



CANOPYSTYLE AUDIT GUIDELINES AND VERIFICATION FRAMEWORK CANOPYSTYLE 审核框架和指南Z

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**FOR USE BY VISCOSE
FIBRE PRODUCERS**

Developed by the CanopyStyle Leaders
for Forest Conservation

Part of the CanopyStyle Initiative¹

供粘胶纤维生产商使用

由 CanopyStyle 森林保护领军企业开发

CanopyStyle 行动之参考文件

Over 441 brands, retailers and designers have procurement policies in place that are consistent with the CanopyStyle Initiative. In addition, viscose fibre producers representing 90% of global viscose fibre production also have wood sourcing policies in place consistent with the parameters of this audit

超过 441 家品牌商、零售商和设计师已经制定与 CanopyStyle 行动宗旨相一致的采购政策。此外，粘胶纤维总产量占全球 90% 的粘胶纤维生产商已经制定与该审核指标相一致的木浆采购政策。

1. canopyplanet.org/change-together/canopystyle

INTRODUCTION

This ancient and endangered forest risk assessment verification process is intended to be a tool for learning together, improving practices together and risk managing across the supply chain from the point of wood harvesting through to the brand and retail customers. Its focus is for man-made cellulosic fibre (MMCF) producers to document and manage potential social, environmental and reputational risks within their supply chain related to sourcing of forest/wood pulp. It will identify areas of conformance and non-conformance based on a set of shared key performance indicators, and will elaborate on ways for textile manufacturers and their raw material suppliers to improve practices and reduce impacts on the worlds' ancient and endangered forests and other controversial sources. This verification process can help provide customer confidence and ensure consistent expectation and interpretation of performance in the marketplace.

OBJECTIVE

The goal of this document is to establish criteria for a credible third party verification audit process, supported by the CanopyStyle Leaders for Forest Conservation¹ (Leaders Group) and brands, retailers and designers looking to implement their sourcing policies for man-made cellulosic textiles. The process is intended to describe how auditors will verify how MMCF producers are meeting the criteria set in the template Forest Sourcing Policy, and whether and when they can be recognized as being at low risk of sourcing from ancient and endangered forests or controversial sources.

We recognize that there are other issues of concern and interest that are beyond the scope of this risk verification audit specific to wood sourcing. Additional actions would be required by retailers, brands, and producers to adequately address these issues beyond the scope of this audit ranging from other raw material inputs that are not wood, energy use, to health and safety, working conditions, labour practices, equity and discrimination, among others.

简介

原始濒危森林采购风险审核旨在为全产业链，从上游伐木一直到下游品牌商和零售商，提供共同学习、改善经营实践和管理风险的工具。该审核注重于再生纤维素纤维(MMCF)生产商记录并管理其供应链中有关森林/木浆采购带来的潜在社会、环境和信誉风险，根据一系列已达成共识的关键绩效指标，确定生产商达标和不达标的部分，并据此详述纺织品生产商及其原材料供应商可参考的改善经营实践和减小对原始濒危森林及其它争议性地区的影响的解决途径。此项审核有助于为下游客户带来信心，确保生产商的环保努力为社会所见，并符合市场预期。

目标

本文件旨在为具有公信力的第三方审核确立审核标准，由 CanopyStyle 森林保护领军企业（领导小组）以及正执行人造纤维素纤维面料采购政策的品牌商、零售商和设计师支持开发。本文件将详述审核机构如何审核 MMCF 生产商是否满足森林采购政策模版中指出的标准，以及生产商是否/何时被审定为原始濒危森林或其它争议性地区零采购的低风险。

我们知道除木纤维采购审核之外，很多其它问题也值得关注。零售商、品牌商和生产商可能要求采取其它举措，处理此审核范围之外的问题，例如非木纤维的原材料采购问题、能源利用问题、健康与安全、工作条件、劳工问题、平等与歧视等。

PRE-REQUISITE

The MMCF producer has adopted and made public a forest sourcing policy, which is consistent with policies adopted by clothing retailers, brands and designers supporting the CanopyStyle initiative. This includes a commitment not to source from the world's ancient and endangered forests, endangered species habitat or other controversial sources.

The verification process will be done using performance indicators developed from the Forest Sourcing Policy template included in ANNEX 1, with additional key elements being pulled from the MMCF Solution Pathway included in ANNEX 2. These include, amongst other elements, a commitment not to source from ancient and endangered forestⁱⁱ, Intact Forest Landscapesⁱⁱⁱ, peatlands^{iv}, High Carbon Stock^v and other High Conservation Value areas^{vi}, from illegal sources or from companies violating community rights for fibre sourcing of dissolving pulp to make MMCF. The MMCF producer will do this by:

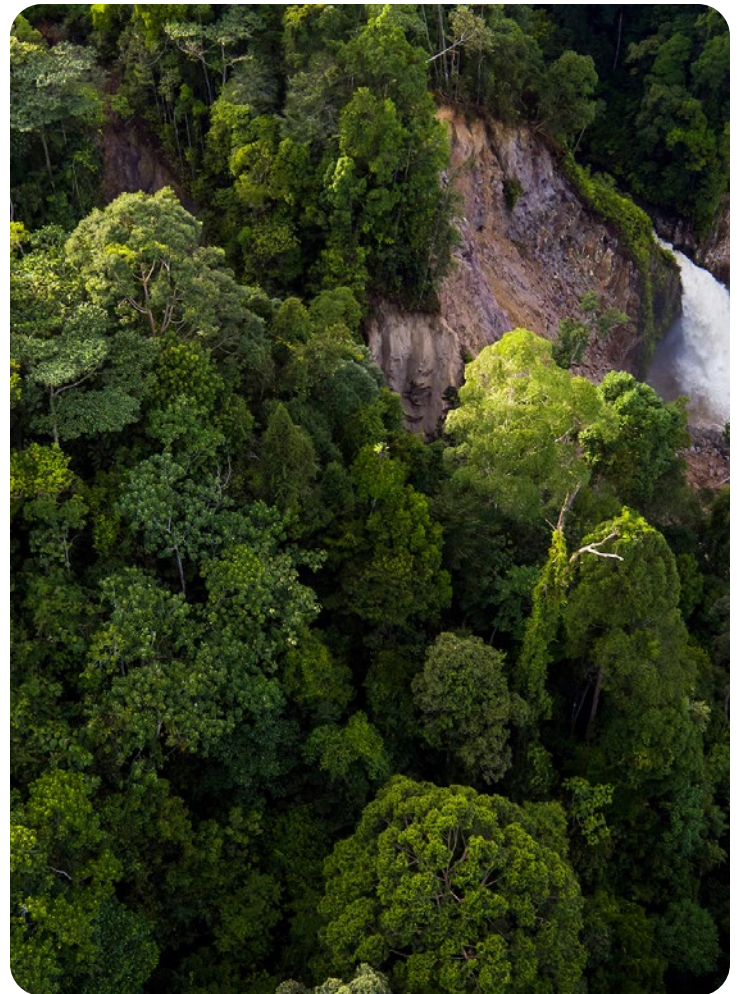
- Assessing the existing supply chain of wood pulp and fiber and ensuring that it is not sourcing fibers made from ancient and endangered forests areas including, but not limited to, the Canadian and Russian Boreal Forests; Coastal Temperate Rainforests; tropical forests and peatlands of Indonesia, South East Asia, the Central and South America (Amazon) and Africa, and/or endangered species habitat.
- Use tools such as Forest Mapper, the Advice Note on Ancient and Endangered Forest Sourcing and the Dissolving Pulp Classification to assess supply chain risks.
- Identifying the origin^{vii} of the pulp and plantations/wood fibre through mapping its entire raw material supply chain (chain of custody) back to the mills, plantations, and forest areas, and ensuring the transparency and traceability of its operations and supply chains.
- Working with its fibre suppliers towards phasing out and finding suitable alternatives to any fibre sourced from these high risk regions, unless prior, meaningful and science- based conservation planning has been implemented, in addition to the fibre being 100% from FSC certified forests, and that operations have obtained the Free Prior and Informed Consent of First Nations and local communities.

必要条件

待审的 MMCF 生产商已经制定并公开发布了一项森林采购政策, 该政策与 CanopyStyle 行动的服装零售商、品牌商和设计师制定的政策相一致, 其中包括消除来自于原始濒危森林、濒危物种 栖息地或其它争议性地区采购的承诺。

审核过程将使用从森林采购政策模版(附录 1) 中开发出来的绩效指标, 以及 MMCF 解决途径(附录 2) 中的关键指标。其中包含承诺不从原始濒危森林、原始完整森林景观、泥炭地、高碳汇和其它高保护价值森林、非法来源、或侵犯社区权利的公司采购生产再生纤维素纤维所需的溶解浆。为此, MMCF 生产商需要:

- 评估现有的木浆和纤维供应链, 确保没有来自于原始濒危森林的纤维, 其中包括但不限于加拿大和俄罗斯北方针叶林、沿海温带雨林、印度尼西亚/东南亚/中南美洲(亚马逊)/非
- 使用 ForestMapper 地图、《原始濒危森林采购审核通知》及《溶解浆厂评估文件》等工具评估供应链风险。
- 通过追踪整条原材料供应链(监管链) 并回溯至上游工厂、种植园和森林, 以确认木浆和木纤维/种植园的来源地, 保证经营活动和供应链的透明度和可追溯性
- 生产商需与其供应商合作, 逐渐消除任何高风险纤维来源, 并寻找合适的替代方案, 除非在高风险采购地区已经事先实施卓有成效的、科学的森林保护方案, 且已经获得原住民和当地社区的“事先知情同意”, 或者该纤维100%来自于FSC 认证森林。



ELIMINATING ALL FIBRE FROM A CORPORATE CONNECTION, ASSOCIATION, OWNERSHIP OR AFFILIATION WITH AN ENTITY WHICH IS KNOWN TO BE AT HIGH RISK OF SOURCING FROM ANCIENT AND ENDANGERED FORESTS AND OTHER CONTROVERSIAL SOURCES, LINKED TO:

- Illegal^{viii} activities,
- Violations of the rights of indigenous peoples and local communities
- The degradation or loss of ancient, intact, old growth, endangered or High Conservation Value (HCV) forests and areas,
- The degradation or loss of High Carbon Stock (HCS) forests,
- The degradation or loss of tropical peatlands of any depth,
- The deforestation and/or conversion of natural forests or peatlands to plantations
- Plantations^{ix} established after 1994 through the conversion or simplification of natural forests, and,
- The use of genetically modified organisms (GMO).

