



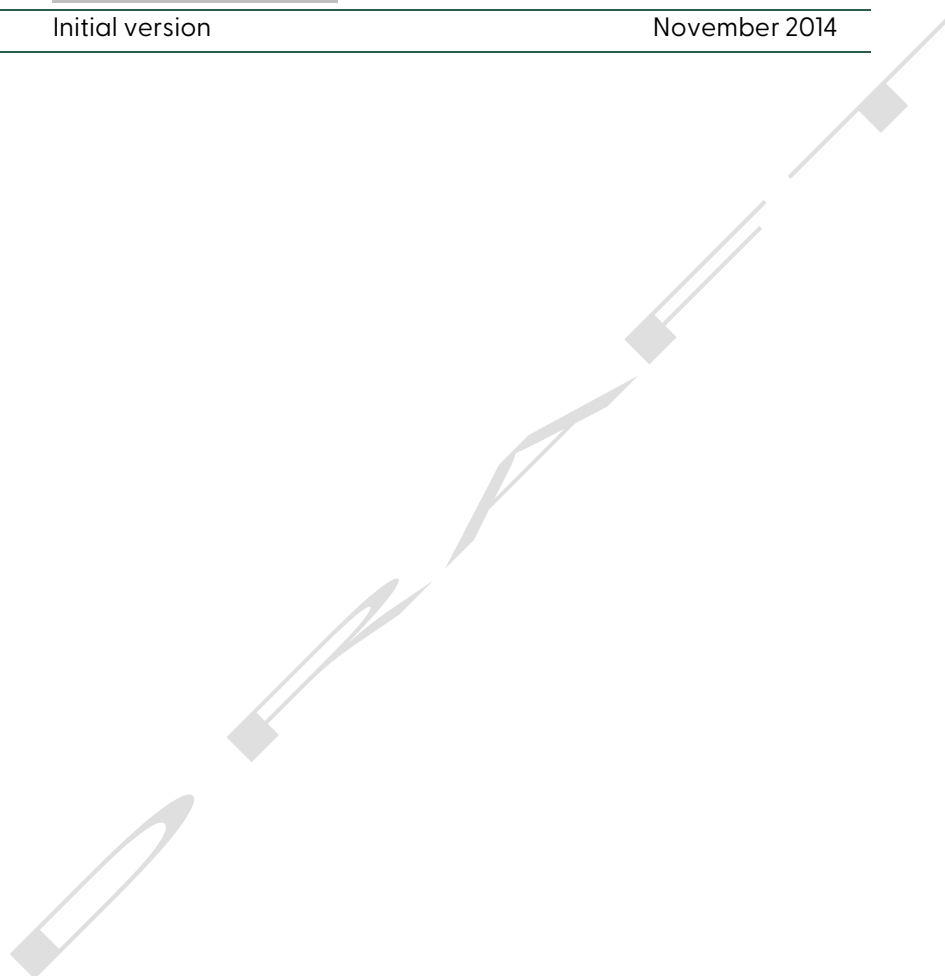
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RISK ASSESSMENT FRAMEWORK 风险评估框架

FSC-PRO-60-006b V2-0 D2-0



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INTRODUCTION

介绍

This procedure defines the process and content requirements to develop, review, revise and withdraw FSC risk assessments. The development of the current version has been guided by the Strategy for FSC Mix products and Controlled Wood, <FSC-POL-01-007 Policy to Address Conversion>, the European Union Deforestation Regulation (EUDR),¹ and <FSC-POL-01-004 Policy for Association>.

本程序规定了制定、审查、修订和撤销 FSC 风险评估的流程和内容要求。当前版本的开发遵循了《FSC 混合产品和受控木材战略》、《FSC-POL-01-007 转换政策》、《欧盟零毁林法案》（EUDR），²和《FSC-POL-01-004 协会政策》。

In terms of aligning risk assessments with the requirements established by the EUDR, the main focus has been on aligning terminology, streamlining the process requirements and ensuring key content requirements are covered (e.g. deforestation and degradation).

在使风险评估与 EUDR 风险评估所确立的要求保持一致方面，主要重点是统一术语、简化流程要求并确保涵盖关键内容要求（如毁林和退化）。

^{1 1} Source: [Regulation \(EU\) 2023/1115 of the European Parliament and of the Council on the making available on the Union market and the export from the Union of certain commodities and products associated with deforestation and forest degradation and repealing Regulation \(EU\) No 995/2010.](#)

^{2 2} Source: [Regulation \(EU\) 2023/1115 of the European Parliament and of the Council on the making available on the Union market and the export from the Union of certain commodities and products associated with deforestation and forest degradation and repealing Regulation \(EU\) No 995/2010.](#)

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Explanatory note for consultation:

征询说明:

The requirements proposed in this procedure (FSC-PRO-60-006b, previously known as FSC-PRO-60-002a) include the alignment with the applicable EUDR requirements and key FSC normative documents (e.g. Policy to Address Conversion, FSC-POL-01-007). The key changes made to this draft of the procedure are described in the crosswalk document shared in consultation together with this procedure (https://connect.fsc.org/sites/default/files/2024-01/FSC-PRO-60-006b%20V2-0%20D2-0_crosswalk.pdf). Furthermore, you will find specific questions in the FSC Consultation Platform where we are requesting your feedback/evaluation on those key changes.

本程序中提出的要求（FSC-PRO-60-006b，以前称为 FSC-PRO-60-002a）包括符合适用的 EUDR 要求和关键的 FSC 规范性文件（例如处理转换的政策，FSC-POL-01-007）。本程序草案的主要变化在交叉对照文件中进行了描述，该文件与本程序一起进行了征询

（https://connect.fsc.org/sites/default/files/2024-01/FSC-PRO-60-006b%20V2-0%20D2-0_crosswalk.pdf）。此外，您还可以在 FSC 征询平台上找到具体问题，我们希望您对这些关键变化做出反馈/评估。

Following the CW strategy as well as BoD decisions from BM96 and BM97, FSC has been working with other organizations (e.g. Preferred by Nature (PBN) with the objective to have a joint framework for cross-scheme risk assessments (including process requirements, as well for content including a common set of indicators) that can be used by any of the organizations of the Risk Information Alliance (RIA) when developing or revising risk assessments. Further details on the Risk Information Alliance, as well as information relating to FSC engagement and impacts on risk assessments, are provided under the following link: <https://fsc.org/en/newscentre/standards/fscs-new-approach-for-risk-assessments-in-forests>. Overall, the process requirements have been streamlined yet kept rigorous in order to be easily applied by any of the Risk Information Alliance organizations, including a common set of indicators which are no longer divided by the Controlled Wood (CW) categories.

根据受控木材措施以及 BM96 和 BM97 理事会的决定，FSC 一直在与其他组织（如自然（PBN）的首选组织）合作，目的是建立一个跨方案风险评估的联合框架（包括流程要求以及包括一套通用指标在内的内容），风险信息联盟（RIA）的任何组织在制定或修订风险评估时都可以使用该框架。以下链接提供了有关风险信息联盟的更多详细信息，以及与 FSC 参与度和对风险评估的影响相关的信

息：<https://fsc.org/en/newscentre/standards/fscs-new-approach-for-risk-assessments-in-forests>。

总体而言，流程要求已经简化但仍保持严格，以便于任何风险信息联盟组织应用，包括一套不再按受控木材类别划分的通用指标。

Please note that the section ‘Process requirements for developing and revising risk assessments’ is presented in this document to enable stakeholders’ evaluation of all draft requirements related to the Policy to Address Conversion and EUDR alignment. However, this section will be transferred to the procedure FSC-PRO-60-006 where it formally belongs. The mentioned procedure FSC-PRO-60-006 will contain the process requirements for Risk Assessments (RA) and Forest Stewardship Standards (FSS), combined in order to streamline and increase the efficiency of the processes conducted on the country or regional level. Respective requirements for the content for RA and FSS are being included

into two addendum procedures to FSC-PRO-60-006: FSC-PRO-60-006b and FSCPRO-60-006a respectively.

请注意，本文件中提供了“制定和修订风险评估的流程要求”一节，以使利益相关方能够评估与政策相关的所有要求草案，从而解决转换和 EUDR 一致性问题。然而，本节将被转移到 FSC-PRO-60-006 程序中。上述程序 FSC-PRO-60-006 将包含风险评估（RA）和森林管理标准（FSS）的流程要求，旨在简化和提高在国家或区域一级开展的流程的效率。FSC-PRO-60-006 的两个附录程序中分别包含了 RA 和 FSS 的内容要求：FSC-PRO-60-006b 和 FSCPRO-60-006a。

OBJECTIVE

目标

The objective of this document is to ensure uniform and robust requirements for assessing the risk of sourcing material from supply areas. In the context of FSC certification, it relates to sourcing controlled material under <FSC-STD-40-005 Requirements for Sourcing FSC Controlled Wood>. Hence, this document aims to ensure fair and unambiguous risk assessments to protect the integrity of the FSC system, while at the same time reducing the burden of conformance with FSC requirements or regulatory compliance.

本文件的目的是确保对从供应区采购材料的风险评估有统一和严格的要求。在 FSC 认证的背景下，它涉及根据《FSC-STD-40-005 Requirements for Sourcing FSC Controlled Wood》。因此，本文件旨在确保公平和明确的风险评估，以保护 FSC 系统的完整性，同时减轻符合 FSC 要求或法规合规性的负担。

SCOPE

范围

This document provides process steps and requirements for the designation and specification of risk (i.e., ‘negligible risk’ or ‘non-negligible risk’) of sourcing material, as well as determining mitigation measures.

本文件为采购材料的风险指定和规范（即“可忽略风险”或“不可忽略风险”）以及确定缓解措施提供了流程步骤和要求。

This document shall be used together with the requirements of <FSC-PRO-60-006 The Development and Revision of FSC Country Requirements>, which contains the general process requirements for the development and revision of Risk Assessments (RA) and FSC Forest Stewardship Standards (FSS).

本文件应与《FSC-PRO-60-006 The Development and Revision of FSC Country Requirements》，其中包含制定和修订风险评估（RA）和 FSC 森林管理标准（FSS）的一般流程要求。

Explanatory note for consultation:

征询说明:

The Requirements for Development and Maintenance of Locally Adapted FSC Requirements (FSS and CWRAs) <FSC-PRO-60-006 The Development and Revision of FSC Country Requirements> is currently being revised. The revised draft will be aligned with changes in the Risk Assessment Framework.

制定和维护适合当地情况的 FSC 要求（FSS 和 CWRAs）的要求《FSC-PRO-60-006 FSC 国家要求的制定和修订》目前正在修订。修订草案将与风险评估框架的变化保持一致。

All aspects of this document are considered to be normative, including the scope, effective and validity dates, references, terms and definitions, tables, and annexes, unless otherwise stated and/or marked as an example.
除非另有说明和/或标记为示例，否则本文件的所有方面均被视为规范，包括范围、生效日期和有效期、参考资料、术语和定义、表格和附件。

REFERENCES

参考文件

The following referenced documents are indispensable for the application of this document.

下列参考文件对于本文件的应用是必不可少的。

For references without a version number, the latest version of the referenced document (including any amendments) applies:

对于没有版本号的引用文件，引用文件的最新版本（包括任何修订版）适用于：

FSC-STD-40-005	Requirements for Sourcing FSC Controlled Wood
FSC-STD-01-004	FSC Regulatory Module
FSC-PRO-60-006	The Development and Revision of FSC Country Requirements
	Common Guidance for the Identification of High Conservation Values

	Regulation (EU) 2023/1115 of the European Parliament and of the Council on the making available on the Union market and the export from the Union of certain commodities and products associated with deforestation and forest degradation and repealing Regulation (EU) No 995/2010.
	FSC Motion 20 Study on the Impacts of Large-Scale Forestry Operations in Global North and South
	United Nations Declaration on the Rights of Indigenous Peoples
	International Labour Organization Convention No. 169
FSC-STD-40-005	采购 FSC 控制木材的要求
FSC-STD-01-004	FSC 监管模块
FSC PRO-60-006	制定和修订 FSC 国家要求
	高保护价值鉴定通用指南
	欧洲议会和理事会第 2023/1115 号条例（欧盟），关于在欧盟市场上提供和从欧盟出口与森林砍伐和森林退化有关的某些商品和产品，并废除第 995/2010 号条例（欧盟）。
	FSC 动议 20 关于全球南北大规模林业活动影响的研究
	《联合国土著人民权利宣言》
	国际劳工组织第 169 号公约

TERMS AND DEFINITIONS

术语和定义

For the purposes of this document, the terms and definitions included in <FSC-PRO-60-006 The Development and Revision of FSC Country Requirements>, <FSC-STD-01-002 FSC Glossary of Terms>, <FSC-STD-01-001 FSC Principles and Criteria for Forest Stewardship>, and the following apply:

出于本文档的目的，《FSC-PRO-60-006 The Development and Revision of FSC Country Requirements》, <FSC-STD-01-002 FSC Glossary of Terms>, <FSC-STD-01-001 FSC Principles and Criteria for Forest Stewardship》, 以下内容适用:

Controlled material: Material confirmed as being in conformity with the standard <[FSC-STD-40-005 Requirements for Sourcing FSC Controlled Wood](#)> and is used internally by the organization as an input material category in FSC production.³

受控材料:确认符合标准的材料《[FSC-STD-40-005 Requirements for Sourcing FSC Controlled Wood](#)》并由组织内部用作 **FSC** 生产中的输入材料类别。⁴

Conversion: A lasting change of natural forest cover* or High Conservation Value* areas induced by human activity*. This may be characterized by significant loss of species diversity*, habit diversity, structural complexity, ecosystem functionality or livelihoods and cultural values. The definition of conversion* covers gradual forest degradation* as well as rapid forest transformation.⁵

转换:由人类活动引起的自然森林覆盖*或高保护价值*地区的持久变化。这可能表现为物种多样性*、习性多样性、结构复杂性、生态系统功能或生计和文化价值的重大损失。转换的定义*包括森林逐渐退化*以及森林快速转化。⁶

NOTE: The definition of conversion is applicable after 31 December 2020.

注:转换的定义适用于 2020 年 12 月 31 日之后。

Deforestation: Conversion from forest to agricultural use, whether human-induced or not.⁷

毁林:从森林到农业用途的转变,无论是否人为造成。⁸

Degradation: Changes within a natural forest or High Conservation Value area that significantly and negatively affect its species composition, structure and/or function, and reduces the ecosystem's capacity to supply products, support biodiversity and/or deliver ecosystem services.⁹

退化:天然林或高保护价值区内的变化,对其物种组成、结构和/或功能产生重大负面影响,并降低生态系统供应产品、支持生物多样性和/或提供生态系统服务的能力。¹⁰

³ Source: <[FSC-STD-40-005 Requirements for Sourcing FSC Controlled Wood](#)>

⁴ Source: <[FSC-STD-40-005 Requirements for Sourcing FSC Controlled Wood](#)>

⁵ Source: <[FSC-POL-01-007 Policy to Address Conversion](#)>

⁶ Source: <[FSC-POL-01-007 Policy to Address Conversion](#)>

⁷ Source: Adapted from Regulation (EU) 2023/1115 of the European Parliament and of the Council on the making available on the Union market and the export from the Union of certain commodities and products associated with deforestation and forest degradation and repealing Regulation (EU) No 995/2010. Glossary definitions as provided in Chapter 1 Article 2.

⁸ Source: Adapted from Regulation (EU) 2023/1115 of the European Parliament and of the Council on the making available on the Union market and the export from the Union of certain commodities and products associated with deforestation and forest degradation and repealing Regulation (EU) No 995/2010. Glossary definitions as provided in Chapter 1 Article 2.

⁹ Source: <[FSC-POL-01-007 Policy to Address Conversion](#)>

¹⁰ Source: <[FSC-POL-01-007 Policy to Address Conversion](#)>

NOTE: In the context of mass balance systems, including instances where controlled wood is sourced for the purpose of FSC certification, the application of the above definition focuses on “structural changes to forest cover, taking the form of the conversion of:

注:在质量平衡系统中, 包括出于 FSC 认证目的采购受控木材的情况下, 上述定义的应用侧重于“森林覆盖的结构变化, 其形式为:

(a) primary forests or naturally regenerating forests into plantation forests or into other wooded land;
or

(a) 将原始森林或天然更新的森林改造成人工林或其他林地; 或者

(b) primary forests into planted forests.”

(b) 将原始森林改造成人工林。”

Hence, the application of the degradation definition in the risk assessment context is based on and fully aligned with the EUDR.

因此, 在风险评估背景下应用降级定义是基于并完全符合 EUDR 的。

Homogeneous risk designation: When a non-negligible risk designation covers an area without the need to further subdivide or refine that area. This is determined primarily by the availability of information on the risk in question.

同质风险设定: 当一个不可忽略的风险设定涵盖一个领域而无需进一步细分或细化该领域时。这主要是由有关风险的信息的可用性决定的。

Ecoregion: A large unit of land or water containing a geographically distinct assemblage of species, natural communities, and environmental conditions. The boundaries of an ecoregion are not fixed and sharp, but rather encompass an area within which important ecological and evolutionary processes most strongly interact.¹¹

生态区: 一大片陆地或水域, 包含地理上不同的物种、自然群落和环境条件的集合。一个生态区的边界不是固定的和清晰的, 而是包含一个重要的生态和进化过程相互作用最强烈的区域。¹²

NOTE: For the purposes of risk designation, the ecoregion needs to be interpreted to fixed boundaries in order to be used as a unit of scale.

注: 出于风险设定的目的, 生态区域需要解释为固定边界, 以便用作规模单位。

Effective Protection:

有效保护:

The effectiveness of nature protection in an area shall be determined based on both the:

¹¹ Source: <https://www.worldwildlife.org/publications/terrestrial-ecoregions-of-the-world>

¹² Source: <https://www.worldwildlife.org/publications/terrestrial-ecoregions-of-the-world>

一个地区自然保护的有效性应根据以下两个因素来确定:

- Quality of nature protection, and the
- 自然保护的质量和
- Quantity of nature protection.
- 自然保护数量。

The quality of nature protection shall be demonstrated by a legally established protected area network whose protection is legally enforced. The protected area network shall meet the standard of IUCN categories 1-3 (or equivalent). IUCN categories 4-6 (or equivalent) are permissible if commercial logging does not occur within protected areas. The reserve network must sample all forest types present in the country.

自然保护的质量应由依法建立的保护区网络来证明, 其保护是依法实施的。保护区网络应符合 IUCN 类标准 (或同等标准)。如果保护区内不进行商业伐木, 则允许 IUCN 第 4-6 类 (或同等类别) 伐木。储备网络必须对该国现有的所有森林类型进行采样。

NOTE: Enforcement of legislation is determined through a risk assessment for relevant indicators.

注:执法是通过对相关指标进行风险评估来确定的。

The quantity of nature protection is considered sufficient if the minimum quantum of protected areas meets the targets of the Kunming-Montreal Global Biodiversity Framework established under the Convention on Biodiversity (CBD)¹³ for terrestrial ecosystems, or are equivalent for countries which have not ratified the CBD.

如果保护区的最低数量达到根据《生物多样性公约》建立的昆明-蒙特利尔全球生物多样性框架的目标, 自然保护的量就被认为是足够的¹⁴对于陆地生态系统而言, 或对于尚未批准《生物多样性公约》的国家而言相当。

NOTE: The following reports and tools may be useful when assessing effective protection:

注:评估有效保护时, 以下报告和工具可能有用:

- National Biodiversity Strategies and Action Plans (NBSAPs): <http://www.cbd.int/nbsap/>;
- 国家生物多样性战略和行动计划: <http://www.cbd.int/nbsap/>;
- Assessment of NBSAPs: http://www.ias.unu.edu/resource_center/UNU-IAS_Biodiversity_Planning_NBSAPs_Assessment_final_web_Oct_2010.pdf;
- 《国家生物多样性战略和行动计划》评估:http://www.ias.unu.edu/resource_center/UNU-IAS_Biodiversity_Planning_NBSAPs_Assessment_final_web_Oct_2010.pdf;
- Leverington, F., et al. (2010a) Management Effectiveness Evaluation in Protected Areas – a Global Study. Second Edition. The University of Queensland, Brisbane, Australia;
- Leverington, f.等人 (2010a) 保护区管理有效性评估——一项全球研究。第二版。澳大利亚布里斯班昆士兰大学;
- Leverington, F., et al. (2010b) A global analysis of protected area management effectiveness. Environmental Management 46: 685–698;

¹³ Source: <https://www.cbd.int/article/cop15-final-text-kunming-montreal-gbf-221222>

¹⁴ Source: <https://www.cbd.int/article/cop15-final-text-kunming-montreal-gbf-221222>

- Leverington, f.等人（2010 年 b）对保护区管理有效性的全球分析。环境管理 46:685–698;
- Bertzky, B., Corrigan, C., Kemsey, J., Kenney, S., Ravilious, C., Besançon, C., Burgess, N. (2012) Protected Planet Report 2012: Tracking progress towards global targets for protected areas. IUCN, Gland, Switzerland and UNEP-WCMC, Cambridge, UK:
- Bertzky, c.科里甘, j.凯姆西, s.肯尼, Ravilious, c.贝桑松, c.伯吉斯, n.（2012 年）《2012 年保护地球报告:跟踪保护区全球目标的进展情况》。自然保护联盟、瑞士格兰德和环境署-英国剑桥 WCMC:
- http://cmsdata.iucn.org/downloads/protected_planet_report.pdf
- http://cmsdata.iucn.org/downloads/protected_planet_report.pdf

Harvest (-ing / -ed): A general term for the removal of produce from the forest for utilization; often comprising cutting trees; additionally, this may also include initial processing (e.g. tipping and trimming) and/or the removal of forest products from the forest to a loading point for the purposes of transportation elsewhere (including felling, yarding, and decking).¹⁵

采伐:从森林中移走农产品以供利用的总称; 通常包括砍树; 此外, 这还可能包括初步加工(例如翻堆和修剪)和/或将森林产品从森林中搬运到装载点以便运输到其他地方(包括砍伐、码放和覆盖)。¹⁶

Illegally-harvested wood: Forest products harvested in violation of any laws applicable to harvesting in that location or jurisdiction including the acquisition of the harvesting rights from the rightful owner; the harvesting methods used and the payment of all relevant fees and royalties.¹⁷

非法采伐的木材:违反当地或管辖范围内任何适用于采伐的法律而采伐的森林产品, 包括从合法所有者处获得采伐权; 使用的收获方法以及所有相关费用和特许权使用费的支付。¹⁸

Intact forest landscape (IFL): a territory within today's global extent of forest cover which contains forest and non-forest ecosystems minimally influenced by human economic activity, with an area of at least 500 km² (50,000 ha) and a minimal width of 10 km (measured as the diameter of a circle that is entirely inscribed within the boundaries of the territory) (Source: Intact Forests / Global Forest Watch. Glossary definition as provided on Intact Forest website. 2006-2014).¹⁹

完整的森林景观 (IFL):在当今全球森林覆盖范围内的领土, 其中包含受人类经济活动影响最小的森林和非森林生态系统, 面积至少为 **500 平方公里 (50 000 公顷)**, 最小宽度为 **10 公里** (以完全位于领土边界内的圆的直径测量) (来源:完整森林/全球森林观察。完整森林网站上提供的术语定义。**2006-2014**)。²⁰

Minimum areas of Intact Forest Landscapes are determined by maps available at <http://intactforests.org>.

完整森林景观的最小面积由以下地图确定 <http://intactforests.org>。

¹⁵ Source: Based on the Dictionary of Forestry (XII World Forestry Congress, 2002)

¹⁶ Source: Based on the Dictionary of Forestry (XII World Forestry Congress, 2002)

¹⁷ Source: <FSC-STD-01-002 FSC Glossary of Terms>

¹⁸ Source: <FSC-STD-01-002 FSC Glossary of Terms>

¹⁹ Source: <FSC-STD-60-004 International Generic Indicators>.

²⁰ Source: <FSC-STD-60-004 International Generic Indicators>.

Mitigation Measure (RM): An action that The Organization shall take to mitigate the risk of sourcing material from unacceptable sources.

缓释措施 (RM): 组织应采取的措施, 以降低从不可接受的来源采购材料的风险。

Negligible Risk: A conclusion, following a risk assessment, that either there is no cause for concern that material from a specific geographic area originates from unacceptable sources, or that material is mixed with non-eligible inputs or material with a different origin in such a way that would not allow the level of risk related to origin to be confirmed as negligible.

可忽略风险: 风险评估后得出的结论, 即没有理由担心来自特定地理区域的材料来自不可接受的来源, 或者材料与不合格投入或来自不同来源的材料混合的方式无法确认与来源相关的风险水平可忽略不计。

NOTE: FSC is replacing the term 'low risk' with 'negligible risk'. **Low risk:** A conclusion, following a risk assessment, that there is negligible risk that material from a specific geographic area originates from unacceptable sources. (Source: <FSC-STD-40-005 Requirements for Sourcing Controlled Wood>)

注: FSC 将“低风险”一词替换为“可忽略不计的风险”。**低风险:** 根据风险评估得出的结论, 即来自特定地理区域的材料来自不可接受来源的风险可以忽略不计。(来源:<FSC-STD-40-005 Requirements for Sourcing Controlled Wood>)

Negligible risk area: An area where 'negligible risk' for sourcing material has been designated through the risk assessment described in <FSC-PRO-60-006b Risk Assessment Framework>.

可忽略风险区域: 通过《FSC-PRO-60-006b Risk Assessment Framework》中描述的风险评估, 确定采购材料的“可忽略风险”的区域

Non-negligible risk: A conclusion, following a risk assessment, that there is cause for concern that material from unacceptable sources may have been sourced or entered the supply chain from a specific geographic area. The nature and extent of this risk is specified for the purpose of defining efficient mitigation measures.

