forest fire incidents, violations against forestry legislation;
  - b) Regarding society: creation of jobs, increase of income for labourers, stabilization of livelihood for people living in the area; raising awareness on sustainable forest management; step by step completing the infrastructure system;
  - c) Regarding economics: identification of the sustainable financial source from PFES, ecotourism, recreation, leisure service, lease of forest environmental service, timber output from salvaging harvesting, gleaning harvesting, timber output from planted forest and non-timber forest products, forest carbon reserve.
3. Identification of the protection function of the forest according to the criteria of the protection forest stipulated in the Regulation on Forest Management, appropriate to the allocated forest area.
4. Identification of the plan on forest management, protection, and use:
  - a) Summarization of the land use plan of forest owner; development of the forest protection plan, protection of the forest ecosystems; biodiversity conservation, protection of forest floral species, forest faunal species; development of forest fire prevention and combating; development of the plan for prevention and control of pests harmful to forest in accordance with provisions in points a, b, c and dd clause 4 Article 5 this Circular;
  - b) Development of the forest development plan: identification of the area, location, selection of trees species; identification of silviculture methodology, development of protection forest in accordance with provisions at Article 45 and 47 of the Law on Forestry, the Regulation on Forest Management and other provisions of the Ministry of Agriculture and Rural Development on silviculture methods; summarization of forest development plan using Form 11 Annex VII attached to this Circular;
  - c) Formulation of forest products harvesting plan: identification of area, type, output, location of forest product harvesting in accordance to Article 55 of the Law on



Forestry, the Regulation on Forest Management and provisions of the Ministry of Agriculture and Rural Development on forest products harvesting. The way to calculate the timber output shall comply to provisions in Annex V and compiled forest products harvest plans using Form 12 Annex VII to this Circular;

d) Formulation of the plan on scientific research, training, practicing according to provisions at clause 1 Article 56 of the Law on Forestry and the Regulation on Forest Management;

đ) Formulation of the plan for ecotourism development, recreation, leisure services appropriate to the potential of the forest in accordance to provisions at clause 2, 3, 4 and clause 5 Article 56 of the Law on Forestry and the Regulation on Forest Management;

e) The plan on production of agriculture and forestry production in accordance to provisions in Article 57 of the Law on Forestry and Regulation on Forest Management;

g) Development and maintenance of the infrastructure; development of the action plan for residential community; PFES, lease of forest environment; dissemination, education of legal documents; contracting for forest protection and development, monitoring forest resource in accordance with provisions in points k, l, m, n, o and p clause 4 Article 5 of this Circular.

5. Solution for organization of the plan shall comply with provisions at clause 5 and 6 this Circular.

6. The template for sustainable forest management plan for forest owners being organization managing protection forest shall be Annex II to this Circular.

## **Article 7. Content of the SFM plan as for production forest**

1. Assessment of the natural conditions, socio-economic conditions, status of forest resources, result of production and business, assessment of the impact and influence of the market to forest owners' operation:

a) Assessment of the natural conditions, socio-economic conditions, status quo of natural resources, biodiversity in accordance with provisions at clause 1 Article 5 of this Circular;

b) Assessment of the result of production, business of forest owners in 3 years in a row before the year when the sustainable forest management scheme is prepared using Form 14 of Annex VII to this Circular;

c) Assessment of the timber consumption market, domestic timber products market that impact the operation of forest owners; intention, forecast of market impact to production, business, processing, trading activities of forest products; the possibility of cooperation for improvement of production effectiveness.

2. Identification of objective, scope of sustainable forest management during the project implementation period:

a) Regarding economics: intensive afforestation, improvement of productivity quality of planted forest; improvement of natural forest quality; area, timber output harvested from planted forest, timber output from salvaging harvesting, gleaning harvesting; value from PFES source, forest carbon storage and other services;

b) Regarding environment: total areas under protection, the coverage of the forest

reached; biodiversity conservation, protection of endangered, rare and precious floral species, faunal species total number of forest fire, violation against forestry legislation; forest areas granted with sustainable forest management certificate;

c) Regarding society: creation of job, increase income for labourers, training, improve awareness on protection, development, use of forest and sustainable forest management; step by step complete the infrastructure system.

3. Identification of the plan for management, protection, development of forest and forest product trade:

a) Compiled land use plans of forest owners; formulation of the forest protection plan, protection of forest ecosystems, biodiversity conservation, protection of forest floral species and faunal species; formulation of the plan for forest fire prevention and fighting; development of the plan on prevention and control of pests harmful to forest in accordance to points a, b, c, d and point dd clause 4 Article 5 of this Circular;

b) Categorization of forest functions into forest having high conservation value in accordance to Annex IV of this Circular;

c) Formulation of the plan of forest development: identification of location, area, species of planted trees, identification of silviculture measures, development of production forests in accordance to provisions of Article 45 and Article 48 of the Law on Forestry, Regulation on Forest Management and provisions of the Ministry of Agriculture and Rural Development on silviculture measures; compiled forest development plan using Form 11 in Annex VII to this Circular;

d) Formulation of the forest products harvesting plan: identification of the forest area, types, output, location of harvesting forest products in accordance to provisions of Article 58 and 59 of the Law on Forestry, Regulation on Forest Management and provisions of the Ministry of Agriculture and Rural Development on forest products harvesting. Calculation of timber output in accordance with provisions of Annex V and compiled forest products harvesting plan using Form 12 Annex VII to this Circular;

đ) Formulation of the scientific research, teaching, practice plan, plan for ecotourism, recreation and leisure service development appropriate to the potential of the forest in accordance with provisions on clauses 3, 4 and clause 5 Article 60 of the Law on Forestry and the Regulation on Forest Management;

e) Formulation of the plan for the combined production of forestry, agriculture, fishery production in accordance with provisions at clause 1 and clause 2 Article 60 of the Law on Forestry and the Regulation on Forest Management;

g) Development and maintenance of the infrastructure; formulation of the plan for activities related services serving residential communities; PFES, lease of forest environment; communication, dissemination of legal documents; monitoring forest resources in accordance with provisions at points k, l, m, n and point p clause 4 Article 5 of this Circular;

h) Development of the plan for sustainable forest management certification appropriate to the use of the forest;

i) Development of the plan for processing, trade of forest products: identification of location, scale of workshops and facilities, technology, machinery, equipment, material resource, products, consumption market and investment sources.

4. Solution and organization for implementation of sustainable forest management in accordance to clause 5 and clause 6 Article 5 of this Circular.

5. The template of the sustainable forest management scheme for forest owner being organizations managing production forests is in Annex II to this Circular.

### **Article 8. the content of SFM scheme as for households, individuals, residential communities, groups of households**

Households, individuals, residential communities or households, individuals can cooperate with each other to form groups of households who voluntarily develop and organize the implementation sustainable forest management schemes in accordance with the guidelines in Annex III to this Circular.

### **Article 9. Sustainable forest management plan of forest owners managing at least 2 categories of forest**

1. Forest owners managing at least 2 forest categories shall formulate one sustainable forest management plan for both forest categories.
2. The content of the sustainable forest management scheme shall comply with provisions in this Circular. The template of sustainable forest management scheme for forest owner being organization is in Annex III and of forest owner being households, individuals cooperating with each other to form groups of households is in Annex III to this Circular.

## **Chapter III**

### **ORDER, PROCEDURE IN DEVELOPMENT, APPROVAL OF THE SUSTAINABLE FOREST MANAGEMENT SCHEME**

#### **Article 10. the order in development of the sustainable forest management scheme**

1. Formulation the plan, outline, estimation of budget for the SFM scheming process by forest owner.
2. Review, assessment of the available information, dossier, documents, maps.
3. Inventory, collection of additional information, documents, maps.
4. Formulation of the sustainable forest management scheme.

#### **Article 11. Approval on the sustainable forest management scheme of forest owner being organization managing special-use forest under the management of the Ministry of Agriculture and Rural Development**

1. The State administration agency who is competent to approve the sustainable forest management schemes is the Ministry of Agriculture and Rural Development.
2. the dossier applying for approval upon the sustainable forest management scheme

include:

- a) The application form of the forest owner for approval upon the sustainable forest management scheme shall comply with provisions in Annex VI to this Circular;
- b) The sustainable forest management scheme shall comply with provisions in Annex II to this Circular;
- c) All kinds of maps shall comply with provisions in clause 3 Article 4 of this Circular.

3. How to apply for approval: forest owner shall apply for approval directly or via post office or public postal service or online.

4. Order of implementation:

- a) Forest owner shall send 01 dossier in accordance with provisions at points 2 and 3 this Article to VNFOREST. As for invalid dossier, during 01 working day since the day the dossier is received, VNFOREST shall take responsibility for guiding directly or in writing forest owner for completing the dossier;
- b) within 20 working days since the day the valid dossier is received, VNFOREST shall consider, consult with departments, agencies on issues relating to the sustainable forest management scheme.

In case the sustainable forest management scheme satisfied all requirements, VNFOREST shall submit it to the Ministry of Agriculture and Rural Development MARD for approval.

In case the sustainable forest management scheme does not satisfy the requirements thereto, VNFOREST shall inform the forest owner in writing about the reason so that he/he/it can adjust, complete the scheme within 05 working days before submitting the scheme for approval;

c) Within 03 working days since the day the dossier is received, MARD shall give approval on the sustainable forest management scheme and inform forest owner the result. In case it is impossible to approve the plan, an answer in writing must be made in which the reason is clearly presented.

## **Article 12. Giving approval on the sustainable forest management scheme of the forest owner being economic organization and forest owner being households, individuals, residential communities**

1. Forest owner being economic organization that is leased land by the State for afforestation using its/her/his own fund; forest owner being foreign direct investment companies leased land for afforestation of production forest by the State shall approve and implement their sustainable forest management scheme by itself/herself/himself.

2. Forest owner being household, individuals, residential communities or households, individuals who cooperate with each other to form groups of households shall approve and implement sustainable forest management scheme by itself/herself/hiself.

## **Article 13. Giving approval on the sustainable forest management scheme of the forest owner being**

## **organizations that is not subject to provisions at Article 11 and clause 1 Article 12 of this Circular**

1. The State administration agency who has the competence in giving approval on the sustainable forest management scheme is the provincial People's Committee.
2. The dossier applying for approval on the sustainable forest management scheme shall comply with provisions at clause 2 Article 11 this Circular.
3. Applying of the dossier shall comply with provisions in clause 3 Article 11 this Circular.
4. Order of implementation:
  - a) Forest owner shall submit 01 dossier in accordance to provisions of clause 2 and 3 this Article to the provincial Department of Agriculture and Rural Development. As for invalid dossier, within 01 working day, the Provincial Department of Agriculture and Rural Development shall take responsibility for giving the guidance directly or in writing to forest owners for completion;
  - b) Within 20 working days since the day the valid dossier is received, the provincial department of Agriculture and Rural Development shall consider, and consult it with other provincial departments such as Natural Resources and Environment, Finance, Planning and Investment, Industry and Commerce on the content of the scheme. In case the sustainable forest management scheme satisfies requirements thereto, the provincial department of Agriculture and Rural Development shall submit it to the provincial People's Committee for approval. In case the sustainable forest management scheme does not meet the requirements, the Provincial Department of Agriculture and Rural Development shall send notice in writing in which the reason is presented clearly so that the forest owner knows how to complete the dossier within 05 working days before the scheme is submitted to the provincial people's committee for approval;
  - c) Within 03 working days, the provincial people's committee shall approve the sustainable forest management scheme and inform the forest owner the result. In case it is impossible to approve the sustainable forest management scheme, a written answer must be sent to the forest owner in which the reason is clearly presented.