VERIFICATION PROCESS CRITERIA

GENERAL

- CanopyStyle verification requires MMCF producer companies (herein referred to as company or companies) to undertake independent third party evaluation against the CanopyStyle Auditing Guidelines and Verification Framework (herein called Guidelines).
- Canopy approves the auditing body that carries out the verification.
- The third party independent auditing body shall initially undertake a main evaluation, which is a broad and comprehensive verification audit that includes desktop and/or site visits and a final public reporting, and then in subsequent years continue to verify the company's policy implementation through surveillance audits that will take place once annually, and generally not allowing more than 15 months to pass between audits. Audits could take place more than once annually for high risk supply or short notice audits. In instances where a previous CanopyStyle audit has identified known risk for a fibre producer or pulp supplier(s) and where the fibre or pulp producer(s) have not yet taken action on audit recommendations and solution pathways laid out by Canopy to address this audit finding of known risk, the producer is not eligible for auditing. This also applies to fibre producers that are knowingly sourcing from a pulp supplier previously audited and identified as known risk. Instead, the focus and priority will remain on taking actions to address risk vs undergoing subsequent audits when all parties know the previously identified known risk remains unchanged. This is to prioritize actions and outcomes over mere auditing process requirements and allow fibre and pulp producers to direct resources and capacity to addressing risk.

淘汰所有与确定存在原始濒危森林和其它争议性地区的高采购风险的实体存在联系、关联、从属关系或附属关系的企业所供材料, 风险涉及:

- 非法活动
- 侵犯原住民和当地社区的权利
- 导致原始、完整、原生、濒危或高保护价值HCV森林和地区遭到破坏或消失
- 导致高碳汇HCS森林遭到破坏或消失
- 导致任何厚度的热带泥炭地遭到破坏或消失
- 导致天然森林或泥炭地退化和/或转化为种植林
- 1994年后自然森林转化或改造而成的种植园
- 使用转基因树种

审核标准

概述

- CanopyStyle 审核要求 MMCF 生产商 (以下简称该公司) 根据 CanopyStyle 审核框架和指南 (以下简称审核框架) 展开独立第三方审核。
- 由 Canopy 审批进行审核的审核机构。
- 独立第三方审核机构应进行首次全面综合性审核, 包括文件核实、现场调查并撰写终版公开报告; 第一次审核结束之后仍需对该公司的政策执行情况进行连续几年的跟踪性审核, 每年至少一次, 跟踪审核间隔不可超过 15 个月; 对于高风险采购的审核或临时通知的突击审核每年可展开一次以上。若经前一次 CanopyStyle 审核确认某生产商或浆粕供应商存在已知风险, 且该生产商或浆粕供应商尚未根据审核报告中的建议举措采取行动, 未按照 Canopy 提出的解决方案路线图处理该审核确认的已知风险, 那么该生产商不可再开展审核。此规定亦适用于明知某浆粕供应商经审核确认存在已知风险仍向其采购的生产商。处于此境况的生产商需着重处理风险问题, 而不是在所有利益相关方都了解已知风险尚未解决的情况下继续开展审核工作。此规定旨在提示不可本末倒置, 强调风控行动和结果, 而非只关注审核流程; 同时各生产商和浆粕供应商亦可集中资源和人力, 处理风险问题
- MMCF 生产商的一切运营和产品都应进行独立审核。只审核公司的部分运营、工厂、供应商或产品线将不被接受 (目标是避免一小部分合规产品代表该公司全部产品接受审核, 或来自于原始濒危森林的原材料被转移到其它产品线或工厂)。
- 审核将关注供应链中从森林木材到纤维产品的部分, 即用森林采伐的原材料来生产粘胶纤维和其它标有 MMCF 产品的所有经营以及森林木材所有权变更等。被审核的企业需及时提供所有必要文件, 及时协助与供应商的沟通和对他们的评估 (如适用)。需告知供应商 (溶解浆生产商、森林管理公司、森林经营权持有人等) 此审核, 并提醒其提供证明文件, 如果需要, 审核机构会去供应商所在地现场考察。

- All operations and supply of the MMCF producers shall be subject to the independent verification process. The evaluation of only partial operations, mills, suppliers or product lines is not acceptable (The goal is to avoid the development of qualifying “niche” products that do not represent the entirety of the company and potentially shift sourcing of ancient and endangered forest into to other products or mills).
- The verification process focus is on the forest to fibre part of the supply chain, which means all processes and changes of ownership of the material from the forest harvest operations to the manufacture of viscose and other trade marked MMCF products. The company audited shall provide all necessary documents for review in a timely manner, and facilitate timely engagement with, and review of, their suppliers when necessary. Suppliers (dissolving pulp producers, forest management companies, concession holders, etc.) shall be informed of the audit and to be prepared to provide documented information and be visited by the auditors if required.
- The third party independent auditing body shall evaluate the risk of sourcing from ancient and endangered forests by assessing sourcing regions using ForestMapper, the Advice Note on Ancient and Endangered Forest Sourcing and the Dissolving Pulp Mill Classification, by identifying if and when sourcing does intersect with, or is in proximity to, at least one of the many ecological components or ecological values part of the definition of ancient and endangered forests. Forest Mapper is supported by more than 100 companies and prominent scientists and can be found at canopyplanet.org/tools/forestmapper/
- The verification process shall be transparent. This means that the scope, process, audit plan, audit locations and full final report shall be publicly available. The final audit report will be posted on both the MMCF producer website and the auditing body website with links through to audit reports from Canopy’s website also.
- The company shall obtain permission from suppliers to include their name and location in the public report. If permission is not granted, country and region of the supplying forest shall be identified and included in the report.
- The company undergoing CanopyStyle verification shall allow audit teams full access to visit or inspect any parts, location or aspects of an operation relevant to the Guidelines, action plan, short notice, or complaint evaluation. To allow this work, the company shall provide necessary safety training, guidance and equipment to the auditors.

- 审核将关注供应链中从森林木材到纤维产品的部分，即用森林采伐的原材料来生产粘胶纤维和其它标有 MMCF 产品的所有经营以及森林木材所有权变更等。被审核的企业需及时提供所有必要文件，及时协助与供应商的沟通和对他们的评估（如适用）。需告知供应商（溶解浆生产商、森林管理公司、森林经营权持有人等）此审核，并提醒其提供证明文件，如果需要，审核机构会去供应商所在地现场考察。
- 独立第三方审核机构应使用 ForestMapper 地图、《原始濒危森林采购审核说明》及《溶解浆厂评估文件》等工具，评估企业的采购来源地是否以及何时与一个或多个原始濒危森林定义中重要生态环境或高生态价值的区域相互重叠，进而评估原始濒危森林的采购风险。ForestMapper 受到 100 多家公司和杰出科学家的支持，可参考
- 审核过程必须透明，即审核范围、过程、审核方案、审核地点和最终的审核报告都应公开透明。审核报告须于 MMCF 生产商官网和审核机构官网上公示，同时附上 Canopy 网站上的报告公示链接。
- 该公司需获得供应商许可，在公开审核报告中提供供应商名称和地点。如未获得许可，也应核实原材料来自于哪个国家和地区森林，并在报告中指出。
- 正在进行 CanopyStyle 审核的公司须向审核团队提供许可，审核团队可现场考察或调查任何与审核框架、行动计划、临时通知或投诉评价相关的经营、场地或其它活动。因此，该公司应向审核团队提供必要的安全培训、指导和装备。



CONFORMANCE MEASURES SHALL BE USED BY THE AUDITING BODY AS A SCALE BY WHICH AUDITORS ARTICULATE THE DEGREE OF CONFORMANCE WITH THE GUIDELINES:

NOT APPLICABLE – the indicator does not apply to the specific operation or site

COMMITMENT MET – The company is in 100% conformance with the indicator

COMMITMENT IN PROGRESS – The company is in partial conformance with the indicator

COMMITMENT NOT MET – The company does not conform with the indicator

INSUFFICIENT INFORMATION AVAILABLE – There is not enough information to determine conformance.

AUDIT PROCEDURES

PRE-AUDIT PREPARATION

- The company shall fill out the information form and provide it to the auditing body.
- The company shall fill out the list of suppliers template and provide it to Canopy and the auditing body.
- The company shall prepare a risk assessment of their supply using the Canopy ForestMapper, the Advice Note on Ancient and Endangered Forest Sourcing, the Dissolving Pulp Mill Classification, and other available information. (Of note, these tools provide a focus on impacts to Ancient and Endangered Forests in particular).
- The company and auditing body sign a service agreement.
- The company shall appoint a contact person for the audit.
- The company and auditing body shall document the scope of the audit.
- The auditing body shall provide an audit plan to the company.