不可忽视的风险: 风险评估后得出的结论, 即有理由担心来自不可接受来源的材料可能来自特定地理区域或进入供应链。这种风险的性质和程度是为了确定有效的缓解措施而规定的。

NOTE: FSC is replacing the term 'specified risk' to 'non-negligible risk'. **Specified risk:** A conclusion, following a risk assessment conducted according to <FSC-PRO-60-002a FSC National Risk Assessment Framework>, that there is risk which cannot be determined as low that forest products from unacceptable sources may be sourced or enter the supply chain from a specific geographic area. The nature and extent of this risk is specified for the purpose of defining efficient control measures. (Source: <FSC-STD-40-005 Requirements for Sourcing Controlled Wood>)

注: FSC 将术语“特定风险”替换为“不可忽略的风险”。**特定风险:** 根据进行风险评估后得出的结论<FSC-PRO-60-002a FSC National Risk Assessment Framework>, 不可接受来源的森林产品可能来自特定地理区域或从特定地理区域进入供应链的风险无法确定。为了确定有效的控制措施, 规定了这种风险的性质和程度。(来源:<FSC-STD-40-005 Requirements for Sourcing Controlled Wood>)

Non-negligible risk area: An area where ‘non-negligible risk’ for sourcing material has been designated through the risk assessment process as described in <FSC-PRO-60-006b Risk Assessment Framework>.

不可忽略的风险区域:通过风险评估过程指定了采购材料“不可忽略的风险”的区域, 如《FSC-PRO-60-006b Risk Assessment Framework》。

Precautionary approach: An approach requiring that when the available information indicates management activities pose a threat of severe or irreversible damage to the environment or a threat to human welfare, explicit and effective measures to prevent the damage and avoid the risks to welfare are required, even when the available information is incomplete or inconclusive, and when the vulnerability and sensitivity of environmental values are uncertain (Source: Based on Principle 15 of Rio Declaration on Environment and Development, 1992, and Wingspread Statement on the Precautionary Principle of the Wingspread Conference, 23–25 January 1998).²¹

预防方法:一种方法, 要求当现有信息表明管理活动对环境构成严重或不可逆转的损害威胁或对人类福祉构成威胁时, 即使现有信息不完整或不确定, 以及环境价值的脆弱性和敏感性不确定, 也需要采取明确和有效的措施来防止损害和避免福祉风险 (资料来源:根据 1992 年《关于环境与发展的里约宣言》原则 15 和 Wingspread 会议关于预防原则的 Wingspread 声明, 1998 年 1 月 23 日至 25 日)。²²

NOTE: In the case of risk assessments, there are situations in which no evidence of specific risks may be found. This does not always mean that the risk is negligible. In those cases, it is necessary to look at other indications of risk related to, but not exactly aligned with, the indicator being assessed (e.g., international indices). Furthermore, not every piece of evidence of risk automatically results in a non-negligible risk designation. The evidence must be relevant and reliable in order to be considered as an indication of non-negligible risk.

注:在风险评估中, 有些情况下可能找不到具体风险的证据。这并不总是意味着风险可以忽略不计。在这些情况下, 有必要研究与被评估指标相关但不完全一致的其他风险迹象 (如国际指数)。此外, 并非每一项风险证据都会自动导致不可忽略的风险认定。证据必须相关且可靠, 才能被视为不可忽视的风险迹象。

Scale, intensity and risk (SIR)

规模、强度和风险 (SIR)

Scale: A measure of the extent to which a management activity or event affects an environmental value or a Management Unit in time or space. An activity with a small or low spatial scale affects

²¹ Source: <FSC-STD-01-001 FSC Principles and Criteria for Forest Stewardship>

²² Source: <FSC-STD-01-001 FSC Principles and Criteria for Forest Stewardship>

only a small proportion of the forest each year, while an activity with a small or low temporal scale occurs only at long intervals.

规模:衡量管理活动或事件在时间或空间上影响环境价值或管理单位的程度。空间规模小或低的活动每年只影响一小部分森林, 而时间规模小或低的活动只在很长时间间隔内发生。

Intensity: A measure of the force, severity, or strength of a management activity or other occurrence affecting the nature of the activity's impacts.

强度:衡量管理活动或其他影响活动影响性质的事件的力量、严重性或强度。

Risk: The probability of an unacceptable negative impact arising from any activity in the Management Unit combined with its seriousness in terms of consequences.

风险:管理单位的任何活动产生不可接受的负面影响的可能性及其后果的严重性。

Small or low intensity managed forest (SLIMF): A forest management unit which meets specific FSC requirements related to size and/or intensity.²³

小强度或低强度管理森林 (SLIMF):符合 FSC 有关面积和/或强度的具体要求的森林管理单位。²⁴

Source type(s): Source types describe the possible origins of a commodity from within a country. Different source types may be subject to different forms of applicable legislation and have attributes that affect the risk of non-compliance with such legislation. A source type is defined based on characteristics distinguishing the source type from other origins within the country; these may include characteristics such as ownership type, land classification, management regime, permit type, legal requirements and/or risk level. Source types are used to give an overview of the different origins within a country and the associated risks for each source type.

来源类型:来源类型描述商品可能来自某个国家。不同的来源类型可能受不同形式的适用法律管辖, 并具有影响不遵守此类法律的风险的属性。来源类型的定义基于将来源类型与国内其他来源区分开来的特征; 这些可能包括所有权类型、土地分类、管理制度、许可证类型、法律要求和/或风险水平等特征。来源类型用于概述一个国家内的不同来源以及每种来源类型的相关风险。

NOTE: Example of sources types include: State-owned plantations on forest land, private company owned plantations on forest land, etc.

注:来源类型的例子包括:国有林地种植园、私有林地种植园等。

Supplier: Individual, company or other legal entity providing goods or services to an organization.²⁵

²³ Source: <FSC-STD-01-002 FSC Glossary of Terms>

²⁴ Source: <FSC-STD-01-002 FSC Glossary of Terms>

²⁵ Source: <FSC-STD-40-004 Chain of Custody Certification>

供应商:向组织提供商品或服务的个人、公司或其他法律实体。²⁶

Supply Unit (SU): A spatial area with clearly defined boundaries managed to a set of explicit long-term forest management objectives. It includes all facilities and areas within or adjacent to these spatial areas that are under legal title or management control of, or operated by or on behalf of, the supply unit manager for the purpose of contributing to the management objectives.

供应单位 (SU):按照一套明确的长期森林管理目标管理的具有明确边界的空间区域。它包括这些空间区域内或附近的所有设施和区域, 这些设施和区域受供应单位经理的法定所有权或管理控制, 或由供应单位经理或代表供应单位经理运营, 以实现管理目标。

Traditional Peoples: Traditional Peoples are social groups or peoples who do not self-identify as Indigenous and who affirm rights to their lands, forests and other resources based on long established custom or traditional occupation and use.²⁷

传统民族:传统民族是不自我认同为土著的社会群体或民族, 他们根据长期形成的习俗或传统占有和使用来确认对其土地、森林和其他资源的权利。²⁸

NOTE: The above definition includes forest-dependent communities with traditional rights living in or adjacent to forests. Further specification of the traditional rights to be considered in the risk assessment shall take place during the risk assessment process.

注:上述定义包括生活在森林中或森林附近、拥有传统权利的以森林为生的社区。在风险评估过程中, 应进一步详细说明风险评估中应考虑的传统权利。

Unassessed area: An area that is not covered by a risk assessment.

未评估区域:风险评估未涵盖的区域。

Verbal forms for the expression of provisions:

表达条款的口头形式:

[Adapted from *ISO/IEC Directives Part 2: Rules for the structure and drafting of International Standards*]

【改编自 ISO/IEC 指令第 2 部分:国际标准的结构和起草规则】

“shall”: Indicates requirements to be followed strictly in order to conform with the standard.

²⁶ Source: <FSC-STD-40-004 Chain of Custody Certification>

²⁷ Source: <FSC-STD-01-001 FSC Principles and Criteria for Forest Stewardship>

²⁸ Source: <FSC-STD-01-001 FSC Principles and Criteria for Forest Stewardship>

“应”:	表示为符合标准而严格遵循的要求。
“should”:	Indicates that among several possibilities, one option or item is recommended as particularly suitable without mentioning or excluding others, or that a certain course of action is preferred but not necessarily required. A ‘should requirement’ can be met in an equivalent way, provided this can be demonstrated and justified.
“应该”:	表示在几个可能性中，推荐一个选项或项目特别合适，而没有提及或排除其他选项或项目，或者某个行动方案是首选但不是必需的。“应要求”可以以同等方式得到满足，前提是可以证明和证明这一点。
“may”:	Indicates a course of action permissible within the limits of the document.
“可能”:	表示在文件限制范围内允许的行动过程。
“can”:	Is used for statements of possibility and capability, whether material, physical or causal.
“可以”:	用于陈述可能性和能力，无论是物质的、物理的还是因果的。

缩写

CW	FSC Controlled Wood
EUDR	European Union Deforestation Regulation
FPIC	Free, Prior and Informed Consent
FSS	FSC Forest Stewardship Standard
GMO	Genetically Modified Organisms
HCV	High Conservation Value
IFL	Intact Forest Landscape
RA	Risk Assessment
RM	Risk Mitigation Measure
SIR	Scale, Intensity and Risk

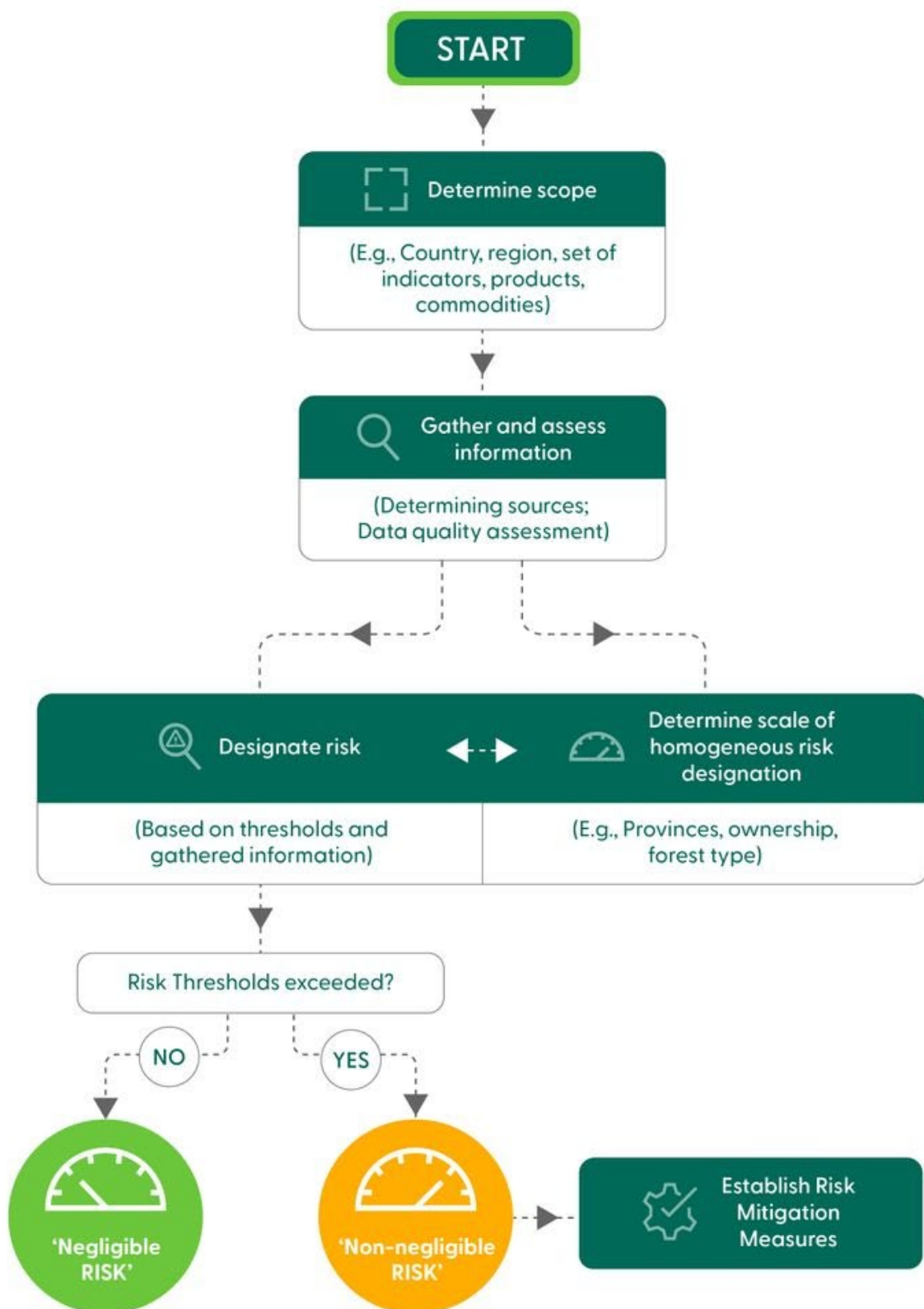


Figure 1. Steps required in the risk assessment process.

数字 2. 风险评估过程中所需的步骤

PROCESS REQUIREMENTS FOR DEVELOPING AND REVISING RISK ASSESSMENTS

制定和修订风险评估的流程要求

Explanatory note for consultation:

征询说明:

The requirements under this section (process requirements) and Annex 1 will be transferred to <FSC-PRO-60-006 The Development and Revision of FSC Country Requirements> after the requirements have been improved based on the stakeholder inputs received during the public consultation.

本节（流程要求）和附件 1 中的要求将在根据公开意见征询期间收到的利益相关方意见进行改进后转移到《FSC-PRO-60-006》中。

The process requirements under this section take into account the need for ensuring that the requirements can be followed by other organizations participating in the Risk Information Alliance.

本节中的流程要求考虑了确保参与风险信息联盟的其他组织能够遵循这些要求的必要性。

PART I: GENERAL

第一部分:概述

1 General aspects

一般

- 1.1 Risk assessments shall be developed and revised following the methodology for risk assessment content and the process requirements defined in this Section. The requirements which apply for each step of the development process are explained in the clauses provided below.
- 1.1 应按照本节中定义的风险评估内容方法和流程要求制定和修订风险评估。适用于开发流程每个步骤的要求在以下条款中进行了解释。

NOTE: It is possible to develop and revise risk assessments through a chamber-balanced process, following the process requirements under <FSC-PRO-60-006 The Development and Revision

of FSC Country Requirements>. Nevertheless, independently on the process type, the approval requirements established under this Section apply.

注:可以按照《FSC-PRO-60-006》中的流程要求,通过平衡流程制定和修订风险评估。然而,无论工艺类型如何,本节规定的批准要求均适用。

2 Involved parties

相关方

- 2.1 The organization responsible for the development and/or maintenance of a risk assessment shall designate a representative known as the ‘process lead’ that will oversee the development and/or maintenance of the risk assessment,.
- 2.1 负责开发和/或维护风险评估的组织应指定一名被称为“流程负责人”的代表来监督风险评估的开发和/或维护。

NOTE: In the context of the Risk Information Alliance (RIA), this term can be used interchangeably with the term ‘Task Manager’.

注意:在风险信息联盟(RIA)的上下文中,该术语可以与术语“任务经理”互换使用。

- 2.2 The process lead shall manage the process by:
- 2.2 流程负责人应通过以下方式管理流程:
- a) Establishing and executing the work plan;
制定并执行工作计划;
 - b) Drafting the risk assessment(s), or delegating and coordinating the drafting of the risk assessment with the country specialist;
起草风险评估,或委托并与国家专家协调风险评估的起草。
 - c) Providing an initial review of the findings of the risk assessment, including ensuring that the methodological requirements for the development of the risk assessment are followed and fulfilled;
对风险评估的结果进行初步审查,包括确保遵循和满足制定风险评估的方法要求;
 - d) Responding to feedback from the senior reviewer and revising the draft risk assessment accordingly;
对高级评审员的反馈做出回应,并相应修改风险评估草案;
 - e) Organizing the consultation(s), as well as collecting and analyzing the results; and
组织征询,并收集和分析结果;和
 - f) Submitting the risk assessment for final approval to the decision-making body.
向决策机构提交风险评估以供最终批准。

- 2.3 The process lead shall be selected based on the following selection criteria:

- 2.3 应根据以下选择标准选择流程负责人:

- a) Soft skills: skilled in teamwork, clarity of expression, culturally appropriate behaviour, critical thinking, and consensus building;
软技能:擅长团队合作、清晰表达、文化上适当的行为、批判性思维和建立共识;
- b) Contribution: oriented towards achieving solutions and results, while also respecting the process timelines;
贡献:以实现解决方案和结果为导向,同时尊重进程时间表;
- c) Engagement: Possesses the ability to engage their constituency and encourage active participation;
参与度:能够吸引选民并鼓励积极参与;
- d) Possesses skills for coordination, drafting and facilitation;
具备协调、起草和促进的技能;
- e) Technical skills: expertise on the commodity sector and the geographical area under assessment are recommended, but are not necessary to manage the risk assessment process.
技术技能:建议具备初级商品部门和所评估的地理区域方面的专业知识,但这不是管理风险评估过程所必需的。

NOTE: The description of this Criterion may be adapted to the specific needs of the respective process.

注:本标准的描述可根据各自工艺的具体需要进行调整。

2.4 The process lead shall engage country specialist(s) to support the process lead during the development and/or revision of a risk assessment.

2.4 流程负责人应在风险评估的开发和/或修订期间聘请国家专家为流程负责人提供支持。

The role can be fulfilled by one in-country expert, or more if, relevant to cover the needs for expertise on the indicators under assessment.

可以由一名国内专家发挥这一作用, 如果与满足被评估指标的专门知识需求有关, 可以由更多的专家发挥这一作用。

2.5 The country specialist shall have, at a minimum, the following credentials:

2.5 国家专家应至少拥有以下证书:

- a) A bachelor's degree in a relevant field;
相关领域的学士学位;
- b) Three years of experience in the field relevant to the risk assessment;
三年风险评估相关领域的经验;
- c) Proven research and analysis skills; and
经过验证的研究和分析技能; 和
- d) Proven detailed understanding of the country/regional context and system, including an understanding of the legal system governing the commodity in question.
证明对国家/地区背景和体系的详细了解, 包括对所涉商品的法律体系的了解。

NOTE: In case the process lead meets the qualifications of country specialist, it is not required to engage a country specialist unless the support is needed.

注意:如果流程负责人符合国家专家的资格, 则不需要聘请国家专家, 除非需要支持。

- 2.6 The process lead shall submit the draft risk assessment for review to the senior reviewer before the consultation and before the submission to the decision making body.
- 2.6 在征询和提交给决策机构之前，流程负责人应将风险评估草案提交给高级审查人员审查。
- 2.7 The senior reviewer shall have high level of expertise on risk assessments according to the relevant procedures, and shall be designated by the responsible organization.
- 2.7 高级审查人员应根据相关程序具有高水平的风险评估专业知识，并应由负责组织指定。
- 2.8 The senior reviewer shall be in charge of the review of the drafts of risk assessments submitted by the process lead and shall provide feedback on what aspects need further improvement.
- 2.8 高级审查者应负责审查流程负责人提交的风险评估草案，并就哪些方面需要进一步改进提供反馈。
- 2.9 The decision-making body for risk assessments shall be the Performance and Standards Unit Director at FSC. Experts from other organizations may also be involved during the decision-making process.
- 2.9 风险评估的决策机构应为 FSC 的绩效和标准股股长。其他组织的专家也可能参与决策过程。

PART II: DEVELOPMENT OR REVISION OF REQUIREMENTS

第二部分:需求的制定或修订

3 Process registration

过程登记

- 3.1 The responsible organization shall define and register the following information relevant to the risk assessment process:
- 3.1 负责组织应定义并登记以下与风险评估过程相关的信息:
- a) Scope of the risk assessment (commodity, geopolitical scope [e.g., country, region], indicators);
风险评估的范围（商品、地缘政治范围【如国家、地区】、指标）；
 - b) Justification for the need to develop the risk assessment;
需要开展风险评估的理由；
 - c) Timetable of the risk assessment process, including start date and planned date of submission of the final draft by the process lead;
风险评估流程的时间表，包括流程负责人提交最终草案的开始日期和计划日期；
 - d) Budget and description of how funds have been or shall be secured.
已经或将要获得资金的预算和说明。
- 3.2 The communication channels and formats of the documents to be used throughout the risk assessment process shall be agreed between the process lead and the responsible organization at the beginning of the process; in the event of proposed changes, mutual agreement shall be reached.
- 3.2 在整个风险评估过程中使用的沟通渠道和文件格式应在过程开始时由过程负责人和负责组织商定；如果提出变更，应达成双方协议。
- 3.3 In case of long or recurring delays compared to the original timetable, the responsible organization shall stop the risk assessment process until the process lead is replaced or solution(s) are implemented to ensure that the process can continue. In order to restart the process, the responsible organization shall update the timetable in agreement with the process lead.
- 3.3 如果与原始时间表相比出现长时间或反复出现的延迟，负责组织应停止风险评估流程，直到更换流程负责人或实施解决方案以确保流程能够继续。为了重新启动流程，负责组织应与流程负责人协商更新时间表。

4 Drafting

起草

- 4.1 The process lead shall draft the risk assessment using the template provided by FSC.
- 4.1 流程负责人应使用 FSC 提供的模板起草风险评估。

- 4.2 At a minimum, the following draft versions shall be prepared by the process lead:
- 4.2 流程负责人至少应准备以下草案版本:
- a) A first draft to be consulted, which shall be submitted to the senior reviewer in English prior to the consultation;
需征询的初稿，应在征询前以英文形式提交给高级审核人员；
 - b) A final draft, developed based on the input from stakeholder consultation(s), which shall be submitted to the senior reviewer for review prior to presentation to the decision-making body.
根据利益相关方征询意见制定的最终草案，在提交给决策机构之前，应提交给高级审查人员进行审查。
- 4.3 The risk assessment draft versions shall be proofread and edited prior to submission to the senior reviewer.
- 4.3 在提交给高级审查人员之前，应对风险评估草案进行校对和编辑。
- 4.4 Upon receipt of the first draft, the senior reviewer shall review the documentation within a maximum of fourteen (14) working days and inform the process lead if further improvements are required before the first draft of the risk assessment can be released in consultation.
- 4.4 收到初稿后，高级审查人员应在最多十四（14）个工作日内审查文件，如果需要进一步改进，则在发布风险评估初稿之前通知流程负责人。
- 4.5 The process lead shall address all comments from the senior reviewer and amend the first draft of the risk assessment accordingly.
- 4.5 流程负责人应处理高级审查人员的所有意见，并相应修改风险评估的初稿。
- 4.6 Once the senior reviewer confirms the first draft of the risk assessment is ready for consultation, the process lead shall release the risk assessment to consultation.
- 4.6 一旦高级审查者确认风险评估的初稿已准备好进行征询，流程负责人应发布风险评估以进行征询。
- 4.7 The submission package containing the final draft shall be free of editorial errors and include a formal statement from the process lead confirming the final draft has undergone required consultation and merits approval, as well as:
- 4.7 包含最终草案的提交包应无编辑错误，并包括流程负责人的正式声明，确认最终草案已经过所需的征询和审批，以及:
- a) A summary of the development process, including any deviations from the original work plan and an assessment of how content and process requirements have been met;
开发过程的总结，包括与原始工作计划的任何偏差以及对如何满足内容和过程要求的评估；
 - b) A record of any outstanding concerns;
任何未解决问题的记录；
 - c) The final draft risk assessment in English;
英文版风险评估最终草案；
 - d) The stakeholder consultation report(s);
利益相关方征询报告；

- e) A list of all stakeholders invited to participate during the consultation.
受邀参加征询的所有利益相关方的名单。

NOTE1: FSC maintains anonymity by default but may refer to the stakeholder group (see Annex 1).

注 1: FSC 默认保持匿名，但可以提及利益主体组织（见附件 1）。

NOTE 2: The application may include any other evidence that the process lead deems relevant to demonstrate compliance with the requirements specified in this procedure (e.g., minutes of meetings).

注 2: 申请可以包括流程负责人认为与证明符合本程序中规定的要求相关的任何其他证据（例如会议记录）。

NOTE 3: Applications not meeting the above requirements will not be processed, nor will they be considered as timely submissions according to the agreed upon timelines.

注 3: 不符合上述要求的申请将不予处理，也不会被视为根据商定的时限及时提交。

4.8 Upon receipt of the final draft, the senior reviewer shall review the documentation within a maximum of fourteen (14) working days and inform the process lead if further improvements are required before the final draft risk assessment can be considered ready for approval.

4.8 收到最终草案后，高级审查人员应在最多十四（14）个工作日内审查文件，并在最终草案风险评估可被视为准备批准之前，通知流程负责人是否需要进一步改进。

4.9 The process lead shall address all comments from the senior reviewer and amend the final draft of the risk assessment accordingly.

4.9 流程负责人应处理高级审查人员的所有意见，并相应修改风险评估的最终草案。

4.10 Once the senior reviewer confirms the risk assessment is ready for approval, the senior reviewer shall present the final draft to the decision-making body.

4.10 一旦高级审查人员确认风险评估已准备就绪可供批准，高级审查人员应向决策机构提交最终草案。

5 Consultation

征询

5.1 One round of focused consultation on the draft risk assessment lasting 30 days shall be organized.

5.1 应组织一轮为期 30 天的风险评估草案集中征询。

NOTE: Testing of the draft after consultation is optional and to be decided on a case-by-case by the responsible organization. Testing can be either desk, field or pilot testing.

注: 征询后对草案的测试是可选的，由负责组织根据具体情况决定。测试可以是桌面测试、现场测试或试点测试。

5.2 The process lead shall identify stakeholders according to Annex 1 and shall invite them to comment on the draft risk assessment. The process lead shall ensure that stakeholders from all

stakeholder groups listed in Annex 1 are invited to participate, including consultation with experts as described in the section ‘Requirements for the content of risk assessments’.

- 5.2 流程负责人应根据附件 1 确定利益相关方，并邀请他们对风险评估草案发表意见。流程负责人应确保邀请附件 1 中列出的所有利益相关方团体的利益相关方参加，包括与“风险评估内容要求”一节中所述的专家进行征询。

NOTE: The <FSC-GUI-30-011 FSC Guidance for Stakeholder Engagement> may be used as a tool to guide the stakeholder mapping process.

注意:《FSC-GUI-30-011 FSC Guidance for Stakeholder Engagement》可用作指导利益相关方规划流程的工具。

- 5.3 Indigenous Peoples’ representatives in the country that are covered by the scope of the risk assessment shall be invited to participate in the consultation(s) of the draft risk assessment, having considered the most appropriate form of communication. The relevant information released together with the draft risk assessment for consultation shall highlight the aspects where the opinion and position of Indigenous Peoples’ representatives is particularly recommended.