## **Chapter IV CRITERIA FOR SFM AND SFM CERTIFICATION**

### **Article 14. Criteria for sustainable forest management**

The criteria for sustainable forest management include 07 principles, 34 criteria and 122 indicators. The SFM criteria is detailed in provisions in Annex I to this Circular.

### **Article 15. Types of sustainable forest management certificates**

1. the sustainable forest management certificates include:
  - a) the sustainable forest management certificate granted by Viet Nam competent agency;
  - b) the sustainable forest management certificate granted by international organization;
  - c) the sustainable forest management certificate granted by Viet Nam competent agency in cooperation with international organization.
2. The sustainable forest management certificate in accordance with provisions at clause 1 this Article is the evidence justifying the legality of timber origins.

### **Article 16. Organization of auditing, granting sustainable forest management certificate**

1. Organization of auditing, granting sustainable forest management certificate include:
  - a) Organization of auditing, granting the Vietnamese sustainable forest management certificate of Viet Nam;
  - b) Organization of auditing, granting the international sustainable forest management certificate;
  - c) Organization of auditing, granting the cooperated Viet Nam international sustainable forest management certificate.
2. the operation of the organization who conduct the auditing, granting sustainable forest management certificate shall comply to provisions in Decree 107/2016/NĐ-CP dated July 1<sup>st</sup> 2016 of the Government stipulating conditions for business on auditing the compliance.

### **Article 17. Granting the sustainable forest management certificate**

1. the forest owner shall voluntarily and at its/her/its discretion decide the type of sustainable forest management certificate and organize the auditing, granting sustainable forest management certificate.
2. Granting the sustainable forest management certificate:
  - a) the forest owner shall be granted with sustainable forest management certificate when satisfy conditions in accordance with provisions at clause 2 Article 28 of the Law on Forestry;
  - b) The auditing, granting sustainable forest management certificate shall comply to the guidelines of the organizations who audits, grants the SFM certificate.

## **Chapter V ORGANIZATION OF IMPLEMENTATION**

### **Article 18. Responsibility of the State administration agencies at all levels**

1. Viet Nam Administration of Forestry shall:

- a) Submit to the Ministry of Agriculture and Rural Development the proposal for amendment the Viet Nam's sustainable forest management criteria that is in line with the common international sustainable forest management standard;
- b) Organize training, guiding the development, approval of sustainable forest management scheme and forest certification in the whole country;
- c) Monitor the development, approval, implementation of the sustainable forest management scheme of forest owners and monitor, inspect the operation of auditing, certification body in accordance to legal provisions.

2. Provincial people's committee shall:

- a) Guide the Provincial Department of Agriculture and Rural Development to instruct forest owners in formulation and implementation of the sustainable forest management scheme in accordance with provisions in Article 27 of the Law on Forestry and provisions in this Circular;
- b) Guide the provincial department of Agriculture and Rural Development to submit the sustainable forest management scheme in the provincial area to the competent agency in accordance with provisions of this Circular;
- c) Guide the technical agencies in allocation of fund and instruction of fund use for development of the sustainable forest management scheme, forest certification and implementation of sustainable forest management activities in accordance with legal provisions.

3. Provincial Department of Agriculture and Rural Development shall:

- a) Guide forest owners in formulation and implementation of the sustainable forest management scheme;
- b) Coordinate with the relevant stakeholders in monitoring the formulation, implementation of the sustainable forest management scheme of forest owners;
- c) Every year, before December 15<sup>th</sup>, report to provincial Department of Agriculture and Rural Development (VNFOREST) the result of sustainable forest management scheme formulation and implementation and forest certification in the province area.

4. District people committee shall

Guide the commune people's committee in its guiding forest owners being households, individuals residential communities or households, individuals who cooperate with each other in groups of households in order to organize the implementation of sustainable forest management and forest certification activities.

5. Commune people's committee shall:

- a) Guide households, individuals who own forests and forestry land in their cooperation with each other in order to develop, implement the sustainable forest management scheme and forest certification;
- b) Monitor the implementation of sustainable forest management activities of forest owners in the area based on the content, plan determined in the approved sustainable forest management scheme.

## **Article 19. Responsibility of forest owner**

1. Forest owner shall develop, submit the sustainable forest management plan to the

competent agency for approval and approve it by its/her/his own and organize such sustainable forest management scheme in accordance with provisions in this Circular.

2. Forest owner shall by its/her/his own monitor, evaluate the approved sustainable forest management activities.

3. Annually, before December 10<sup>th</sup>, forest owners being organization shall report to the provincial department of Agriculture and Rural Development and the managing agency (if any) the result of the sustainable forest management scheme implementation in accordance with Annex VIII to this Circular.

## **Article 20. Responsibility of the auditing, certification organization**

1. Auditing, certification organizations shall conform properly Viet Nam's legal provisions during its operation, auditing and granting sustainable forest management certificate.

2. Auditing, certification organizations shall take responsibility for the quality, result of sustainable forest management certification.

3. Auditing, certification organizations shall take responsibility for the implementation in accordance with provisions at point a and point b Clause 1 Article 29 of Decree 107/2016/NĐ-CP dated July 1<sup>st</sup> 2016 of the Government that stipulates the conditions of business on auditing the compliance and report the result of implementation to the Viet Nam Administration of Forestry.

## **Article 21. Transition provisions**

Forest owner having the sustainable forest management scheme in accordance with provisions in Circular 38/2014/TT-BNNPTNT dated November 3<sup>rd</sup> 2014 of the Ministry of Agriculture and Rural Development that give guidelines on sustainable forest management scheme; forest owner managing special-use forest shall report the spatial plan of conservation and sustainable development of special-use forest in accordance with provisions in clause 1 Article 2 Circular 78/2011/TT-BNNPTNT dated November 11<sup>th</sup>, 2011 of the Ministry of Agriculture and Rural Development, guiding in detail the implementation of Decree 117/2010/NĐ-CP dated December 24<sup>th</sup>, 2010 of the Government on organization and management of the special-use forest system, which was approved by the State competent agencies before the day this Circular takes effect, shall continue the implementation based on the approved sustainable forest management Scheme or Report.

## **Article 22. Enforcement effect**

1. This circular takes effect since January 1<sup>st</sup> 2019.

2. The validity of Circular 38/2014/TT-BNNPTNT dated November 3<sup>rd</sup> 2014 of the Ministry of Agriculture and Rural Development that guides the sustainable forest



management scheming shall expire since the day this Circular takes effect.

3. During the implementation process, if any problem arises, concerned agencies, organizations and individuals should promptly report it to the Ministry of Agriculture and Rural Development for perusal, guidance, amendment the Circular accordingly./.

***Destination:***

- Government Office;
- Leaders of Agriculture and Rural Development;
- Ministries, ministerial agencies, Governmental agencies;
- Provincial people's committees, centrally-administered cities;
- Provincial Department of Agriculture and Rural Development of provinces and centrally-administered cities;
- Department of legal documents quality control (Ministry of Justice);
- Related agencies under MARD;
- Government's Gazette;
- Electronic Portal: Government, MARD;
- Archive: Archive office, VNFOREST (300 copies).

**FOR THE MINISTER  
DEPUTY MINISTER**

**Ha Cong Tuan**

## ANNEX I CRITERIA FOR SUSTAINABLE DEVELOPMENT OF VIETNAM

*(Issued together with Circular No. 2018 / TT-BNNPTNT dated October 2018 of the Ministry of Agriculture and Rural Development)*

Criteria	Indicators
<b>Principle 1. Forest owners comply with the provisions of legislation and international treaties to which Vietnam is a party</b>	
1.1. Forest owners perform their functions, fulfil their tasks assigned or prescribed in the business registration certificate granted by State competent agency	1.1.1. A certificate of land use right, or a decision on allocation of land or forest, or a contract of forest or forest land lease, or a certificate from a competent body in accordance with legal provisions is available.
	1.1.2. Land and forest are used based on customary traditional right, thereat a disputeless status is certified in writing by local authority
	1.1.3. Boundaries of land and forest are clearly defined on the map and in the field
1.2. Forest owners strictly comply with their assigned functions and tasks or business registration certificates	1.2.1. Regulations on the assigned functions or tasks or the registered profession, production and business of forest owners are fully observed (not applied to forest owners being households, individuals, residential communities)

Criteria	Indicators
granted by competent state agencies	1.2.2. records and vouchers relating to management, production, business and service activities by forest owners are maintained and updated
	1.2.3. In cases forest owners fail to pay fully the obliged levies, a levies payment plan that is certified by functional agencies is available
1.3. Forest owners strictly comply with Vietnam's current legislation on sustainable forest management and legal timber origin	1.3.1. a sustainable forest management scheme that is formulated in accordance with guidelines prescribed in this Circular is available;
	1.3.2. Measures used to prevent prohibited activities in forestry activities are taken
	1.3.3. Inspection and detection of illegal activities on the forest area under management are carried out.
	1.3.4. Records and report on violations against legislation which have already been handled in the recent 5 years are maintained
	1.3.5. Coordination with functional agencies and local authorities in identification, reporting, controlling and preventing illegal activities is conducted
	1.3.6. Provisions on records, order, procedure in harvesting and management of forest products that are promulgated by the Ministry of Agriculture and Rural Development are observed
1.4. Forest owners satisfy requirements prescribed in relevant international treaties to which Vietnam is a party	1.4.1. Provisions in international treaties: basic Conventions of the International Labor Organization (ILO), 1992 Convention on Biological Diversity (CBD), Stockholm Convention on Persistent Organic Pollutants POP 2001 (Stockholm Convention), Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES) are comprehended and implemented
<b>Principle 2. Forest owners respect the rights of local communities and people:</b>	
2.1. Forest owners ensure the customary or traditional land use right of local communities and people is respected	2.1.1. The right to manage and use land and forests under the lawful use right or customary use right of local residential communities and people is respected
	2.1.2. Demarcation of land and forest boundaries among communities, local people and forest owners is conducted based on agreement reached by parties
	2.1.3. Favourable conditions for residential communities and local people so as to carry out legal activities on their land and forests, which relates to the forest area under such forest owners' management are created by forest owners
2.2. Forest owners assume the	2.2.1. Appropriate mechanisms and measures used to settle disputes on land and forest use rights (not