ONSITE AUDIT

The on-site (field) audit process shall at a minimum consist of:

- Opening meeting
- Document review
- Worker interviews
- Site/field inspection
- Closing meeting
- Interviews with workers shall be conducted in a language they can comprehend. Selection is based on responsibility within the company for acting on specific indicators.
- Worker and community interviews shall be confidential and conducted free of the company's management presence or interference. The audit team ensures that they protect the identity of the respondents and that the respondents will not be penalized in any way for participating in the interview. Female workers and community members

审核机构需使用合规性评价尺度，以表述该公司对审核框架的合规程度

不适用 – 该指标不适用于此经营活动或场地

实现承诺 – 公司针对该指标表现 100%合规

正在实现承诺 – 公司针对该指标表现部分合规

未实现承诺 – 公司针对该指标表现不合规

所供信息不足 – 所供信息不足以判断合规性

审核流程

审核前期准备工作

- 公司需填写信息表，交给审核机构。
- 公司需填写供应商名单表，并交给 Canopy 和审核机构。
- 公司需使用 Canopy ForestMapper 地图、《原始濒危森林采购审核说明》、《溶解浆厂评估
- 文件》和其它数据来源，完成供应链风险内部评估。（需注意，这些工具侧重于对原始濒危森林的影响。）
- 公司和审核机构签订审核服务协议。
- 公司需任命专门对接审核事宜的联络人。
- 公司和审核机构需确定并记录审核范围。
- 审核机构需向公司提供审核方案。

现场审核

现场/实地审核需至少包含以下流程：

- 启动会议
- 文件审核
- 员工采访
- 现场/实地调查
- 结束会议
- 员工采访需使用员工可准确理解的语言。主要根据与特定指标要求相关的工作职责而选择受访者。
- 员工采访需严格保密，公司管理层不可出现在或干预采访现场。审核团队应确保保护被采访人的身份，被采访人不能因参加采访受到任何形式的惩罚。女性员工和工会会员需由女性审核人或女性问题专家采访（特别是涉及到宗教或性骚扰等问题）。

should be interviewed by female auditors or female content experts (especially if religious or harassment issues call for it).

- The methodology for selecting workers and community members shall be described in the audit report.

DESK AUDIT

- All pre-audit and on-site audit criteria apply except where the physical presence of the auditor(s) precludes in-person inspection of the facilities and face-to-face meetings with workers and stakeholders.

See ANNEX 3 for the audit flow chart.

MEETING COMPANY COMMITMENTS TO THE CANOPYSTYLE CRITERIA:

- The company shall conform to Critical Criteria relevant to Ancient and Endangered Forests prior to being considered Verified to low risk.
- Commitments not met against the Canopy recommendations made during a previous audit in relation to risk of sourcing from Ancient and Endangered Forests shall be addressed within one year of the approval of the final audit report. Canopy may grant a time extension at its discretion.
- Commitment not met with known sourcing from Ancient and Endangered Forests or the elements described in “Controversial Sources” found during the main evaluation, surveillance audit or complaint audit shall be addressed by the company by developing a tailored and satisfactory action plan, with key deliverables and timelines, to eliminate and/or mitigate the risk.

AUDIT REPORT, ACTION PLAN AND PUBLIC AVAILABILITY:

- The CanopyStyle Audit report template shall be used. The report shall be in English.
- The draft verification report shall be submitted to Canopy within twenty (20) business days from the end of the field verification work
- Canopy shall complete a review the draft report within fifteen (15) business days from receipt of the report from the auditing body. When the draft report is returned to the auditing body, the auditing body has ten (10) business days to respond to Canopy’s comments, and then sends the draft report to the company.
- The company has fifteen (15) business days to review the report and make comments and return it to the auditing body.
- The auditors and Canopy has ten (10) business days to respond to the company and finalize the report.

- 选择采访员工和工会会员的方式原则需在审核报告中呈报。

文件审核

- 所有审核前期准备和现场审核标准均适用，除非审核人员亲临现场妨碍了对工厂的实地考察以及与员工和利益相关方面对面的会谈。

请参考附件 3 审核流程图。

公司实现 CanopyStyle 标准的合规承诺:

- 公司需满足与原始濒危森林相关的所有适用关键标准，才能获得低风险的评估结果。
- 对于在上一次审核中未实现承诺的指标，应在最终审核报告获得审批后的一年内，根据 Canopy 建议解决该问题。Canopy 可酌情给予宽限期。
- 如果在首次综合性审核中发现公司存在来自于原始濒危森林或“争议性地区”的采购行为，公司需制定相应可行的消除及/或减小风险的行动计划，其中指明关键行动成果和时间安排，随后进行跟踪审核或投诉审核。

审核报告、行动计划和公开检索:

- 需使用 CanopyStyle 审核报告模版。报告需用英文撰写。
- 审核报告初稿需于现场审核工作结束后 20 个工作日内提交给 Canopy。
- Canopy 需在审核机构提交审核报告后 15 个工作日内完成审批。审核机构收到审批稿之后，需于 10 个工作日内向 Canopy 提交反馈意见，然后将初稿报告发送给公司。
- 公司需在 15 个工作日内完成审阅，并将反馈意见提交给审核机构。
- 审核机构和 Canopy 需在 10 个工作日内回复公司的反馈意见，然后定稿。
- 公司和 Canopy 需在 30 个工作日内完成公司的跟进行动方案意见书以及下一次审核的方向。
- 审核结束且审核报告公开发布之后，公司需制定详细且规定时限的行动计划，指明如何解决“正在实现承诺”或“未实现承诺”，如何获得长足进展。
- 审核报告需在现场考察结束后四个月之内定稿。
- 审核报告定稿即表示审核机构完成审核。

- Recommendations to the company for follow-up actions and directions for the next audit shall be completed between the company and Canopy within 30 business days.
- Following the closure of the audit and public release of the audit report the company is expected to adopt an action plan that shall address commitments that are in progress or not met and continual improvement in a detailed, time-bound plan.
- The audit report shall be finalized within four (4) calendar months from the field work.
- The final verification audit report marks the auditing body's completion of the audit.
- The final verification audit report shall be made publicly available within a maximum of 60 additional days of when the final report has been delivered to the company. The company and auditing body shall display all audit reports on their website.
- Acceptable examples of information that may be excluded from the public report include:
 - Financial data
 - Identities of workers who were interviewed for the audit
- In total, from start to finish, the time period to complete the audit and release the audit report publicly is up to 6 months maximum. If the timeline of 6 months were exceeded, the company's commitment to the CanopyStyle Initiative and to the full verification audit process may be compromised.

It is the expectation of the Leaders Group that all operations of the MMCF producers will be subject to the independent verification process. The evaluation of only partial operations, mills, suppliers or product lines would not be considered acceptable. The goal is to avoid the development of qualifying "niche" products that do not represent the entirety of the company and potentially shift sourcing of ancient and endangered forest into to other products or mills, therefore partial verification will not be satisfactory nor supported.

- 审核报告终稿需在公司收到最终报告之后最多 60 天之内公开发布。公司和审核机构需在各自官网上公开审核报告所有内容。
- 可免除公开发布的报告内容仅包括：
 - 财务数据
 - 受采访的员工身份
- 从审核开始到结束，即完成审核并公开发布审核报告的时间总计至多 6 个月。如果超过 6 个月，公司对 CanopyStyle 行动和完整全面审核的承诺可能会受到影响。

领导小组期望 MMCF 生产商的所有运营都要接受独立审核。仅审核部分运营、工厂、供应商或产品线将不被接受。全面审核可以避免一小部分合规产品代表该公司全部产品接受审核，或来自于原始濒危森林的原材料被转移到其它产品线或工厂。因此部分审核将不被认可或支持。



DEFINITION OF ANCIENT AND ENDANGERED FORESTS

The following definition of Ancient and Endangered Forests shall be the one used for the third party verification: Ancient and Endangered Forest are defined as intact forest landscape mosaics, naturally rare forest types, forest types that have been made rare due to human activity, and/or other forests that are ecologically critical for the maintenance of biological diversity and ecological integrity. Ecological components of endangered forests are:

- Intact forest landscapes;
- Remnant forests and restoration cores;
- Landscape connectivity;
- Rare forest types;
- Forests of high species richness; forests containing high concentrations of rare and endangered species;
- Forests of high endemism;
- Core habitat for focal species;

ForestMapper, an interactive map of ancient and endangered forests that incorporate the best- available geospatial data from biodiversity conservation science to assist companies transitioning to more sustainable supply chains, provides a full definition and spatially explicit rendering of -Ancient and Endangered Forests to be used for auditing purposes. canopyplanet.org/tools/forestmapper/

The Advice Note on Ancient and Endangered Forest Sourcing is available here canopyplanet.org/resources/canopystyleaudit/canopystyle-audit-guidelines/

Also available is a Quick Guide to Ancient and Endangered forests. canopyplanet.org/wp-content/uploads/2018/11/CanopyQuickGuideAncientEndangeredForests.pdf

DEFINITION OF CONTROVERSIAL SOURCES

Controversial sources, including fibre from a corporate connection, association, ownership or affiliation with an entity which is linked to:

- Illegal activities,
- Violations of the rights of indigenous peoples and local communities
- The degradation or loss of ancient, intact, old growth, endangered or High Conservation Value (HCV) forests and areas,
- The degradation or loss of High Carbon Stock (HCS) forests,
- The degradation or loss of tropical peatlands of any depth,
- The deforestation and/or conversion of natural forests or peatlands to plantations,
- Plantations established after 1994 through the conversion or simplification of natural forests, and,
- The use of genetically modified organisms (GMO).