- 5.3 在考虑了最适当的沟通形式后，应邀请风险评估范围所涵盖的国家的土著人民代表参加风险评估草案的征询。与风险评估草案一起发布供协商的相关信息应突出特别建议土著人民代表的意见和立场的方面。

NOTE: This clause is applicable for countries where the presence of Indigenous Peoples can be confirmed or is probable within the scope of the risk assessment.

注:该条款适用于在风险评估范围内可以确认或可能存在土著人民的国家。

- 5.4 The process lead shall be proactive in seeking input from representatives of identified stakeholders, including using a variety of means to inform stakeholders, appropriate to the stakeholders being contacted.

- 5.4 流程负责人应积极主动地寻求已确定的利益相关方代表的意见，包括使用各种适合所联系利益相关方的方式通知利益相关方。

NOTE: Techniques may include: face-to-face meetings, workshops, personal contact by phone or letter, notices published in the national and/or local press and on relevant websites, local radio announcements, announcements on local customary notice boards in the language of the local people, and emails in the language of the recipients.

注:方法可能包括:面对面会议、研讨会、通过电话或信件进行的个人接触、在国家和/或地方报刊和相关网站上发布的通知、地方电台公告、用当地人语言在当地习惯公告栏上发布的公告以及用收件人语言发送的电子邮件。

- 5.5 The process lead shall review all comments provided by stakeholders and address them in subsequent drafts, in line with relevant requirements.

- 5.5 流程负责人应根据相关要求审查利益相关方提供的所有评论意见，并在后续草案中予以解决。

- 5.6 The process lead shall prepare a consultation report, including a general response to the comments and an indication as to how the issues raised were addressed, excluding confidential information and personal data.

5.6 流程负责人应准备一份征询报告，包括对意见的总体回应以及对所提问题解决方式的说明，但不包括机密信息和个人数据。

6 决策

6.1 The decision-making body shall make a decision to:

6.1 决策机构应决定:

- a) Approve the risk assessment;
批准风险评估;
- b) Approve the risk assessment with conditions; or
有条件地批准风险评估; 或者
- c) Reject the risk assessment and request further work be done prior to its re-submission. If the decision-making body requests further work, it shall state the reasons for the decision and list the conditions which are necessary to be fulfilled in order for the final draft to be approved.
拒绝风险评估并要求在重新提交之前做进一步的工作。如果决策机构要求进一步工作，它应说明作出决定的理由，并列出具为使最终草案获得批准而必须满足的条件。

6.2 In case of approval with conditions, the process lead shall address the conditions and send the improved risk assessment to the responsible organization within twenty working days (20) after the communication is made official.

6.2 在有条件批准的情况下，流程负责人应在正式沟通后的二十个工作日（20）内解决这些条件并将改进的风险评估发送给负责组织。

6.3 In case the approved version of the risk assessment is in Spanish or French, the process lead shall provide a translation in English.

6.3 如果风险评估的批准版本为西班牙语或法语，流程负责人应提供英语翻译版本。

第三部分:维护

7 Publication and implementation

出版和实施

7.1 Upon approval, the responsible organization shall publish the risk assessment on the website.

7.1 经批准后，负责组织应在网站上公布风险评估。

7.2 An approved risk assessment shall become effective on the date of publication.

7.2 经批准的风险评估自发布之日起生效。

8 Monitoring and review

监测和审查

- 8.1 The risk assessment shall be reviewed and updated annually by the process lead to ensure that the applicable legislation, risk designations and mitigation measures are up-to-date.
- 8.1 风险评估应由流程负责人每年审查和更新一次，以确保适用的法律、风险指定和缓解措施是最新的。
- 8.2 The annual review shall be based on expert and stakeholder inputs, provided that evidences are substantiated and confirm the need for a review.
- 8.2 年度审查应基于专家和利益相关方的意见，前提是证据得到证实并确认审查的必要性。
- 8.3 Stakeholders and experts should have the possibility to continuously provide inputs to the risk assessment and share information through an online platform provided by the responsible organization.
- 8.3 利益相关方和专家应能够通过负责组织提供的在线平台持续为风险评估提供投入并分享信息。
- 8.4 If there are changes in the country under assessment leading to a change in applicable legislation, risk level or risk mitigation, it shall be considered if an update should be done immediately or if the information can be stored and included during the annual review instead.
- 8.4 如果接受评估的国家发生变化，导致适用的法律、风险水平或风险缓解措施发生变化，则应考虑是否应立即进行更新，或者是否可以存储信息并将其纳入年度审查。
- 8.5 The annual review and update will not need to follow all process requirements under this Section. However, information received from experts and stakeholders shall be reviewed and the accuracy of the data shall be confirmed and incorporated in the risk assessment.
- 8.5 年度审查和更新不需要遵循本节中的所有流程要求。然而，应审查从专家和利益相关方处获得的信息，确认数据的准确性并将其纳入风险评估。
- 8.6 The collection of additional information shall be supported through, either by:
- 8.6 应通过以下方式支持额外信息的收集：
- a) Inviting experts and stakeholders to provide input to risk findings to identify additional information and gaps;
邀请专家和利益相关方为风险调查结果提供意见，以确定额外信息和差距；
 - b) Arranging webinar(s) for feedback gathering;
安排网络研讨会收集反馈；
 - c) Holding in-country consultation, if considered relevant.
如果认为相关，举行国内征询。
- 8.7 Every five (5) years, a full review and eventual revision of the risk assessment shall be conducted in line with the requirements under this procedure.
- 8.7 每隔五（5）年，应根据本程序的要求对风险评估进行全面审查和最终修订。

风险评估内容的要求

Explanatory note for consultation:

征询说明:

The requirements for content development provided under this section have been streamlined to ensure they can be applied by other organizations participating in the Risk Information Alliance for the purposes of cross-scheme risk assessments. Nevertheless, additional process requirements that are specific to the assessment of certain indicators (i.e. High conservation value [HCV], conversion, and Genetically Modified Organisms [GMO]) and that are relevant for FSC have been maintained, with applicable modifications.

本节提供的内容开发要求已经过简化，以确保参与风险信息联盟的其他组织可以应用这些要求进行跨计划风险评估。尽管如此，特定于某些指标评估（即高保护价值【HCV】、转换和转基因生物【GMO】）且与 FSC 相关的额外流程要求仍得到保留，并进行了适当的修改。

PART I: GENERAL REQUIREMENTS

第一部分:一般要求

1 General aspects

一般

1.1 The process steps to develop a risk assessment include:

1.1 制定风险评估的流程步骤包括:

- a) Determining the scope of the risk assessment;
确定风险评估的范围;
- b) Gathering and assessing information related to the indicators under assessment;
收集和评估与被评估指标相关的信息;
- c) Determining source types;
确定来源类型;
- d) Designating risk for each assessed indicator; and

- 为每个评估指标指定风险；和
- e) Establishing mitigation measures.
制定缓解措施。

1.2 The risk assessments shall include an assessment of all indicators covered by this procedure (listed in Table 1), except as specified in Clause 1.3.

1.2 风险评估应包括对本程序涵盖的所有指标的评估（列于表1），第1.3条中规定的除外。

1.3 If relevant, a partial risk assessment may be developed which covers some of the indicators. The indicators excluded from the scope of the assessment shall be marked as 'Not assessed'. The potential exclusion of indicators shall always be decided by the organization responsible for the specific country/region.

1.3 如果相关，可进行部分风险评估，涵盖部分指标。不在评估范围内的指标应标记为“未评估”。指标的潜在排除应始终由负责特定国家/地区的组织决定。

第二部分:评估风险

2 Determining the scope

确定范围

2.1 The risk assessment shall specify the geopolitical scope of the assessment (e.g., a country, a region that is part of a country, or a region that covers more than one country) and the indicators that are covered in the case of partial risk assessments (as specified in Clause 1.3).

2.1 风险评估应规定评估的地缘政治范围（例如，一个国家、一个国家的一个地区或一个覆盖多个国家的地区）以及部分风险评估所涵盖的指标（如第1.3条所述）。

NOTE 1: In case of any doubts regarding exclaves, territories, protectorates or similar areas, those areas will be excluded from the risk assessment.

注1:如果对飞地、领土、保护区或类似地区有任何疑问，这些地区将被排除在风险评估之外。

NOTE 2: The scope needs to be identified as specifically and unambiguously as possible.

注2:范围需要尽可能明确和清楚地确定。

2.2 The risk assessment shall specify the product/commodity scope under assessment (e.g. timber, rubber, specific NTFPs, [among others]).

2.2 风险评估应具体说明被评估的产品/商品范围（如木材、橡胶、特定的非木材森林产品等）。

- 2.3 If an indicator is not considered applicable in the risk assessment, a justification for why an indicator is 'not applicable' shall be included and agreed upon with the responsible organization.
- 2.3 如果某个指标在风险评估中被认为不适用，则应包括该指标“不适用”的理由，并与负责组织达成一致。

3 Gathering and assessing information

收集和评估信息

- 3.1 Sufficient information shall be gathered to assess each indicator and threshold of the relevant framework to justify the risk designation reached.
- 3.1 应收集足够的信息来评估相关框架的每个指标和阈值，以证明所达到的风险设定是合理的。
- 3.2 The assessment shall be developed based on a combination of public sources of information and consultations with experts and stakeholders during the risk assessment process. However, in other situations, information obtained on-site may be included. In these cases, the different types of information shall be combined.
- 3.2 在风险评估过程中，应结合公共信息来源以及与专家和利益相关方的征询来开展评估。但是，在其他情况下，可能会包括现场获得的信息。在这些情况下，应结合不同类型的信息。
- 3.3 Only sources assessed as applicable and reliable shall be used in the risk assessment. The evaluation of information sources should be based on objective criteria. Information sources older than five (5) years should be avoided unless their relevance and reliability can be confirmed.
- 3.3 只有被评估为适用和可靠的来源才可用于风险评估。信息来源的评估应基于客观标准。应避免超过五（5）年的信息源，除非其相关性和可靠性可以得到确认。

注：评价信息源的客观标准的例子包括出版物索引，²⁹数据提供者的可信度，³⁰出版日期、数据收集方法等。

- 3.4 Whenever possible, information relevant to the specific context of forest- or farm-level management in the area under assessment should be used.
- 3.4 在可能的情况下，应使用与评估地区森林或农场一级管理的具体情况相关的信息。
- 3.5 Expert consultation constitutes an important source of information and shall be conducted during the risk assessment process.
- 3.5 专家征询是重要的信息来源，应在风险评估过程中进行。
- 3.6 At a minimum, experts shall be consulted if:

²⁹ For example, Impact Factor (IF) (<https://researchguides.uic.edu/ifa/impact>), Science Citation Index (SCI) (<https://clarivate.com/webofsciencegroup/solutions/webofscience-scie/>), etc.

³⁰ Preferred data providers may include: scientific entities based on their international ranks and publication in high-ranked journals, International Agencies, Non-governmental Organizations (NGOs), governmental agencies, etc.

3.6 在以下情况下，至少应征询专家：

- a) there are limited publicly available sources of information to evaluate the indicator and to reach a risk conclusion; and
评估指标和得出风险结论的公开信息来源有限；和
- b) there are doubts on how risk conclusion shall be graded (e.g., whether the risk is widespread, systematic, etc.);
对于如何对风险结论进行分级存在疑问（例如，风险是否广泛、系统等。）；
- c) input is needed to establish mitigation measures.
需要输入信息来制定缓解措施。

3.7 Selected experts shall have knowledge and/or experience on the indicator(s) being consulted.

3.7 选定的专家应具备所征询指标方面的知识和/或经验。

3.8 For each indicator, general sources of information provided by key topics in Annex 4 shall be considered when applicable. Additional sources shall be gathered which are specific to the area under assessment.

3.8 对于每项指标，应酌情考虑附件 4 中关键主题提供的一般信息来源。应收集特定于评估区域的额外来源。

3.9 Data sources, including information gathered via experts, shall be referenced in such a way that they are verifiable by third parties (e.g., reference to fsc.org, Google search results, or similar is not specific enough for the purposes of data validation).

3.9 数据来源，包括通过专家收集的信息，应以可由第三方验证的方式引用（例如，对 fsc.org、谷歌搜索结果或类似信息的引用对于数据验证而言不够具体）。

NOTE: Names of experts are anonymized by default (unless explicit permission is given), but a record of experts consulted is recorded and kept on file with other methodological materials.

注：默认情况下，专家的姓名是匿名的（除非获得明确许可），但征询专家的记录将被记录下来，并与其他方法材料一起存档。

3.10 Any existing conflicts between indicator requirements and applicable legislation identified for the area under assessment shall be identified and described. Such cases shall be documented and dealt with on a case-by-case basis in consultation with the responsible organization and relevant stakeholders identified during the risk assessment process.

3.10 应确定和描述指标要求与评估区域的适用法规之间的任何现有冲突。此类情况应记录在案，并与风险评估过程中确定的负责组织和相关利益相关方协商后逐案处理。

NOTE: Instances where indicator requirements are more stringent than relevant legislation does not constitute a conflict.

注：指标要求比相关法律更严格的情况并不构成冲突。

3.11 The risk assessment shall be developed using the template provided by FSC. The template includes:

3.11 应使用 FSC 提供的模板进行风险评估。该模板包括：

- a) An overview of the country;
国家概况;
- b) A description of the supply chain;
供应链的描述;
- c) The establishment of geopolitical scale and source types;
地缘政治规模和来源类型的确定;
- d) An assessment of indicators;
指标评估;
- e) The establishment of mitigation measures; and
制定缓解措施; 和
- f) Supporting documents, such as applicable legislation, sources of information, and/or risk mitigation related documents.
支持文件, 如适用法律、信息来源和/或风险缓解相关文件。

NOTE: Relevant instructions for each of the entry fields are provided in the template.

注意:模板中提供了每个输入字段的相关说明。

4 Determination of geopolitical scale and source types

确定地缘政治规模和来源类型

4.1 The geopolitical scale relevant for the area under assessment shall be determined.

4.1 应确定与评估区域相关的地缘政治规模。

4.2 Source types shall be established.

4.2 应确定来源类型。

NOTE: Establishing source types relevant for the area under assessment will allow for the clear designation of risk for the possible origins of material under assessment, as well as the provision of clear and meaningful mitigation measures.

注:确定与被评估地区相关的来源类型将有助于明确指定被评估物质可能来源的风险, 并提供明确和有意义的缓解措施。

4.3 In the determination of source types, relevant aspects of geopolitical and/or functional scale shall be considered, which may include the following:

4.3 在确定来源类型时, 应考虑地缘政治和/或功能规模的相关方面, 可能包括以下方面:

- a) Geopolitical scale – determination based on geographical boundaries, such as administrative sub-divisions (e.g., states, counties, provinces, etc.) and/or biological and/or geographical sub-divisions (e.g., bioregions, ecoregions, water catchments, watersheds, etc.).
地缘政治规模——基于地理边界的确定, 如行政区划 (如州、县、省等)。) 和/或生物和/或地理分区 (例如生物区、生态区、集水区、流域等)。).
- b) Functional scale – determination based on non-geographical characteristics, such as the type of forested area (e.g. plantations, managed forests, or natural forests), tenure or ownership (e.g. public, private, corporate, Indigenous, or community forests), scope of

management (e.g., presence or absence of particular planning requirements, type and/or quality of forest inventory, etc.), as well as scale, intensity and risk of forest management operations.

功能尺度——根据非地理特征确定，如森林面积类型（如种植园、管理森林或天然林）、保有权或所有权（如公共、私人、公司、土著或社区森林）、管理范围（如有无特殊规划要求、森林清单的类型和/或质量等），以及森林管理作业的规模、强度和风险。

NOTE: The homogeneity of the area under assessment needs to be considered.

注:需要考虑被评估地区的同质性。

4.4 Source types shall be clearly described, understandable, and identifiable by risk assessment users.

4.4 风险评估用户应清楚地描述、理解和识别来源类型。

4.5 The process lead shall provide, at a minimum, shapefiles for the geopolitical assessment scale used (GIS format) and clear description of the source types. Only data meeting internationally recognized spatial standards (e.g., Open Geospatial Consortium standards) shall be used.

4.5 流程负责人应至少提供所用地缘政治评估等级的形状文件（GIS 格式）和来源类型的清晰描述。只能使用符合国际公认空间标准（如开放地理空间联盟标准）的数据。

NOTE: It is desirable to present source types on maps, documenting areas of both 'negligible' and 'non-negligible risk'.

注意:最好在地图上显示来源类型，记录“可忽略”和“不可忽略风险”的区域。

5 Designation of risks

风险指定

5.1 A risk designation shall be provided for all source types used in the assessment of an indicator for the area under assessment.

5.1 应为评估所评估地区指标时使用的所有来源类型提供风险标识。

5.2 The designation of risk shall include the assessment of the risks of legal non-compliance or identification of sustainability issues within each indicator.

5.2 风险指定应包括评估法律不符合性的风险或识别每个指标中的可持续性问题。

NOTE: There are indicators that are not only focused on the assessment of legal compliance. Nevertheless, as specified in the 'non-negligible risk thresholds' for those indicators, the assessment of legal compliance needs to be considered.

注:有些指标不仅侧重于评估法律合规性。然而，正如这些指标的“不可忽略的风险阈值”中所规定的那样，需要考虑对法律合规性的评估。

5.3 Risk designation shall be provided based on the assessment of information gathered by the process lead and according to the 'non-negligible' risk thresholds provided for each indicator.

5.3 应根据对流程负责人收集的信息的评估，并根据为每个指标提供的“不可忽略”风险阈值，提供风险指定。

5.4 For each indicator under assessment, it shall be determined to be:

5.4 对于接受评估的每项指标，应确定为：

- a) 'Negligible risk', in the event that evidence indicates that the 'non-negligible' risk threshold(s) are not exceeded, and that there is no other information that would lead to a 'non-negligible risk' designation; OR
“可忽略风险”，如果证据表明没有超过“不可忽略”风险阈值，并且没有其他信息会导致“不可忽略风险”的认定；运筹学
- b) 'Non-negligible risk', in the event that available means of verification do not show evidence that the negligible risk category is applicable; or that one or more specific risk areas were identified; OR
“不可忽略风险”，如果可用的验证手段没有显示可忽略风险类别适用的证据；或者确定了一个或多个特定的风险领域；运筹学
- c) 'Not applicable', when an indicator is not considered applicable in the risk assessment.
“不适用”，指某项指标在风险评估中被认为不适用。

5.5 When assessing indicators in the risk assessment, the aspects below shall be considered:

5.5 在风险评估中评估指标时，应考虑以下方面：

- a) All entities involved in harvesting and production activities (e.g., contractors).
参与采伐和生产活动的所有实体（如承包商）。
- b) The scale and intensity of the management operation within the area under assessment.
评估区域内管理运作的规模和强度。
- c) The impact and likelihood of the risk when providing the risk designation, as follows:
提供风险设定时风险的影响和可能性，如下所示：
 - 1. Non-negligible risks are those which:
不可忽视的风险是指：
 - i. Affect a wide area, causes significant damage, and/or continues over a long period of time;
影响广泛、造成重大损害和/或持续很长时间；
 - ii. Indicate the absence or breakdown of enforcement of the legal system;
表明法律制度执行的缺失或崩溃；
 - iii. Are not corrected or adequately responded to upon being identified;
被发现后未得到纠正或充分回应；
 - iv. Have a significant negative impact on society, the production of forest products and other services, the forest ecosystem and the people directly and indirectly affected by forest operations.
对社会、森林产品和其他服务的生产、森林生态系统以及直接和间接受到森林作业影响的人们产生重大负面影响。
 - 2. Negligible risks are those which are:
可忽略的风险是指以下风险：
 - i. Temporary;
临时的；
 - ii. Unusual or non-systematic;

不寻常或非系统性的；

iii. Limited in their impact;

影响有限；

iv. Effectively controlled through the implementation of monitoring and enforcement measures carried out by efficient and effective government agencies.

通过由高效和有效的政府机构实施的监测和强制执行措施进行有效控制。

5.6 Risk designation shall be substantiated, including a justification of the identified risk(s) in order to provide the rationale behind the final conclusion (e.g., “based on findings x, y and z, it is concluded that the risk is non-negligible for this indicator”).

5.6 风险指定应得到证实，包括已确定风险的理由，以提供最终结论背后的理由（例如，“根据调查结果 x、y 和 z，得出结论认为该风险对该指标而言不可忽视”）。

Additionally, for a ‘non-negligible risk’ designation, each risk related to the indicator shall be described. This shall be accomplished using the template described in Clause 3.11.

此外，对于“不可忽略风险”指定，应描述与指标相关的每个风险。这应使用第 3.11 条中描述的模板来完成。

5.7 A precautionary approach shall be applied, and ‘non-negligible risk’ designation shall be assigned, in instances where:

5.7 在以下情况下，应采取预防措施，并指定“不可忽略的风险”：

a) The assessment of indicators 15, 16, and 17 conclude that there is a risk of corruption and fraud in the country/region in question; and

对指标 15、16 和 17 的评估得出结论认为，有关国家/地区存在腐败和欺诈风险；和

b) Little or no evidence can be obtained to indicate that the risk is negligible.

很少或没有证据表明这种风险可以忽略不计。

5.8 When applying precautionary approach, it should be considered whether the assessment of other similar or related indicators of the risk assessment have concluded there is ‘non-negligible risk’.

5.8 应用预防方法时，应考虑对其他类似或相关风险评估指标的评估是否得出“不可忽略的风险”的结论。

5.9 If little or no information can be obtained to assess an indicator, a ‘negligible risk’ designation may be provided if:

5.9 如果很少或没有信息可用于评估指标，则在以下情况下可指定“可忽略风险”：

a) The assessment of indicators 15, 16, and 17 conclude there is a ‘negligible risk’ of corruption and fraud in the country/region in question; and

对指标 15、16 和 17 的评估得出结论，在相关国家/地区存在“可忽略不计的”腐败和欺诈风险；和

b) The country/region in question scores well on international governance indicators regarding the quality of governance (e.g., WB Worldwide Governance Indicators); and

有关国家/地区在治理质量的国际治理指标（如世行全球治理指标）上得分较高；和

- c) The assessment of other similar or related indicators of the risk assessment have also concluded that there is ‘negligible risk’.

对其他类似或相关风险评估指标的评估也得出“可忽略风险”的结论。

5.10 When assessing indicators relating to legal compliance, the aspects below shall be considered:

5.10 在评估与法律合规性相关的指标时，应考虑以下方面：

- a) Differences between national and sub-national legislation, where applicable. If legislation is applicable for the purposes of understanding the risk designation, those legal requirements shall be described.
国家和地方立法之间的差异（如适用）。如果法律适用于理解风险设定，则应描述这些法律要求。
- b) Governance of the sector in the area under assessment, including the administrative capacity to oversee effective implementation of laws and regulations, as well as their enforcement.
评估所涉领域的部门治理，包括监督法律法规有效实施及其执法的行政能力。
- c) Corruption and data and document falsification. When assessing the level of corruption, consultation with experts shall help to evaluate the extent of corruption in the sector, taking into account corruption related to the specific indicator in addition to the findings of indicators 15, 16, and 17 on corruption and document fraud. Special attention shall be given to the enforcement of laws requiring approval from public bodies, such as permits, concession licenses, custom declarations, etc.
腐败和伪造数据和文件。在评估腐败程度时，征询专家将有助于评估该部门的腐败程度，除了关于腐败和证件欺诈的指标 15、16 和 17 的调查结果之外，还要考虑到与具体指标相关的腐败情况。应特别注意执行需要公共机构批准的法律，如许可证、特许执照、海关申报等。

5.11 如果国家/地区已经有一个经批准的 FSS，风险评估应交叉引用 FSS 中针对被评估国家/地区确定的相关立法。³¹

5.12 Risk designations for the area under assessment shall be compared against the risk designations of risk assessment(s) of similar areas. In case the issues found in the corresponding indicator under comparison are similar but result in a different risk designation, an explanation of the reason for the difference(s) in risk designation shall be provided.

5.12 被评估区域的风险指定应与类似区域风险评估的风险指定进行比较。如果在比较的相应指标中发现的问题相似，但导致不同的风险设定，应提供风险设定差异的原因解释。

NOTE: Examples of characteristics for identifying similar areas include the following: size of the area, type(s) of forests, dominant management characteristics, proximity, type of identified risks, and applicable legislation, among others; ‘relevance’ and ‘similarity’ are expected to be determined on a case-by-case.

³¹ Approved FSS are available at the FSC Document Centre: <https://connect.fsc.org/document-centre>.

注:识别类似区域的特征示例包括:区域大小、森林类型、主要管理特征、邻近程度、已识别风险类型和适用立法等;“相关性”和“相似性”将根据具体情况确定。

6 Establishment of mitigation measures

制定缓解措施

6.1 Where ‘non-negligible risks’ are identified, mitigation measures shall be established which, when implemented, are expected to reduce the risk from ‘non-negligible’ to ‘negligible’, either individually or in combination with other mitigation measures.

6.1 如果确定了“不可忽略的风险”,则应制定缓解措施,这些措施在实施后有望单独或与其他缓解措施结合使用,将风险从“不可忽略”降低到“可忽略”。

NOTE 1: Conflict between indicators requirements and applicable legislation should be dealt with in similar way as per Clause 3.10.

注 1:指标要求和适用法律之间的冲突应按照第 3.10 条的类似方式处理。

注 2: FSC 证书持有人实施标准《FSC-STD-40-005 Requirements for Sourcing FSC Controlled Wood》应参考本标准了解风险缓解的附加要求。

6.2 Mitigation measures shall be provided for each identified risk which contain the following information:

6.2 应为每个已识别的风险提供缓解措施,包括以下信息:

- a) Classification of the ‘type of verifier’ (e.g., document verification, stakeholder consultation, field visit). Often, multiple types of verification may be needed to effectively mitigate a risk. Examples of verifiers include relevant document(s) to collect and verify, stakeholders to consult (among others needed to address the risks); and
- b) “验证者类型”的分类(如文件验证、利益相关者征询、实地考察)。通常,可能需要多种类型的验证来有效降低风险。验证者的示例包括要收集和验证的相关文件、要征询的利益相关者(以及应对风险所需的其他人员);和
- c) Clear guidance on what information shall be reviewed and the actions suggested to address the identified risk(s).
关于应审查哪些信息以及针对已识别风险建议采取哪些措施的明确指导。

NOTE: ‘Means of verification’ indicates how the organisation implementing mitigation measures can demonstrate that a mitigation measure is adequate, assess its effectiveness, or both. Such evidence may include records, documents, maps, site visits and interviews.