Criteria	Indicators
responsibility for settling disputes relating to forest ownership, forest use and forest land use right in accordance with legal provisions	applicable to forest owners being households, individuals or residential communities) are in place.
	2.2.2. Records of disputes that have been already resolved over the most recent years are maintained
2.3. Forest owners assumes the responsibility for creation of employment opportunities and improvement of livelihoods for local communities and people	2.3.1. Priority is given to communities and local people involving in forestry activities and livelihood improvement
2.4. Forest owners let the local community and people's basic needs of culture, belief and entertainment relating to land and forest under her/his/its according to legal provisions are met	2.4.1. forests of cultural, religious, leisure significance are identified by forest owners in collaboration with local people and other stakeholders, which is documented and inform the SFM scheme;
	2.4.2. Regulations on management, protection and use of forests identified as ones of cultural, religious and leisure significance are formulated in consultation with local communities, local people and stakeholders;
2.5. Forest owners comply with legal provisions on handling complaints and settlement of compensation when their forestry activities adversely affect the assets (land, forests and other assets), livelihoods and health of the residential communities and local people	2.5.1. Forestry activities by forest owners do not have negative impacts on land, forests and livelihoods of local residential communities and people.
	2.5.2. Measures used to prevent damages to local residential communities and people when forestry activities are carried out are taken
	2.5.3. Mechanisms and measures used to settle complaints and compensation for damages to communities and local people in accordance with legal provisions are in place
	2.5.4. Compensation for damages to residential communities and local people in accordance with the law or agreement are realized
	2.5.5. When it is possible, forest owners take responsibility for maintenance of local technical infrastructure serving forestry activities or support the development thereof.
	2.5.6. Records of complaints and compensations over the most recent years are maintained
<b>Principle 3. Forest owners ensure the labourers' right is respected and</b>	

Criteria	Indicators
<b>working conditions of laborers:</b>	
3.1. Forest owners must ensure fairness, rights and interests of laborers according to legal provisions:	3.1.1. Labor contract or a decision on labor recruitment and being strictly compliant with the agreement with the employees or their representatives on salaries, wages and other social welfare, which are reflected in the labor contract in accordance with legal provisions is available
	3.1.2. Applicable laws and regulations on the use of adolescent, disabled people and those aged over the working age are observed
	3.1.3. forest owners do not involve in or support the use of forced labor
	3.1.4. Gender equality in recruitment, training and payroll is ensured.
3.2. Forest owners must ensure working conditions for laborers according to the provisions of law	3.2.1. Labor safety devices being suitable to labourers working conditions are equipped to them with instruction for use in accordance with legal provisions;
	3.2.2. The use and preservation of materials and equipment that are prone to causing accidents is guided;
	3.2.3. Guidelines on the use of chemicals to ensure the health of workers are available in accordance with legal provisions;
	3.2.4. Employees, including contractors, are provided with occupational safety training.
3.3. Forest owners respect the right to join the trade union organization and other rights of agreement between the employee and the employer as prescribed.	3.3.1. Favourable conditions for laborers to join the trade union organizations are created (not applied to forest owners being households, individuals, residential communities);
	3.3.2. Provisions on democracy at grass-root level, consultation with labourers on issues relating to their life and employments are prescribed in legal document
3.3. Forest owners have and maintain mechanisms to resolve complaints and pay compensation to employees in the event of loss of or damage to property and health while working for the forest owner.	3.3.1. Mechanisms and measures to settle complaints and compensation for loss and damage to property of labourers are in place as prescribed by law or agreed upon among parties.
	3.3.2. Measures to prevent loss and damage to property and health of labourers while they are carrying out forestry activities are in place.
	3.3.3. Compensation for damage to property and health of labourers as prescribed by law or under agreement reached by parties is realized
	3.3.4. Records of complaints and compensation occurred

Criteria	Indicators
	over the past most recent 5 years are maintained.
<b>Principle 4. Sustainable management, protection, development and use of forest:</b>	
4.1. Forestry activities are implemented based on a sustainable forest management scheme	4.1.1. Forestry activities must be implemented under a sustainable forest management scheme and annual work plans
	4.1.2. In case the forestry activities need to be adjusted in the annual plan, still the objectives of sustainable forest management must be ensured
	4.1.3. The adjustment of sustainable forest management plans must be documented and archived for at least 5 most recent years
4.2. Production and use of planted trees are complied to legal provisions	4.2.1. Testing and recognition of new varieties are complied with legal provisions;
	4.2.2. Seed production is complied with the regulations on conditions for seed production and trading, seed origin and technical process of seed production;
	4.2.3. Seeds that ensure standards of quality and origins are used;
	4.2.4. The use of seeds named in the list of seeds permitted for production and business is encouraged;
	4.2.5. Provisions on seeds export and import are complied
4.3. Forest owners apply silviculture measures in line with objectives in SFM scheme	4.3.1. the selected plant species are suitable to site conditions and sustainable forest management objectives;
	4.3.2. Silvicultural measures applied are appropriate to characteristics of the planted species and site conditions;
	4.3.3. Techniques applied in planting, tending, harvesting and replanting forests are appropriate to all the planted species;
	4.3.4. Techniques applied in zoning off for forest regeneration, enrichment, tending and harvesting natural forests are suitable to each forest status.
	4.3.5. Techniques applied in planting, tending, harvesting are appropriate to each tree species;
4.4. Forest owners should diversify management, production and business activities in order to improve benefits from forests	4.4.1. A wide range of activities relating to management and production is implemented based on result of survey, updates of markets information on forest products such as timber, forest products and forest environment services;
	4.4.2. Income sources from forest environmental service is diversified
	4.4.3. Development of indigeneous tree species, multi-purposes tree species, non-timber forest products of high value is encouraged;

Criteria	Indicators
	4.4.4. Activities for promotion of timber products, non-timber forest products and forest environmental service are conducted.
4.5. Forest owners apply measures for prevention and control of pests harmful to forests	4.5.1. Measures for prevention of pests, diseases harmful to forest in accordance with legal provisions;
	4.5.2. Plan for implementation of measures for integrated management and prevention of pests, diseases harmful to forest based on silviculture measures, biology and chemistry; encouragement of application of biology management measures that are friendly to the environment is formulated;
	4.5.3. Upon a detection of pests and diseases, competent agencies are notified for coordinated handling.
4.6. Forest owners implement measures for forest fire prevention and combating	4.6.1. A plan for forest fire prevention and combating is available
	4.6.2. A system for forest fire prevention and combating is in place and maintained in accordance with legal provisions;
	4.6.3. Upon a detection of forest fire, competent agencies are notified for coordinated handling.
	4.6.4. Activities relating to capacity development for labourers and raising awareness for local communities and local people in forest fire prevention and control are conducted;
	4.6.5. Documented records on the occurrences of forest fire are maintained for at least 5 most recent years
4.7. Forest products are harvested reasonably from forests so that forest resources can sustain for long time	4.7.1. The annual output of forest products harvested does not exceed the growth of the forest and is identified in the SFM scheme
4.8. Development and maintenance of technical infrastructure are in line with objectives of management and limit influence to the environment	4.8.1. A plan for construction and maintenance of roads, bridges, culverts, skidding traits, log sliding paths and log yards is available in accordance with legal provisions, works are demonstrated on the map;
	4.8.2. Construction and maintenance of construction and maintenance of roads, bridges, culverts, skidding traits, log sliding paths and log yards is ensured to cause no adverse impact on the environment.
<b>Principle 5. Management and protection of environment in forestry activities:</b>	
5.1. Forest owners conduct assessment of impact on the environment by forestry activities in accordance	5.1.1. impact on the environment by forestry activities is evaluated and analyzed in accordance with legal provisions
	5.1.2. Measures for mitigation of impacts on the environment by forestry activities are planned and

<b>Criteria</b>	<b>Indicators</b>
with legal provisions	implemented
5.2. Forest owners implement measures for protection of land and water resources in forestry activities	5.2.1. areas providing protection function for land and water resources such as buffer zones by rivers and streams, lakes and ponds, wetland, high slope places, areas hosting agriculture production are identified in the field and on maps;
	5.2.2. Plans and measures used to protect and restore the vegetation cover in the areas of land protection and water resources identified are available Protection and restoration of the vegetation in areas functioning as protector for land and water resources is planned in which measures are determined
	5.2.3. Adverse impact on land and water resources by implemented forestry activities is identified
	5.2.4. Measures for solving adverse impact on land and water resources are planned and implemented;
	5.2.5. Planting and restoring forest on bareland, land that is prone to erosion using appropriate land protection technique is prioritized.
5.3. Forest owners manage and use chemicals and fertilizers in a way that ensures the safety to the environment and people	5.3.1. Only chemicals of which composition is permitted for use in accordance with Viet Nam's legal provisions and international treaties are used
	5.3.2. Chemicals, raw materials, fuel are stored in a safe place for the environment and people
	5.3.3. the use of chemicals that ensures safety for the environment and people in accordance with regulations is instructed.
	5.3.4. Chemicals (herbicides, pesticides, root stimulator, growth regulators, preservatives ...) that are prohibited by Vietnamese law and international treaties are properly stored and the list thereof is updated on a regular basis;
	5.3.5. Information on types, dosages, when and place where chemicals and chemical fertilizer are used is documented and recorded.
	5.3.6. Use of chemical fertilizers is limited; use of organic and biological fertilizers to increase soil fertility is encouraged
5.4. Forest owners manage hazardous waste in order to ensure the safety to the environment and people	5.4.1. Hazardous waste generated from forestry activities is limited
	5.4.2. Used packages and hazardous waste are collected to the right place that is safe to the environment in accordance with legal provisions;
	5.4.3. Used packages and hazardous waste are handled in accordance with legal provisions
<b>Principle 6. Perpetuation, conservation and improvement of biodiversity</b>	



Criteria	Indicators
<p>6.1. Forest owners must identify forests of ecological importance, forest of high conservation values in need of protection or conservation</p>	<p>Inventory, mapping, establishment of a database with consultation with stake holders of significant forests for ecological importance, including:</p> <p>a) precious, rare, vulnerable forest ecosystems, or unique ecosystems in estuary, coastal, wetland, rock mountain areas;</p> <p>b) Areas accommodating indigeneous species and habitats of threaten species in accordance with legal provisions;</p> <p>c) genetic resources in place that are in danger and in need of protection;</p> <p>d) Landscape areas of world, region and country significance that have been identified or forest of high conservation values</p>
	<p>6.1.2. protection or conservation of significant forests for ecology, forests of high conservation value that have been identified in the SFM scheme is planned;</p>
	<p>6.1.3. Monitoring and evaluation of the protection or conservation forests with ecologically significance, of high conservation value are planned.</p>
	<p>6.1.4. the SFM scheme is updated, adjusted based on the monitoring, evaluation result.</p>
<p>6.2. Forest owners apply measures for protection of forest floral and faunal species in accordance with legal provisions</p>	<p>6.2.1. the listing of species, mapping of their distribution, determining boundary of their habitats are consulted with stakeholders, information of species are in need of protection is collected in accordance with Viet Nam and international legislation (not to be applied to planted forest managed by small holders);</p>
	<p>6.2.2. measures for protection of identified species and their habitats are implemented and publicized;</p>
	<p>6.2.3. the records of identified species are updated and archived</p>
	<p>6.2.4. Regulations on raising, planting, harvesting, use and trading of animals and plants as prescribed in Vietnamese legislation and international treaties are complied;</p>
	<p>6.2.5. Illegal hunting and trapping activities are controlled</p>
<p>6.3. Forest owners protect or conserve forests of high ecological significance, of high conservation value</p>	<p>6.3.1. Measures for protection or conservation of forest of high ecological significance are designed and publicized;</p>
	<p>6.3.2. Records on forests of ecological importance are updated and archived;</p>
	<p>6.3.3. Provisions on protection or conservation of forests of high ecological significance in accordance with Viet Nam legislation and international treaties are complied to;</p>
	<p>6.3.4. Capacity development for relevant labourers and</p>