古老和濒危森林的定义

以下对古老和濒危森林的定义将用于第三方验证：古老和濒危森林被定义为完整的森林景观镶嵌体、自然稀有的森林类型、因人类活动而变得稀有的森林类型，和/或其他对维持生物多样性和生态完整性具有关键生态意义的森林。濒危森林的生态组成部分包括：

- 完整的森林景观；
- 残存森林与生态恢复核心区；
- 景观连通性；
- 稀有森林类型；
- 物种丰富度高的森林；包含大量稀有和濒危物种的森林；
- 特有性高的森林；
- 关键物种的核心栖息地。

ForestMapper 是一个互动式原始濒危森林地图，载入了生物多样性保护科学的最佳地理数据，有助于企业向更可持续性的供应链转型。该地图提供了原始濒危森林的完整定义和空间数据，可用作审核工具。 canopyplanet.org/tools/forestmapper

《原始濒危森林采购审核通知》链接 canopyplanet.org/resources/canopystyleaudit/canopystyle-audit-guidelines/

原始濒危森林快速导览亦可参阅

争议性来源的定义

争议性来源包括与涉及以下情况的实体存在联系、关联、所属关系或附属关系的企业所供材料：

- 非法活动
- 侵犯原住民和当地社区的权利
- 导致原始、完整、原生、濒危或高保护价值HCV森林和地区遭到破坏或消失
- 导致高碳汇HCS森林遭到破坏或消失
- 导致任何厚度的热带泥炭地遭到破坏或消失
- 导致天然森林或泥炭地退化和/或转化为种植林
- 1994年后自然森林转化或改造而成的种植园
- 使用转基因树种

REQUIRED QUALITIES OF THE AUDITOR

- Is independent, credible, and formally accredited by the Accreditation Service International (ASI - [accreditation-services.com](https://www.accreditation-services.com))
- Is recognized by the conservation and NGO community
- Has competent auditors that have experience in MMCF producing countries, and is capable of verifying a global supply chain
- Has proven experience in verification against forest policy commitments
- Will form a team of auditors that are independent, highly qualified, have several years of experience in third party auditing and are selected without influence from the audited company
- Will provide comprehensive updates on the evaluation process to Canopy, with permission to share to the Leaders Group as the verification audit progresses. This could be done in the form of written updates, sharing evaluation material, through organizing webinars, etc.
- Auditors require approval to undertake the CanopyStyle Verification Audits by Canopy and the Leaders Group. Pre-approval will include a trial period with pre-conditions agreed to by Canopy.

THE ROLE OF THE CANOPYSTYLE LEADERS FOR FOREST CONSERVATION CANOPYSTYLE

The CanopyStyle Leaders for Forest Conservation Group (Leaders Group) will be a key stakeholder in these verification audits. They will be informed, by Canopy, at all stages in the process, including during the design, development, evaluation and reporting phases, and their input will be carefully considered. Canopy can provide them with initial observations as well as final reporting of findings and recommendations prior to the final report being made public, with an understanding that those materials are confidential and embargoed.

FINANCIAL STRUCTURE

Currently, the MMCF producer is responsible for the full cost of the audit.^{xi}

KEY PERFORMANCE INDICATORS

The following KPIs have been identified and approved by CanopyStyle Leaders for Forest Conservation Group for the consideration of the auditors and producers. They are not an exhaustive list and they could be expanded. They have been developed to help expedite the process and provide insight into the interest of the marketplace.

审核机构的必要资质

- 获得国际认证组织(ASI - [accreditation-services.com](https://www.accreditation-services.com))
- 正式认可的、独立的、具有公信力的认证机构;
- 获得环保组织和 NGO 领域广泛认可;
- 拥有在 MMCF 生产国有审核经验的审核员, 有能力审核全球供应链;
- 在森林政策合规性审核方面有成功经验;
- 可组织独立的、高素质和拥有第三方审核的多年经验的审核团队, 且审核员的任命不受待审企业的影响;
- 在审核过程当中, 向 Canopy 全面汇报最新情况, 并准许与领导小组分享。可选择书面呈报、分享审核材料或组织在线会议等方式进行汇报。
- 审核员需要获得 Canopy 和领导小组的同意, 才能开展 CanopyStyle 审核, 其中包括一段试用期, 满足 Canopy 确定的先决条件。

森林保护领导小组的作用

CanopyStyle 森林保护领导小组(领导小组)是审核过程中的关键利益相关方。在设计、开发、评估和撰写报告等各个审核阶段, Canopy 会告知领导小组, 并认真考虑其提出的意见。在报告终稿正式公开发布之前, Canopy 可向领导小组提供初步结果、报告终稿以及建议, 此类文件严格保密, 禁止公开。

更多关于领导小组的讯息: canopyplanet.org/campaigns/canopystyle/canopystyle-leaders-for-forest-conservation/

资金结构

目前, MMCF 生产商承担审核的所有成本。

关键绩效指标 KPI

以下KPI是由CanopyStyle森林保护领导小组开发并审批, 供审核机构和生产商参考使用。本列表不尽完善, 可酌情补充。该KPI旨在帮助加快审核流程, 体现市场的关注点。



SECTION 1

KEY COMMITMENT

The MMCF producer has publicly communicated and is implementing the Fiber Sourcing/Forest Policy MMCF.

关键承诺

MMCF生产商已经公告且正在执行纤维/森林采购政策。

PRELIMINARY PERFORMANCE INDICATOR 初步绩效指

VERIFIERS AND EXAMPLES OF EVIDENCE 验证方法&举证案例

RESPONSIBILITY 责任方

1.1		
Senior executive and key managers make a publically available commitment to full implementation of the forest sourcing policy.	- Policy is public and readily available on Web Site. - CEO's and key staff of each mill (dissolving pulp AND viscose mills) are aware and implementing the policy	Corporate
高管和主管经理公开承诺执行森林采购政策的承诺。**	- 政策已在官网上公布。 - 每个工厂（溶解浆厂和粘胶工厂）的CEO和关键职员都已了解并正在实行。	企业
1.2		
The MMCF producer has developed standard operating procedures (SOP) required to implement the Policy. These are available upon request to stakeholders.	Evidence of policy implementation is required. Action plans, standard operating procedures, management plans that reference being in line with policy, etc.	Corporate
MMCF生产商已经制定了SOP标准操作程序，专为执行采购政策。如若利益相关方需要，可供分享。**	必须有政策执行的证据。与政策相一致的行动方案、管理计划、标准操作程序等。	企业
1.3		
The MMCF producer has assigned personnel with responsibility for Policy implementation. **	- Policy is posted and employees are aware and fully informed. - Fiber procurement manager responsible - Evidence includes a signed acknowledgment from key staff that they have read and understand the policy	Corporate
MMCF生产商已经指派专人负责政策执行事宜。**	- 政策已经公告，员工知晓并完全了解。 - 纤维采购经理负责制。 - 证明文件包括关键负责人的书面承诺，表示已经阅读并理解该政策。	企业
1.4		
The MMCF producer has developed capacity and organizational structure to implement the Policy.	- Policy is in place and acted on. - Auditor will be provided with organisational charts that describe who is responsible for what	Corporate
MMCF生产商已经配备政策执行的人员和组织框架。	- 政策已经制定，正在实施。 - 向审核员提供组织框架图，描述哪位员工负责哪项工作。	企业

1.5		
The MMCF producer has communicated its commitment to implement its Policy to all its suppliers. **	Evidence includes a range of actions, such as: - A memo that contains the policy and a description of what it means has been sent to the suppliers. - Suppliers have signed a statement that they have read and respect the policy. - Policy is referred in new and renegotiated contracts with suppliers. - Suppliers are been invited to adopt a similar policy, with supportive documentation.	Corporate
MMCF生产商已经告知所有供应商其对政策执行的承诺。**	证明文件包含一系列行动, 比如: - 已向供应商发送含有政策和政策描述的信函。 - 供应商已经签署“已经审阅并尊重该政策”的声明。 - 该政策在与供应商新签和续签的合同中有所体现。 - 公司鼓励供应商采用同样类似政策, 并可提供相关支持文件。	企业
1.6		
The MMCF producer has included requirements to implement the Policy in agreements/contracts with current and future suppliers. **	Policy elements are required as conditions to be met in contracts to suppliers.	Corporate
MMCF生产商在与现有和未来供应商的协议/合同中加入执行该政策的要求。**	与供应商的合同中含有该政策合规的要求条款。	企业
1.7		
The MMCF producer has developed, and is implementing a system to monitor supplier conformance with the Policy. **	Summary of annual purchases Identification of all tree species used at the mill during visit is consistent with purchase records Samples of woodchips or pulp on site are consistent with purchase records	Corporate
生产场所保存且可以查证每年的采购记录(或进料记录)。	每年的采购记录总概 现场调查期间所查证的工厂使用的所有树种信息与采购记录相一致。 现场的木片或浆样与采购记录一致。	企业
1.8		
The MMCF producer has put in place a grievance procedure.	Public and stakeholders has a means to input concerns on forest management and sourcing practices to the company.	Corporate
MMCF生产商已制定申诉机制。	公众和利益相关方有渠道向公司提出有关森林管理和采购经营的意见。	企业

1.9		
The MMCF producer has developed, and is implementing, an action plan that address any identified non-conformance and grievance received. **	Evidence of public concerns are tracked and action items or responses are recorded.	Corporate
种植林的初始创建时间已有记录, 且仅从1994年之前转化的种植林采购原材料.**	有证据表明, 公司密切关注公众关 切, 公司的行动或反馈也记录存档。	企业
1.10		
Key managers at each production site are aware of the Policy and demonstrate a similar commitment to implement it. **	– Policy is posted and employees are aware. – Training occurred for employees, for instance with purchasing department employees, and a signed training sheet and training agenda are shown as evidence.	Mills/ Production Sites
每个生产场所的管理层了解该政策, 并同样承诺实施此政策.**	– 政策已公告, 员工了解该政策。 – 已对员工进行培训, 比如培训采购部门人员; 培训签到表和培训日程则视为证明文件。	工厂/生产场所
1.11		
Each production site managers have developed procedures to implement the Policy, when relevant.**	– Policy is in place and acted on. – All fiber plants (viscose mills) key purchasing manager aware of the policy and putting systems in place to be in conformance. – Evidence of training	Mills/ Production Sites
每个生产场所的管理者对相关经营环节已开发实施该政策的程序.**	– 政策已经制定, 正在实施。 – 所有纤维工厂(粘胶工厂)的关键采购经理了解该政策, 已制定合规体系。 – 培训的证明文件	工厂/生产场所