注:“验证方法”表明实施缓解措施的组织如何证明缓解措施是充分的,评估其有效性或两者兼而有之。此类证据可能包括记录、文件、地图、现场考察和访谈。

6.3 Mitigation measures shall be established according to each risk and source type identified, where applicable.

6.3 适用时,应根据识别的每种风险和来源类型制定缓解措施。

第三部分:指标具体要求

This section provides indicator specific requirements in addition to requirements listed in Part II.

除了第二部分中列出的要求外，本节还提供了指标的具体要求。

7 High Conservation Values (HCVs)

高保护价值

7.1 The requirements under this section are relevant for the assessment of indicators 70, 71, 72, 73, 74, and 75, as provided in Table 1 (below).

7.1 本节的要求与评估指标 70、71、72、73、74 和 75 相关，如以下表 1 所示。

7.2 The scope of the assessment of HCVs includes:

7.2 HCV 的评估范围包括:

- a) The assessment of HCV presence; and
- b) HCV 存在的评估; 和
- c) The assessment of threats to HCVs caused by management activities, including harvesting or production which occurs outside the scope of a formal management process.
- d) 评估管理活动对 HCV 造成的威胁，包括在正式管理流程范围之外进行的采伐或生产。

NOTE: The use of the Common guidance for the identification of High Conservation Values for the assessment of HCV presence is recommended.

注意:使用 Common guidance for the identification of High Conservation Values 建议评估 HCV 的存在。

7.3 The following HCVs shall be assessed regarding the risk of being threatened by management activities:

7.3 应评估以下 HCV 受管理活动威胁的风险:

- a) HCV 1—Species diversity. Concentrations of biological diversity including endemic species, and rare, threatened or endangered species that are significant³² at global, regional³³ or national levels.
HCV1—物种多样性。生物多样性的集中，包括特有物种和重要的稀有、受威胁或濒危物种³⁴在全球、区域³⁵或者国家层面。
- b) HCV 2—Landscape-level ecosystems and mosaics. Intact forest landscapes and large landscape-level ecosystems and ecosystem mosaics that are significant at global, regional or national levels, and that contain viable populations of the great majority of the naturally occurring species in natural patterns of distribution and abundance.
HCV 2—景观级生态系统和镶嵌。在全球、区域或国家层面具有重要意义的完整森林景观和大型景观级生态系统和生态系统多样性，其中包含绝大多数天然物种在自然分布和丰度模式下的可存活种群。
- c) HCV 3—Ecosystems and habitats. Rare, threatened, or endangered ecosystems, habitats or refugia.
HCV 3—生态系统和栖息地。稀有、受威胁或濒危的生态系统、栖息地或避难所。
- d) HCV 4—Critical ecosystem services. Basic ecosystem services in critical situations, including the protection of water catchments and control of erosion of vulnerable soils and slopes.
HCV 4—关键生态系统服务。危急情况下的基本生态系统服务，包括保护集水区和控制脆弱土壤和斜坡的侵蚀。
- e) HCV 5—Community needs. Sites and resources fundamental for satisfying the basic necessities of local communities or Indigenous Peoples (e.g., for livelihoods, health, nutrition, water, etc.), identified through engagement with these communities or Indigenous Peoples.
HCV 5—社区需求。满足当地社区或土著人民基本需求的基本场所和资源（如生计、健康、营养、水等）。），通过与这些社区或土著人民的接触确定。

³² For interpretation of 'Significant values', please refer to Common Guidance for the Identification of High Conservation Values. Significance of values may also be assigned by FSC Forest Stewardship Standards.

³³ The context for 'regional' in assessing this value should be ecological in nature. In large countries like the United States of America, Australia, Russia, Canada, and Brazil (for example), there will be many ecological regions. Conversely, in a small European country, forests may form a small part of a larger ecosystem which crosses national boundaries. Risk assessments should be informed by the status of values that cross national boundaries, using the precautionary approach, even when the risk assessment does not cover more than one country. Where a value might be common at a national level, if the country contains the only or most examples of the value that was once geographically much more widespread, then the value will meet the threshold for HCV 1. Example: Most of the to medium- to large-weight mammals associated with European natural forest ecosystems can be found in the forests of Belarus; however, most of these are extinct in the rest of Europe, making the forest of Belarus particularly important for these HCV values.

³⁴ For interpretation of 'Significant values', please refer to Common Guidance for the Identification of High Conservation Values. Significance of values may also be assigned by FSC Forest Stewardship Standards.

³⁵ The context for 'regional' in assessing this value should be ecological in nature. In large countries like the United States of America, Australia, Russia, Canada, and Brazil (for example), there will be many ecological regions. Conversely, in a small European country, forests may form a small part of a larger ecosystem which crosses national boundaries. Risk assessments should be informed by the status of values that cross national boundaries, using the precautionary approach, even when the risk assessment does not cover more than one country. Where a value might be common at a national level, if the country contains the only or most examples of the value that was once geographically much more widespread, then the value will meet the threshold for HCV 1. Example: Most of the to medium- to large-weight mammals associated with European natural forest ecosystems can be found in the forests of Belarus; however, most of these are extinct in the rest of Europe, making the forest of Belarus particularly important for these HCV values.

- f) HCV 6—Cultural values. Sites, resources, habitats and landscapes of global or national cultural, archaeological or historical significance, and/or of critical cultural, ecological, economic or religious/sacred importance for the traditional cultures of local communities or Indigenous Peoples, identified through engagement with these local communities or Indigenous Peoples.

HCV 6-文化价值观。通过与当地社区或土著人民接触而确定的具有全球或国家文化、考古或历史意义和/或对当地社区或土著人民的传统文化具有重要文化、生态、经济或宗教/神圣意义的遗址、资源、栖息地和景观。

NOTE: Identification of HCVs 5 and 6 requires engagement of local communities and Indigenous Peoples. For the scope of the risk assessment, consultation on the risk assessment process conducted according to section 4 under ‘Process requirements for developing and revising risk assessments’ and/or any targeted consultation conducted with the right holders and/or experts during the risk assessment process is considered sufficient when identifying HCVs 5 and 6.

注:HCVs 5 和 HCV 6 的识别需要当地社区和土著人民的参与。对于风险评估的范围,在识别 HCVs 5 和 HCV 6 时,根据第 4 节“制定和修订风险评估的流程要求”进行的风险评估流程征询和/或在风险评估流程中与权利持有人和/或专家进行的任何有针对性的征询被认为是足够的。

7.4 ‘Threat’ in the context of HCVs refers to common management activities that cause or may cause loss or degradation of HCVs.

7.4 HCV 环境中的“威胁”是指导致或可能导致 HCV 丢失或降解的常见管理活动。

NOTE 1: The risk assessment may include other threats specific to national and/or regional conditions.

注 1:风险评估可能包括针对国家和/或区域条件的其他威胁。

NOTE 2: While assessing existing threats to HCVs, information as specified in indicator 9.2.1 of <FSC-STD-60-004 International Generic Indicators> may be used.

注 2:在评估 HCV 的现有威胁时,《FSC-STD-60-004 International Generic Indicators》可以使用。

7.4.1 The following threats shall be considered for HCV1:

7.4.1 对于 HCV1,应考虑以下威胁:

- a) Habitat removal;
栖息地迁移;
- b) Habitat fragmentation; and the
栖息地破碎化; 和
- c) Introduction of alien/invasive species.
引进外来/入侵物种。

7.4.2 The following threats shall be considered for HCV2:

7.4.2 对于 HCV2,应考虑以下威胁:

- a) Fragmentation, including access (roading); and
碎片化,包括通道(道路); 和

- b) Commercial logging, or logging for the primary purpose of wood production (this applies only to IFLs.)

商业伐木或以木材生产为主要目的的伐木（仅适用于 IFLs。）

7.4.3 The following threat shall be considered for HCV3:

7.4.3 对于 HCV3，应考虑以下威胁:

- a) Lack of effective protection of HCV 3.

缺乏对 HCV3 的有效保护。

7.4.4 The following threats shall be considered for HCV4:

7.4.4 对于 HCV4，应考虑以下威胁:

- a) Reduction of water quality/quantity, and
水质/水量下降，以及
- b) Negative impacts on human health (e.g., poisoning water, etc.).
对人类健康的负面影响（例如，污染水源等）。).

7.4.5 The following threat(s) shall be considered for HCV5:

7.4.5 对于 HCV，应考虑以下威胁:

- a) The compromising (impacting) of fundamental needs of Indigenous Peoples, Traditional Peoples, and local communities by management activities.
管理活动损害（影响）土著人民、传统人民和当地社区的基本需求。

7.4.6 The following threat(s) shall be considered for HCV6:

7.4.6 对于 HCV，应考虑以下威胁:

- a) Destruction and/or disturbance of rights or values determining HCV 6.
破坏和/或干扰决定 HCV 6 的权利或价值。

7.5 FSC-approved HCV frameworks (or parts thereof) that have previously been developed as part of the development of a FSS shall be used as a primary source of information in the risk assessment, provided they meet the requirements of this document.

7.5 FSC 批准的 HCV 框架（或其部分）先前已作为 FSS 开发的一部分进行开发，应作为风险评估的主要信息来源，前提是它们满足本文件的要求。

7.6 Best available information to be used for the identification of HCV presence and assessment of threats to HCVs includes, but is not limited to:

7.6 用于识别 HCV 存在和评估 HCV 威胁的最佳可用信息包括但不限于:

- a) Available HCV surveys conducted in the area under assessment;
在评估地区进行的现有丙肝病毒调查;
- b) Consultation with relevant databases and maps; and
查阅相关数据库和地图; 和
- c) Consultation with relevant local and regional experts.
征询当地和区域相关专家。

NOTE: The precautionary approach applies in the absence of best available information (or the lack of any available information).

注:预防方法适用于缺乏最佳可得信息（或缺乏任何可得信息）的情况。

7.7 Existing nature protection schemes implemented in the country/area under assessment shall be recognized and evaluated in terms of potential usefulness for HCV identification and protection (c.f. Clause 7.10.a).

7.7 应根据 HCV 识别和保护的潜在用途对评估国家/地区实施的现有自然保护计划进行认可和评估（参见第 7.10.a 条）。

7.8 Spatial data documenting HCV presence shall be used whenever possible. Data meeting internationally recognized spatial standards (e.g., Open Geospatial Consortium standards) shall be prioritized.

7.8 应尽可能使用记录 HCV 存在的空间数据。应优先考虑符合国际公认空间标准（如开放地理空间联盟标准）的数据。

NOTE: Forest district maps, concession maps, land cover maps, administrative sub-units, and similar may be very helpful by informing data layers in addition to data that relates directly to the HCVs.

注:林区地图、特许地图、土地覆盖地图、行政子单位等可能非常有帮助，因为除了与 HCV 直接相关的数据之外，还可以为数据层提供信息。

7.9 地图定义的所有完整森林景观（IFL）<http://intactforests.org> 应被视为 HCV2 型。然而，也可以使用其他形式的最佳可得信息来更新 IFL 边界，如历史采伐文件、现有的 FSS 框架、地图以及独立组织、科学家和专家提供的外部数据。

7.10 When assessing risk thresholds for HCVs, the following shall be considered and utilized where relevant:

7.10 评估 HCV 的风险阈值时，应考虑并利用以下相关信息：

- a) In areas where HCVs are protected by country or regional nature protection schemes, the effectiveness of the implementation of those protection schemes shall be assessed. This shall include governance assessment and sufficiency of HCV protection;
在 HCV 受到国家或区域自然保护计划保护的地区，应评估实施这些保护计划的有效性。这应包括治理评估和 HCV 保护的充分性；

NOTE 1: Protection schemes may include, for instance, a system of protected areas or international protection programs (e.g., National Parks, Natura 2000). The existence of network protection schemes on their own does not justify a ‘negligible risk’ designation. Only effective protection schemes assessed as appropriate for risk mitigation may justify a ‘negligible risk’ designation.

注 1:保护计划可能包括，例如，保护区系统或国际保护计划（如国家公园、自然 2000）。网络保护方案本身的存在并不能证明“可忽略风险”的指定是合理的。只有被评估为适合风险缓解的有效保护方案才可以证明“可忽略风险”的指定是合理的。

NOTE 2: The assessment of indicators on legal compliance (as described in Table 1) can be used when assessing governance of HCV protection.

注 2:在评估丙肝病毒保护的治理时，可以使用对法律合规性指标的评估（如表 1 所述）。

- b) In cases where there is ongoing external regional/national consultation on specific issues related to HCVs that affect risk designation, the outcomes of such processes shall be considered, applying the precautionary approach; and
如果正在就影响风险认定的 HCV 相关具体问题进行外部区域/国家征询，应采用预防方法考虑此类进程的结果；和
- c) In areas where there is forest conversion and degradation.
在森林转化和退化的地区。

8 Forest conversion and degradation

森林转化和退化

- 8.1 The requirements under this section are relevant for the assessment of indicators 68 and 69, as provided in Table 1 (below).
- 8.1 本节下的要求与评估指标 68 和 69 相关，如表 1 所示（见下文）。
- 8.2 When assessing risk thresholds for forest conversion and degradation, the following aspects shall be considered:
- 8.2 在评估森林转化和退化的风险阈值时，应考虑以下方面：
 - a) Extent and impact of activities responsible for endangering forest cover. Such activities include legal structures, agriculture, pasture for grazing;
危及森林覆盖的活动的程度和影响。这些活动包括法律结构、农业、牧场；
 - b) Spatial data meeting internationally recognized spatial standards and documenting forest conversion and degradation shall be used whenever possible;
应尽可能使用符合国际公认空间标准并记录森林转化和退化的空间数据；
 - c) The use of spatial data for risk assessment should be supported by other data types whenever possible; and
使用空间数据进行风险评估应尽可能得到其他数据类型的支持；和
NOTE: Other data types may include, but are not limited to, land change registries, statistics, or management plans.
注:其他数据类型可能包括但不限于土地变更登记、统计数据或管理计划。
 - d) Governance assessment in areas where conversion of natural forest is prohibited by law. This may include an assessment of the overall effectiveness of the administration (national or sub-national agencies) to ensure the implementation of laws and regulations pertaining to conversion and degradation.
法律禁止天然林转换的地域的治理评估。这可能包括评估行政部门（国家或地方机构）的总体有效性，以确保执行与转化和降解有关的法律和法规。
- 8.3 When assessing thresholds for conversion, the following aspects shall *not* be considered:

8.3 评估转换阈值时，不应考虑以下方面：

- a) Legal road construction to support forestry operations;
支持林业运营的合法道路建设；
- b) Infrastructure development to support forestry operations; and
支持林业运营的基础设施发展；和
- c) Logging landings.
伐木量

8.4 Considering the provisions of <FSC-POL-01-007 Policy to Address Conversion> the precautionary approach shall be applied for the assessment of indicator 68; thus, a 'non-negligible' risk designation shall be concluded, subject to 8.5.

8.4 考虑到《FSC-POL-01-007 Policy to Address Conversion》应采用预防性方法评估指标 68；因此，应根据 8.5 得出“不可忽略”风险的结论。

8.5 如果风险评估是通过平衡过程进行的（遵循《FSC-PRO-60-006 The Development and Revision of FSC Country Requirements》，工作组（WG）可以将某个区域指定为“可忽略风险”，前提是他们能够通过数据证明自 2020 年 12 月 31 日以来，评估区域内未发生适用的转换。

9 Genetically Modified Organisms (GMO)

转基因生物

9.1 The requirements under this section are relevant for the assessment of indicator 76, as provided in Table 1 (below).

9.1 本节下的要求与指标 76 的评估相关，如表 1 所示（见下文）。

9.2 When assessing the 'non-negligible' risk thresholds on the use of GMO (trees), the following aspects shall be considered:

9.2 在评估使用转基因生物（树木）的“不可忽略”风险阈值时，应考虑以下方面：

- a) 在允许转基因生物（树木）用于商业种植的地区，控制转基因生物使用的系统³⁶应进行评估。通过官方文件确定转基因作物种植园的能力是确定风险和实施控制措施的一个重要因素。
- b) In countries or areas with poor or unclear governance on GMOs, the risk assessment should focus on the presence of GMO (trees) in plantations and/or forests.
- c) 在转基因生物治理不良或不明确的国家或地区，风险评估应侧重于转基因生物（树木）在种植园和/或森林中的存在。

NOTE: The risk in relation to GMO (trees) is usually species-specific. Examples of species that have been used to develop GMO (tree) species include American chestnut (*Castanea dentata*), Elm

³⁶ A Genetically Modified Organism (GMO) is an organism in which the genetic material has been altered in such a way that does not occur naturally by mating and/or natural re-combination.

(*Elmerrillia sp.*), Eucalyptus (*Eucalyptus sp.*), Pinelia (*Pinelia sp.*), Poplar (*Populus sp.*), Silver Birch (*Betula pendula*), Spruce (*Picea sp.*) and Walnut (*Juglans sp.*).

注:与转基因生物(树木)相关的风险通常因物种而异。已经用于发展转基因(树木)物种的例子包括美国栗(栗树、榆树、桉树(桉树属)、松萝(松萝属、杨树)、白桦(白桦)、云杉(云杉属)和核桃(胡桃属)。

PART IV: INDICATORS FOR RISK ASSESSMENTS

第四部分:风险评估指标

Explanatory note for consultation:

征询说明:

This section contains a set of indicators for cross-scheme risk assessments. Table 1 contains the list of indicators to be included in the set of indicators, developed based on current FSC CW risk assessment indicators and indicators from the Preferred by Nature (PBN) Sustainability Framework.

本节包含一组用于跨计划风险评估的指标。表 1 载有将纳入该套指标的指标清单,该套指标是根据目前的 FSC 受控木材(CW)风险评估指标和来自自然(PBN)可持续性框架的指标制定的。

It is important to highlight that in the context of the Risk Information Alliance (RIA), the set of indicators that are or could be applicable to other organizations is still under discussion. Nevertheless, under the current proposal, only indicators numbered 1 until 76 are applicable for FSC certification. In case other indicators are added and include requirements which go beyond those applicable to FSC, they will be marked as 'not applicable' to FSC certification, but will still be part of the joint framework and will have to be assessed during the development/revision of country/regional risk assessments.

必须强调的是,在风险信息联盟的背景下,适用于或可能适用于其他组织的一套指标仍在讨论之中。然而,根据目前的建议,只有编号为 1 至 76 的指标适用于 FSC 认证。如果增加了其他指标,并且包括适用于 FSC 以外的要求,则这些指标将被标记为“不适用于”FSC 认证,但仍将是联合框架的一部分,并且必须在制定/修订国家/地区风险评估期间进行评估。

Table 1. Risk assessment indicators. (中文表格见此表下方)

No.	Indicator	Non-negligible risk thresholds
Land use and management		
1	<i>Land tenure rights are secured and registered according to legal requirements.</i>	<ol style="list-style-type: none">1. Identified laws are not consistently upheld by all entities, are often ignored, are not enforced by relevant authorities, or any combination thereof;2. Violations of identified laws are not efficiently followed up on by the relevant entities;

		3. Violations of identified laws are not followed up by preventive actions taken by the relevant entities.
2	<i>Land management rights are in place and registered according to legal requirements.</i>	<ol style="list-style-type: none"> 1. Identified laws are not consistently upheld by all entities, are often ignored, are not enforced by relevant authorities, or any combination thereof; 2. Violations of identified laws are not efficiently followed up on by the relevant entities; 3. Violations of identified laws are not followed up by preventive actions taken by the relevant entities.
3	<i>Forest concession licenses are in place and are issued and registered according to legal requirements.</i>	<ol style="list-style-type: none"> 1. Identified laws are not consistently upheld by all entities, are often ignored, are not enforced by relevant authorities, or any combination thereof; 2. Violations of identified laws are not efficiently followed up on by the relevant entities; 3. Violations of identified laws are not followed up by preventive actions taken by the relevant entities.
4	<i>Harvesting permits are in place and are issued and registered according to legal requirements.</i>	<ol style="list-style-type: none"> 1. Identified laws are not consistently upheld by all entities, are often ignored, are not enforced by relevant authorities, or any combination thereof; 2. Violations of identified laws are not efficiently followed up on by the relevant entities; 3. Violations of identified laws are not followed up by preventive actions taken by the relevant entities.
5	<i>Land tenure and management rights are obtained through a process that ensures that Free Prior Informed Consent (FPIC) is secured before any activities are commenced that may affect Indigenous Peoples' or local communities' lands, territories, and resources.</i>	<ol style="list-style-type: none"> 1. Applicable legislation for the area under assessment covers the requirements under this indicator, but the risk assessment for indicators 1, 2, 3 and 4 confirms a designation of 'non-negligible risk'; 2. Applicable legislation for the area under assessment covers the requirements under this indicator, but any of the following are true: <ul style="list-style-type: none"> • Evidence of their implementation does not exist. • Evidence indicates systematic violation of requirements. • When laws are broken, cases are not efficiently followed up on by relevant entities.

		<ul style="list-style-type: none"> • When laws are broken, causes are not addressed through the implementation of preventive actions by relevant entities. <ol style="list-style-type: none"> 3. The applicable legislation for the area contradicts indicator requirement(s); 4. Evidence indicates that requirements under this indicator are not upheld.
6	<i>In case of ongoing land tenure or management right disputes, these are managed through a culturally appropriate and transparent process, agreed upon by the affected parties.</i>	<ol style="list-style-type: none"> 1. Applicable legislation for the area under assessment covers the requirements specified by this indicator, but the risk assessment for indicators 1, 2, 3 and 4 confirms a designation of 'non-negligible risk'; 2. Applicable legislation for the area under assessment covers the requirements under this indicator, but any of the following are true: <ul style="list-style-type: none"> • Evidence of their implementation does not exist. • Evidence indicates systematic violation of requirements. • When laws are broken, cases are not efficiently followed up on by relevant entities. • When laws are broken, cases are not addressed through the implementation of preventive actions by relevant entities. 3. The applicable legislation for the area contradicts indicator requirement(s); 4. Evidence indicates that requirements under this indicator are not upheld.
7	<i>Legal requirements for land-use and management planning are complied with.</i>	<ol style="list-style-type: none"> 1. Identified laws are not consistently upheld by all entities, are often ignored, are not enforced by relevant authorities, or any combination thereof; 2. Violations of identified laws are not efficiently followed up on by the relevant entities; 3. Violations of identified laws are not followed up by preventive actions taken by the relevant entities.
8	<i>Legal requirements for management and operational activities are complied with.</i>	<ol style="list-style-type: none"> 1. Identified laws are not consistently upheld by all entities, are often ignored, are not enforced by relevant authorities, or any combination thereof; 2. Violations of identified laws are not efficiently followed up on by the relevant entities; 3. Violations of identified laws are not followed up by preventive actions taken by the relevant entities.

9	<i>Legal harvesting or production requirements are complied with.</i>	<ol style="list-style-type: none"> 1. Identified laws are not consistently upheld by all entities, are often ignored, are not enforced by relevant authorities, or any combination thereof; 2. Violations of identified laws are not efficiently followed up on by the relevant entities; 3. Violations of identified laws are not followed up by preventive actions taken by the relevant entities.
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10	<i>Legal requirements related to the disclosure of information are complied with.</i>	<ol style="list-style-type: none"> 1. Identified laws are not consistently upheld by all entities, are often ignored, are not enforced by relevant authorities, or any combination thereof; 2. Violations of identified laws are not efficiently followed up on by the relevant entities; 3. Violations of identified laws are not followed up by preventive actions taken by the relevant entities.
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Taxes and fees

11	<i>Legal requirements for payment of royalties, land/area taxes and fees are complied with.</i>	<ol style="list-style-type: none"> 1. Identified laws are not consistently upheld by all entities, are often ignored, are not enforced by relevant authorities, or any combination thereof; 2. Violations of identified laws are not efficiently followed up on by the relevant entities; 3. Violations of identified laws are not followed up by preventive actions taken by the relevant entities.
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12	<i>Legal requirements for payment of value-added taxes and/or other sales taxes are complied with.</i>	<ol style="list-style-type: none"> 1. Identified laws are not consistently upheld by all entities, are often ignored, are not enforced by relevant authorities, or any combination thereof; 2. Violations of identified laws are not efficiently followed up on by the relevant entities; 3. Violations of identified laws are not followed up by preventive actions taken by the relevant entities.
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13	<i>Legal requirements for payment of corporate taxes are complied with, including profit taxes.</i>	<ol style="list-style-type: none"> 1. Identified laws are not consistently upheld by all entities, are often ignored, are not enforced by relevant authorities, or any combination thereof; 2. Violations of identified laws are not efficiently followed up on by the relevant entities; 3. Violations of identified laws are not followed up by preventive actions taken by the relevant entities.
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| 14 <i>Legal requirements for payment of trade and/or export taxes and fees are complied with.</i> | <ol style="list-style-type: none">1. Identified laws are not consistently upheld by all entities, are often ignored, are not enforced by relevant authorities, or any combination thereof;2. Violations of identified laws are not efficiently followed up on by the relevant entities;3. Violations of identified laws are not followed up by preventive actions taken by the relevant entities. |
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Corruption and/or document and data falsification

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| 15 <i>Legal requirements related to corruption, including bribery, fraud and conflict of interest, are complied with.</i> | <ol style="list-style-type: none">1. Identified laws are not consistently upheld by all entities, are often ignored, are not enforced by relevant authorities, or any combination thereof;2. Violations of identified laws are not efficiently followed up on by the relevant entities;3. Violations of identified laws are not followed up by preventive actions taken by the relevant entities. |
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| 16 <i>All forms of bribery and corruption are avoided.</i> | <ol style="list-style-type: none">1. Applicable legislation for the area under assessment covers the requirements under this indicator, but the risk assessment for indicator 15 confirms a designation of ‘non-negligible risk’;2. Applicable legislation for the area under assessment covers the requirements under this indicator, but any of the following are true:<ul style="list-style-type: none">• Evidence of their implementation does not exist.• Evidence indicates systematic violation of requirements.• When laws are broken, cases are not efficiently followed up on by relevant entities.• When laws are broken, causes are not addressed through the implementation of preventive actions by relevant entities.3. The applicable legislation for the area contradicts indicator requirement(s);4. Evidence indicates that requirements under this indicator are not upheld. |
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17 <i>Data and document falsification do not occur.</i>	<ol style="list-style-type: none"> 1. Applicable legislation for the area under assessment covers the requirements under this indicator, but the risk assessment for indicator 15 confirms a designation of 'non-negligible risk'; 2. Applicable legislation for the area under assessment covers the requirements under this indicator, but any of the following are true: <ul style="list-style-type: none"> • Evidence of their implementation does not exist. • Evidence indicates systematic violation of requirements. • When laws are broken, cases are not efficiently followed up on by relevant entities. • When laws are broken, causes are not addressed through the implementation of preventive actions by relevant entities. 3. The applicable legislation for the area contradicts indicator requirement(s); 4. Evidence indicates that requirements under this indicator are not upheld.
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Management activities and environmental protection

18 <i>Legal requirements relating to management and harvesting activities in forests, including techniques and technology, are complied with.</i>	<ol style="list-style-type: none"> 1. Identified laws are not consistently upheld by all entities, are often ignored, are not enforced by relevant authorities, or any combination thereof; 2. Violations of identified laws are not efficiently followed up on by the relevant entities; 3. Violations of identified laws are not followed up by preventive actions taken by the relevant entities.
19 <i>Development and maintenance of buildings, infrastructure and activities comply with applicable codes and legal requirements.</i>	<ol style="list-style-type: none"> 1. Identified laws are not consistently upheld by all entities, are often ignored, are not enforced by relevant authorities, or any combination thereof; 2. Violations of identified laws are not efficiently followed up on by the relevant entities; 3. Violations of identified laws are not followed up by preventive actions taken by the relevant entities.
20 <i>Development and maintenance of buildings, infrastructure and activities is done in a way that minimises adverse impacts on human health and the environment.</i>	<ol style="list-style-type: none"> 1. Applicable legislation for the area under assessment covers the requirements under this indicator, but the risk assessment for indicator 19 confirms a designation of 'non-negligible risk'; 2. Applicable legislation for the area under assessment covers the requirements under this indicator, but any of the following are true: <ul style="list-style-type: none"> • Evidence of their implementation does not exist.