Criteria	Indicators
	raising awareness of local residential communities and people are conducted.
6.4. Forest owners implement measures for perpetuation and improvement of ecological and biodiversity values of forest	<p>6.4.1. Measures for forest naturally regeneration and enrichment are applied for natural forests, use of indigeneous species are prioritized in forest restoration, enrichment and plantation;</p> <p>6.4.2. Planting mixed forests with an aim to enriching forest biodiversity and sustainability is given priority.</p> <p>6.4.3. genetically modified organisms are not used in forest plantation, except the case when scientific facts prove sufficiently that their impacts on people’s health, animals and environment are equivalent or more positive than varieties genetically improved through traditional measures</p> <p>6.4.5. Specific measures are implemented and agreed upon with local residential communities and people in order to minimize the influence of cattle grazing to forest regenerating, growth and biodiversity.</p> <p>6.4.6. Afforestation is only conducted on bare land; assisted ; afforestation in natural forest or additional plantation is conducted only in zone-off areas.</p>
6.5. Forest owners control strictly the use of imported species in order to avoid hazards to forest ecosystems	<p>6.5.1. Imported species that can cause adverse impact to the environment and invasive species according to legal provisions are not used;</p> <p>6.5.2. Importation of animals, plants, genetic resources and microorganisms must be permitted by State competent agencies;</p> <p>6.5.3. Places where imported species are farmed, raised are applied with strict measures of control, in order to avoid their invasion to the outside</p> <p>6.5.4. Records on origins and use of imported species are maintained</p>
6.6. Forest owners do not directly or indirectly convert natural forest land and forest areas of ecological significance, of high conservation value to planted forest or other uses	<p>6.6.1. Natural forests are not directly or indirectly converted to other uses and forest areas of ecological importance (including those on unforested land areas), except cases decided by State competent agencies;</p> <p>6.6.2. Records description and evaluation on conservation value of converted areas are maintained (if any)</p>
<b>Principle 7. Forests monitoring and evaluation are based on a SFM scheme:</b>	
7.1. Monitoring and evaluation is planned	7.1.1. Monitoring and evaluation indicators, progress and resource for monitoring and evaluation annually for forestry activities are identified.

Criteria	Indicators
	7.1.2. Procedure, templates and monitoring and evaluation indicators consistent with the content of the SFM scheme;
	7.1.3. Supervision, evaluation and report responsibility are assigned to relevant people
7.2. Monitoring and evaluation plan is implemented	7.2.1. a database serving annual monitoring and evaluation of output from harvesting timber, non-timber forest products, changes in area and growth of planted forests is available
	7.2.2. a database serving annual monitoring parameters: timber harvesting output, non-timber forest products; growth of planted forest is available
	7.2.3. A database serving monitoring every 5 years parameters : growth, regeneration, species composition of natural forest is available
	7.2.4. A database and report on protection or conservation of forest of ecological significance or forest of high conservation value and species in need of protection;
	7.2.5. Activities relating to monitoring the status of pests, diseases, soil erosion and other abnormal phenomena are conducted;
	7.2.6. Database relating to monitoring impact on environment by forestry activities is available;
	7.2.7. Reports is available and results of monitoring and SFM scheme implementation are publicized.
7.3. a system for management and maintaining records serving forest management, business and maps demonstrating forest resources monitoring is in place	7.3.1. A system for managing forest resource records and maps of forest status is in place;
	7.3.2. A system for managing records of forestry activities is in place;
	7.3.3. A system for management forest products from harvesting, transporting, processing (if any) and selling products so that the traceability of forest products is possible is in place

## **ANNEX II**

# **TEMPLATE OF THE SUSTAINABLE FORESRT MANAGEMENT SCHEME**

*(Applied to forest owner being organization)*

*(Promulgated with Circular 28/2018/TT-BNNPTNT dated November 16<sup>th</sup> 2018 of the  
Minister of Agriculture and Rural Development)*

### **Part 1**

## **INTRODUCTION**

1. General overview about forest management, protection, development so that the forest purposed use is ensured
2. The rationale of formulation and implementation of the sustainable forest management scheme (herein after called the scheme)

### **Chapter 1**

## **BASIS OF THE SCHEME**

#### **I. STATE'S POLICY AND LEGISLATION**

1. Legal documents promulgated by Central level
2. Legal documents promulgated by locality

## **II. INTERNATIONAL COMMITMENT**

## **III. DOCUMENTS USED**

1. Project, proposal documents, decision of establishment, of assigning tasks to forest owners
2. Documents on thematic inventories for the forest
3. Maps: the map on forest status and land use status, maps on land, forest allocation, other relating thematic maps
4. Provincial spatial plan, forest protection and development plan
5. Statistics relating to forest status quo, land use plan of the forest owner

# **Chapter 2 STATUS OF THE FOREST OWNER**

## **I. GENERAL INFORMATION**

### **1. Template of the SFM scheme**

**2. Address (office of the forest owner):** commune.....; district .....; province ..;

**3. Telephone:** .....; **Email:** .....; **Website:** .....

**4. Decision of establishment, functions, tasks assigned to the forest owner or business registration certificate, registered business in accordance with legal provisions**

**5. Organizational structure of the forest owner**

Remark: common characteristics of the forest owners

## **II. GEOGRAPHICAL POSITIONS, TERRAIN, CLIMATE, HYDROLOGY AND SOIL CONDITIONS**

**1. Geographical location, terrain**

**2. Climate**

**3. Hydrology**

**4. geology and soilology**

Remark: advantages, disadvantages; contents should be paid attention while formulating and implementing the SFM scheme.

## **III. LIVELIHOOD, ECONOMY, SOCIETY**

**1. Population, ethnicity, labourers**

**2. Economy: key economy activities, income of residents**

**3. Society: status of education and training, health care, culture**

Remark: advantages, disadvantage; contents to be paid attention while formulating and implementing the SFM scheme

#### **IV. TRAFFIC**

- 1. The by land traffic system in the area**
- 2. The waterway traffic system**

Remark: advantages, disadvantages; contents to be paid attention while formulating and implementing the SFM scheme

#### **V. FOREST ENVIRONMENTAL SERVICES**

- 1. Forest environmental service types under implementation of the forest owner**
- 2. Assessment of the potential of forest environmental services provision**

Remark: advantages, disadvantages; contents to be paid attention while formulating and implementing the SFM scheme

#### **VI. LAND USE STATUS**

- 1. Inventory on the land use status of forest owner**
- 2. Analysis, assessment of the land use status, land management, use status**

Remark: advantages, disadvantages; contents to be paid attention while formulating and implementing the SFM scheme

#### **VII. STATUS QUO OF FOREST RESOURCES**

- 1. Existing area, current status, quality of forest under the forest owner's management**
- 2. Total reserve, average reserve of forest categories**
- 3. Current distribution of non-timber forest products plants**

Remark: natural resources relating advantages and disadvantages to forest management, protection, biodiversity of the forest owner.

#### **VIII. STATUS OF FACILITIES, IMPLEMENTED, PROGRAMMES, PROJECTS**

- 1. Inventory of existing quantity, areas of offices, houses, workshops, stations of the forest owners based on investment sources**
- 2. Inventory the number of means, equipment of the forest owner**
- 3. Result of programmes, projects implemented**

Remark: status of the infrastructure: advantages and disadvantages to management and operation of the forest owner

## **IX. ASSESSMENT OF THE FOREST PROTECTION, DEVELOPMENT, BIODIVERSITY CONSERVATION**

- 1. Management of natural forest**
- 2. Management of planted forest**
- 3. Forest protection, forest fire prevention and combating and prevention and control of pests harmful to forest**
- 4. Management of non-timber forest products plants**
- 5. Management and conservation of biodiversity**
  - a) Forest floral species**
  - b) Forest fauna species**
  - c) Rescue, development of species**
  - d) List of forest endangered, rare and precious floral, faunal species, indigenous species**
- 6. Management, handling of violations against on management, protection and development of forest, biodiversity conservation**

Remark: Advantages, shortcomings in management, protections, development of forest, biodiversity conservation.

### **IX-A. FUNCTIONAL ZONES OF SPECIAL-USE FOREST (applied to SUF owner)**

- 1. Strictly protected zone**
- 2. Ecological restoration zone**
- 3. Service, administration zone**
- 4. Buffer zone: area, status of the outer space, inner space (if any)**

Remark: the status of the functional zones, buffer zones has any advantages and disadvantages to the forest management, conservation and operation of the forest owner.

### **IX-B. IDENTIFICATION OF PROTECTION FUNCTION OF THE FOREST (applied to forest owner managing protection forest)**

Based on the criteria of protection forest, forest owner shall identify the protection function of the forest and identify the area of each forest category allocated, including:

- 1. watershed protection forest area is .....ha (natural forest...ha; planted forest...ha)**
- 2. Forest protecting community water resource area is ..... (natural forest area...ha; planted forest area...ha)**
- 3. National borderline protection forest area... ha (natural forest area..ha;**

planted forest area...ha)

4. Wind shielding protection forest, sand shielding protection forest area is... ha (natural forest...ha; planted forest...ha)

5. Wave breaking forest, sea encroachment preventing protection forest area is... ha (natural forest...ha; planted forest...ha)

Remark: advantages, disadvantages

#### **IX-C. RESULT OF PRODUCTION AND BUSINESS OF FOREST OWNER OVER 3 CONSECUTIVE YEARS**

(applied to forest owner managing production forest)

Remark: advantages, disadvantages.

#### **IX-D. RESULT OF PUBLIC SERVICE PROVISION OF FOREST OWNERS OVER 3 CONSECUTIVE YEARS** (applied to forest owner managing special-use forest, protection forest)

1. Classification of public service delivery agencies.
2. Lines of income in the budget plan of the forest owner: source from State budget, source from fee, charge, source from co-business, joint-venture, source from FPES, source from scientific research and other sources...
3. Lines of expenditure of the forest owner: salary, forest protection, development activities...other expenses in accordance with legal provisions.

## **Chapter 3 OBJECTIVE, CONTENT AND EFFECTIVENESS OF THE SCHEME**

### **I. OBJECTIVE AND SCOPE OF SFM**

1. Overall objective
2. Specific objective
  - a) Economic objective
  - b) Environment objective
  - c) Social objective

### **II. LAND USE PLAN**

Detail of the land use plan of the forest owner

### **III. IDENTIFICATION OF AREAS UNDER PROTECTION AND AREAS USED FOR PRODUCTION, BUSINESS** (applied to production forest owner)

1. Areas under protection (areas in need of management, protection in which forest



products harvesting is limited or prohibited)

2. Forest area that is granted with SFM certificate (if any)

3. Forest area, forestry land on which forest production and business activities are oriented to SFM certification

#### **IV. PLAN FOR CONTRACTING FOR FOREST PROTECTION AND DEVELOPMENT WITH HOUSEHOLDS, RESIDENTIAL COMMUNITIES IN PLACE**

(Applied to special-use forest, protection forest, production forest (if any))

1. Plan for contracting for forest protection and development

a) Long-term contract

b) Individual work or service-based contract

2. Plan, content in implementation of co-management

#### **V. PLAN ON MANAGEMENT, PROTECTION, DEVELOPMENT, SUSTAINABLE USE OF FOREST, BIODIVERSITY CONSERVATION**

1. Plan on forest protection, biodiversity conservation

a) Forest protection: all the existing forest area is protected:.... ha, in which:

- Special-use forest: ...ha (natural forest...ha; planted forest...ha).