SECTION 2

KEY COMMITMENT

The MMCF producer only sources raw material from suppliers that are transparent, traceable and are in conformance with the policy

MMCF生产商只与透明、可追溯、符合该政策的供应商合作。

PRELIMINARY PERFORMANCE INDICATOR 初步绩效指

VERIFIERS AND EXAMPLES OF EVIDENCE 验证方法&举证案例

2.1		
The MMCF producer identifies all raw material inputs by volume (ie, wood pulp/chips, cotton linters, agricultural residues, recycled cotton pulp) for the previous year. It also includes information about what volumes have FSC claims (ie, FSC Mix, FSC 100%, FSC controlled wood). Where traceability is known, specify the FSC certified FMU.	– Excel spreadsheet listing all inputs by material type, supplier and volumes. – Where possible volumes from FSC management certified operations are documented including certification numbers provided.	Corporate and mills/ production sites
MMCF生产商知悉上一年所有原材料(木浆/木片、棉短绒、农业废弃物、回收棉浆)的采购及相应的数量, 以及哪些是FSC认证(FSC Mix、FSC 100%、FSC受控木材)的材料。如果具备可追溯性, 详细说明FSC认证的FMU。	– 根据纤维采购政策所定义的争议性森林绘制木材供应区地图。 – 如有记录FSC认证材料的采购, 还需提供认证编号。	企业和工厂/生产场所
2.2		
An assessment of the MMCF producer supply chain has been completed globally. The producer used the Forest Mapper, advice note on Ancient and Endangered Forests and the Dissolving Pulp Classification tool, to make their supply assessment. **	– Excel document provided by Canopy filled and shared with Canopy, the Leaders Group and the auditor with confidentiality – Additional evidence such as invoices are provided to the auditor, when required – COC Document – Additional evidence such as invoices are provided to the auditor, when required	Corporate and mills/ production sites
MMCF生产商的全球供应链已完成评估。生产商使用ForestMapper地图、《原始濒危森林采购审核通知》及《溶解浆厂评估文件》完成供应链内部评估。**	– 填写 Canopy 提供的电子表格, 在信息保密的前提下分享给Canopy、领导小组和审核机构。 – COC 文件 – 如有需要, 向审核机构提供其它证明 – 文件, 比如发票。	企业和工厂/生产场所
2.3		
The assessment identifies all suppliers in the chain that supply the MMCF mills, beginning at the forest or plantation of origin.	– The Excel document provided by Canopy is filled and includes COC tracking numbers, tree species, country or origin and forest region/ tenures – COC Document	Corporate and mills/ production sites
评估需确定 MMCF 生产商供应链上的所有供应商, 上游直至森林或种植林。	– 填写 Canopy 提供的电子表格, 包括 COC 跟踪号、树种、森林来源国或地区/所有权 – COC 文件	企业和工厂/生产场所

2.4

This assessment is updated every year and shared with Canopy, with permission to share with the Leaders Group.

- Sourcing from ancient and endangered forests, or risk of suppliers sourcing from these areas is identified, when relevant forest region/ tenures
- COC Document

Corporate and mills/
production sites

该评估每年更新并与Canopy分享，同时准许与领导小组分享。

- 已经明确来自于原始濒危森林的采购风险或供应商从原始濒危森林采购的风险。
- COC 文件

企业和工厂/
生产场所

2.5

The producer developed additional criteria to complete their risk assessment, to include legality, violation of human rights and risks related to the conversion of natural forests to plantations (1994 date), use of Genetically Modified Organism.

- FSC Forest Management may be a proxy.

Corporate and mills/
production sites

生产商制定额外的标准以完成风险评估，包含合法经营、侵犯人权、天然林向种植林转化的风险（1994年以后）以及使用转基因树种。

- FSC 森林管理认证可作为替代方案。t

企业和工厂/
生产场所

2.6

The MMCF producer publishes its suppliers publicly, or, in the absence of such transparency, is providing its customers with a robust track and trace system that can be used throughout the supply chain up to clothing and textile retailers.

- Producer provides COC tracking numbers.
- Company audit results are known and shared in the supply chain
- Company is working with customers to advance a track and trace system
- Company sells traceable certified products

Corporate

MMCF生产商完全公开供应商名单，或者向客户提供服装和纺织品的可追溯体系。t

- 生产商提供 COC 追踪数据。
- 公开审核结果，与供应链伙伴商分享。
- 企业与客户合作，加强建立可追溯体系。tt
- 企业销售可追溯的认证产品。

企业t

SECTION 3

KEY COMMITMENT

The MMCF supply chain is deforestation free –there is no conversion of natural forest to plantations.

再生纤维素纤维供应链实现零毁林，即没有从天然林转化为种植林的原材料

3.1

The initial date of the plantation development has been documented and sourcing only occurs in areas identified pre 1994, or post 1994 with a supporting valid FSC certificate. **

- Date of plantations is known, evidence includes government papers specifying conversion date
- Chain of custody reports
- FSC certificates, when relevant

Corporate and mills/
production sites

种植林的建立时间已记录存档；仅采购于 1994 年前建立的转化林，或 1994 年后建立但通过 FSC 认证的林地。**

- 种植林的建立日期已记录存档，证明文件包括含有明确转化日期的政府文件。
- 监管链报告
- 如有，提供 FSC 认证证书。

企业和工厂/
生产场所

SECTION 4

KEY COMMITMENT

Since the signature of the Policy, all sourcing from ancient and endangered forests and other controversial sources have been eliminated.

自该政策签发之后, 停止所有来自于原始濒危森林和其它争议性地区的采购

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RESPONSIBILITY 责任方

4.1

The MMCF producer has adopted clear definitions for the terms included in their Policy, such as "ancient and endangered forests", "intact forest", "natural forest", "endangered species", "controversial sources", "high conservation value", "high carbon area", "peatlands", etc. that are consistent with this document and the forest sourcing policy template. **

- Company has adopted the definition of ancient and endangered forest.
- Forest Management plans with elements of protecting forests with exceptional conservation
- Protected areas value such as:
 - Protected areas
 - High Conservation Value Forest (HCV)
 - Species at Risk and Threatened and Endangered Species.

Corporate

MMCF生产商对政策中的关键词定义明确, 比如“原始濒危森林”、“完整森林景观”、“天然林”、“濒危物种”、“争议性来源”、“高保护价值”、“高碳汇地区”、“泥炭地”等, 且这些定义与此文件以林采购政策模版中的定义一致。**

- 企业明确原始濒危森林的定义。
- 森林保护方案中包含保护以下具有极高保护价值的森林:
 - 保护区
 - 高保护价值森林 HCV
 - 高风险、受威胁、濒危物种

企业t



4.2

All areas meeting the definition of “ancient and endangered forests” have been identified and mapped and suppliers and fibre that have a high risk of being considered controversial sources have been identified and shared with Canopy, with permission to share with the Leaders Group. **

- Any sourcing from Canadian and Russian Boreal Forests; Coastal Temperate Rainforests of British Columbia, Alaska and Chile; Tropical forests and peat lands of Indonesia, the Amazon and West Africa has been clearly identified and shared with Canopy, the Leaders Group and the auditor. (Exact forest site will need to be known)
- In other ancient and endangered forests where the 5 requirements identified in the Advice Notice have not been met this sourcing has been clearly identified and shared with Canopy, the Leaders Group and the auditor. (Exact forest site will need to be known)
- For FSC certified forests within ancient and endangered forests, the HCVF reports and COC risk analysis are provided and will be closely analysed, as alone, FSC in ancient and endangered forests is not considered sufficient, additional efforts on conservation could be required.
- The company proactively and voluntarily discloses all areas where it is in public conflict with local communities, and shares this information with Canopy, the Leaders Group and the auditor.

Corporate

所有符合原始濒危森林定义的区域都已确认并标注，来自于争议性地区采购的高风险供应商和纤维已经确认，并告知Canopy，同时准许与领导小组分享。**

- 任何来自于加拿大和俄罗斯北方林，英属哥伦比亚、阿拉斯加和智利的沿海温带雨林，印度尼西亚、亚马逊和西非的热带雨林和泥炭地的采购已经明确，并告知 Canopy、领导小组和审核机构。（需要具体到林地位置）
- 如果从“其它原始濒危森林”采购，并没有达到《审核说明》的 5 项要求，则需说明此采购已充分知悉，并告知 Canopy、领导小组和审核机构。（需提供具体的森林地点）
- 位于原始濒危森林内的 FSC 认证森林需提供 HCVF 报告和 COC 风险分析，所提交报告将进行详细评估。此外，原始濒危森林内的区域获得 FSC 认证并不是充分条件，仍需提供其它森林保护证明文件。
- 企业主动和自愿披露所有与当地社区产生冲突的区域，并告知 Canopy、领导小组和审核机构。