		<ul style="list-style-type: none"> • Evidence indicates systematic violation of requirements. • When laws are broken, cases are not efficiently followed up on by relevant entities. • When laws are broken, causes are not addressed through the implementation of preventive actions by relevant entities.
		<ol style="list-style-type: none"> 3. The applicable legislation for the area contradicts indicator requirement(s); 4. Evidence indicates that requirements under this indicator are not upheld.
21	<i>Legal requirements related to biodiversity conservation, protected sites, and the protection of endemic, rare, threatened, or endangered species and their habitats are complied with.</i>	<ol style="list-style-type: none"> 1. Identified laws are not consistently upheld by all entities, are often ignored, are not enforced by relevant authorities, or any combination thereof; 2. Violations of identified laws are not efficiently followed up on by the relevant entities; 3. Violations of identified laws are not followed up by preventive actions taken by the relevant entities.
22	<i>Introducing invasive species is avoided, and already present invasive species are controlled.</i>	<ol style="list-style-type: none"> 1. Applicable legislation for the area under assessment covers the requirements under this indicator, but the risk assessment for indicator 21 confirms a designation of 'non-negligible risk'; 2. Applicable legislation for the area under assessment covers the requirements under this indicator, but any of the following are true: <ul style="list-style-type: none"> • Evidence of their implementation does not exist. • Evidence indicates systematic violation of requirements. • When laws are broken, cases are not efficiently followed up on by relevant entities. • When laws are broken, causes are not addressed through the implementation of preventive actions by relevant entities. 3. The applicable legislation for the area contradicts indicator requirement(s); 4. Evidence indicates that requirements under this indicator are not upheld.

23 <i>Legal requirements relating to the harvesting, collection, and trade of CITES species are complied with.</i>	<ol style="list-style-type: none"> 1. Identified laws are not consistently upheld by all entities, are often ignored, are not enforced by relevant authorities, or any combination thereof; 2. Violations of identified laws are not efficiently followed up on by the relevant entities; 3. Violations of identified laws are not followed up by preventive actions taken by the relevant entities.
24 <i>Legal requirements relating to waste management are complied with.</i>	<ol style="list-style-type: none"> 1. Identified laws are not consistently upheld by all entities, are often ignored, are not enforced by relevant authorities, or any combination thereof; 2. Violations of identified laws are not efficiently followed up on by the relevant entities; 3. Violations of identified laws are not followed up by preventive actions taken by the relevant entities.
25 <i>The volume and negative impacts of waste from activities, including production and processing, are managed and minimised.</i>	<ol style="list-style-type: none"> 1. Applicable legislation for the area under assessment covers the requirements under this indicator, but the risk assessment for indicator 24 confirms a designation of 'non-negligible risk'; 2. Applicable legislation for the area under assessment covers the requirements under this indicator, but any of the following are true: <ul style="list-style-type: none"> • Evidence of their implementation does not exist. • Evidence indicates systematic violation of requirements. • When laws are broken, cases are not efficiently followed up on by relevant entities. • When laws are broken, causes are not addressed through the implementation of preventive actions by relevant entities. 3. The applicable legislation for the area contradicts indicator requirement(s); 4. Evidence indicates that requirements under this indicator are not upheld.
26 <i>Legal requirements on pollution are complied with.</i>	<ol style="list-style-type: none"> 1. Identified laws are not consistently upheld by all entities, are often ignored, are not enforced by relevant authorities, or any combination thereof; 2. Violations of identified laws are not efficiently followed up on by the relevant entities; 3. Violations of identified laws are not followed up by preventive actions taken by the relevant entities.

27 <i>Pollution resulting from production, processing or other activities is controlled and minimised.</i>	<ol style="list-style-type: none"> 1. Applicable legislation for the area under assessment covers the requirements under this indicator but the risk assessment for indicator 26 confirms a designation of 'non-negligible risk'; 2. Applicable legislation for the area under assessment covers the requirements under this indicator, but any of the following are true: <ul style="list-style-type: none"> • Evidence of their implementation does not exist. • Evidence indicates systematic violation of requirements. • When laws are broken, cases are not efficiently followed up on by relevant entities. • When laws are broken, causes are not addressed through the implementation of preventive actions by relevant entities. • The applicable legislation for the area contradicts indicator requirements; 3. Evidence indicates that requirements under this indicator are not upheld.
28 <i>Legal requirements for using and protecting surface and groundwater are complied with.</i>	<ol style="list-style-type: none"> 1. Identified laws are not consistently upheld by all entities, are often ignored, are not enforced by relevant authorities, or any combination thereof; 2. Violations of identified laws are not efficiently followed up on by the relevant entities; 3. Violations of identified laws are not followed up by preventive actions taken by the relevant entities.
29 <i>Water resources are protected and used responsibly to ensure long-term viability.</i>	<ol style="list-style-type: none"> 1. Applicable legislation for the area under assessment covers the requirements under this indicator, but the risk assessment for indicator 28 confirms a designation of 'non-negligible risk'; 2. Applicable legislation for the area under assessment covers the requirements under this indicator, but any of the following are true: <ul style="list-style-type: none"> • Evidence of their implementation does not exist. • Evidence indicates systematic violation of requirements. • When laws are broken, cases are not efficiently followed up on by relevant entities. • When laws are broken, causes are not addressed through the implementation of preventive actions by relevant entities. 3. The applicable legislation for the area contradicts indicator requirement(s);

	4. Evidence indicates that requirements under this indicator are not upheld.
30 <i>Legal requirements related to soil management are complied with.</i>	<ol style="list-style-type: none"> 1. Identified laws are not consistently upheld by all entities, are often ignored, are not enforced by relevant authorities, or any combination thereof; 2. Violations of identified laws are not efficiently followed up on by the relevant entities; 3. Violations of identified laws are not followed up by preventive actions taken by the relevant entities.
31 <i>Physical, chemical and biological attributes of the soil and overall soil health is maintained or improved. Negative impacts on soils are managed and minimised.</i>	<ol style="list-style-type: none"> 1. Applicable legislation for the area under assessment covers the requirements under this indicator, but the risk assessment for indicator 30 confirms a designation of 'non-negligible risk'; 2. Applicable legislation for the area under assessment covers the requirements under this indicator, but any of the following are true: <ul style="list-style-type: none"> • Evidence of their implementation does not exist. • Evidence indicates systematic violation of requirements. • When laws are broken, cases are not efficiently followed up on by relevant entities. • When laws are broken, causes are not addressed through the implementation of preventive actions by relevant entities. 3. The applicable legislation for the area contradicts indicator requirement(s); 4. Evidence indicates that requirements under this indicator are not upheld.
32 <i>Forests and other natural ecosystems are managed in a way that maintains or enhances the functions and services provided by the ecosystem, including related biodiversity and structural complexity.</i>	<ol style="list-style-type: none"> 1. Applicable legislation for the area under assessment covers the requirements under this indicator, but the risk assessment for indicators 18, 21, 23, 24, 26, 28 and 30 confirms a designation of 'non-negligible risk'; 2. Applicable legislation for the area under assessment covers the requirements under this indicator, but any of the following are true: <ul style="list-style-type: none"> • Evidence of their implementation does not exist. • Evidence indicates systematic violation of requirements. • When laws are broken, cases are not efficiently followed up on by relevant entities.

- When laws are broken, causes are not addressed through the implementation of preventive actions by relevant entities.
3. The applicable legislation for the area contradicts indicator requirement(s);
 4. Evidence indicates that requirements under this indicator are not upheld.

Health and safety

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| <p>33 <i>Legal requirements related to workplace health and safety are complied with.</i></p> | <ol style="list-style-type: none"> 1. Identified laws are not consistently upheld by all entities, are often ignored, are not enforced by relevant authorities, or any combination thereof; 2. Violations of identified laws are not efficiently followed up on by the relevant entities; 3. Violations of identified laws are not followed up by preventive actions taken by the relevant entities. |
| <p>34 <i>Facilities and activities are safe and support worker's health, and workers have access to and use appropriate Personal Protective Equipment commensurate with the activities undertaken.</i></p> | <ol style="list-style-type: none"> 1. Applicable legislation for the area under assessment covers the requirements under this indicator but the risk assessment for indicator 33 confirms a designation of 'non-negligible risk'; 2. Applicable legislation for the area under assessment covers the requirements under this indicator, but any of the following are true: <ul style="list-style-type: none"> • Evidence of their implementation does not exist. • Evidence indicates systematic violation of requirements. • When laws are broken, cases are not efficiently followed up on by relevant entities. • When laws are broken, causes are not addressed through the implementation of preventive actions by relevant entities. 3. The applicable legislation for the area contradicts indicator requirement(s); 4. Evidence indicates that requirements under this indicator are not upheld. |
| <p>35 <i>Legal requirements for the use and storage of chemicals are complied with.</i></p> | <ol style="list-style-type: none"> 1. Identified laws are not consistently upheld by all entities, are often ignored, are not enforced by relevant authorities, or any combination thereof; 2. Violations of identified laws are not efficiently followed up on by the relevant entities; |
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		3. Violations of identified laws are not followed up by preventive actions taken by the relevant entities.
36	<i>The use of chemicals is minimised, and any application and storage of chemicals ensure the protection of human health and the minimisation of environmental impacts.</i>	<ol style="list-style-type: none"> 1. Applicable legislation for the area under assessment covers the requirements under this indicator, but the risk assessment for indicator 35 confirms a designation of 'non-negligible risk'; 2. Applicable legislation for the area under assessment covers the requirements under this indicator, but any of the following are true: <ul style="list-style-type: none"> • Evidence of their implementation does not exist. • Evidence indicates systematic violation of requirements. • When laws are broken, cases are not efficiently followed up on by relevant entities. • When laws are broken, causes are not addressed through the implementation of preventive actions by relevant entities. 3. The applicable legislation for the area contradicts indicator requirement(s); 4. Evidence indicates that requirements under this indicator are not upheld.
Human and labour rights		
37	<i>Human rights protected under internal law, as enshrined in national law, are complied with.</i>	<ol style="list-style-type: none"> 1. Identified laws are not consistently upheld by all entities, are often ignored, are not enforced by relevant authorities, or any combination thereof; 2. Violations of identified laws are not efficiently followed up on by the relevant entities; 3. Violations of identified laws are not followed up by preventive actions taken by the relevant entities.
38	<i>Harvest or trade in products do not contribute to a violation of</i>	<ol style="list-style-type: none"> 1. The area is a source of conflict timber³⁷;

³⁷ The links between timber exploitation and conflict are essentially of two broad types: First, revenues from the timber trade may be channeled towards activities that perpetuate conflict, such as the purchase of weapons. Thus, 'conflict timber' is defined as 'timber that has been traded at some point in the chain of custody by armed groups, be they rebel factions or regular soldiers, or by a civilian administration involved in armed conflict or its representatives, either to perpetuate conflict or take advantage of conflict situations for personal gain. Conflict timber is not necessarily illegal' (Global Witness 2002, cited in Le Billon 2003).

Second, the exploitation of timber may itself be a direct cause of conflict (Thomson and Kanaan 2003). This may be because of disputes over, for example, ownership of forest resources, the distribution of benefits, local environmental degradation, or social conflicts caused by immigration of timber workers. In some countries, especially when other sources of income are lacking, there is little attempt to ensure that timber production is sustainable or socially responsible (Source: UNEP, Africa Environment Outlook:

<i>international human rights or is not associated with armed conflicts.</i>	<ol style="list-style-type: none"> 2. The area is covered by a UN security ban on exporting timber; 3. The area is covered by any other international ban on timber export; 4. Operators in the area are involved in the supply or trade of conflict timber (identified entities should be specified whenever possible while maintaining compliance with the law); 5. Individuals or entities in the forest sector are facing UN sanctions.
39 <i>Legal requirements related to child labour and employment of young workers are complied with.</i>	<ol style="list-style-type: none"> 1. Identified laws are not consistently upheld by all entities, are often ignored, are not enforced by relevant authorities, or any combination thereof; 2. Violations of identified laws are not efficiently followed up on by the relevant entities; 3. Violations of identified laws are not followed up by preventive actions taken by the relevant entities.
40 <i>Child labour is not present, and the employment of young workers is responsibly managed, including related rights as specified in the ILO Fundamental Principles and Rights at Work.</i>	<ol style="list-style-type: none"> 1. Applicable legislation for the area under assessment covers all ILO Fundamental Principles and Rights at Work, but the risk assessment for indicator 39 confirms a designation of 'non-negligible risk'; 2. Applicable legislation for the area under assessment covers all ILO Fundamental Principles and Rights at Work, but any of the following are true: <ul style="list-style-type: none"> • Evidence of their implementation does not exist. • Evidence indicates systematic violation of rights. • When labour laws are broken, cases are not efficiently followed up on by relevant entities. • When labour laws are broken, causes are not addressed through the implementation of preventive actions by relevant entities. 3. There is substantial evidence of widespread violation of the ILO Fundamental Principles and Rights at Work; 4. The applicable legislation for the area contradicts indicator requirement(s); 5. Evidence indicates that labour rights against child labour are not upheld.

<https://www.unep.org/resources/report/africa-environment-outlook-2-our-environment-our-wealth>). Such cases, however, are assessed by other indicators covering requirements based on ILO provisions; thus, they are not in the scope of indicator 38.

41 <i>Legal requirements related to modern slavery, including forced and compulsory labour, are complied with.</i>	<ol style="list-style-type: none"> 1. Identified laws are not consistently upheld by all entities, are often ignored, are not enforced by relevant authorities, or any combination thereof; 2. Violations of identified laws are not efficiently followed up on by the relevant entities; 3. Violations of identified laws are not followed up by preventive actions taken by the relevant entities.
42 <i>Modern slavery, including forced and compulsory labour are not used, promoted, or supported in any way, including as specified in the ILO Fundamental Principles and Rights at Work.</i>	<ol style="list-style-type: none"> 1. Applicable legislation for the area under assessment covers all ILO Fundamental Principles and Rights at Work, but the risk assessment for indicator 41 confirms a designation of 'non-negligible risk'; 2. Applicable legislation for the area under assessment covers all ILO Fundamental Principles and Rights at Work, but any of the following are true: <ul style="list-style-type: none"> • Evidence of their implementation does not exist. • Evidence indicates systematic violation of rights. • When labour laws are broken, cases are not efficiently followed up on by relevant entities. • When labour laws are broken, causes are not addressed through the implementation of preventive actions by relevant entities. 3. There is substantial evidence of widespread violation of the ILO Fundamental Principles and Rights at Work; 4. The applicable legislation for the area contradicts indicator requirement(s); 5. Evidence indicates that labour rights against modern slavery, including forced and compulsory labour are not upheld.
43 <i>Legal requirements related to the Freedom of Association, the Right to Organise and the Right to Collective Bargaining are complied with.</i>	<ol style="list-style-type: none"> 1. Identified laws are not consistently upheld by all entities, are often ignored, are not enforced by relevant authorities, or any combination thereof; 2. Violations of identified laws are not efficiently followed up on by the relevant entities; 3. Violations of identified laws are not followed up by preventive actions taken by the relevant entities.
44 <i>Labour rights related to the Freedom of Association, the Right to Organise and the Right to Collective</i>	<ol style="list-style-type: none"> 1. Applicable legislation for the area under assessment covers all ILO Fundamental Principles and Rights at Work but the risk assessment for

<p><i>Bargaining are respected, including as specified in the ILO Fundamental Principles and Rights at Work.</i></p>	<p>indicator 43 confirms a designation of ‘non-negligible risk’;</p> <ol style="list-style-type: none"> Applicable legislation for the area under assessment covers all ILO Fundamental Principles and Rights at Work, but any of the following are true: <ul style="list-style-type: none"> Evidence of their implementation does not exist. Evidence indicates systematic violation of rights. When labour laws are broken, cases are not efficiently followed up on by relevant entities. When labour laws are broken, causes are not addressed through the implementation of preventive actions by relevant entities. There is substantial evidence of widespread violation of the ILO Fundamental Principles and Rights at Work; The applicable legislation for the area contradicts indicator requirement(s); Evidence indicates that labour rights related to the Freedom of Association, the Right to Organise and the Right to Collective Bargaining are not upheld.
<p>45 <i>Legal requirements related to the recruitment and employment of workers are complied with.</i></p>	<ol style="list-style-type: none"> Identified laws are not consistently upheld by all entities, are often ignored, are not enforced by relevant authorities, or any combination thereof; Violations of identified laws are not efficiently followed up on by the relevant entities; Violations of identified laws are not followed up by preventive actions taken by the relevant entities.
<p>46 <i>Legal requirements related to the contracts and working permits, and requirements for competence certifications and other training requirements are complied with.</i></p>	<ol style="list-style-type: none"> Identified laws are not consistently upheld by all entities, are often ignored, are not enforced by relevant authorities, or any combination thereof; Violations of identified laws are not efficiently followed up on by the relevant entities; Violations of identified laws are not followed up by preventive actions taken by the relevant entities.
<p>47 <i>Legal requirements related to workers’ wages and other payments, such as social insurance contributions and the payment of social and income taxes withheld by the employer on behalf of the worker, are complied with.</i></p>	<ol style="list-style-type: none"> Identified laws are not consistently upheld by all entities, are often ignored, are not enforced by relevant authorities, or any combination thereof; Violations of identified laws are not efficiently followed up on by the relevant entities; Violations of identified laws are not followed up by preventive actions taken by the relevant entities.

48 <i>Legal requirements related to working hours, overtime, rest time and time off are complied with.</i>	<ol style="list-style-type: none"> 1. Identified laws are not consistently upheld by all entities, are often ignored, are not enforced by relevant authorities, or any combination thereof; 2. Violations of identified laws are not efficiently followed up on by the relevant entities; 3. Violations of identified laws are not followed up by preventive actions taken by the relevant entities.
49 <i>Labour rights related to recruitment and employment, contracts, training, workers' wages and other payments, working hours, overtime, rest time and time off are upheld, including as specified in the ILO Fundamental Principles and Rights at Work are upheld.</i>	<ol style="list-style-type: none"> 1. Applicable legislation for the area under assessment covers all ILO Fundamental Principles and Rights at Work, but the risk assessment for indicators 45, 46, 47, and 48 confirm a designation of 'non-negligible risk'; 2. Applicable legislation for the area under assessment covers all ILO Fundamental Principles and Rights at Work, but any of the following are true: <ul style="list-style-type: none"> • Evidence of their implementation does not exist. • Evidence indicates systematic violation of rights. • When labour laws are broken, cases are not efficiently followed up on by relevant entities. • When labour laws are broken, causes are not addressed through the implementation of preventive actions by relevant entities. 3. There is substantial evidence of widespread violation of the ILO Fundamental Principles and Rights at Work; 4. The applicable legislation for the area contradicts indicator requirement(s); 5. Evidence indicates that labour rights related to employment, working hours, overtime, rest time and time off are not upheld.
50 <i>Legal requirements related to discrimination against workers are complied with.</i>	<ol style="list-style-type: none"> 1. Identified laws are not consistently upheld by all entities, are often ignored, are not enforced by relevant authorities, or any combination thereof; 2. Violations of identified laws are not efficiently followed up on by the relevant entities; 3. Violations of identified laws are not followed up by preventive actions taken by the relevant entities.
51 <i>There is no discrimination against workers in processes related to hiring, remuneration and access to</i>	<ol style="list-style-type: none"> 1. Applicable legislation for the area under assessment covers all ILO Fundamental Principles and Rights at Work but the risk assessment for

training, promotion, termination, or retirement, including related rights as specified in the ILO Fundamental Principles and Rights at Work.

2. Applicable legislation for the area under assessment covers all ILO Fundamental Principles and Rights at Work, but any of the following are true:
- Evidence of their implementation does not exist.
 - Evidence indicates systematic violation of rights.
 - When labour laws are broken, cases are not efficiently followed up on by relevant entities.
 - When labour laws are broken, causes are not addressed through the implementation of preventive actions by relevant entities.
3. There is substantial evidence of widespread violation of the ILO Fundamental Principles and Rights at Work;
4. The applicable legislation for the area contradicts indicator requirement(s);
5. Evidence indicates that labour rights related to discrimination against workers are not upheld.

52 *Legal requirements related to gender equality in the workplace are complied with.*

1. Identified laws are not consistently upheld by all entities, are often ignored, are not enforced by relevant authorities, or any combination thereof;
2. Violations of identified laws are not efficiently followed up on by the relevant entities;
3. Violations of identified laws are not followed up by preventive actions taken by the relevant entities.

53 *Gender equality is protected following best practices, including ensuring availability of job opportunities, equal remuneration for work of equal value and sufficient maternity and paternity leave, and other related rights as specified in the ILO Fundamental Principles and Rights at Work.*

1. Applicable legislation for the area under assessment covers all ILO Fundamental Principles and Rights at Work, but the risk assessment for indicator 52 confirms a designation of 'non-negligible risk';
2. Applicable legislation for the area under assessment covers all ILO Fundamental Principles and Rights at Work, but any of the following are true:
- Evidence of their implementation does not exist.
 - Evidence indicates systematic violation of rights.
 - When labour laws are broken, cases are not efficiently followed up on by relevant entities.
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	<ul style="list-style-type: none"> When labour laws are broken, causes are not addressed through the implementation of preventive actions by relevant entities.
	<ol style="list-style-type: none"> There is substantial evidence of widespread violation of the ILO Fundamental Principles and Rights at Work; The applicable legislation for the area contradicts indicator requirement(s); Evidence indicates that labour rights related to gender equality are not upheld.
54	<p><i>Legal requirements for employer-provided worker accommodation are complied with.</i></p> <ol style="list-style-type: none"> Identified laws are not consistently upheld by all entities, are often ignored, are not enforced by relevant authorities, or any combination thereof; Violations of identified laws are not efficiently followed up on by the relevant entities; Violations of identified laws are not followed up by preventive actions taken by the relevant entities.
Third parties' rights	
55	<p><i>Legal requirements related to: i) the rights of Indigenous Peoples and ii) The principles of FPIC, including as set out in the UN Declaration on the Rights of Indigenous Peoples are complied with.</i></p> <ol style="list-style-type: none"> Identified laws are not consistently upheld by all entities, are often ignored, are not enforced by relevant authorities, or any combination thereof; Violations of identified laws are not efficiently followed up on by the relevant entities; Violations of identified laws are not followed up by preventive actions taken by the relevant entities.
56	<p><i>The rights of Indigenous Peoples are respected and upheld, following principles of FPIC.</i></p> <ol style="list-style-type: none"> The presence of Indigenous Peoples is confirmed or likely within the area. The applicable legislation for the area under assessment covers ILO provisions governing the identification and rights of Indigenous Peoples,³⁸ but the risk assessment for indicator 55 confirms a designation of 'non-negligible risk'; The presence of Indigenous Peoples is confirmed or likely within the area. The applicable legislation for the area under assessment covers the United Nations Declaration on the Rights of Indigenous Peoples³⁹ (UNDRIP) but the risk assessment for indicator 55 confirms a designation of 'non-negligible risk';

³⁸ International Labour Organization Convention No. 169

³⁹ United Nations Declaration on the Rights of Indigenous Peoples (http://www.un.org/esa/socdev/unpfii/documents/DRIPS_en.pdf).

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3. The presence of Indigenous Peoples is confirmed or likely within the area. The applicable legislation for the area under assessment contradicts indicator requirement(s);
 4. Substantial evidence of the widespread violation of Indigenous Peoples' rights exists;
 5. Indigenous Peoples are not aware of their rights;
 6. There is evidence of conflict(s) of substantial magnitude⁴⁰ pertaining to the rights of Indigenous Peoples. Laws and regulations or other legally established processes do not exist that serve the resolution of conflicts in the area concerned, or, such processes exist but are not recognized by affected stakeholders as being fair and equitable.