- Protection forest (if any): ...ha (natural forest...ha; planted forest...ha).

- Production forest (if any): ...ha (natural forest...ha; planted forest...ha).

b) Plan on formulating the scheme for forest fire prevention and combating

c) Plan on prevention and combating pests harmful to forests

d) Plan on biodiversity conservation and forest of high conservation areas

2. Forest development plan

a) Plan for development of special-use forest, protection forest

- Zone-off naturally assisted forest regeneration with or without additional planting

- Forest enrichment

- Newly forest planting, tending

b) Plan on development of production forest

- Development of natural forest

+ Zone-off naturally assisted forest regeneration with or without additional planting;

+ Forest tending, enrichment;

- Development of planted forest

+ Selection of planted trees;

+ Production of seedlings;

+ Newly plantation;

+ Replantation after harvesting;

+ Tending, farming planted forests.

3. Harvesting forest products

a) Plan on harvesting forest products in special-use forest

- Harvesting planted forest used for experiments, research, science

- Khai thác tận dụng, tận thu lâm sản

b) Plan on forest products harvesting in protection forest

- Salvaging harvesting, gleaning harvesting

- Harvesting timber from planted forest

- Harvesting non-timber forest products
- c) Plan on harvesting forest products from production forest
  - Harvesting forest products in natural production forest
  - + Salvaging harvesting, gleaning harvesting from natural forests
  - + Harvesting non-timber forest products
  - Harvesting forest products in planted production forests
  - + Harvesting timber from planted forest
  - + Salvaging, gleaning harvesting timber from planted forest
  - + Harvesting non-timber forest products
- d) Basis and techniques applied in harvesting planning
  - Identification of harvesting cycle based on the tree species
  - Selection of forest trees targeted for harvesting
  - Proportion of salvaging timber, firewood
  - Types of products, product specification
  - Technique and technology applied in reduced impact logging.
  - Development of plan for one cycle: order to start harvesting in each forest plot so as to ensure stable condition during the cycle, specifically identification of location, area, harvesting output.
- đ) Harvesting technology: the applied technology, the technique used in opening the skidding trail, transportation paths (width of the paths, density of the paths, distance between routes), harvesting technique, labour safety based on the reduced impact logging technique.
- e) Organization of harvesting, consuming products
  - Self organization of harvesting or selling standing trees for harvesting units
  - Timber consumption (within or outside the province) or self organize the timber processing
- 4. Scientific research, education and training, practice, human resources development
  - a) List, plan on implementation of scientific research programmes, proposals, plans on implementation of scientific research programmes, proposals, projects
  - b) Demand and plan on training, capacity development for human resources
- 5. Eco, recreation, leisure tourism
  - a) Planned locations, areas reserved for organization of eco-, recreation, leisure tourism
  - b) Approaches in organization of implementation include: self-organization; cooperation with organizations, individuals and lease organizations, individuals forest environmental services for organization of eco-, recreation, leisure tourism
  - c) Areas reserved for construction, laying out of works servicing eco-recreation, leisure tourism
- 6. Combined agro-fishery production (applied to protection and production forest)
  - a) Areas reserved for combined agro-fishery production include: place name, area, planted species, livestock species used in the combined agro-agriculture production
  - b) Planned form for organization of combined agro-agriculture production: self production by forest owner, organizations, individuals are contracted for stable production
- 7. Development of infrastructure serving management, protection, development, use of forest

- Maintenance of roads, route names, time
  - Opening new roads, branch roads, route names, usage values, implementation time
  - the system of log yards, quantity, location, area, (only applied to planted protection forest and planted production forest)
  - Development of welfare works (if any) such as working offices, clubs, guards, observation tower, with purpose, quantity and time for implementation are clearly defined
  - Development of nursing garden, location, area, productivity, time for implementation
8. Service for the community
    - a) Planned services for community
    - b) Forms of organization for implementation
  9. PFES activities, forest leasing activities
    - a) Services implemented
    - b) Organization for implementation
  10. Broadcasting, disseminating legal documents on forest protection and development
  11. Monitor forest resources, biodiversity, inventory, update forest statistics
    - a) Forest resources monitoring, biodiversity conservation
    - b) Forest inventory, updates of forest statistics
  12. Forest products processing, trade: location of workshop, technology, equipment, machinery, consumption market,...(applied to owners of production or protection (if any) forests).

## **VI. DEMAND FOR CAPITAL AND SOURCES OF INVESTMENT**

### **1. Aggregation of total capital needed by the SFM scheme**

- a) Formulation of the SFM scheme
- b) Forest protection
- c) Forest development
- d) Scientific research, rescue of forest floral, faunal species, education, training
- đ) Eco-, recreation, leisure tourism
- e) Stabilization of residents
- g) Development of infrastructure
- h) Communication, dissemination, education on legislation
- i) Forest products processing, trade (only applied to forest owner involving in this activity).....

### **2. Investment sources**

- a) Equity capital
- b) Shared capital
- c) Loans from credit institutions
- d) State budget (for public service, science and technology)
- đ) Forest environmental service
- e) Forest products harvesting
- g) International support

h) Other resources....

## **VII. SOLUTION FOR IMPLEMENTATION**

- 1. Solution for management, human resources**
- 2. Solution for coordination with stakeholders**
- 3. Solution on science, technology**
- 4. Solution on capital sources, mobilization of investment capital**
- 5. Solution on the market (only applied to forest owner involving in production and trade)**
- 6. Other solutions**

## **VIII. ASSESSMENT OF THE EFFECTIVENESS OF THE SCHEME**

### **1. Effectiveness in terms of economy**

- a) Value of the products
- b) Products from silviculture activities.
- c) Increase of forest capital (regarding area, reserve of planted forest).
- d) Economic value from services: seedling, forest environment, processing, forest products trade, eco-recreation, leisure tourism...

### **2. Social effectiveness**

The impacted object and level of influence, including both positive and negative impact (create jobs for labourers, increase of people's income, capacity development, contribution to construction of infrastructure)

### **3. Environment effectiveness**

Prediction of positive, negative impacts on the environment, biodiversity and ecological samples of high conservation value; increase the forest coverage, development of indigenous trees species, impact of the protection of strictly protected areas and exercise if reduced impact logging.

## **Chapter 4 ORGANIZATION OF IMPLEMENTATION**

### **I. ASSIGNMENT OF TASKS**

Description and assignment of specific tasks for each position, technical unit of the forest owner in order to implement tasks identified in the Plan

### **II. PLAN ON INSPECTION, MONITORING**

Description of the expected objective of the inspection, monitoring. Specifically identification of inspection, monitoring indicators as for each task

### **III. CONCLUSION AND RECOMMENDATION**

1. Key most representing contents have been identified in the scheme. The

implementation of the scheme shall gain outstanding results in comparison with the previous approaches.

2. In order to implement the scheme so that the objective set forth are achieved, difficulties must be complained to State competent agencies for addressing or relevant mechanisms, policies must be amended./.

## **Part 2**

# **THE SYSTEM OF THE ANNEXES, TABLES, MAPS ENCLOSED WITH THE SFM SCHEME**

## **ANNEX III**

# **SUSTAINABLE FOREST MANAGEMENT SCHEME**

(applied to households, individuals, groups of households, residential communities)  
(Promulgated with Circular 28/2018/TT-BNNPTNT dated November 16th 2018 of the Minister of Agriculture and Rural Development

## **OPENING**

### **The first part**

## **LEGAL BASIS AND DOCUMENTS USED**

### **I. LEGAL BASIS**

- 1. Legal documents promulgated by central level**
- 2. Legal documents promulgated by local level**
- 3. International commitments**

### **II. REFERENCE DOCUMENTS**

List documents, figures, information, maps informed the formulation of the scheme for management protection, development and sustainable use of forest.

## The 2<sup>nd</sup> part

# THE SCALE OF HOUSEHOLDS PARTICIPATING THE GROUPS OF HOUSEHOLDS AND STATUS QUO OF FOREST RESOURCES

### I. THE CURRENT SCALE OF HOUSEHOLDS PARTICIPATING TO GROUPS OF HOUSEHOLDS

#### 1. The forming process of household groups

#### 2. Objective, significance of the forming of household groups for sustainable forest management and moving towards sustainable forest management

#### 3. Structure of a group of household

The model of group of households is organized as follows:

- Representative board includes: representative of sectoral departments of district, communes hosting forest, forest owners representing households in each commune, together with representative of the processing facility having demand for certified timber materials, implement cooperation with groups of households.
- Head of the groups of households should be a prestige person, elected by households voluntarily in order to on behalf of households implement tasks of the groups, ensure legal rights and benefits of member households in cooperation with timber processing companies.
- Standing office for groups of household: selected by households and forest products processing facilities based on agreement.

#### 4. Scale, forest area of households participating households groups per commune

- Number of households participating per commune
- Identification of forest area of household, including areas of corridor along rivers, streams, forests of high conservation value....(strictly prohibited area); area of planted forest towards forest certification, aggregation using Form 01

Form 01: Forest area of household groups per commune, district, province

Commune	Total area (ha)	Set aside area (ha)	Area applied for forest certificate (ha)
	(2=3+4)	(3)	(4)
Household groups: Commune A			
.....			
<b>Total</b>			

## II. STATUS OF FOREST RESOURCES

### 1. Status of forest resources

- Forest resources status in the area having households voluntarily participating groups of households

- Total forest area, including:

+ Protection forest (natural forest, planted forest)

+ Production forest (natural forest, planted forest)

### 2. Distribution of forest floral, faunal natural resource in the area

## Part three OBJECTIVE AND SUSTAINABLE FOREST MANAGEMENT SCHEME

### I. OBJECTIVE OF SUSTAINABLE FOREST MANAGEMENT

**1. Overall objective:** a forest owned by a group of household is established that meets conditions regarding area scale required by the SFM plan with an aim to meet the requirements for household economic development, in the meantime for protection of ecological environment, biodiversity through SFM scheme and forest certification.

#### 2. Specific objective

a) Regarding economy

b) Regarding society

c) Regarding environment

3. Term of implementation the management plan

### II. SUSTAINABLE FOREST MANAGEMENT SCHEME

#### 1. Forest inventory and classification of forest function

a) Forest inventory

b) Implementation of forest functions classification

c) Implementation of forest flora and fauna inventory and assessment

- Inventory of forest flora

Table 02: List of forest floral species

Or	Family name		Number of species	Location
	Vietnamese name	Science name		
1	Daisy family	Asteraceae	2	Compartment .... Commune .... District .....
...	.....	.....	.....	.....