企业t

4.3		
Any raw materials in the MMCF producer's supply chain originating from ancient and endangered forests or other controversial sources, and acquired before the Policy was adopted by the company, such as stocks in log yards, will be documented, identified accordingly and utilised by the mills. **	If applicable, documentation such as: – Invoices – Import Documents – Evidence of origin of raw materials and date	Corporate and mills/ production sites
MMCF生产商的供应链中来自于原始濒危森林或其它争议性地区且在该政策制定之前采购的原材料, 比如储木场的库存, 需记录在册, 确保工厂使用时可以识别。 **	如适用, 记录文件包括: – 发票 – 进口文件 – 标注日期的原材料来源证明文件	企业和工厂/ 生产场所
4.4		
The MMCF producer is aware of all relevant local, national and international laws and there is no evidence of non-compliance, with local, national or international laws. **	– Access to relevant laws and regulations which are appropriate to the locations. – Demonstrates commitment to legal compliance. – Non-compliance would likely occur when the Corruption Perception Index (CPI) score is below 55.	Corporate and mills/ production sites
MMCF生产商的供应链中来自于原始濒危森林或其它争议性地区且在该政策制定之前采购的原材料, 比如储木场的库存, 需记录在册, 确保工厂使用时可以识别。 **	– 了解当地相关法律法规 – 承诺不违法相关法律法规 – 当清廉指数 CPI 低于 55 时, 很可能存在不合规问题。	企业和工厂/ 生产场所
4.5		
The commitment not to source from ancient and endangered forests and other controversial sources is verified. **	– Verify sourcing policy is in place and part of Environmental Management System or Operating Standard Procedures. – The above KPI/indicators have all been met allowing for application of the Advice Notice and Section 6 (4.1, 4.2, 4.3, 4.4) – Any sourcing from controversial sources or ancient and endangered forests inconsistent with the Advice Notice is terminated, except where all conditions clarified in the Advice Note and in 6.2 and 6.5 below have been met.	Corporate and mills/ production sites
不从原始濒危森林和其它争议性地区采购的承诺已经得到审核。 **	– 审核采购政策是否到位, 是否成为环境管理体系或标准操作程序的一部分。 – 满足以上所有 KPI 指标(4.1, 4.2, 4.3, 4.4)。 – 已停止所有来自于争议性地区或原始濒危森林的采购, 除非满足《审核说明》、标准6.2、标准 6.5 等所有条件。	企业和工厂/ 生产场所

SECTION 5

KEY COMMITMENT

If suppliers contravene these criteria, the MMCF producer will first engage them to change practices and then re-evaluate its relationship with them.

如果供应商违反这些标准，MMCF生产商将先号召供应商改变经营方式，然后重新考虑合作关系。

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RESPONSIBILITY 责任方

5.1		
All MMCF producers' suppliers are identified and the forest of origin is known.**	– COC documents by facility. – Enforcement of the policy is in place, with proof, when relevant.	Corporate and mills/ production sites
所有MMCF生产商的供应商和森林来源地都已确定。**	– 工厂的COC文件 – 如适用，该政策已经执行，可出具证明文件。	企业和工厂/生产场所
5.2		
The MMCF producer has developed procedures for engaging with suppliers, up to withdrawing from purchase and other agreements in situations where non-conformance is found. **	– Enforcement of the policy is in place, with proof, when relevant	Corporate and mills/ production sites
NOTE This means potential legal and contractual issues associated with withdrawal are identified and addressed.		
所有MMCF生产商的供应商和森林来源地都已确定。**	– 如适用，该政策已经执行，可出具证明文件。	企业和工厂/生产场所
注释 终止协议带来的潜在法律和合同问题已明确并得到解决。		
5.3		
The MMCF producer has documented withdrawals from supply agreements where non-conformance has been found. **	– Enforcement of the policy is in place, with proof, when relevant	Corporate and mills/ production sites
所有MMCF生产商的供应商和森林来源地都已确定。**	– 如适用，该政策已经执行，可出具证明文件。	企业和工厂/生产场所



SECTION 6

KEY COMMITMENT

The MMCF producer welcomes interested stakeholders and Leaders Group observers to verify the implementation.

MMCF生产商欢迎感兴趣的利益相关方和领导小组观察员审查政策执行的情况。

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RESPONSIBILITY 责任方

6.1		
When requested, Canopy, the Leaders Group and other stakeholder observers are permitted to participate freely and to report observations during this verification process. **	– Strong coordination, agreed to solutions and next steps developed with Canopy regularly. – Joint meetings with the auditor are organised to discuss interpretation of the audit, concerns, timelines etc. – Information and progress updates of the audit is shared with Canopy, with permission to share with the Leaders Group	Corporate and mills/ production sites
当需要时, Canopy、领导小组和其他利益相关方观察员获准在审核过程中参与其中并汇报观察结果。**	– 定期与Canopy 协商, 共同制定解决方案, 开发下一步计划。 – 组织与审核机构间的对话, 对审核问题展开答疑, 讨论 – 与Canopy 分享审核进展和相关信 息, 同时准许与领审核建议和时间安排等。	企业和工厂/ 生产场所
*If sourcing from Priority Ancient and Endangered Forests, the MMCF producer (and/or supplier) is doing so in a manner consistent with the Advice Note and actively engaging its supplier(s) to undertake large-scale scientifically based conservation planning and seeking FSC forest management certification for wood sourcing. (if, and when the producer is vertically integrated, they may execute the conservation planning and FSC certification themselves)	*如有来自于重点原始濒危森林的采购, MMCF生产商 (和/或供应 商) 根据《审核说明》, 正与供应商积极沟通, 鼓励其开展大规模的科学保护方案, 并对木基材料寻求FSC认证。(如果/当生产商垂直整合供应 链, 需由生产商自身执行保护方案, 获得FSC认证。)	
6.2		
The MMCF producer requires of its supplier to complete large scale scientifically based conservation planning, High Conservation Value assessments, and/or High Carbon Value assessment, identifying areas for protection, has been completed, based on best available science, by a credible third party, and made public. **	– Current mapped areas are identified within the management plans – Potential future areas mapped, for future consideration. – Work with stakeholders to identify conservation opportunities – Identify conservation thresholds based on science – Agreements are reached identifying and mapping areas for voluntary deferrals	Corporate and mills/ production sites
MMCF生产商要求其供应商实施的大规模科学的保护方案、高保护价值评估、和/或高碳汇 价值评估、森林保护区域的确定均已完成, 由具有公信力的第三方用最科学的方法评估, 评估结果已公示。**	– 潜在的未来保护区域也已标明, 为以后的方案树立参考。 – 与利益相关方合作, 寻找森林保护机会。 – 用科学的方法确定保护临界值 – 与各方达成一致, 确定并标注自愿延期砍伐的区域。	企业和工厂/ 生产场所

6.3

If sourcing from controversial areas, with records of conflict and human rights violation, the MMCF producer requires of its supplier to complete an assessment that includes participatory mapping of lands owned or claimed by indigenous and local communities, identification of areas for protection, areas for conflict resolution and remedy of past harms that involve affected parties, their chosen advisors and relevant stakeholders, have been completed by a credible and mutually agreed third party and made public. **

Corporate and mills/
production sites

如有采购于存在冲突和侵犯人权的争议性地区，MMCF生产商要求其供应商完成的评估已经由具有公信力且共同认同的第三方完成，受影响的各方、他们指派的顾问和利益相关方均参与评估，内容包括共同确认原住民和当地居民所拥有的土地范围，确认保护区域，需解决冲突和补偿过去伤害的区域。评估结果已公示。**

企业和工厂/
生产场所

6.4

The MMCF producer requires of its supplier to have developed a management plan that identifies measures to protect areas identified in large scale scientifically based conservation planning, HCV and HCS assessments with the Free, Prior and Informed Consent of indigenous and local communities whose land or land claims are impacted and with input from credible ENGOs. **

Forest Management plans with elements of protecting forests with exceptional conservation value such as:

- Protected Areas
- High Conservation Value Forest (HCV)
- Species at Risk and Threatened and Endangered Species.

Corporate and mills/
production sites

The Plans have been made public and shared with local stakeholders.

应MMCF生产商要求，供应商已经制定一套管理方案，制定措施保护在大规模科学保护方案中囊括的保护区域，在获得所拥有的土地遭到影响的原住民和当地社区的“事先知情同意”的基础上评估HCV和HCS，且参考了可信赖的环保非营利组织的建议。**

森林管理方案，包括保护具有特殊保护价值的森林：

- 保护区
- 高保护价值森林 HCV
- 有风险、受威胁、濒危物种

企业和工厂/
生产场所

方案已公告，并与当地利益相关方分享。

6.5

The MMCF producer requires of its supplier to have developed and implemented a time-bound action plan to actively seek the legal protection of these areas with final land-use decision-makers in a way that meets principles of Free Prior and Informed Consent. **

- Potential future areas mapped. For future consideration and have been communicated to the Public lands managers to be evaluated.
- Work with decision makers in government and First Nations to see the conservation area legislated.

Corporate and mills/
production sites

应MMCF生产商要求，供应商已制定并执行一个有时间期限的行动计划，积极与土地使用的最终决策者合作，用法律手段保护这些地区，且满足“事先知情同意”原则。**

- 已划定潜在的未来保护区域，供未来保护计划参考，并已联系公共土地管理者以获得评估。
- 与政府决策者和第一民族（原住民社区）合作，对保护区域立法保护。

企业和工厂/
生产场所

SECTION 7

KEY COMMITMENT

The MMCF producer shall require their forest/wood suppliers to recognize, respect and uphold human rights and the rights of communities and workers affected by the operations of mills and their supply chain and affiliated companies in the forestry sector.

NOTE

This audit focuses on only on forest sourcing and wood-based pulp production. We recognize that there are other issues of concern and interest that are beyond the scope of this risk verification audit. Additional actions will be required by brands, retailers and MMCF producers to adequately address and verify health and safety, working conditions, labour practices, equity and discrimination at mill sites.