NOTE: Processes for a resolution of conflicts pertaining to use rights, cultural interests or traditional cultural identity should provide means for recourse. They should also be free from overwhelming structural imbalances or inherent unfairness, should be acceptable to affected parties, and give affected parties a means to resolve any conflicts of substantial magnitude. Rights may be defined by international structures (e.g., the UN) and local legal structures.

57 *Legal requirements related to: i) the rights of Traditional Peoples and ii) The principles of FPIC, including as set out in the UN Declaration on the Rights of Indigenous Peoples are complied with.*

1. Identified laws are not consistently upheld by all entities, are often ignored, are not enforced by relevant authorities, or any combination thereof;
 2. Violations of identified laws are not efficiently followed up on by the relevant entities;
 3. Violations of identified laws are not followed up by preventive actions taken by the relevant entities.
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⁴⁰ For the purpose of indicator 56, a conflict of substantial magnitude is a conflict which involves one or more of the following:

- a) Gross violation of the legal or customary rights of Indigenous Peoples;
- b) Significant negative impact(s) that are irreversible or that cannot be mitigated;
- c) A significant number of instances of physical violence against Indigenous Peoples;
- d) A significant number of instances involving the destruction of property;
- e) The presence of military bodies;
- f) Systematic acts of intimidation against Indigenous Peoples.

Guidance:

In the identification of conflicts of substantial magnitude, one must also be aware of possible parallel activities of sectors other than the forest sector which can also impact the rights of Indigenous Peoples, and that the impacts of these activities can be cumulative. This cumulative impact can in turn lead to a 'gross violation of Indigenous Peoples' rights' or 'irreversible consequences', but the extent of the contribution of forest management operations to those impacts needs to be assessed. The substance and magnitude of conflicts shall be determined through the risk assessment process according to national/regional conditions. The risk assessment shall provide definition of such conflicts.

- 58** *The rights of Traditional Peoples are respected and upheld, following principles of FPIC.*
1. The presence of Traditional Peoples is confirmed or likely within the area. The applicable legislation for the area under assessment covers ILO provisions governing the identification and rights of Traditional Peoples,⁴¹ but the risk assessment for indicator 57 confirms a designation of 'non-negligible risk';
 2. The presence of Traditional Peoples is confirmed or likely within the area. The applicable legislation for the area under assessment contradicts indicator requirement(s);
 3. Substantial evidence of the widespread violation of Traditional Peoples' rights exists;
 4. Traditional Peoples are not aware of their rights;
 5. There is evidence of conflict(s) of substantial magnitude⁴² pertaining to the rights of Traditional Peoples. Laws and regulations or other legally established processes do not exist that serve the resolution of conflicts in the area concerned, or, such processes exist but are not recognized by affected stakeholders as being fair and equitable.

NOTE: Processes for a resolution of conflicts pertaining to use rights, cultural interests or traditional cultural identity should provide means for recourse. They should also be free from overwhelming structural imbalances or inherent unfairness, should be acceptable to affected parties, and give affected parties a means to resolve any conflicts of substantial magnitude. Rights may be defined by international structures (e.g., the UN) and local legal structures.

- 59** *Legally recognised customary and community rights are identified and respected.*
1. Identified laws are not consistently upheld by all entities, are often ignored, are not enforced by relevant authorities, or any combination thereof;

⁴¹ International Labour Organization Convention No. 169

⁴² For the purpose of indicator 58, a conflict of substantial magnitude is a conflict which involves one or more of the following:

- a) Gross violation of the legal or customary rights of Traditional Peoples;
- b) Significant negative impact(s) that are irreversible or that cannot be mitigated;
- c) A significant number of instances of physical violence against Traditional Peoples;
- d) A significant number of instances involving the destruction of property;
- e) The presence of military bodies;
- f) Systematic acts of intimidation against Traditional Peoples.

Guidance:

In the identification of conflicts of substantial magnitude, one must also be aware of possible parallel activities of sectors other than the forest sector which can also impact the rights of Traditional Peoples, and that the impacts of these activities can be cumulative. This cumulative impact can in turn lead to a 'gross violation of Traditional Peoples' rights' or 'irreversible consequences', but the extent of the contribution of forest management operations to those impacts needs to be assessed. The substance and magnitude of conflicts shall be determined through the risk assessment process according to national/regional conditions. The risk assessment shall provide definition of such conflicts.

	<ol style="list-style-type: none"> Violations of identified laws are not efficiently followed up on by the relevant entities; Violations of identified laws are not followed up by preventive actions taken by the relevant entities.
60 <i>The rights of local communities are respected and upheld.</i>	<ol style="list-style-type: none"> The presence of local communities is confirmed or likely within the area. The applicable legislation for the area under assessment covers ILO provisions governing the identification and rights of local communities, but the risk assessment for indicator 59 confirms a designation of 'non-negligible risk'; The presence of local communities is confirmed or likely within the area. The applicable legislation for the area under assessment contradicts indicator requirement(s); Local communities are not aware of their rights; Evidence indicates that the rights of local communities are not upheld.
61 <i>Interaction with Indigenous Peoples, Traditional Peoples and local communities is conducted in a respectful and culturally appropriate manner.</i>	<ol style="list-style-type: none"> Applicable legislation for the area under assessment covers the requirements under this indicator, but the risk assessment for indicator 55, 57, and 59 confirms a designation of 'non-negligible risk'; Applicable legislation for the area under assessment covers the requirements under this indicator, but any of the following are true: <ul style="list-style-type: none"> Evidence of their implementation does not exist. Evidence indicates systematic violation of requirements. When laws are broken, cases are not efficiently followed up on by relevant entities. When laws are broken, causes are not addressed through the implementation of preventive actions by relevant entities. The applicable legislation for the area contradicts indicator requirement(s); Evidence indicates that the requirements under this indicator are not upheld.
Trade and transport	
62 <i>Legal requirements related to the trade and transport of products are complied with.</i>	<ol style="list-style-type: none"> Identified laws are not consistently upheld by all entities, are often ignored, are not enforced by relevant authorities, or any combination thereof;

		<ol style="list-style-type: none"> Violations of identified laws are not efficiently followed up on by the relevant entities; Violations of identified laws are not followed up by preventive actions taken by the relevant entities.
63	<i>Legal requirements related to applicable trade restrictions and sanctions are complied with.</i>	<ol style="list-style-type: none"> Identified laws are not consistently upheld by all entities, are often ignored, are not enforced by relevant authorities, or any combination thereof; Violations of identified laws are not efficiently followed up on by the relevant entities; Violations of identified laws are not followed up by preventive actions taken by the relevant entities.
64	<i>Legal requirements related to the classification of products are complied with.</i>	<ol style="list-style-type: none"> Identified laws are not consistently upheld by all entities, are often ignored, are not enforced by relevant authorities, or any combination thereof; Violations of identified laws are not efficiently followed up on by the relevant entities; Violations of identified laws are not followed up by preventive actions taken by the relevant entities.
65	<i>Legal requirements related to the export and/or import of products are complied with.</i>	<ol style="list-style-type: none"> Identified laws are not consistently upheld by all entities, are often ignored, are not enforced by relevant authorities, or any combination thereof; Violations of identified laws are not efficiently followed up on by the relevant entities; Violations of identified laws are not followed up by preventive actions taken by the relevant entities.
66	<i>Legal requirements relating to offshore trading and transfer pricing are complied with.</i>	<ol style="list-style-type: none"> Identified laws are not consistently upheld by all entities, are often ignored, are not enforced by relevant authorities, or any combination thereof; Violations of identified laws are not efficiently followed up on by the relevant entities; Violations of identified laws are not followed up by preventive actions taken by the relevant entities.
Due diligence/due care		
67	<i>Legal requirements relating to due diligence or due care are complied with.</i>	<ol style="list-style-type: none"> Identified laws are not consistently upheld by all entities, are often ignored, are not enforced by relevant authorities, or any combination thereof; Violations of identified laws are not efficiently followed up on by the relevant entities; Violations of identified laws are not followed up by preventive actions taken by the relevant entities.

Conversion and forest degradation

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| 68 <i>There is no conversion from forest to agriculture since 31 December 2020.</i> | <ol style="list-style-type: none">1. The applicable legislation for the area under assessment covers laws that prevent conversion, but the risk assessment for relevant indicators on legal compliance confirms a designation of 'non-negligible risk';2. Evidence indicates that conversion from forest to agriculture is occurring. |
| 69 <i>There is no forest degradation since 31 December 2020.</i> | <ol style="list-style-type: none">1. The degradation of forests since 31 December 2020 is more than 0.02% on average per year;2. The applicable legislation for the area under assessment covers laws that prevent forest degradation, but the risk assessment for relevant indicators on legal compliance confirms a designation of 'non-negligible risk';3. Evidence indicates that forest degradation is occurring on a widespread or systematic basis. |

High Conservation Values (HCV)

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| 70 Concentrations of biological diversity including endemic species, and rare, threatened, or endangered species that are significant at global, regional or national levels are identified and protected, maintained or enhanced (HCV1). | <ol style="list-style-type: none">1. Available data are not sufficient for determining HCV presence within the area under assessment;2. Available data are not sufficient for an assessment of the threats to HCVs caused by management activities.3. HCV 1 is identified, or its occurrence is likely in the area under assessment and is threatened by management activities. |
| 71 Intact forest landscapes and large landscape-level ecosystems and ecosystem mosaics that are significant at global, regional, or national levels, and which contain viable populations of the great majority of the naturally-occurring species in natural patterns of distribution and abundance, are identified and protected, maintained or enhanced (HCV2). | <ol style="list-style-type: none">1. Available data are not sufficient for determining HCV presence within the area under assessment;2. Available data are not sufficient for an assessment of the threats to HCVs caused by management activities.3. HCV 2 is identified, or its occurrence is likely in the area under assessment and is threatened by management activities. |
| 72 <i>Rare, threatened, or endangered ecosystems, habitats or refugia are</i> | <ol style="list-style-type: none">1. Available data are not sufficient for determining HCV presence within the area under assessment; |

<i>identified and protected, maintained, or enhanced (HCV3).</i>	<ol style="list-style-type: none"> 2. Available data are not sufficient for an assessment of the threats to HCVs caused by management activities. 3. HCV 3 is identified, or its occurrence is likely in the area under assessment and is threatened by management activities.
73 <i>Basic ecosystem services in critical situations, including the protection of water catchments and control of erosion of vulnerable soils and slopes, are identified and protected (HCV4).</i>	<ol style="list-style-type: none"> 1. Available data are not sufficient for determining HCV presence within the area under assessment; 2. Available data are not sufficient for an assessment of the threats to HCVs caused by management activities. 3. HCV 4 is identified, or its occurrence is likely in the area under assessment and is threatened by management activities.
74 <i>Sites and resources fundamental for satisfying the basic needs of local communities or Indigenous Peoples are identified and protected (HCV5).</i>	<ol style="list-style-type: none"> 1. Available data are not sufficient for determining HCV presence within the area under assessment; 2. Available data are not sufficient for an assessment of the threats to HCVs caused by management activities. 3. HCV 5 is identified, or its occurrence is likely in the area under assessment and is threatened by management activities.
75 <i>Sites, resources, habitats, and landscapes of global or national cultural, archaeological, or historical significance, and/or of critical cultural, ecological, economic or religious/sacred importance for the traditional cultures of local communities or Indigenous Peoples are identified and protected (HCV6).</i>	<ol style="list-style-type: none"> 1. Available data are not sufficient for determining HCV presence within the area under assessment; 2. Available data are not sufficient for an assessment of the threats to HCVs caused by management activities. 3. HCV 6 is identified, or its occurrence is likely in the area under assessment and is threatened by management activities.

Genetically modified organisms (GMO)

76 There is no commercial use of GMO (trees).	<ol style="list-style-type: none"> 1. GMO (trees) use is legal, according to applicable legislation of the area under assessment; 2. GMO (trees) use is illegal according to applicable legislation of the area under assessment, but any of the following are true: <ul style="list-style-type: none"> • Evidence indicates a systematic violation of the ban. • When laws are broken, cases are not efficiently followed up on by relevant entities. • When laws are broken, causes are not addressed through the implementation of preventive actions by relevant entities. 3. Evidence of the implementation of the ban does not exist. 4. There is evidence of commercial use of GMO (tree) species.
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表 1. 风险评估指标

号码	指标	不可忽略的风险阈值
土地使用和管理		
一	土地保有权根据法律要求得到保障和登记。	<ol style="list-style-type: none"> 1. 所确定的法律没有得到所有实体的一致支持，经常被忽视，没有得到有关当局的执行，或出现上述情况的任何组合； 2. 相关实体没有有效跟进已查明的违法行为； 3. 相关实体没有对已查明的违法行为采取预防行动。
2	土地经营权已到位并根据法律要求进行了登记。	<ol style="list-style-type: none"> 1. 所确定的法律没有得到所有实体的一致支持，经常被忽视，没有得到有关当局的执行，或出现上述情况的任何组合； 2. 相关实体没有有效跟进已查明的违法行为； 3. 相关实体没有对已查明的违法行为采取预防行动。
3	森林特许权许可证已经到位，并根据法律要求进行了发放和登记。	<ol style="list-style-type: none"> 1. 所确定的法律没有得到所有实体的一致支持，经常被忽视，没有得到有关当局的执行，或出现上述情况的任何组合； 2. 相关实体没有有效跟进已查明的违法行为； 3. 相关实体没有对已查明的违法行为采取预防行动。

四	采伐许可证已经到位，并根据法律要求进行了发放和登记。	<ol style="list-style-type: none"> 1. 所确定的法律没有得到所有实体的一致支持，经常被忽视，没有得到有关当局的执行，或出现上述情况的任何组合； 2. 相关实体没有有效跟进已查明的违法行为； 3. 相关实体没有对已查明的违法行为采取预防行动。
5	土地保有权和管理权是通过一个程序获得的，该程序确保在开始任何可能影响土著人民或当地社区的土地、领土和资源的活动之前获得自由事先知情同意（FPIC）。	<ol style="list-style-type: none"> 1. 评估领域的适用立法涵盖了本指标下的要求，但指标 1、2、3 和 4 的风险评估确认了“不可忽视的风险”的指定； 2. 所评估领域的适用立法涵盖了本指标下的要求，但下列任一情况属实： <ul style="list-style-type: none"> • 没有证据表明它们得到了实施。 • 证据表明系统地违反了要求。 • 当法律被违反时，相关实体无法有效跟进案件。 • 当法律被违反时，相关实体并没有通过实施预防行动来解决原因。 3. 该地区适用的法律与指标要求相矛盾； 4. 有证据表明，这一指标下的要求没有得到满足。
6	如果正在发生土地保有权或管理权纠纷，则通过受影响各方同意的文化上适当和透明的程序进行管理。	<ol style="list-style-type: none"> 1. 受评估地区的适用立法涵盖了本指标规定的要求，但指标 1、2、3 和 4 的风险评估确认了“不可忽略风险”的指定； 2. 所评估领域的适用立法涵盖了本指标下的要求，但下列任一情况属实： <ul style="list-style-type: none"> • 没有证据表明它们得到了实施。 • 证据表明系统地违反了要求。 • 当法律被违反时，相关实体无法有效跟进案件。 • 当法律被违反时，相关实体并不通过实施预防行动来处理案件。 3. 该地区适用的法律与指标要求相矛盾； 4. 有证据表明，这一指标下的要求没有得到满足。
七	符合土地使用和管理规划的法律要求。	<ol style="list-style-type: none"> 1. 所确定的法律没有得到所有实体的一致支持，经常被忽视，没有得到有关当局的执行，或出现上述情况的任何组合； 2. 相关实体没有有效跟进已查明的违法行为； 3. 相关实体没有对已查明的违法行为采取预防行动。
8	符合管理和运营活动的法律要求。	<ol style="list-style-type: none"> 1. 所确定的法律没有得到所有实体的一致支持，经常被忽视，没有得到有关当局的执行，或出现上述情况的任何组合； 2. 相关实体没有有效跟进已查明的违法行为； 3. 相关实体没有对已查明的违法行为采取预防行动。

9	符合合法的收获或生产要求。	<ol style="list-style-type: none"> 1. 所确定的法律没有得到所有实体的一致支持，经常被忽视，没有得到有关当局的执行，或出现上述情况的任何组合； 2. 相关实体没有有效跟进已查明的违法行为； 3. 相关实体没有对已查明的违法行为采取预防行动。
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10	符合与信息披露相关的法律要求。	<ol style="list-style-type: none"> 1. 所确定的法律没有得到所有实体的一致支持，经常被忽视，没有得到有关当局的执行，或出现上述情况的任何组合； 2. 相关实体没有有效跟进已查明的违法行为； 3. 相关实体没有对已查明的违法行为采取预防行动。
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税费

11	符合支付特许权使用费、土地/区域税和费用的法律要求。	<ol style="list-style-type: none"> 1. 所确定的法律没有得到所有实体的一致支持，经常被忽视，没有得到有关当局的执行，或出现上述情况的任何组合； 2. 相关实体没有有效跟进已查明的违法行为； 3. 相关实体没有对已查明的违法行为采取预防行动。
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12	符合支付增值税和/或其他销售税的法律要求。	<ol style="list-style-type: none"> 1. 所确定的法律没有得到所有实体的一致支持，经常被忽视，没有得到有关当局的执行，或出现上述情况的任何组合； 2. 相关实体没有有效跟进已查明的违法行为； 3. 相关实体没有对已查明的违法行为采取预防行动。
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13	符合支付公司税的法律要求，包括利润税。	<ol style="list-style-type: none"> 1. 所确定的法律没有得到所有实体的一致支持，经常被忽视，没有得到有关当局的执行，或出现上述情况的任何组合； 2. 相关实体没有有效跟进已查明的违法行为； 3. 相关实体没有对已查明的违法行为采取预防行动。
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14	符合支付贸易和/或出口税和费用的法律要求。	<ol style="list-style-type: none"> 1. 所确定的法律没有得到所有实体的一致支持，经常被忽视，没有得到有关当局的执行，或出现上述情况的任何组合； 2. 相关实体没有有效跟进已查明的违法行为； 3. 相关实体没有对已查明的违法行为采取预防行动。
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腐败和/或伪造文件和数据

15	符合与腐败相关的法律要求，包括贿赂、欺诈和利益冲突。	<ol style="list-style-type: none"> 1. 所确定的法律没有得到所有实体的一致支持，经常被忽视，没有得到有关当局的执行，或出现上述情况的任何组合； 2. 相关实体没有有效跟进已查明的违法行为；
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3. 相关实体没有对已查明的违法行为采取预防行动。

16 避免一切形式的贿赂和腐败。

1. 评估领域的适用立法涵盖了本指标下的要求，但指标 15 的风险评估确认了“不可忽视的风险”的指定；
 2. 所评估领域的适用立法涵盖了本指标下的要求，但下列任一情况属实：
 - 没有证据表明它们得到了实施。
 - 证据表明系统地违反了要求。
 - 当法律被违反时，相关实体无法有效跟进案件。
 - 当法律被违反时，相关实体并没有通过实施预防行动来解决原因。
 3. 该地区适用的法律与指标要求相矛盾；
 4. 有证据表明，这一指标下的要求没有得到满足。
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17 不会出现数据和文件伪造。

1. 评估领域的适用立法涵盖了本指标下的要求，但指标 15 的风险评估确认了“不可忽视的风险”的指定；
 2. 所评估领域的适用立法涵盖了本指标下的要求，但下列任一情况属实：
 - 没有证据表明它们得到了实施。
 - 证据表明系统地违反了要求。
 - 当法律被违反时，相关实体无法有效跟进案件。
 - 当法律被违反时，相关实体并没有通过实施预防行动来解决原因。
 3. 该地区适用的法律与指标要求相矛盾；
 4. 有证据表明，这一指标下的要求没有得到满足。
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管理活动和环境保护

18 遵守与森林管理和采伐活动有关的法律要求，包括技术和工艺。

1. 所确定的法律没有得到所有实体的一致支持，经常被忽视，没有得到有关当局的执行，或出现上述情况的任何组合；
 2. 相关实体没有有效跟进已查明的违法行为；
 3. 相关实体没有对已查明的违法行为采取预防行动。
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19 建筑、基础设施和活动的开发和维护符合适用的规范和法律要求。

1. 所确定的法律没有得到所有实体的一致支持，经常被忽视，没有得到有关当局的执行，或出现上述情况的任何组合；
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		<ol style="list-style-type: none"> 2. 相关实体没有有效跟进已查明的违法行为； 3. 相关实体没有对已查明的违法行为采取预防行动。
20	建筑、基础设施和活动的开发和维护要尽量减少对人类健康和环境的不利影响。	<ol style="list-style-type: none"> 1. 评估领域的适用立法涵盖了本指标下的要求，但指标 19 的风险评估确认了“不可忽视的风险”的指定； 2. 所评估领域的适用立法涵盖了本指标下的要求，但下列任一情况属实： <ul style="list-style-type: none"> • 没有证据表明它们得到了实施。 • 证据表明系统地违反了要求。 • 当法律被违反时，相关实体无法有效跟进案件。 • 当法律被违反时，相关实体并没有通过实施预防行动来解决原因。 3. 该地区适用的法律与指标要求相矛盾； 4. 有证据表明，这一指标下的要求没有得到满足。
21	符合与生物多样性保护、受保护地点以及保护特有、稀有、受威胁或濒危物种及其栖息地相关的法律要求。	<ol style="list-style-type: none"> 1. 所确定的法律没有得到所有实体的一致支持，经常被忽视，没有得到有关当局的执行，或出现上述情况的任何组合； 2. 相关实体没有有效跟进已查明的违法行为； 3. 相关实体没有对已查明的违法行为采取预防行动。
22	避免引入入侵物种，并控制已经存在的入侵物种。	<ol style="list-style-type: none"> 1. 评估领域的适用立法涵盖了本指标下的要求，但指标 21 的风险评估确认了“不可忽视的风险”的指定； 2. 所评估领域的适用立法涵盖了本指标下的要求，但下列任一情况属实： <ul style="list-style-type: none"> • 没有证据表明它们得到了实施。 • 证据表明系统地违反了要求。 • 当法律被违反时，相关实体无法有效跟进案件。 • 当法律被违反时，相关实体并没有通过实施预防行动来解决原因。 3. 该地区适用的法律与指标要求相矛盾； 4. 有证据表明，这一指标下的要求没有得到满足。
23	符合与《濒危物种公约》物种的收获、收集和贸易相关的法律要求。	<ol style="list-style-type: none"> 1. 所确定的法律没有得到所有实体的一致支持，经常被忽视，没有得到有关当局的执行，或出现上述情况的任何组合； 2. 相关实体没有有效跟进已查明的违法行为； 3. 相关实体没有对已查明的违法行为采取预防行动。

24 符合与废物管理相关的法律要求。	<ol style="list-style-type: none"> 1. 所确定的法律没有得到所有实体的一致支持，经常被忽视，没有得到有关当局的执行，或出现上述情况的任何组合； 2. 相关实体没有有效跟进已查明的违法行为； 3. 相关实体没有对已查明的违法行为采取预防行动。
25 包括生产和加工在内的各种活动产生的废物量和负面影响得到控制并降至最低。	<ol style="list-style-type: none"> 1. 受评估地区的适用立法涵盖了本指标下的要求，但指标 24 的风险评估确认了“不可忽视的风险”的指定； 2. 所评估领域的适用立法涵盖了本指标下的要求，但下列任一情况属实： <ul style="list-style-type: none"> • 没有证据表明它们得到了实施。 • 证据表明系统地违反了要求。 • 当法律被违反时，相关实体无法有效跟进案件。 • 当法律被违反时，相关实体并没有通过实施预防行动来解决原因。 3. 该地区适用的法律与指标要求相矛盾； 4. 有证据表明，这一指标下的要求没有得到满足。
26 符合关于污染的法律要求。	<ol style="list-style-type: none"> 1. 所确定的法律没有得到所有实体的一致支持，经常被忽视，没有得到有关当局的执行，或出现上述情况的任何组合； 2. 相关实体没有有效跟进已查明的违法行为； 3. 相关实体没有对已查明的违法行为采取预防行动。
27 生产、加工或其他活动造成的污染得到控制并降至最低。	<ol style="list-style-type: none"> 1. 受评估地区的适用立法涵盖了本指标下的要求，但指标 26 的风险评估确认了“不可忽视的风险”的指定； 2. 所评估领域的适用立法涵盖了本指标下的要求，但下列任一情况属实： <ul style="list-style-type: none"> • 没有证据表明它们得到了实施。 • 证据表明系统地违反了要求。 • 当法律被违反时，相关实体无法有效跟进案件。 • 当法律被违反时，相关实体并没有通过实施预防行动来解决原因。 • 该地区适用的立法与指标要求相矛盾； 3. 有证据表明，这一指标下的要求没有得到满足。
28 符合使用和保护地表水和地下水的法律要求。	<ol style="list-style-type: none"> 1. 所确定的法律没有得到所有实体的一致支持，经常被忽视，没有得到有关当局的执行，或出现上述情况的任何组合； 2. 相关实体没有有效跟进已查明的违法行为； 3. 相关实体没有对已查明的违法行为采取预防行动。