Total		.....	
-------	--	-------	--

- Inventory of forest fauna

Table 03: List of forest fauna

Or.	Species name	Location	Remarks
1	Squirrel	Compartment...commune...District...	A low, average, high number
..	....	.....	.....

d) Assessment conclusion ranking a forest as the one of high conservation value

- Special-use forest and endangered species (HCVF1)
- Forest of high landscape level having national, regional, global significance, located or include the forest management unit (HCVF2)
- Forest belongs to or includes rare, threaten or endangered ecosystems (HCV3)
- Forest plays an important role in maintaining the water resource for people's daily use (HCV4)
- Forest plays a fundamental role in satisfying basic needs of local communities (HCV5)
- Forest plays an important role in identification of traditional culture of local communities (HCV6)

## 2. Plan for forest protection and forest fire prevention and combating

Targeted group, technical measure and activities for forest fire prevention and combating.

## 3. Silviculture activities

- Zone-off forest regeneration, additional planting for forest regeneration
  - Newly forest plantation, replantation
- Tending planted forest

## 4. Plan on planting material forest

Table 04: planting plan

Plant species	Planting year	Planting density (tree/ha)	Area (ha)	Location
Accacia	2019	100	100	Commune, compartment, sub-compartment, plot
.....	.....	....	....	.....
Total			.....	



## 5. Plan on tending planted forest

Table 05: Plan on tending planted forest

Activity	Tending area (ha)						
	Year..	Year..	Year..	Year..	Year..	Year..	Year..
Year 1							

## 6. Plan on harvesting timber from planted forest

- Technical measures applied in harvesting that is in line with procedures of reduced impact logging.
- Average logging area in ha/year, reserve in m<sup>3</sup>/year, harvesting design, implementation of activities relating to harvesting, skidding, transportation that are in line with reduced impact logging technique.
- Post-harvesting forest sanitation, waste management, opening paths for timber harvesting and maintenance of paths annually.
- Monitoring timber harvesting, transportation and dossier of originated timber

Table 06: Forest area harvested and harvesting output

Harvesting year	Area (ha)	Harvesting output (M3)	Harvesting location	Planting year
2019	100	1.200	Commune, compartment, sub-compartment, plot	2008
....	.....	.....	.....	.....
TOTAL				

## 7. Analysis of costs and net profit

Table 07: Analysis of cost and net profit

Or.	Activities	Unit price	Volume	Unit price (VND 1.000)	Amount (VND 1.000)	Remarks
A	Total cost	Ha				
1	Seedling	tree				
2	Site preparation, planting forest	Man day				
3	Fertilizer	Tone				
4	Tending forest	Man day				



1	Thuong Hien	Dong Quy	Nguyen Van A	07	12	16	1,5	2	1,5	11
..	....	....	....	....	....	....	....	....	....	....
<b>Total</b>		....	....	....	....	....	....	....	....	....

## **ANNEX IV HIGH CONSERVATION VALUE FORESTS**

*(Promulgated as an enclosure to Circular 28/2018/TT-BNNPTNT dated November 16<sup>th</sup> 2018 by the Minister of Agriculture and Rural Development)*

### **Chapter I GENERAL PROVISIONS**

#### **1. Definition of High Conservation Value forest**

High Conservation Value forest (HCVF) is a forest which consists of one or many attributes that are categorized and as follows:

HCVF1: Forests with biodiversity values of as recognized by its significance at global, regional or national scales.

HCVF2. Forests at large landscape level as recognized by its significance at global,

regional or national scales under management scope of forest management units.  
HCVF3. Forests with rare, threatened or endangered ecosystems.  
HCVF4. Forests providing natural services such as watershed protection, erosion control, water supply source etc).  
HCVF5. Forests supplying basic demands of the local community.  
HCVF6. Forests with cultural, ecological, economic or religious significance to the local community.

## **2. Detailed classification of High Conservation Value Forest**

### **2.1. HCV 1 value:**

Forest areas with biodiversity values as recognized at global, regional or national scales.

This value relates to the maintenance of biodiversity at the species level.

#### **- HCV 1.1: Special-use forests**

Forests adjacent to SUF having similar conditions as special-use forests are likely to possess similar biodiversity values which can be found in those special-use forests. Special-use forests associated with historical and cultural sites and scenic places are not included in this case and will be considered when determining HCV 5 or HCV 6.

#### **- HCV 1.2: Threatened and Endangered Species**

Forests with endangered and threatened species are often considered to be of high biodiversity value. Forests with such species can be used as indicators of biodiversity. In fact, the presence of an endangered species is also considered HCV.

#### **- HCV 1.3: Endemic Species**

Endemic species are species that are naturally distributed within a certain geographic range. Conservation of endemic species is an important part of biodiversity conservation. Frequent occurrence of endemic species creates conservation value. Some areas of Vietnam are noted for high levels of endemism.

#### **- HCV 1.4: Important use over time**

Many migratory species depend on specific locations or habitats for certain periods of their life cycle. Conservation of these sites is important to preserve these species.

Locations of importance for a migrant community are HCV. If these sites disappear, they will have serious implications for the survival of these species in both the regional and global contexts.

### **2.2. HCV2 values**

Forests at large landscape level as recognized by its significance at global, regional or national scales under management scope of forest management units. There are two important notes while identifying HCV 2 as below:

- Landscape-level forests are determined by its coverage, and should not be limited within an area of analysis by a forest management board/forestry company or a nation.

- In Viet Nam, landscape-level forests relate to a complex of natural forest categories

### **2.3. HCV3 values**

Include rare, threatened or endangered ecosystems. Please note when determining HCV 3:

- Ecosystems that are rare in nature, but not necessarily being endangered, for example: cloudy forests on high mountain peaks. These areas may be limited to a certain area in Vietnam.
- Ecosystem is severely threatened at the international, regional or national level.

#### **2.4. HCV4 values**

Forests provide natural services such as watershed protection, erosion control, water supply source etc). These values relate to forest environmental services, which play a role in regulating climate, water flows and other essential services of the nature. Unlike HCV1 to HCV3, which can only be applied to natural forests, HCV4 can be used for protection forests. In order to identify the functions of forest environmental services, specifically as follows:

- HCV 4.1: Forests play an important role in maintaining and regulating water sources for daily life and irrigation.
- HCV 4.2: Forests play an important role in preventing landslides, flash floods, erosion, storms, sedimentation and coastal protection.

#### **2.5. HCV5 values**

Forests supplying basic demands of the local community. The following subjects are not considered to be HCVs:

- Forests providing resources of minor importance to local communities.
- Forests providing resources that can be replaced or obtained from elsewhere
- Forests providing resources that are being unsustainably exploited by other local communities.
- Forests providing resources but harms other HCVs.

#### **2.6. HCV6 values**

Forests with cultural, ecological, economic or religious significance to the local community. This value concerns both local people living inside forest areas and those living adjacent to it as well as any group that regularly visits the forests.

### **3. Methods of investigation and data collection**

Input information, data	HCV classification method
Survey data on biodiversity and threatened species and endangered, endemic species.	As per the guidance of High Conservation Value Forest Toolkit for Vietnam.
Survey data on the forest current status, biodiversity of significant important populations	As per the guidance of High Conservation Value Forest Toolkit for Vietnam.

Survey data on forest current status and forest vegetation types, covering typical forest type area.	As per the guidance of High Conservation Value Forest Toolkit for Vietnam.
Slope, slope length, soil type, soil layer thickness	Topographic base map is used for constructing digital elevation models, then interpolate the slope map and determine the area with the slope of greater than 35°.
Slope, slope length, soil type, soil layer thickness	With slope from 25°-35°
Water use demand of local communities.	Use participatory mapping method with participation of local people in the area of watershed water supply.
Watershed river and stream system, classification of watershed protection forests.	Use terrain maps with river systems to determine basin boundaries for major river systems
River, stream, reservoirs and damp system	Determine the distance to rivers, streams, large water reservoirs.
Current status of forests, forest reserve, forest growth potentials, accessibility.	Use satellite images, carry out inventory of forest reserve and forest growth and accessibility to forest.
Forest status, non-timber forest products.	Use satellite images, field survey for distribution of NTFPs.
Forest status, site conditions, accessibility to forests	Using satellite imagery, maps, site maps, elevation map.
Socio-economic information: demand for forest products of local people, local customs and traditions.	PRA, participatory mapping with active participation of local people.
Economic information: the role of forests for the economic development of local communities.	PRA, participatory mapping with active participation of local people.
Social information: culture, customs and traditions.	Rapid Rural Appraisal (PRA), participatory mapping with active participation of local people.
Socio-economic information, scientific research activities.	Maps of plot system, the area for scientific research purpose.

## **Chapter II**

# **STEPS IN MAPPING OF CONSERVATION VALUE HIGH FORESTS**

### **I. Preparation**

#### **1.1. Collection of relevant documents**

Collecting topographic maps, maps of forest status. These maps are in accordance with the Coordinate System VN2000 as regulated by the Ministry of Natural

## Resources and Environment

Collect survey reports biodiversity in need of conservation.

Data from forest inventory for forest reserve.

Data, report on characteristics of livelihood, socio-economic situation of high conservation value forest (if any)

Collect satellite images.

### **1.2. Making of topographic map**

Using GPS / GIS mapping technology to draw topographic map of the area associated with high value conservation forest area. Base map is built with the following layers of information (information provided can be full or not depending on the characteristics and area of the forest:

- Contour road system;
- Administrative boundary system: commune, district, province, country;
- Plot, sub-compartment, compartment boundary system;
- River and stream system (including names);
- Road traffic system;
- Residential area zone and school, clinic center, post office, cultural house (if any)

Map making activity shall observe to the current regulations of the Ministry of Natural Resources and Environment.

### **1.3. Making forest status map**

Forest status map is built on the basis of satellite image interpretation, the process undergoes the following key steps:

- Preparation of base maps;
- Image interpretation; and in-room mapping;
- The forest categorization system shall observe to provisions of the Ministry of Agriculture and Rural Development on criteria for forest identification and categorization

### **1.4. GPS / GIS data processing**

- Mapping of forests area with high conservation value

Use topographic base map, sub-compartment boundaries, divide sub-compartments in plots on the basis of water divided lines, valleys, skidding paths, transportation roads, which is easily identifiable in the field.

- Mapping slope, elevation

build maps of elevation digital models - DEM using interpolation method from topographic base maps.grading slope and elevation as follows:

Slope:

+ Level 1: from  $0^{\circ}$  to  $25^{\circ}$

+ Level 2:  $25^{\circ}$  to  $35^{\circ}$

+ Level 3:  $35^{\circ}$

Elevation:

+ Level 1: from 0 - 700 m

+ Level 2: 700 - 1,500 m

+ Level 3: over 1,500 m

- Map distance to the system of rivers, streams and reservoir

Based on map of rivers, streams and reservoir conduct interpolation to the buffer zone of the entities at a distance as follows:

+ River, stream level 1 (>20 meter width): protected corridor on each side of 30m;

+ River, stream level 2 (10 ÷ 20 m width): protected corridor on each side of 20m;

+ River, stream level 3 (5 ÷ 10 m width): protected corridor on each side 10m

+ Distance to water reservoirs: 100m

## **II. Additional survey**

### **2.1. Additional surveys, finalization of the forest status map**

The technical method of the Forest Inventory and Planning Institute includes the following steps:

- Working with local forestry officers to identify survey routes;
- Survey and additional rectifications by routes;
- Updates of additional field test results on a map;

### **2.2. Biodiversity survey**

In fact, local people, especially ethnic minorities living near the forest or inside the forest, have a deep knowledge of forest types, status of wildlife species and rare ecosystems. As a result, use of indigenous knowledge in identifying high conservation value forests plays a very important role.