MMCF生产商须要求他们的森林/木材供应商认可、尊重和维护人权，以及受到其工厂、供应链和附属林业公司影响的社区和工人的权利。

注意

此审核仅针对森林采购和木基浆粕的生产。我们知道除木纤维采购审核之外，很多其它问题也值得关注。零售商、品牌商和MMCF生产商可能要求采取其它举措，处理此审核范围之外的问题，例如生产场所的健康与安全、工作条件、劳工问题、平等与歧视等

PRELIMINARY PERFORMANCE INDICATOR 初步绩效指

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RESPONSIBILITY 责任方

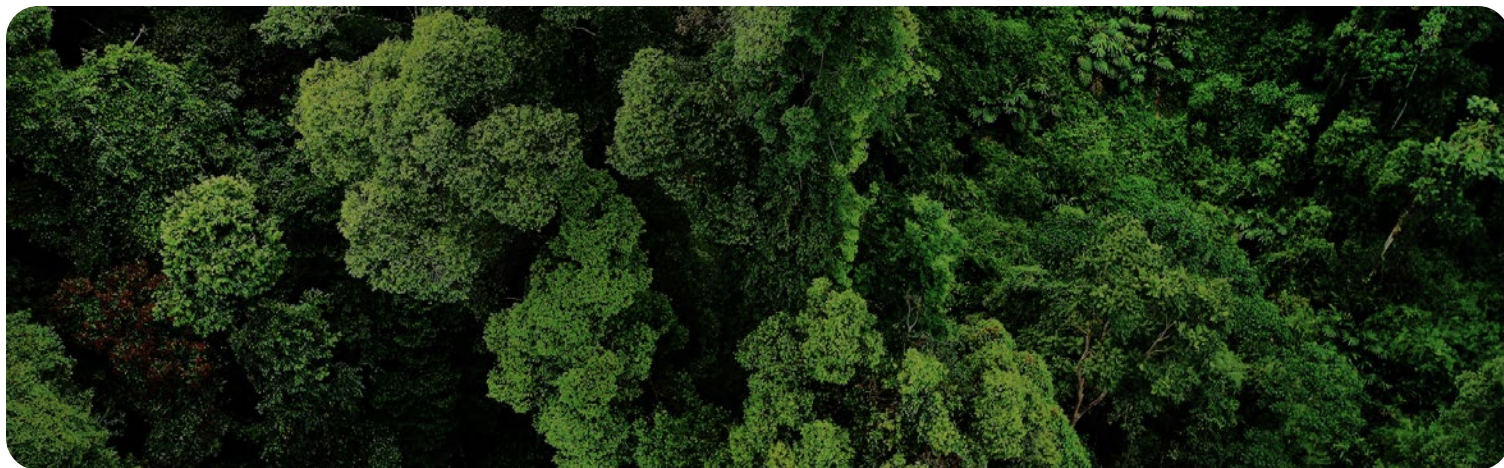
7.1

The MMCF producer has developed and requires its suppliers to adopt a similar policy, systems and procedures to implement Free, Prior and Informed Consent of indigenous people and local communities affected by forest operations.**

- Company shows forest/wood suppliers have adequate policies in place by sharing supplier policy documents.
- Company demonstrates a record of negotiation and consultation with affected First Nations/ indigenous/local communities within fibre basket.
- Company shows examples of existing agreements, such as MOU's.
- Company has a strategy to develop capacity building and relationship building with affected First Nation/indigenous/local communities.

MMCF生产商已经制定并要求供应商也制定相同政策、体系和程序，以确保对受森林经营影响的原住民和当地社区的“事先知情同意”。**

- 举证明森林/木材供应商已制定牢靠的政策，需提供供应商的政策文件。
- 公司与受影响的第一民族/原住民/当地社区进行关于纤维采购的协商和咨询。
- 公司提供已有协议文件，如 MOU 谅解备忘录。
- 公司有计划开展能力建设，改善与受影响的第一民族/原住民/当地社区的关系。



7.2		
Suppliers document how they conform with the MMCF producer's commitment to recognize and respect human rights, community rights, First Nations rights and rights of workers. **	- Company demonstrates their suppliers have a record of negotiation and consultation with affected First Nations/ indigenous/local communities within fibre basket. - Company shows their suppliers have examples of existing agreements, such as MOU's - Company shows their suppliers have a strategy to develop capacity building and relationship building with affected First Nation/indigenous/ local communities	Corporate and mills/ production sites
供应商记录了他们如何满足MMCF生产商的承诺，认可和尊重人权、社区权利、第一民族和工人的权利。**	- 公司与受影响的第一民族/原住民/当地社区进行关于纤维采购的协商和咨询。 - 公司提供已有协议文件，如 MOU 谅解备忘录。 - 公司有计划开展能力建设，改善与受影响的第一民族/原住民/当地社区的关系。	企业和工厂/ 生产场所
7.3		
The MMCF producer and its suppliers have a grievance mechanism and show responsible handling of complaints and resolution of conflicts in a transparent and accountable manner that is mutually agreed by the parties.	- Complaint system is tracked in company Environmental Management System and other Standard Operating Procedures. - Company is in position to communicate transparently about these complaints and report on how they have been addressed. - Grievance procedures should include key elements as outlined in the UN guiding principles on Business and Human Rights.	Corporate and mills/ production sites
MMCF生产商和供应商制定申诉机制，用负责的、透明的方式处理纠纷和冲突，并得到各方认可。	- 企业环境管理体系和其它标准操作规程中可追踪申诉机制。 - 企业公开透明地处理这些争议投诉，并公开争议解决的结果。 - 申诉机制需囊括《联合国工商业与人权指导原则》内的关键指标。	企业和工厂/ 生产场所
7.4		
The MMCF producer and its suppliers have developed internal capacity and organizational structure to recognize and respect the rights of its workers.	- Evidence of resources to engage in meaningful dialogue with workers, unions etc.	Corporate and mills/ production sites
MMCF生产商和供应商制定申诉机制，用负责的、透明的方式处理纠纷和冲突，并得到各方认可。	- 有证明文件表明与工人、工会等开展了建设性对话。	企业和工厂/ 生产场所

7.5		
The MMCF producer has developed procedures to ensure its forest/wood suppliers uphold the International Labour Organization (ILO) Declaration on Fundamental Principles and Rights at Work.	Mention of this criteria in contracts with forest/wood suppliers	Corporate and mills/ production sites
MMCF 生产商已制定程序, 确保他们的森林/木材供应商遵守国际劳工组织有关工人权利和工作场所基本原则的声明。	与森林/木材供应商的合同中包含此要求	企业和工厂/ 生产场所
7.6		
Recognition and respect for human rights is demonstrated by the MMCF producer's forest/wood suppliers. There is no evidence of continuing to source from a forest/wood supplier that has failed to acknowledge or resolved social conflicts and remedy past or current human rights violations. **	This is a summary of previous criteria 7.1 to 7.5.	Corporate and mills/ production sites
证实MMCF生产商的森林/木材供应商尊重人权。没有证据表明森林/木材供应商逃避或无法解决社会冲突以及处理过去或现在的人权纠纷。 **	这是对 7.1-7.5 要求的总结。	企业和工厂/ 生产场所

SECTION 8

KEY COMMITMENT

Development of Innovative and Alternative Fiber 创新型替代纤维的研发

8.1		
The MMCF producer has developed and implemented an internal action plan to collaborate with innovative companies and suppliers to explore and encourage the development of new alternative fiber sources that reduce environmental and social impacts, such as agricultural residues and recycled fibers. **	- Efforts involving associations and research groups and Universities and/or other partners to develop improved processes in all parts of the value chain. - Evidence of R&D program commitments and commitment to new technology development. - Evidence including volumes of viscose produced with alternative fibers, pilot and case studies and \$ invested.	Corporate and mills/ production sites
MMCF生产商已制定并执行一项内部行动计划, 计划与创新型企业 and 供应商合作, 开发和鼓励可减小环境和社会影响的新型替代纤维材料, 比如农业剩余和回收纤维。 **	- 与协会、研究组织、大学和/或其它组织合作, 开发价值链中任何环节的改进方案。 - 有证据表明公司大力投资研发和新技术的开发。 - 证明文件描述了用新型纤维生产的粘胶的产量、试点和案例研究、投资金额。	企业和工厂/ 生产场所

8.2

The research and development phase for the production of pulp and cellulosic fiber made from alternative fiber sources has been successfully completed and the MMCF producer is entering a commercial scale phase.

新型纤维生产浆粕和纤维素纤维的研发阶段已经完成，MMCF生产商正进入量产阶段

- Evidence of R&D programs and commitment to new technology, new fibre sources

- 有证据表明公司大力投资研发和新技术比如新型纤维的开发。

Corporate and mills/
production sites

企业和工厂/
生产场所

SECTION 9

KEY COMMITMENT

Voluntary advocacy for conservation solutions.

主动支持森林保护方案

9.1

The MMCF producer has a track record of participating in events that support collaborative and visionary system solutions that aim protect remaining ancient and endangered forests. **

MMCF生产商一直参与相关活动，支持各方协力保护原始濒危森林的卓有远见的解决方案。**

- Participating with regional conservation forest planning which include a broad range of stakeholders.
- Participate in webinars and roundtables
- Sending letters to decision makers
- Advocating publicly for conservation in conferences, media releases, meetings etc

- 参与区域性森林保护计划，其中涉及到很多领域的利益相关方。
- 参加研讨会和圆桌会议
- 向决策者致信
- 在大会、媒体新闻稿和相关会议中公开支持森林保护方案。

Corporate and mills/
production sites

企业和工厂/
生产场所

9.2

When prompted, the MMCF producer uses its brand influence or purchasing influence to positively impact conservation and development solutions that have the Free, Prior and Informed Consent of affected indigenous and local communities.**

MMCF生产商利用其品牌影响力或购买影响力支持获得了受影响的原住民和当地社区的“事先知情同意”的森林保护计划。**

Same as above

同上

Corporate

企业t

9.3

The MMCF producer is developing and implementing specific programs to increase the endangered species population and the maintenance of their habitat through time, with government and/or ENGO programs.**

MMCF生产商正制定并执行特定计划，同政府和/或非营利性环保组织一起致力于增加濒危物种种群数量，修复他们的栖息地。**

This KPI is applicable when MMCF producer is connected to forests.