29	水资源得到保护和负责任的使用，以确保长期生存能力。	<ol style="list-style-type: none"> 1. 受评估地区的适用立法涵盖了本指标下的要求，但指标 28 的风险评估确认了“不可忽视的风险”的指定； 2. 所评估领域的适用立法涵盖了本指标下的要求，但下列任一情况属实： <ul style="list-style-type: none"> • 没有证据表明它们得到了实施。 • 证据表明系统地违反了要求。 • 当法律被违反时，相关实体无法有效跟进案件。 • 当法律被违反时，相关实体并没有通过实施预防行动来解决原因。 3. 该地区适用的法律与指标要求相矛盾； 4. 有证据表明，这一指标下的要求没有得到满足。
30	符合与土壤管理相关的法律要求。	<ol style="list-style-type: none"> 1. 所确定的法律没有得到所有实体的一致支持，经常被忽视，没有得到有关当局的执行，或出现上述情况的任何组合； 2. 相关实体没有有效跟进已查明的违法行为； 3. 相关实体没有对已查明的违法行为采取预防行动。
31	土壤的物理、化学和生物属性以及总体土壤健康得到保持或改善。对土壤的负面影响得到控制并降至最低。	<ol style="list-style-type: none"> 1. 评估领域的适用立法涵盖了本指标下的要求，但指标 30 的风险评估确认了“不可忽视的风险”的指定； 2. 所评估领域的适用立法涵盖了本指标下的要求，但下列任一情况属实： <ul style="list-style-type: none"> • 没有证据表明它们得到了实施。 • 证据表明系统地违反了要求。 • 当法律被违反时，相关实体无法有效跟进案件。 • 当法律被违反时，相关实体并没有通过实施预防行动来解决原因。 3. 该地区适用的法律与指标要求相矛盾； 4. 有证据表明，这一指标下的要求没有得到满足。
32	森林和其他自然生态系统的管理方式保持或增强了生态系统提供的功能和服务，包括相关的生物多样性和结构复杂性。	<ol style="list-style-type: none"> 1. 评估领域的适用立法涵盖了本指标下的要求，但指标 18、21、23、24、26、28 和 30 的风险评估确认了“不可忽视的风险”的指定； 2. 所评估领域的适用立法涵盖了本指标下的要求，但下列任一情况属实： <ul style="list-style-type: none"> • 没有证据表明它们得到了实施。 • 证据表明系统地违反了要求。 • 当法律被违反时，相关实体无法有效跟进案件。 • 当法律被违反时，相关实体并没有通过实施预防行动来解决原因。

3. 该地区适用的法律与指标要求相矛盾；
4. 有证据表明，这一指标下的要求没有得到满足。

安全保健部门

33 符合与工作场所健康和安全的法律要求。

1. 所确定的法律没有得到所有实体的一致支持，经常被忽视，没有得到有关当局的执行，或出现上述情况的任何组合；
2. 相关实体没有有效跟进已查明的违法行为；
3. 相关实体没有对已查明的违法行为采取预防行动。

34 设施和活动是安全的，并支持工人的健康，工人可以获得和使用与所从事的活动相称的适当个人防护设备。

1. 评估领域的适用立法涵盖了本指标下的要求，但指标 33 的风险评估确认了“不可忽视的风险”的指定；
2. 所评估领域的适用立法涵盖了本指标下的要求，但下列任一情况属实：
 - 没有证据表明它们得到了实施。
 - 证据表明系统地违反了要求。
 - 当法律被违反时，相关实体无法有效跟进案件。
 - 当法律被违反时，相关实体并没有通过实施预防行动来解决原因。
3. 该地区适用的法律与指标要求相矛盾；
4. 有证据表明，这一指标下的要求没有得到满足。

35 符合化学品使用和储存的法律要求。

1. 所确定的法律没有得到所有实体的一致支持，经常被忽视，没有得到有关当局的执行，或出现上述情况的任何组合；
2. 相关实体没有有效跟进已查明的违法行为；
3. 相关实体没有对已查明的违法行为采取预防行动。

36 尽量减少化学品的使用，化学品的任何应用和储存都确保保护人类健康和尽量减少对环境的影响。

1. 评估领域的适用立法涵盖了本指标下的要求，但指标 35 的风险评估确认了“不可忽视的风险”的指定；
 2. 所评估领域的适用立法涵盖了本指标下的要求，但下列任一情况属实：
 - 没有证据表明它们得到了实施。
 - 证据表明系统地违反了要求。
 - 当法律被违反时，相关实体无法有效跟进案件。
 - 当法律被违反时，相关实体并没有通过实施预防行动来解决原因。
 3. 该地区适用的法律与指标要求相矛盾；
 4. 有证据表明，这一指标下的要求没有得到满足。
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人权和劳工权利

- | | |
|--|---|
| 37 国内法所保护的人权得到遵守。 | <ol style="list-style-type: none">1. 所确定的法律没有得到所有实体的一致支持，经常被忽视，没有得到有关当局的执行，或出现上述情况的任何组合；2. 相关实体没有有效跟进已查明的违法行为；3. 相关实体没有对已查明的违法行为采取预防行动。 |
| <hr/> | |
| 38 产品的收获或贸易不会导致侵犯国际人权，也与武装冲突无关。 | <ol style="list-style-type: none">1. 该地区是冲突木材的来源⁴³；2. 该地区被联合国禁止出口木材的安全禁令所覆盖；3. 该地区受到任何其他国际木材出口禁令的限制；4. 该地区的经营者参与了冲突木材的供应或贸易（在遵守法律的同时，应尽可能指明已确定的实体）；5. 林业部门的个人或实体正面临联合国的制裁。 |
| <hr/> | |
| 39 遵守与童工和年轻工人就业有关的法律要求。 | <ol style="list-style-type: none">1. 所确定的法律没有得到所有实体的一致支持，经常被忽视，没有得到有关当局的执行，或出现上述情况的任何组合；2. 相关实体没有有效跟进已查明的违法行为；3. 相关实体没有对已查明的违法行为采取预防行动。 |
| <hr/> | |
| 40 不存在童工现象，年轻工人的就业受到负责任的管理，包括劳工组织《工作中的基本原则和权利》中规定的相关权利。 | <ol style="list-style-type: none">1. 所评估领域的适用立法涵盖劳工组织工作中的所有基本原则和权利，但对指标 39 的风险评估确认了“不可忽视的风险”的指定；2. 评估所涉领域的适用立法涵盖劳工组织所有基本原则和工作权利，但以下任何一项是正确的：<ul style="list-style-type: none">• 没有证据表明它们得到了实施。• 证据表明权利遭到系统侵犯。• 当违反劳动法时，相关实体无法有效跟进案件。• 当劳动法被违反时，相关实体没有通过实施预防行动来解决原因。3. 有大量证据表明，劳工组织在工作中的基本原则和权利遭到广泛违反；4. 该地区适用的法律与指标要求相矛盾； |

⁴³ The links between timber exploitation and conflict are essentially of two broad types: First, revenues from the timber trade may be channeled towards activities that perpetuate conflict, such as the purchase of weapons. Thus, 'conflict timber' is defined as 'timber that has been traded at some point in the chain of custody by armed groups, be they rebel factions or regular soldiers, or by a civilian administration involved in armed conflict or its representatives, either to perpetuate conflict or take advantage of conflict situations for personal gain. Conflict timber is not necessarily illegal' (Global Witness 2002, cited in Le Billon 2003).

Second, the exploitation of timber may itself be a direct cause of conflict (Thomson and Kanaan 2003). This may be because of disputes over, for example, ownership of forest resources, the distribution of benefits, local environmental degradation, or social conflicts caused by immigration of timber workers. In some countries, especially when other sources of income are lacking, there is little attempt to ensure that timber production is sustainable or socially responsible (Source: UNEP, Africa Environment Outlook: <https://www.unep.org/resources/report/africa-environment-outlook-2-our-environment-our-wealth>). Such cases, however, are assessed by other indicators covering requirements based on ILO provisions; thus, they are not in the scope of indicator 38.

		5. 有证据表明，反对童工的劳动权利没有得到维护。
41	遵守与现代奴隶制有关的法律要求，包括强迫和强制劳动。	<ol style="list-style-type: none"> 1. 所确定的法律没有得到所有实体的一致支持，经常被忽视，没有得到有关当局的执行，或出现上述情况的任何组合； 2. 相关实体没有有效跟进已查明的违法行为； 3. 相关实体没有对已查明的违法行为采取预防行动。
42	不以任何方式使用、提倡或支持现代奴隶制，包括强迫和强制劳动，包括劳工组织《工作中的基本原则和权利》中规定的方式。	<ol style="list-style-type: none"> 1. 所评估领域的适用立法涵盖劳工组织工作中的所有基本原则和权利，但对指标 41 的风险评估确认了“不可忽视的风险”的指定； 2. 评估所涉领域的适用立法涵盖劳工组织所有基本原则和工作权利，但以下任何一项是正确的： <ul style="list-style-type: none"> • 没有证据表明它们得到了实施。 • 证据表明权利遭到系统侵犯。 • 当违反劳动法时，相关实体无法有效跟进案件。 • 当劳动法被违反时，相关实体没有通过实施预防行动来解决原因。 3. 有大量证据表明，劳工组织在工作中的基本原则和权利遭到广泛违反； 4. 该地区适用的法律与指标要求相矛盾； 5. 有证据表明，反对现代奴役包括强迫和强制劳动的劳工权利没有得到维护。
43	遵守与结社自由、组织权和集体谈判权有关的法律要求。	<ol style="list-style-type: none"> 1. 所确定的法律没有得到所有实体的一致支持，经常被忽视，没有得到有关当局的执行，或出现上述情况的任何组合； 2. 相关实体没有有效跟进已查明的违法行为； 3. 相关实体没有对已查明的违法行为采取预防行动。
44	尊重与结社自由、组织权和集体谈判权相关的劳工权利，包括劳工组织《工作中的基本原则和权利》中规定的权利。	<ol style="list-style-type: none"> 1. 所评估领域的适用立法涵盖所有劳工组织基本原则和工作权利，但对指标 43 的风险评估确认了“不可忽视的风险”的指定； 2. 评估所涉领域的适用立法涵盖劳工组织所有基本原则和工作权利，但以下任何一项是正确的： <ul style="list-style-type: none"> • 没有证据表明它们得到了实施。 • 证据表明权利遭到系统侵犯。 • 当违反劳动法时，相关实体无法有效跟进案件。 • 当劳动法被违反时，相关实体没有通过实施预防行动来解决原因。 3. 有大量证据表明，劳工组织在工作中的基本原则和权利遭到广泛违反； 4. 该地区适用的法律与指标要求相矛盾；

		5. 证据表明，与结社自由、组织权和集体谈判权相关的劳工权利没有得到维护。
45	符合与招聘和雇用工人相关的法律要求。	<ol style="list-style-type: none"> 1. 所确定的法律没有得到所有实体的一致支持，经常被忽视，没有得到有关当局的执行，或出现上述情况的任何组合； 2. 相关实体没有有效跟进已查明的违法行为； 3. 相关实体没有对已查明的违法行为采取预防行动。
46	符合与合同和工作许可相关的法律要求、能力认证要求和其他培训要求。	<ol style="list-style-type: none"> 1. 所确定的法律没有得到所有实体的一致支持，经常被忽视，没有得到有关当局的执行，或出现上述情况的任何组合； 2. 相关实体没有有效跟进已查明的违法行为； 3. 相关实体没有对已查明的违法行为采取预防行动。
47	符合与工人工资和其他付款有关的法律要求，如社会保险缴款和雇主为工人代扣的社会和所得税。	<ol style="list-style-type: none"> 1. 所确定的法律没有得到所有实体的一致支持，经常被忽视，没有得到有关当局的执行，或出现上述情况的任何组合； 2. 相关实体没有有效跟进已查明的违法行为； 3. 相关实体没有对已查明的违法行为采取预防行动。
48	遵守与工作时间、加班、休息时间和休假相关的法律要求。	<ol style="list-style-type: none"> 4. 所确定的法律没有得到所有实体的一致支持，经常被忽视，没有得到有关当局的执行，或出现上述情况的任何组合； 5. 相关实体没有有效跟进已查明的违法行为； 6. 相关实体没有对已查明的违法行为采取预防行动。
49	维护与招聘和就业、合同、培训、工人工资和其他报酬、工作时间、加班、休息时间和休假有关的劳动权利，包括劳工组织基本原则中规定的权利。	<ol style="list-style-type: none"> 1. 所评估领域的适用立法涵盖劳工组织工作中的所有基本原则和权利，但对指标 45、46、47 和 48 的风险评估确认了“不可忽视的风险”的指定； 2. 评估所涉领域的适用立法涵盖劳工组织所有基本原则和工作权利，但以下任何一项是正确的： <ul style="list-style-type: none"> • 没有证据表明它们得到了实施。 • 证据表明权利遭到系统侵犯。 • 当违反劳动法时，相关实体无法有效跟进案件。 • 当劳动法被违反时，相关实体没有通过实施预防行动来解决原因。 3. 有大量证据表明，劳工组织在工作中的基本原则和权利遭到广泛违反； 4. 该地区适用的法律与指标要求相矛盾； 5. 证据表明，与就业、工作时间、加班、休息时间和休假有关的劳工权利没有得到维护。

50 遵守与歧视工人相关的法律要求。

1. 所确定的法律没有得到所有实体的一致支持，经常被忽视，没有得到有关当局的执行，或出现上述情况的任何组合；
2. 相关实体没有有效跟进已查明的违法行为；
3. 相关实体没有对已查明的违法行为采取预防行动。

51 在与雇用、薪酬和获得培训、晋升、解雇或退休有关的过程中，包括国际劳工组织《工作中的基本原则和权利》中规定的相关权利中，不存在对工人的歧视。

1. 所评估领域的适用立法涵盖了国际劳工组织工作中的所有基本原则和权利，但指标 50 的风险评估确认了“不可忽视的风险”的指定；
2. 评估所涉领域的适用立法涵盖劳工组织所有基本原则和工作权利，但以下任何一项是正确的：
 - 没有证据表明它们得到了实施。
 - 证据表明权利遭到系统侵犯。
 - 当违反劳动法时，相关实体无法有效跟进案件。
 - 当劳动法被违反时，相关实体没有通过实施预防行动来解决原因。
3. 有大量证据表明，劳工组织在工作中的基本原则和权利遭到广泛违反；
4. 该地区适用的法律与指标要求相矛盾；
5. 有证据表明，与歧视工人有关的劳动权利没有得到维护。

52 与工作场所性别平等相关的法律要求得到遵守。

1. 所确定的法律没有得到所有实体的一致支持，经常被忽视，没有得到有关当局的执行，或出现上述情况的任何组合；
2. 相关实体没有有效跟进已查明的违法行为；
3. 相关实体没有对已查明的违法行为采取预防行动。

53 按照最佳做法保护性别平等，包括确保提供工作机会、同工同酬和足够的产假和陪产假，以及劳工组织《工作中的基本原则和权利》中规定的其他相关权利。

1. 所评估领域的适用立法涵盖劳工组织工作中的所有基本原则和权利，但对指标 52 的风险评估确认了“不可忽视的风险”的指定；
 2. 评估所涉领域的适用立法涵盖劳工组织所有基本原则和工作权利，但以下任何一项是正确的：
 - 没有证据表明它们得到了实施。
 - 证据表明权利遭到系统侵犯。
 - 当违反劳动法时，相关实体无法有效跟进案件。
 - 当劳动法被违反时，相关实体没有通过实施预防行动来解决原因。
 3. 有大量证据表明，劳工组织在工作中的基本原则和权利遭到广泛违反；
 4. 该地区适用的法律与指标要求相矛盾；
 5. 有证据表明，与性别平等相关的劳动权利没有得到维护。
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54 符合雇主提供员工住宿的法律要求。

1. 所确定的法律没有得到所有实体的一致支持，经常被忽视，没有得到有关当局的执行，或出现上述情况的任何组合；
2. 相关实体没有有效跟进已查明的违法行为；
3. 相关实体没有对已查明的违法行为采取预防行动。

第三方权利

55 符合以下方面的法律要求：(一)土著人民的权利；(二)FPIC 原则，包括《联合国土著人民权利宣言》中规定的原则。

1. 所确定的法律没有得到所有实体的一致支持，经常被忽视，没有得到有关当局的执行，或出现上述情况的任何组合；
2. 相关实体没有有效跟进已查明的违法行为；
3. 相关实体没有对已查明的违法行为采取预防行动。

56 遵循 FPIC 原则，尊重和维护土著人民的权利。

1. 该地区确认或可能存在土著人。评估领域适用的立法涵盖劳工组织关于土著人民身份和权利的规定，⁴⁴ but the risk assessment for indicator 55 confirms a designation of 'non-negligible risk'；
2. 该地区确认或可能存在土著人。评估所涉领域适用的立法涵盖《联合国土著人民权利宣言》⁴⁵ (UNDRIP) but the risk assessment for indicator
3. 该地区确认或可能存在土著人。评估领域的适用法律与指标要求相矛盾；
4. 存在广泛侵犯土著人民权利的大量证据；
5. 土著人民不了解他们的权利；
6. 有证据表明存在重大冲突 ⁴⁶ pertaining to the rights of

注：解决与使用权、文化利益或传统文化身份有关的冲突的程序应提供追索手段。它们还应该没有压倒性的结构失衡或固有的不公平，应该为受影响的各方所接

⁴⁴ International Labour Organization Convention No. 169

⁴⁵ United Nations Declaration on the Rights of Indigenous Peoples (http://www.un.org/esa/socdev/unpfii/documents/DRIPS_en.pdf).

⁴⁶ For the purpose of indicator 56, a conflict of substantial magnitude is a conflict which involves one or more of the following:

- g) Gross violation of the legal or customary rights of Indigenous Peoples;
- h) Significant negative impact(s) that are irreversible or that cannot be mitigated;
- i) A significant number of instances of physical violence against Indigenous Peoples;
- j) A significant number of instances involving the destruction of property;
- k) The presence of military bodies;
- l) Systematic acts of intimidation against Indigenous Peoples.

Guidance:

In the identification of conflicts of substantial magnitude, one must also be aware of possible parallel activities of sectors other than the forest sector which can also impact the rights of Indigenous Peoples, and that the impacts of these activities can be cumulative. This cumulative impact can in turn lead to a 'gross violation of Indigenous Peoples' rights' or 'irreversible consequences', but the extent of the contribution of forest management operations to those impacts needs to be assessed. The substance and magnitude of conflicts shall be determined through the risk assessment process according to national/regional conditions. The risk assessment shall provide definition of such conflicts.

		受，并为受影响的各方提供解决任何重大冲突的手段。权利可以由国际机构（如联合国）和当地法律机构来界定。
57	符合以下方面的法律要求:(一)传统民族的权利;(二)FPIC 原则, 包括《联合国土著人民权利宣言》中规定的原则。	<ol style="list-style-type: none"> 1. 所确定的法律没有得到所有实体的一致支持, 经常被忽视, 没有得到有关当局的执行, 或出现上述情况的任何组合; 2. 相关实体没有有效跟进已查明的违法行为; 3. 相关实体没有对已查明的违法行为采取预防行动。
58	遵循 FPIC 教的原则, 传统民族的权利得到尊重和维护。	<ol style="list-style-type: none"> 1. 该地区确认或可能存在传统民族。评估领域适用的立法涵盖劳工组织关于传统民族的身份和权利的规定,⁴⁷ but the risk assessment for indicator 2. 该地区确认或可能存在传统民族。评估领域的适用法律与指标要求相矛盾; 3. 有大量证据表明传统人民的权利遭到广泛侵犯; 4. 传统民族不了解自己的权利; 5. 有证据表明存在重大冲突⁴⁸ pertaining to the rights of <p>注:解决与使用权、文化利益或传统文化身份有关的冲突的程序应提供追索手段。它们还应该没有压倒性的结构失衡或固有的不公平, 应该为受影响的各方所接受, 并为受影响的各方提供解决任何重大冲突的手段。权利可以由国际机构（如联合国）和当地法律机构来界定。</p>
59	法律认可的习惯和社区权利得到确认和尊重。	<ol style="list-style-type: none"> 1. 所确定的法律没有得到所有实体的一致支持, 经常被忽视, 没有得到有关当局的执行, 或出现上述情况的任何组合; 2. 相关实体没有有效跟进已查明的违法行为; 3. 相关实体没有对已查明的违法行为采取预防行动。

⁴⁷ International Labour Organization Convention No. 169

⁴⁸ For the purpose of indicator 58, a conflict of substantial magnitude is a conflict which involves one or more of the following:

- g) Gross violation of the legal or customary rights of Traditional Peoples;
- h) Significant negative impact(s) that are irreversible or that cannot be mitigated;
- i) A significant number of instances of physical violence against Traditional Peoples;
- j) A significant number of instances involving the destruction of property;
- k) The presence of military bodies;
- l) Systematic acts of intimidation against Traditional Peoples.

Guidance:

In the identification of conflicts of substantial magnitude, one must also be aware of possible parallel activities of sectors other than the forest sector which can also impact the rights of Traditional Peoples, and that the impacts of these activities can be cumulative. This cumulative impact can in turn lead to a 'gross violation of Traditional Peoples' rights' or 'irreversible consequences', but the extent of the contribution of forest management operations to those impacts needs to be assessed.

The substance and magnitude of conflicts shall be determined through the risk assessment process according to national/regional conditions. The risk assessment shall provide definition of such conflicts.

60 当地社区的权利得到尊重和维护。	<ol style="list-style-type: none"> 1. 确认或可能在该区域内存在当地社区。所评估领域的适用立法涵盖了国际劳工组织关于当地社区的身份和权利的规定，但指标 59 的风险评估确认了“不可忽视的风险”的指定； 2. 确认或可能在该区域内存在当地社区。评估领域的适用法律与指标要求相矛盾； 3. 当地社区不了解他们的权利； 4. 有证据表明，当地社区的权利没有得到维护。
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61 以尊重和文化上适当的方式与土著人民、传统人民和当地社区互动。	<ol style="list-style-type: none"> 1. 评估领域的适用立法涵盖了本指标下的要求，但指标 55、57 和 59 的风险评估确认了“不可忽略风险”的指定； 2. 所评估领域的适用立法涵盖了本指标下的要求，但下列任一情况属实： <ul style="list-style-type: none"> • 没有证据表明它们得到了实施。 • 证据表明系统地违反了要求。 • 当法律被违反时，相关实体无法有效跟进案件。 • 当法律被违反时，相关实体并没有通过实施预防行动来解决原因。 3. 该地区适用的法律与指标要求相矛盾； 4. 有证据表明，这一指标下的要求没有得到满足。
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贸易和运输

62 符合与产品贸易和运输相关的法律要求。	<ol style="list-style-type: none"> 1. 所确定的法律没有得到所有实体的一致支持，经常被忽视，没有得到有关当局的执行，或出现上述情况的任何组合； 2. 相关实体没有有效跟进已查明的违法行为； 3. 相关实体没有对已查明的违法行为采取预防行动。
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63 遵守与适用的贸易限制和制裁相关的法律要求。	<ol style="list-style-type: none"> 1. 所确定的法律没有得到所有实体的一致支持，经常被忽视，没有得到有关当局的执行，或出现上述情况的任何组合； 2. 相关实体没有有效跟进已查明的违法行为； 3. 相关实体没有对已查明的违法行为采取预防行动。
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64 符合与产品分类相关的法律要求。	<ol style="list-style-type: none"> 1. 所确定的法律没有得到所有实体的一致支持，经常被忽视，没有得到有关当局的执行，或出现上述情况的任何组合； 2. 相关实体没有有效跟进已查明的违法行为； 3. 相关实体没有对已查明的违法行为采取预防行动。
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65	符合与产品出口和/或进口相关的法律要求。	<ol style="list-style-type: none"> 1. 所确定的法律没有得到所有实体的一致支持，经常被忽视，没有得到有关当局的执行，或出现上述情况的任何组合； 2. 相关实体没有有效跟进已查明的违法行为； 3. 相关实体没有对已查明的违法行为采取预防行动。
66	符合与离岸交易和转移定价相关的法律要求。	<ol style="list-style-type: none"> 1. 所确定的法律没有得到所有实体的一致支持，经常被忽视，没有得到有关当局的执行，或出现上述情况的任何组合； 2. 相关实体没有有效跟进已查明的违法行为； 3. 相关实体没有对已查明的违法行为采取预防行动。
尽职调查/尽职调查		
67	符合与尽职调查或尽职调查相关的法律要求。	<ol style="list-style-type: none"> 1. 所确定的法律没有得到所有实体的一致支持，经常被忽视，没有得到有关当局的执行，或出现上述情况的任何组合； 2. 相关实体没有有效跟进已查明的违法行为； 3. 相关实体没有对已查明的违法行为采取预防行动。
转化和森林退化		
68	自 2020 年 12 月 31 日以来，没有从森林转为农业。	<ol style="list-style-type: none"> 1. 受评估地区的适用立法涵盖了阻止转化的法律，但对法律合规性相关指标的风险评估确认了“不可忽略风险”的指定； 2. 有证据表明，从森林到农业的转化正在发生。
69	自 2020 年 12 月 31 日以来没有森林退化。	<ol style="list-style-type: none"> 1. 自 2020 年 12 月 31 日以来，森林退化平均每年超过 0.02%； 2. 受评估地区的适用立法包括防止森林退化的法律，但对法律合规性相关指标的风险评估确认了“不可忽略风险”的指定； 3. 证据表明，森林退化正在广泛或系统地发生。
高保护价值 (HCV)		
70	确定并保护、维持或增强生物多样性的集中程度，包括在全球、区域或国家一级具有重要意义的特有物种和稀有、受威胁或濒危物种 (HCV1)。	<ol style="list-style-type: none"> 1. 现有数据不足以确定评估区域内 HCV 的存在； 2. 现有数据不足以评估管理活动对 HCV 的威胁。 3. HCV1 被确认，或其发生可能在评估地区，并受到管理活动的威胁。
71	确定并保护、维持或增强在全球、区域或国家层面具有重要意义的完整森林景观和大型景观级生态系统和生态	<ol style="list-style-type: none"> 1. 现有数据不足以确定评估区域内 HCV 的存在； 2. 现有数据不足以评估管理活动对 HCV 的威胁。

	系统多样性，这些生态系统和生态系统多样性包含绝大多数天然物种在自然分布和丰度模式下的可存活种群（HCV2）。	3. HCV2 已被确认，或其发生有可能发生在受评估的地区，并受到管理活动的威胁。
72	稀有、受威胁或濒危的生态系统、栖息地或避难所得到识别和保护、维护或增强（HCV3）。	<ol style="list-style-type: none"> 1. 现有数据不足以确定评估区域内 HCV 的存在； 2. 现有数据不足以评估管理活动对 HCV 的威胁。 3. HCV3 已被确认，或其发生有可能发生在受评估的地区，并受到管理活动的威胁。
73	确定并保护危急情况下的基本生态系统服务，包括保护集水区和控制脆弱土壤和斜坡的侵蚀（HCV4）。	<ol style="list-style-type: none"> 1. 现有数据不足以确定评估区域内 HCV 的存在； 2. 现有数据不足以评估管理活动对 HCV 的威胁。 3. HCV4 已被确认，或其发生有可能发生在受评估的地区，并受到管理活动的威胁。
74	确定并保护对满足当地社区或土著人民基本需求至关重要的场所和资源（HCV5）。	<ol style="list-style-type: none"> 1. 现有数据不足以确定评估区域内 HCV 的存在； 2. 现有数据不足以评估管理活动对 HCV 的威胁。 3. HCV5 已被确认，或其发生有可能发生在受评估的地区，并受到管理活动的威胁。
75	具有全球或国家文化、考古或历史意义和/或对当地社区或土著人民的传统文化具有重要文化、生态、经济或宗教/神圣意义的遗址、资源、栖息地和景观得到确认和保护（HCV6）。	<ol style="list-style-type: none"> 1. 现有数据不足以确定评估区域内 HCV 的存在； 2. 现有数据不足以评估管理活动对 HCV 的威胁。 3. HCV6 被确认，或其发生有可能在被评估的地区，并受到管理活动的威胁。
转基因生物		
76	转基因生物（树木）没有商业用途。	<ol style="list-style-type: none"> 1. 根据评估地区的适用法律，转基因（树木）的使用是合法的； 2. 根据评估地区的适用法律，使用转基因（树木）是非法的，但以下任何一项是正确的： 3. 实施禁令的证据并不存在。 <ul style="list-style-type: none"> • 证据表明有系统地违反禁令。 • 当法律被违反时，相关实体无法有效跟进案件。 • 当法律被违反时，相关实体并没有通过实施预防行动来解决原因。 4. 有证据表明转基因（树木）物种有商业用途。

Table 2. Indicators that could potentially be added to the common set of indicators. (中文表格见此表下方)

NOTE: This table is presented only for information and is under development regarding other indicators not applicable for FSC certification, which is being discussed by the organizations participating in the Risk Information Alliance for cross-scheme risk assessments.