The method of field surveys on flora and fauna, biodiversity indicators and local people interviewing method are conducted to collect information/data on the occurrence and distribution of fauna and flora in the area. The expert methods are used to synthesize biodiversity survey results, collected observations on wildlife and forest information and forest ecosystems in combination with the living conditions of different fauna and flora species (use the toolkit identifying Vietnam's high conservation value forests).

Biodiversity surveys should be conducted by a group of animal and plant experts.

### **2.3. Livelihood, socio-economic census**

The rapid rural survey method is used as a very effective tool for the identification, mapping, verification and improvement of high conservation value forests on the basis of the indigenous knowledge. Rapid rural survey will be conducted in all villages, communities living in or adjacent to the study area. This work is carried out by a team of socio-economic experts.

In the process of field investigation, all residential areas, especially residential clusters living near or in the forest, must be investigated and located on the map. In addition, road systems as well as other infrastructure should also be investigated and



identified on the map by GPS.

In addition, the rapid rural survey will be used to identify customary practices and demand of timber and forest products of the local communities in order to determine which forests will be used for subsistence use for timber forest products by local people.

Investigations of cultural, religious, leisure characteristics, leisure, scenic spots of the communities living in or near the forest should be conducted to identify forests that serve such local demands.

Based on the collected information and the survey data, the socio-economic situation and demand for wood and forest products of local communities are determined, boundaries demarcation of HCV forests in reality with the participation of local people is necessary.

### **III. Making maps of high conservation value forest based on topography map, forest status map**

Meetings, discussions with officers, local people, forest owners in order to come into an agreement on area scale, location of the high conservation value forest. In case an agreement is not reached, further investigation should be conducted on the field before the map is finalized.

Map of the high conservation value forest is the basis for identification and implementation of appropriate technical measures in the sustainable forest management scheme.

### **IV. Making forest management map based on high conservation value forest**

The whole forest area is divided in 6 parts that are graded differently.

### **V. Signing the grade of importance of high conservation value**

Colours are used in coding forest grades as follows:

HCV	Colour coded:		
HCV 1	Red	HCV 4	Green
HCV 2	Pink	HCV 5	blue
HCV 3	Orange	HCV 6	yellow.

## **Chapter III MANAGEMENT & MONITORING HIGH CONSERVATION VALUE FORESTS**

### **1. Assessment the status quo of high conservation value forest**

This step aims to understand the current situation of identified HCV, including the following aspects:

- Legal documents as adopted by Vietnamese Governments and international treaties regulating HCV conservation and management, to which Vietnam is a member;
- Current status and movements of forest resources relating to the identified HCV forests;
- Forest management and use activities and their effects relating to the high conservation values.

## **2. Assessment of impact on HCV**

The next step is to find out causes that influenced or changed the current status or led to the degradation of high conservation value forests. Commonly, negative impacts on high conservation value forest are mainly caused by human activities, both in direct or indirect ways. Defining the influence will help develop a plan to manage HCV in an effective way.

## **3. Development of strategy for management and monitoring HCVs**

Developing detailed HCVF management and monitoring plan is required. This plan needs to present necessary measures and actions, which includes:

- Protection of landscape area, demarcation of the reserve area, buffer zone, boundary and control activities that can cause loss of HCVFs (e.g. hunting of rare animals);
- Adjustment of management: Threats to HCVFs should be identified and documented; The analysis should comprise all negative impacts and measures to mitigate identified impacts.
- Forest restoration: should be conducted in certain areas in order to restore the ecological functions and cultural importance of the forest.

## **4. Integration of HCVF management and monitoring in the overall sustainable forest management plan**

To be successful and efficient, HCVF management plan should be integrated in the forest management plan of forest owner. For forest owner who is practicing sustainable forest management towards FSC certification, the description of HCVF management must be included in the SFM scheme.

## **5. Education and training**

To support the effective implementation of new management strategies, forestry officers and staff of stakeholders should be trained on HCVF management. The trainings should comprise the following topics: identification of the value and importance of current HCVFs, the instructions for HCVF planning, conservation measure, and other relating contents.

## **ANNEX V**

### **CALCULATIONS OF TIMBER HARVESTING OUTPUT**

*(Promulgated as an enclosure to Circular No. 28/2018/TT-BNNPTNT dated November 16<sup>th</sup> 2018 by the Ministry of Agriculture and Rural Development)*

#### **1. As for natural forest**

Calculation of the timber output harvested is based on one of two following methods:

a) Method 1: based on the growth of forest reserve, applying this formula:

$$L = M_t \cdot Z_{tb} \cdot R \cdot K$$

of which:

L: Annual harvesting output (m<sup>3</sup>).

M<sub>t</sub>: Total forest reserve (m<sup>3</sup>).

Z<sub>tb</sub>: Average annual growth rate (%): based on the study of growth models in the locality to determine this rate for each category of forest. In case of having no growth

related studies at the site, using the average growth rate for timber forest as follows: 2,2- 2,6% for very rich forests and rich forest; 2.6 to 2.9% for medium rich forest; 3.1 to 3.7% for poor forests, specially for dipterocarpus forest, the figure is from 1.5 to 1.7%.

R: Timber use rate (%): following the Ministry of Agriculture and Rural Development guidelines on selective harvesting in natural forest.

K: Forest accessibility coefficient (%): is determined in the range 0.7 ÷ 0.8.

b) The second method: based on the harvesting area, applying the following formula:

$$L = \frac{S_{kt} \cdot M_{kt} \cdot C_{kt} \cdot R \cdot K}{T}$$

Of which:

L: Annual harvesting output (m3).

S<sub>kt</sub>: total area being harvested in one cycle (ha), including very rich, rich and medium rich forests.

C<sub>kt</sub>: average harvesting intensity (%).

R: Timber use rate (%): following the Ministry of Agriculture and Rural Development guidelines on selective harvesting in natural forest

K: Forest accessibility coefficient (%): depending on the topography is determined within the range from 0.7 ÷ 0.8.

T: cutting cycle (years): usually about 35 years.

## 2. As for planted forest

The area, annual harvesting output is calculated as follows:

a) Harvested area:

By using the formula  $S_i = S / R$  (ha),

of which:

S<sub>i</sub>: annual harvested area (ha),

S is the total planted forest area in the cycle (ha),

R: Term of a harvesting cycle (years).

b) Harvesting output:

Applying the formula  $L_T = S_T \cdot R_T$ ,

of which:

L<sub>T</sub>: harvesting putput (m3),

S<sub>T</sub>: planted forest reserve to be harvested (m3),

R<sub>T</sub>: Timber use rate of planted forest (%), as actual practice recorded in the locality



# ANNEX VI

## TEMPLATE OF SUBMISSION

*(Promulgated as an enclosure to Circular No. 28/2018/TT-BNNPTNT dated November 16<sup>th</sup> 2018 by the Ministry of Agriculture and Rural Development)*

SUPERIOR LEVEL  
MANAGEMENT AGENCY  
**NAME OF SUBMITTING UNIT**

**SOCIALIST REPUBLIC OF VIETNAM**  
**Independence - Freedom – Happiness**

-----  
No: / TTr-

-----  
Date ...month...year....

### TEMPLATE OF SUBMISSION

**Subject: Request for verification and approval of the sustainable forest management scheme**

Attention to:

.....(1).....

Pursuant to Circular / 2018 / TT-BNNPTNT dated /..... / 2018 of the Ministry of Agriculture and Rural Development stipulating the forest management sustainable scheme, it is requested that .....(1)..... to peruse and approve this sustainable forest management scheme for.....forest with the following information:

- 1. Name of the forest owner:**
  - 2. Address:**
  - 3. The current status of forest and land resources and results of forest management, protection and development, biodiversity conservation and production and business efficiency of forest owner (briefed description)**
  - 4. Objectives of the Scheme: (briefed description)**
  - 5. Land use status, forest resource use status, biodiversity; forest protection, development and use, forest conservation, trading and production briefed description;**
  - 6. land use plan, plan for forest protection, development, use, conservation, production, businesss, demand, investment capital sources; effectiveness of the scheme (briefed description)**
  - 7. Solutions and implementation of the Scheme (briefed description)**  
(enclosed please find the SFM scheme and maps)
- Kindly request.....(1)..... to peruse, approve the scheme./.

**Recipients:**

**Forest owner**  
(sign, stamp)

Note: (1) checking and approving agency.

## **ANNEX VII LIST OF FORMS**

*(Promulgated as an enclosure to Circular 28/2018/TT-BNNPTNT dated November 16<sup>th</sup> 2018 of the Minister of Agriculture and Rural Development)*

Form 01	Statistics on livelihood, socio-economic situation
Form 02	Status quo of infrastructure works serving transportation
Form 03	Statistics on status quo of land use by forest owners by commune level administration unit
Form 04	Statistics on the forest status quo in 20...
Form 05	Statistics on the reserves of different forest categories in 20...
Form 06	List of main forest floral species
Form 07	List of endangered, rare and precious floral forest species
Form 08	List of main faunal species
Form 09	List of endangered, rare and precious fauna forest species
Form 10	Compiled land use plan for the period 20..- 20...
Form 11	Compiled plan on sustainable forest development for the period 20..- 20...
Form 12	Compiled plan of forest products harvesting for the period 20..- 20...
Form 13	Compiled plan on development of infrastructure, forest fire prevention and combating for the period 20..- 20...
Form 14	Result of forest owner's production, business

## Form 01. STATISTICS ON LIVELIHOOD, SOCIO-ECONOMIC SITUATION

(Statistics of communes relating to forest stance of forest owner until December 31<sup>st</sup> 20...

Forest owner: .....

Or.	Administrative unit	Total number of household	Members of a household			Labour			Average cultivating area (ha/household)			Average income (VND 1,000/household)		
			Total	Kinh	Other ethnic groups	Total	Male	Female	Total	Agriculture	Forestry	Total	Agriculture	Forestry
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)	(12)	(13)	(14)	(15)
1	Commune A:													
2	Commune B:													
	...													
	<b>Total</b>													

## Form 02. STATUS QUO OF INFRASTRUCTURE WORKS FOR TRANSPORTATION

Forest owner: .....

Or	Type of road	Name of route	Code of route (if any)	Level of road	Distance (km)	Description
(1)	(2)	(3)	(4)	(5)	(6)	(7)
1	Intercommune					
2	Interdistrict					
	...					
	Highway					
	<b>Total</b>					













	(Schizostachyum)																		
	- Indosana amabilis McClure	1322																	
	- bamboo	1323																	
	- bamboosa balcooa	1324																	
	- Other species in the bamboo family	1325																	
<b>3</b>	<b>Mix timber and bamboo forest</b>	<b>1330</b>																	
	- timber tree is the major species	1331																	
	- Bamboo is the major species	1332																	
<b>4</b>	<b>Areca - coconut forest (C.nucifera and A.catechu forest)</b>	<b>1340</b>																	
<b>IV</b>	<b>CATEGORIZATION OF TIMBER NATURAL FOREST BASED ON RESERVE</b>	<b>1400</b>																	
<b>1</b>	<b>Rich forest</b>	<b>1410</b>																	
<b>2</b>	<b>Medium rich forest</b>	<b>1420</b>																	
<b>3</b>	<b>Poor forest</b>	<b>1430</b>																	
<b>4</b>	<b>Depleted forest</b>	<b>1440</b>																	
<b>5</b>	<b>Forest has no reserve</b>	<b>1450</b>																	
<b>V</b>	<b>UNFORESTED LAND AREA</b>	<b>2000</b>																	
<b>1</b>	Unforested forest area	2010																	
<b>2</b>	Zone-off area for forest regeneration	2020																	
<b>3</b>	Other area	2030																	

...,Date... month.... year...

**Forest owner**

(Signature with full name, stamp)

## Form 06. LIST OF MAJOR FOREST FLORAL SPECIES

Forest owner: .....

Or.	Family name		Species name		Remark
	Vietnamese name	Scientific name	Vietnamese name	Scientific name	
1					
2					
...					

*...,Date ... month .... year..*

*Forest owner*

*(Signature, full name, stamp)*

## Form 07. LIST OF ENDANGERED RARE AND PRECIOUS FOREST FLORAL SPECIES

Forest owner's name: .....

Or.	Scientific name	Vietnamese name	Location of distribution	As stipulated by:			
				IUCN	Viet Nam's Red Book	Government Decree	CITES
1							
2							

...

*,Date ... month .... year..*

*Forest owner*

*(Signature, full name, stamp)*

## Form 08. LIST OF MAJOR FOREST FAUNAL SPECIES

Forest owner: .....

Or.	Family name		Species		Remark
	Vietnamese name	Scientific name	Vietnamese name	Scientific name	
1					Example, a few, some at average level, many
2					
...					

...,Date ... month .... year..

Forest owner

(Signature, full name, stamp)

## Form 09. LIST OF THE ENDANGERED, RARE, PRECIOUS FAUNAL SPECIES

Forest owner's name: .....

Or.	Scientific name of the forest faunal species	Vietnamese name	Location of distribution	As stipulated by:			
				IUCN	Viet Nam's Red Book	Government Decree	CITES
1							
2							

...,Date ... month .... year..

Forest owner

(Signature, full name, stamp)

Note: VNRB" Viet Nam's Red Book; GD: Government's Decree:



# Form 10. COMPILED LAND USE PLAN IN THE PERIOD 20..- 20...

Forest owner's name: .....

Unit of calculation: ha

Or.	Land category	Code	Forest owner's existing land area in 201...	5 year land use plan of forest owner in the period from 201...-202..					Remark
				From 201...- 202..					
(1)	(2)	(3)	(4)	Year.... (5)	Year .... (6)	Year .... (7)	Year .... (8)	Year .... (9)	(10)
<b>I</b>	<b>Total land area managed by forest owner</b>								
<b>1</b>	<b>Agriculture</b>	<b>NNP</b>							
<b>1.1</b>	<b>Agriculture production land</b>	<b>SXN</b>							
1.1.1	Annual tree planting land	CHN							
1.1.1.1	Rice cultivating land	LUA							
1.1.1.2	Annual other tree planting land	HNK							
1.1.2	Perennial tree planting land	CLN							
<b>1.2</b>	<b>Forestry land</b>	<b>LNP</b>							
1.2.1	Production forest land	RSX							
1.2.2	Protection forest land	RPH							
1.2.3	Special-use forest land	RDD							
<b>1.3</b>	<b>Aquaculture land</b>	<b>NTS</b>							
<b>1.4</b>	<b>Salt production land</b>	<b>LMU</b>							
<b>1.5</b>	<b>Other agriculture land</b>	<b>NKH</b>							
<b>2</b>	<b>Non-agriculture land</b>	<b>PNN</b>							
<b>2.1</b>	<b>Residential land</b>	<b>OCT</b>							
2.1.1	Residential land in rural	ONT							
2.1.2	Residential land in urban area	ODT							
<b>2.2</b>	<b>Land used in special purpose</b>	<b>CDG</b>							
2.2.1	Land for building working offices	TSC							
2.2.2	Land for national defense	CQP							
2.2.3	Land for security	CAN							
2.2.4	Land for construction of works serving public service delivery	DSN							
2.2.5	Land for production, non-agriculture use	CSK							
2.2.6	Land for public use.	CCC							
2.3	Land for religious establishment	TON							
2.4	Land for religious belief establishment	TIN							
2.5	Land for setting cemetery, graveyard, funeral house, cremation house	NTD							
2.6	Land occupied by rivers, streams, canals, springs	SON							
2.7	Land hosting specialized used water surface	MNC							
2.8	Other non-agriculture land	PNK							
<b>3</b>	<b>Unused land</b>	<b>CSD</b>							
3.1	Flat unused land	BCS							
3.2	Hilly and mountainous unused land	DCS							
3.3	Forestless stone mountain	NCS							
<b>II</b>	<b>Coastal land with water surface (observed)</b>	<b>MVB</b>							
1	Coastal land with water surface used for aquaculture	MVT							
2	Forested coastal land with water surface	MVR							
3	Coastal land with water surface for other purpose	MVK							

...,Date ... month .... year..

Forest owner





2	<b>Forest protection station</b>																		
	a Newly constructed																		
	Number of station (station)																		
	Area (m <sup>2</sup> )																		
b	Repaired, renovated, upgraded,																		
	Number of station (Station)																		
	Area (m <sup>2</sup> )																		
3	<b>Fire breaking belt</b>																		
a	Treeless belt (km)																		
	Newly constructed																		
	- Upgraded																		
b	Green belt (km)																		
	Newly constructed																		
	- Renovated, Upgraded																		
4	<b>Board alarming level of forest fire risk</b>																		
	- Newly constructed (each)																		
	- Repaired, renovate, upgraded (each)																		
5	<b>Forestry road, skidding trail, transportation path</b>																		
	- Newly constructed (km)																		
	- Repaired, upgraded (km)																		
6	<b>Working office (m<sup>2</sup>)</b>																		
	- Newly constructed																		
	- Repaired, upgraded																		
7	<b>Other tasks</b>																		
	.....																		

...,dates ... months .... years..

**Forest owner**

(Signature, full name, stamp)

# Form 14. BUSINESS AND PRODUCTION RESULTS OF FOREST OWNER

Forest owner's name: .....

**(applicable to forest owner being corporations, companies, cooperatives whose operations are governed by the Law on Enterprises)**

*Unit of calculation: nghìn đồng*

Indicator	Code	Year 201..	Year 201..	Year 201...	Average of 3 years
1	2	3	4	5	
1. Revenue from sales of goods and provision of services	01				
2. Amounts defrom sales	02				
3. Net revenue from sales of goods and rendering of services (10 = 01 - 02)	10				
4. Cost price of goods sold	11				
5. Gross profit margin on sales and services (20 = 10 - 11)	20				
6. Turnover from financial activities	21				
7. Financial expenses	22				
- In which: interest expenses	23				
8. Cost of sale activities	24				
9. Enterprise management costs	25				
10 Net profit from business activities {30 = 20 + (21 - 22) - (24 + 25)}	30				
11. Other incomes	31				
12. Other expenses	32				
13. Other profit (40 = 31 - 32)	40				
14. Gross accounting profit before tax (50 = 30 + 40)	50				
15. Current corporate income tax expense	51				
16. Reimbursement of corporate income tax expenses	52				
17. Profit after corporate income tax (60 = 50 - 51 - 52)	60				
18. Basic earnings per share (*)	70				

...,date ... month .... year...

**Forest owner**

*(Signature, full name, stamp)*

*Note: (\*) This target is only applied to forest owner being joint stock company.*

# ANNEX VIII

## REPORT ON THE IMPLEMENTATION RESULT OF SUSTAINABLE FOREST MANAGEMENT SCHEME

*(Promulgated as an enclosure to Circular 28/2018/TT-BNNPTNT dated November 16<sup>th</sup> 2018 of the Ministry of Agriculture and Rural Development)*

**SOCIALIST REPUBLIC OF VIET NAM**  
Independence – Happiness – Happiness

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### REPORT ON THE IMPLEMENTATION RESULT OF SUSTAINABLE FOREST MANAGEMENT SCHEME (applicable to forest owner)

Forest owner:

Date:

## I. ACHIEVEMENT OF THE SFM OBJECTIVE

No	Detail	As planned	Result/rate of achievement/assessment
I	Environmental effectiveness		
1	Total area of forest under management		
-	Area of natural forest		
-	Area of plantation forest		
2	Forest coverage (%)		
3	Biodiversity conservation		
-	Number of forest floral species		
-	Number of conservation of forest flora		
4	Area of HCV forest (ha)		
5	Prevention of soil erosion and slide (ha)		
6	Use of chemicals and herbicides		
7	Waste collection and treatment		
II Social effectiveness			
1	Jobs and stable income for labourers		
2	Number of households contracted for forest protection and plantation		
3	NTFPs values benefited by local people		
-	Timber for house building, and furnitures		

-	Non-timber forest products such as bamboo,		
-	...		
4	Social welfare works (are newly constructed, upgraded)		
-	Health stations		
-	Kinder garden/nursery		
-	Community house		
-	...		
III	Economic effectiveness		
1	Output of log harvested from planted forests		
2	Volume of processed timber products (owner of production forests)		
3	Volume of non-timber forest products harvested (owner of production forests)		
5	Fund from PFES received for forest environmental services		
6	Revenue and profit (owner of production forest)		
...	...		

## II. IMPLEMENTATION RESULTS OF SUSTAINABLE FOREST MANAGEMENT SCHEME BASED ON SUSTAINABLE MANAGEMENT INDICATORS.

No	Indicators	As planned	Outputs/ percentage of completion /evaluation
1	Implementation of sustainable forest management scheme		
-	Forest protection plan		
-	Zone-off forest regeneration plan		
-	Forest tending plan		
-	Forest enrichment plan		
-	Forest planting plan		
-	Harvesting timber from planted forest plan		
-	Harvesting non-timber forest products plan		
-	Exploitation plan for plantation forests		
-	Combined agroforestry production plan (protection and production forests)		
-	Processing and bussiness plan for timber, timber		

	products (for forest owner of production forests)		
-	Construction and maintenance plan for transportation infrastructure		
-	plan for providing forest environment services		
-	...		
2	Implementation of regulations on harvesting timber forest products and non-timber forest products.		
3	Implementation of procedure and practices in harvesting (appropriate to forest owner)		
-	Construction of roads; timber storage yards		
-	Management of high conservation value forests		
-	Tree stumps after logging meeting standards		
-	Only marked trees are logged		
-	Number of fallen and broken trees		
-	Forest sanitation after harvesting		
-	...		
4	Output of harvesting planted forests compared to the plan (if any)		
6	Conversion of forest from this to other categories and to other uses		
7	Use of bioagents		
8	Use of chemical substances in forest protection and management		
9	Forest growth, regeneration performance		
10	Changes of flora and fauna after harvesting		
11	Social and environmental impacts by forestry activities		
12			
	...		
	General evaluation		

...,date ... month .... year...

Forest owner

(Signature, full name and stamp)