No.	Indicator
Legal rights to land use and management	
1	<i>Land areas under management are protected from illegal encroachment by third parties</i>
Management activities	
2	<i>Where applicable, buildings, infrastructure and activities ensure appropriate access and accessibility features.</i>
3	<i>Legal requirements relating to activities in non-forest areas, including Other Natural Ecosystems, are complied with.</i>
Human and labour rights	
4	<i>Significant past human rights violations caused by the organisation are remediated.</i>
5	<i>Withholding of salary, benefits, documents or property is not used in ways to restrict workers' freedom.</i>
6	<i>Workers have the right to leave the workplace after completing their workday.</i>
7	<i>Workers are free to terminate their employment provided they give their employer reasonable notice.</i>
8	<i>Responsibilities towards workers are not avoided by hiring de facto permanent, long-term, full-time workers under seasonal or temporary contracts.</i>
9	<i>Where migrant workers are hired, the following are ensured: a) The employment of migrant workers follows legal requirements. b) Migrant workers are legally authorised to enter, stay and engage in a remunerated activity in the area/country. c) Migrant workers and their families are free to travel and leave the area/country without restrictions, except those defined by law.</i>
10	<i>Migrant workers are ensured equal opportunities and no less favourable treatment than local workers.</i>
11	<i>Accommodation is offered to workers if no affordable or safe accommodation is otherwise available, especially in remote locations where commuting is not a viable option or where workers are expected to stay within the premises for an extended period.</i>
12	<i>If workers pay for employer-provided accommodation, the cost of accommodation is proportional to the pay and comparable to similar accommodation in the area/industry.</i>
13	<i>Employer-provided accommodation is safe and hygienic.</i>
14	<i>Where workers and their families live in employer-provided accommodation, the employer ensures access to medical, educational, and social services.</i>

Third parties' rights

- 15** Reasonable opportunities for employment, training and other services are available to communities.
- 16** Cultures are respected and valued, and negative impacts on local culture are minimised.
- 17** Local practices, properties, sites and traditions of historical, archaeological, land management, cultural and spiritual significance are protected.
- 18** Historical and archaeological artifacts are not sold, traded or displayed except as permitted by local and international law.
- 19** The impacts of activities on Indigenous Peoples, Traditional Peoples and local communities are identified, and adverse effects are avoided.
-

Trade and transport

- 20** Payments are agreed upon and made in a timely manner and receipts specifying price, quantity/volume/weight, qualities, deductions and amount paid are given.
- 21** Contracts with suppliers and/or buyers have clear terms, are fair and transparent, have an agreed upon timeframe and are not changed or cancelled unilaterally.
-

Conversion and forest degradation

- 22** The use of natural resources ensures long-term productivity and resource yield.
- 23** If clear-cuts are used for forest management, the size of clear-cuts is minimised to be ecologically appropriate for the forest ecosystem, type and biome.
- 24** Fire risk is controlled, and fire is only used for land preparation where environmental and social benefits are demonstrated.
-

Quality of customers' and visitors' experience

- 25** Facilities are kept in working order, and are clean and safe for customers and visitors.
- 26** Facilities are appropriate for the activities of customers and visitors.
- 27** Communication with customers and visitors is accurate and reliable and promotes responsible visits and interactions.
-

Animal health and welfare

- 28** Legal requirements relating to animal health, welfare, medication, transport and traceability are complied with
- 29** Animals are fed to satisfy nutritional needs and ensure good health.
- 30** Animals can access environments that allow them to move freely and exhibit natural behaviour.
- 31** Animals have continuous access to fresh and clean water that is sufficient to eliminate competition between animals.
- 32** Measures (such as vaccination and hygiene) are taken to prevent diseases while minimising risks of antimicrobial resistance as well as pain and injury to the animals.
-

33	<i>Housing, pens and handling facilities have space, ventilation, lighting and drainage, and are safe, minimising the risk of diseases, injury and stress to the animals, and are adjusted to climatic zone conditions.</i>
34	<i>Transportation of animals considers the animals' size, climatic conditions and need for water and food (in case of long-distance transportation), minimising animal stress.</i>
35	<i>Animal handling is done by workers with experience and competence in animal welfare.</i>
Climate change impacts	
36	<i>Significant greenhouse gas emission sources are identified, considering management practices, land use change, livestock, energy, sourcing and use of materials.</i>
37	<i>Animal feed shall be from sources that do not contribute to deforestation.</i>
38	<i>If there is a risk that sourcing activities may cause significant indirect land use change through conversion or destruction of forests or natural ecosystems elsewhere, steps are taken to mitigate such risk.</i>
39	<i>Efforts are taken to reduce the emission of greenhouse gases resulting from activities, meeting, at minimum, the industry sector's best practices and considering the best available technology.</i>
40	<i>The amount of soil carbon is maintained or increased.</i>
41	<i>If applicable, national and/or international regulations concerning emission reduction targets for relevant climate change factors and actions are complied with.</i>
42	<i>The critical risks for the operation resulting or potentially resulting from climate change are identified.</i>
43	<i>Measures for climate change adaptation are implemented for high-risk areas and are proportionate to the scale of the operations and anticipated social, economic and environmental impacts.</i>
44	<i>Best business practices to ensure GHG removals based on land use and land management practices and carbon stocks to promote positive climate regulation over time are implemented.</i>
45	<i>If implemented, ecosystem restoration efforts aim to both regain the ecological functionality of the reference ecosystem and enhance human well-being while considering the area's changing environmental, social and economic conditions.</i>

表二. 有可能添加到通用指标中的指标

NOTE: This table is presented only for information and is under development regarding other indicators not applicable for FSC certification, which is being discussed by the organizations participating in the Risk Information Alliance for cross-scheme risk assessments.

注:此表仅供参考, 正在针对不适用于 **FSC** 认证的其他指标进行开发, 参与跨计划风险评估风险信息联盟的组织正在对此进行讨论。

序号	指标
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土地使用和经营的合法权利

1 受管理的土地面积受到保护，不会被第三方非法侵占

经营活动

2 在适用的情况下，建筑物、基础设施和活动确保适当的出入和无障碍特征。

3 遵守与包括其他自然生态系统在内的非林区活动有关的法律要求。

人权和劳工权利

4 该组织过去造成的重大侵犯人权行为得到补救。

5 扣留工资、福利、文件或财产不会被用来限制工人的自由。

6 工人有权在完成工作后离开工作场所。

7 工人可以自由终止雇佣关系，只要他们给雇主合理的通知。

8 根据季节性或临时合同雇用事实上的永久、长期、全职工人并不能逃避对工人的责任。

9 在雇用移民工人的情况下，确保做到以下几点：a) 雇用移民工人符合法律要求。b) 移民工人在法律上有权进入、停留和从事该地区/国家的有报酬活动。c) 移民工人及其家人可以不受限制地自由旅行和离开该地区/国家，法律规定的情况除外。

10 确保移民工人享有平等机会和不低于当地工人的优惠待遇。

11 如果没有其他负担得起或安全的住所，特别是在通勤不可行的偏远地区或工人预计将长期呆在房屋内的地方，则向工人提供住宿。

12 如果工人为雇主提供的住宿付费，住宿费用与工资成比例，并与该地区/行业的类似住宿相当。

13 雇主提供的住宿安全卫生。

14 如果工人及其家人住在雇主提供的住处，雇主确保他们能够获得医疗、教育和社会服务。

第三方权利

15 向社区提供合理的就业、培训和其他服务机会。

16 文化受到尊重和重视，对当地文化的负面影响降至最低。

17 具有历史、考古、土地管理、文化和精神意义的地方习俗、财产、遗址和传统受到保护。

18 除非当地和国际法律允许，否则不得出售、交易或展示历史和考古文物。

19 确定活动对土著人民、传统人民和当地社区的影响，避免不利影响。

贸易和运输

20 双方同意并及时付款，并提供注明价格、数量/体积/重量、质量、扣除额和支付金额的收据。

21 与供应商和/或买方签订的合同条款明确、公平、透明、有约定的时间表，并且不会单方面更改或取消。

转化和森林退化

22 自然资源的利用确保了长期的生产力和资源产量。

23 如果将皆伐用于森林经营，则尽可能减小皆伐的规模，以适应森林生态系统、类型和生物群落的生态要求。

24 火灾风险得到控制，火灾仅用于证明环境和社会效益的土地平整。

顾客和游客的体验质量

- 25 设施保持正常运转，对顾客和访客来说干净安全。
- 26 设施适合顾客和访客的活动。
- 27 与客户和访客的沟通准确可靠，并促进负责任的访问和互动。

动物健康和福利

- 28 符合与动物健康、福利、药物、运输和可追溯性相关的法律要求
- 29 喂养动物是为了满足营养需求和确保身体健康。
- 30 动物可以进入允许它们自由活动并表现出自然行为的环境。
- 31 动物可以持续获得新鲜干净的水，这足以消除动物之间的竞争。
- 32 采取措施（如疫苗接种和卫生）来预防疾病，同时最大限度地降低抗生素耐药性以及动物疼痛和伤害的风险。
- 33 住房、围栏和处理设施有空间、通风、照明和排水，并且安全，将动物的疾病、伤害和压力风险降至最低，并根据气候带条件进行调整。
- 34 动物运输考虑了动物的大小、气候条件以及对水和食物的需求（如果是长途运输），最大限度地减少了动物的压力。
- 35 动物处理由在动物福利方面有经验和能力的工作人员完成。

气候变化的影响

- 36 考虑到管理实践、土地使用变化、牲畜、能源、材料来源和使用，确定了重要的温室气体排放源。
 - 37 动物饲料应来自不会导致森林砍伐的来源。
 - 38 如果存在采购活动可能通过改变或破坏其他地方的森林或自然生态系统而导致土地使用发生重大间接变化的风险，则应采取措施降低此类风险。
 - 39 努力减少活动产生的温室气体排放，至少达到工业部门的最佳做法，并考虑最佳可得技术。
 - 40 土壤碳的数量得以保持或增加。
 - 41 如果适用，遵守与相关气候变化因素和行动的减排目标相关的国家和/或国际法规。
 - 42 确定气候变化导致或可能导致的运营关键风险。
 - 43 适应气候变化的措施在高风险地区实施，并与业务规模和预期的社会、经济和环境影响相称。
 - 44 实施最佳业务做法，以确保基于土地使用和土地管理做法的 GHG 清除量以及碳储存，从而促进积极的气候监管。
 - 45 如果实施，生态系统恢复工作旨在恢复参考生态系统的生态功能并提高人类福祉，同时考虑到该地区不断变化的环境、社会和经济条件。
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ANNEX 1: STAKEHOLDER GROUPS TO BE CONSULTED IN THE RISK ASSESSMENT PROCESS

附件 1:风险评估过程中需要征询的利益相关方团体

Stakeholders representing the interests listed below shall be identified and notified during the process of the development of risk assessments. Each group specified may be represented by an unlimited number of representatives. The list is not comprehensive, and any other stakeholder groups relevant for a risk assessment under national/regional conditions shall be identified and notified (see Clause 5.2 under section 'Process requirements for developing and revising risk assessments').

在开展风险评估的过程中，应确定并通知代表下列利益的利益相关方。每一特定群体可由不限人数的代表代表。该列表并不全面，应确定并通知与国家/地区条件下的风险评估相关的任何其他利益相关方团体（参见“制定和修订风险评估的流程要求”一节下的第 5.2 条）。

1. Economic interests

经济利益

- Forest owners and/or managers of large, medium and small forests; high-, medium-, and low-intensity managed forests;
- 大、中、小型森林的森林所有者和/或管理者；高、中、低强度管理森林；
- Tenure and use rights holders, including landowners;
- 保有权和使用权持有者，包括土地所有者；
- Forest contractors (including loggers);
- 森林承包商（包括伐木工人）；
- Representatives of forest workers and forest industries;
- 林业工人和林业的代表；
- Certificate holders relevant for the organizations participating in the Risk Information Alliance.
- 与参与风险信息联盟的组织相关的证书持有人。

2. Social interests

社会利益

- NGOs involved or with an interest in social aspects of forest management and other related operations;
- 参与森林管理和其他相关业务的社会方面或对此感兴趣的非政府组织；
- Forest workers;
- 林业工人；
- International, national and local trade/labour unions;
- 国际、国家和地方贸易/工会；
- Representatives of local communities involved in or possessing an interest in forest management, including those relevant for HCVs 5 and 6;
- 参与森林管理或对森林管理感兴趣的当地社区代表，包括与 HCV5 和 HCV6 相关的代表；

- Representatives of Indigenous Peoples and/or Traditional Peoples (if present and/or holding rights), including those relevant for HCVs 5 and 6;
- 土著人民和/或传统人民的代表（如果存在和/或拥有权利），包括与 HCV5 和 HCV 6 相关的代表；
- Representatives of recreation interests.
- 娱乐利益的代表。

3. Environmental interests

环境利益

- NGOs involved in or possessing an interest in the environmental aspects of forest management. Consultation should target the following areas of interest and expertise:
- 参与森林管理环境方面或对此感兴趣的非政府组织。征询应针对以下兴趣和专业领域:
- Biological diversity;
- 生物多样性；
- Water and soil;
- 水土；
- High Conservation Values related to the environment;
- 与环境相关的高保护价值；
- Local communities and Indigenous Peoples' representatives.
- 当地社区和土著人民代表。

4. FSC-accredited certification bodies active in the country

活跃在该国的 FSC 认可的认证机构

5. Local development projects.

地方发展项目。

6. Government and enforcement agencies.

政府和执法机构。

7. Experts, as specified in Clause 3.7 of the section 'Requirements for the content of risk assessments'.

“风险评估内容要求”一节第 3.7 条中规定的专家。

8. Research institutions and universities.

研究机构和大学。

9. National and regional offices of the organizations participating in the Risk Information Alliance.

参与风险信息联盟的组织的国家和区域办事处。

ANNEX 2: EXAMPLES OF RISK ASSESSMENT CONSIDERING GEOPOLITICAL AND FUNCTIONAL SCALES

附件 2:考虑地缘政治和职能规模的风险评估示例

EXAMPLE 1.

例 1

Background information:

背景信息:

The country is divided into 4 provinces, each of which have different provincial laws. The applicable legislation for each province has been identified. Assessment of the enforcement of laws shows that laws are upheld in Provinces I, II and IV however in Province III, which has a high population density, there is data indicating significant problems pertaining to the theft of wood. however in Province III, which has a high population density, there is data indicating significant problems.

该国分为 4 个省，每个省都有不同的省级法律。每个省适用的立法已经确定。对执法情况的评估表明，法律在第一、第二和第四省得到维护，但在人口密度高的第三省，有数据显示存在与盗窃木材有关的重大问题。

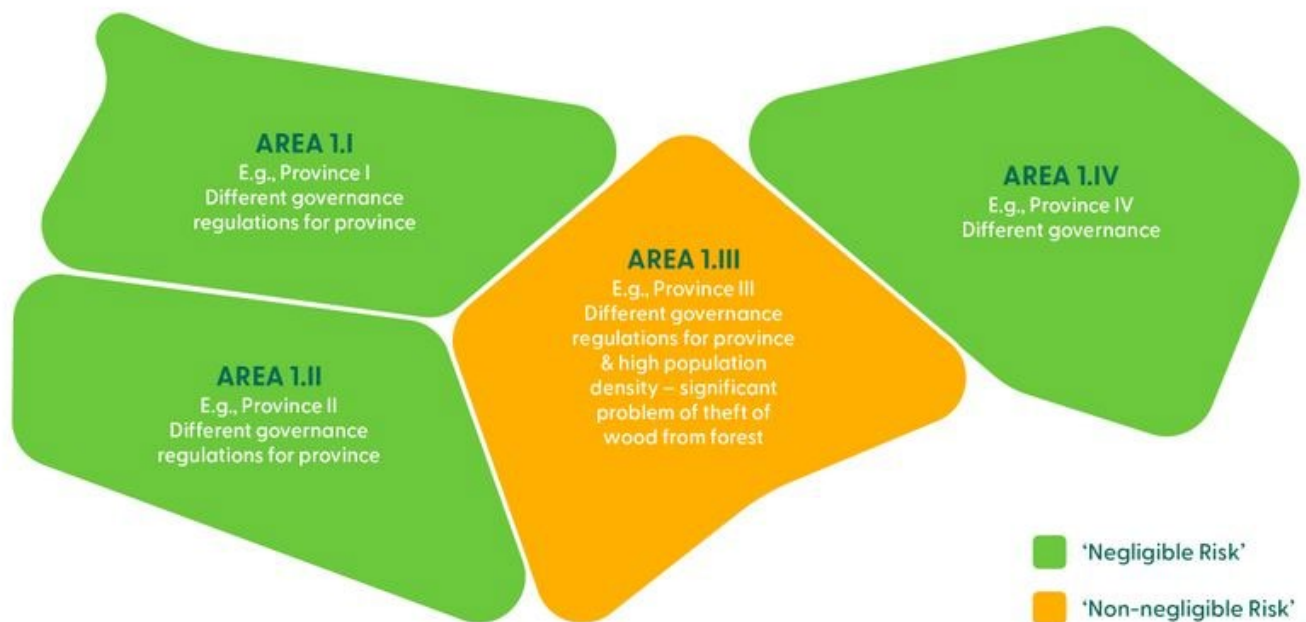


Figure 2. Designation of risks considering geopolitical scale.

图二。考虑地缘政治规模的风险指定。

Risk mitigation:

风险缓释:

Area 1.III

一区.III

Examples of mitigation measures for 'non-negligible risk':

“不可忽略风险”的缓释措施示例:

Sourcing wood from legally established forest management enterprises.

从合法成立的森林经营企业采购木材。

Examples of verifiers:

验证者示例:

Supplier documentation confirms legal rights to harvest in the MU.

供应商文件确认在管理部门收获的合法权利。

Exclusion of suppliers that do not provide evidence of legal rights to harvest.

排除不提供合法收获权证据的供应商。

EXAMPLE 2.

例 2

Background information:

背景信息:

This example is based on the country discussed in Example 1 above. Investigation and data analysis shows that social issues are dealt with differently in different provinces, so scale was determined based on administrative divisions.

此示例基于上面示例 1 中讨论的国家。调查和数据分析表明，不同省份处理社会问题的方式不同，因此规模是根据行政区划确定的。

Within Province I, there is no confirmed or likely presence of Indigenous and/or Traditional Peoples. This area has been assessed as 'negligible risk'. In Provinces II and III, there is a confirmed presence of Indigenous Peoples, including nomadic tribes who regularly migrate between the two Provinces. Cross-checking with the risk assessment carried out in Example 1 confirms that the rights of Indigenous Peoples are established and enforced. There is no data indicating conflicts in either Province; thus they have also been assessed as 'negligible risk'. Please note that the problem with theft as identified in Province III in Example 1 is not explicitly related to social rights for the purposes of this example.

在第一省，没有确认或可能存在土著和/或传统民族。该区域被评估为“可忽略风险”。在第二省和第三省，已证实有土著人民存在，包括经常在两省之间迁徙的游牧部落。与实例 1 中进行的风险评估进行交叉核

对，确认土著人民的权利得到确立和执行。没有数据表明这两个省存在冲突；因此，它们也被评估为“可忽略不计的风险”。请注意，就本例而言，例 1 中第三省确定的盗窃问题与社会权利没有明确关系。

Within Province IV, the presence of Indigenous Peoples has been confirmed. The applicable legislation does not cover Indigenous Peoples' rights, and there are no other regulations that would protect the rights of Indigenous Peoples. The mitigation of this risk will require the implementation of FPIC, and evidence of this shall be provided through agreements with the relevant Indigenous Peoples' representatives. In this area, forests are managed by private owners and public authorities. Special agreements have been signed for public forests (PF) between forest managers and Indigenous Peoples' representatives, ensuring the implementation of FPIC. Evidence exists that these agreements are upheld. There is no such agreement signed for private forests. The area is assessed as 'negligible risk' for public forests and as 'non-negligible risk' for other forests.

在第四省，土著人民的存在已得到证实。适用的立法不涵盖土著人民的权利，也没有其他法规保护土著人民的权利。减轻这一风险将需要实施 FPIC，这方面的证据将通过与相关土著人民代表的协议提供。在这一地区，森林由私人所有者和公共当局管理。森林管理者和土著人民代表签署了公共森林特别协定，确保 FPIC 的实施。有证据表明这些协议得到了维护。私有森林没有签署这样的协议。该地区被评估为公共森林的“可忽略风险”和其他森林的“不可忽略风险”。



Figure 3. Designation of risks considering geopolitical and functional scales.

图 3。考虑地缘政治和职能规模的风险设定。

风险缓释:

Area 2.III

第二区。罗马数字 3

Risk designation within Province IV:

省 IV 内的风险设定:

Public forest – ‘negligible risk’

公共森林——“可忽略风险”

Other forests – ‘non-negligible risk’

其他森林——“不可忽视的风险”

Examples of mitigation measures for ‘non-negligible risk’:

“不可忽视风险”的缓解措施示例:

Supplier documentation confirming that an agreement between forest managers/owners and Indigenous or Traditional Peoples exists at the Management Unit level, ensuring the proper implementation of FPIC.

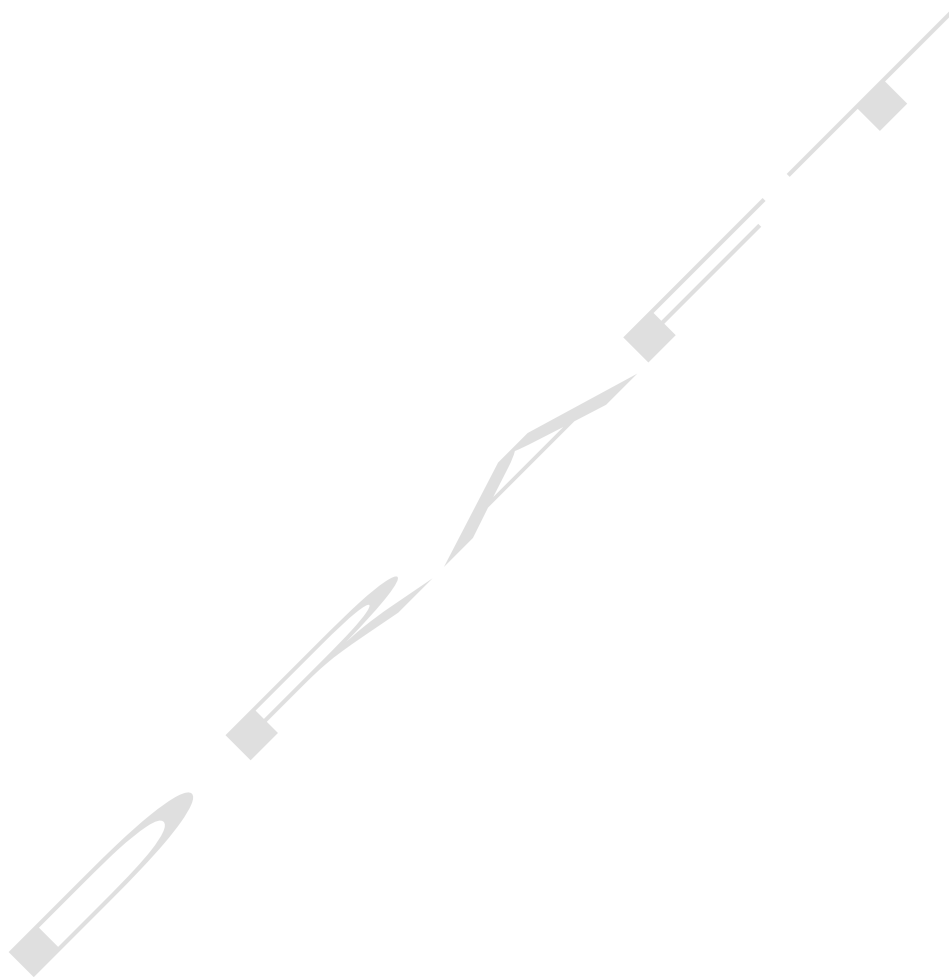
供应商文件确认森林管理者/所有者与土著或传统民族之间在管理单位一级存在协议，确保正确实施 FPIC。

ANNEX 3: RISK ASSESSMENT TEMPLATE

附件 3:风险评估模板

NOTE: This Annex is available in a separate document, in Excel format.

注:本附件以 Excel 格式在一份单独的文件中提供。



ANNEX 4: LIST OF RECOMMENDED SOURCES OF INFORMATION FOR RISK ASSESSMENTS

附件 4:建议的风险评估信息来源清单

NOTE: This Annex is available in a separate document, in Excel format.

注:本附件以 Excel 格式在一份单独的文件中提供。



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