此 KPI 适用于 MMCF 生产商与以下森林存在交集的情况。

Corporate and mills/
production sites

企业和工厂/
生产场所

9.4

The MMCF producer publicly supports science-based international and national target(s) and programs for preserving designated protected and conservation areas that have the Free, Prior and Informed Consent of affected indigenous and local communities.

MMCF生产商公开支持国际性或国家性的科学保护计划以及获得了受影响的原住民和当地社区的“事先知情同意”的特定保护区保护计划。**

This KPI is applicable when MMCF producer is connected to forests.

Forest Management plans with elements of protecting forests with exceptional conservation value such as:

- Protected Areas
- High Conservation Value Forest (HCV)
- Species at Risk and Threatened and Endangered Species.

此 KPI 适用于 MMCF 生产商与以下森林存在交集的情况。

森林管理方案，包括保护具有特殊保护价值的森林：

- 保护区
- 高保护价值森林 HCV
- 有风险、受威胁、濒危物种

Corporate and mills/
production sites

企业和工厂/
生产场所



SECTION 10

KEY COMMITMENT

Responsible forest management.

负责任森林管理

PRELIMINARY PERFORMANCE INDICATOR 初步绩效指

VERIFIERS AND EXAMPLES OF EVIDENCE 验证方法&举证案例

RESPONSIBILITY 责任方

10.1		
The MMCF producer has defined criteria for responsible forest management, gives a preference for FSC certification and has developed and implemented an action plan to increase FSC intake. **	– Management plans meet and exceed the regional and national laws and regulations in terms of Conservation forests, Protected Areas and other timber supply objectives. – Producer policy gives a preference to FSC – Producer mills are FSC COC certified – Producers give preference for FSC fiber in contracts with suppliers and sends them strong market signals – Producer has set internal strategic targets and measures to increase FSC fiber intake over the next 1-3 years – Producer has the ability to sell FSC products through the credit system – Producer has the ability to provide customers with FSC PURE products – Producer engages FSC to pilot new track and trace system for the textile sector.	Corporate and mills/ production sites
MMCF生产商定义了负责任森林管理的标准, 优先使用FSC认证材料, 已开发并执行增加 FSC材料采购的行动计划.**	– 管理方案在森林保护、保护区和其它木材供应目标方面满足或超越了区域和国家的法律法规。 – 生产商的政策指明要优先使用 FSC 材料。 – 生产商的工厂获得了 FSC COC 认证。 – 生产商在与供应商的合约中指明优先使用 FSC 纤维, 向供应商发出明确的市场信号。 – 生产商已制定内部战略目标和方案, 在未来 1-3 年内增加 FSC 纤维采购量。 – 生产商有能力在其信用系统内销售 FSC 产品 – 生产商有能力向客户提供 100% FSC 认证的产品。 – 生产商与 FSC 合作, 向纺织行业提供新的追踪体系。	企业和工厂/ 生产场所

SECTION 11

KEY COMMITMENT

Reduction of Greenhouse Gas (GHG) Footprint by recognizing the importance of forests and peatlands as carbon storehouses

通过认识到森林和泥炭地是重要的碳汇之所，降低温室气体足 迹。

PRELIMINARY PERFORMANCE INDICATOR 初步绩效指

VERIFIERS AND EXAMPLES OF EVIDENCE 验证方法&举证案例

RESPONSIBILITY 责任方

11.1		
The MMCF producer has procedures to evaluate their suppliers' performance in reducing GHG.	– Evidence of sustainability system tracking – The sustainability performance is published publicly on an annual basis	Corporate and mills/ production sites
MMCF生产商定义了负责任森林管理的标准，优先使用FSC认证材料，已开发并执行增加 FSC材料采购的行动计划。**	– 可持续性表现追踪 – 每年公开可持续性表现。	企业和工厂/ 生产场所
11.2		
The MMCF producer has procedures to know whether their suppliers are sourcing from tropical peatlands and/or intact forest landscapes.	Yes or No	Corporate and mills/ production sites
MMCF生产商具备评估供应商是否从热带泥炭地和/或完整森林景观采购的程序。	是或否	企业和工厂/ 生产场所
11.3		
The MMCF producer can document giving preference to suppliers that are not operating in intact forest landscapes or on drained tropical peatlands and that have identified, withdrawn from and are restoring peatlands and their hydrology. **	– Survey suppliers on specific actions or measures taken to avoid disturbance of High carbon value forests and/or peatlands, or measures undertaken to restore forest/peat ecosystems and their soils and hydrology. – MMCF producer requests sustainability reports from suppliers and evaluates such reports specifically for recognition of the importance of forests and peatlands as carbon storehouses and actions taken to conserve these areas	Mills/ production sites
MMCF生产商对供应商的优先选择具有文件记录，比如优先选择不在于完整森林景观或退化热带泥炭地经营的供应商，以及确认停止开垦并修复泥炭地和水资源的供应商。**	– 调查供应商在避免影响高碳汇森林和/或泥炭地方面的工作，或修复森林/泥炭地生态系统以及此地土壤和水资源的工作。 – MMCF 生产商要求供应商提供可持续性报告，仔细评估该报告，特别是供应商是否意识到森林和泥炭地乃碳汇储存地，以及保护这些地区的行动措。	工厂/生产场所

SECTION 12

KEY COMMITMENT

Pollution Prevention

防控污染

PRELIMINARY
PERFORMANCE INDICATOR
初步绩效指

VERIFIERS AND EXAMPLES
OF EVIDENCE
验证方法&举证案例

RESPONSIBILITY
责任方

12.1

* This verification process will not verify the pulp and viscose manufacturing process which can lead to air and water emissions that impact overall environmental quality.

Canopy expects MMCF producers to invest in and use the cleanest dissolving pulp and viscose manufacturing technology

(i.e. lyocell process), and to implement the ZDHC viscose guidelines available at <https://www.roadmapzero.com/post/zdhc>

<https://www.roadmapzero.com/post/zdhc-man-made-cellulosic-guidelines-released-man-made-cellulosic-guidelines-released>

*此审核不直接涉及可能导致空气和水污染并影响环境质量的浆粕和粘胶的生产环节。

Canopy期望MMCF生产商能投资和使用最清洁的溶解浆和粘胶（如莱赛尔纤维）生产技术，实施ZDHC粘胶生产指南，链接如下：

- The CanopyStyle audit will not report on this indicator.
- Other tools such as the Hot Button report now include reporting on chemical management.

- CanopyStyle 审核不对此指标作出报告。
- 排名报告等其它工具已增添化学品管理的章节。

PERFORMANCE MEASURES

It is recommended that four main Performance Measures (PM) be established to define the benchmarks against which the MMCF producers will be evaluated for each of the 12 key commitments and the subsequent key progress indicators (KPI).

THESE MEASURE THE FOLLOWING RANGE OF PROGRESS

“COMMITMENT MET”

“COMMITMENT IN PROGRESS” (WITH POSSIBLE QUALIFIER “LIMITED”, “MODERATE” AND “SIGNIFICANT”)

“COMMITMENT NOT MET”

“INSUFFICIENT INFORMATION AVAILABLE”

绩效评估

推荐使用四大绩效评估单位，以评估MMCF生产商在以上12项关键承诺和子集KPI的表现。

绩效评估单位包括

实现承诺

正在实现承诺（可以使用“低程度”、“中等程度”和“高程度”）

未实现承诺

所供信息不足

FINAL RESULTS

The goal of this verification process is to differentiate the MMCF producers that present a high environmental risk, carrying out environmentally and socially irresponsible or harmful practices with a high risk to seriously and irreversibly impact ancient and endangered forests and associated forest-based communities, through their own practices or through their supply chain's practices, versus MMCF producers that present a low risk. The final result of the verification will then help customer brands and retailers identify, document and manage the risk of sourcing fabrics from these MMCF producers. The audit also informs each MMCF producer's annual Hot Button Ranking.

These producers will either be granted the status of "in conformance with", or "in non-conformance with" their Forest Sourcing Policy and the established critical requirements under this verification framework.

The findings of the verification process and the final report could show a performance variation from one manufacturing facility to the other, under the same MMCF producer. However, the expectation is that all the operations of the MMCF producers are evaluated against the Policy, and that all the manufacturing facilities and their supply chain must be verified as low risk of sourcing from ancient and endangered forests for customers and supply chain partners to conclude that the MMCF producers are in conformance with their policies. This is to create a level playing field for the entire industry.

CONFORMANCE AND NON CONFORMANCE CLAIMS WITH CRITICAL VERSUS PROGRESSIVE KPI

The auditors produce a final audit report, based on a set of pre-identified "critical" KPIs, and this report will be made public. In addition, the auditor will provide details about the performance on KPI's considered "critical" and "progressive." The audit report will include recommendations from Canopy on both sets of KPIs with the expectation that the producers immediately address critical KPIs and make progress on "progressive" KPIs over time. All of this information will be detailed and publicly available in the final report.

DISCLAIMER

These Audit Guidelines and Verification Framework have been written in the English language. In case of discrepancies between the English text version and any translation, the English version shall prevail.

Please refer to the electronic copy on the Canopy website <https://canopyplanet.org/resources/canopystyleaudit/> to ensure you are referring to the latest version.

These Audit Guidelines and Verification Framework fall under all conditions described at the following link: canopyplanet.org/tools-and-resources

最终结果

审核的目标是区分低环境风险和高环境风险的MMCF生产商，高环境风险指自身或供应链中存在对环境和社会不负责任的或造成损害的经营方式，极有可能严重且不可逆地影响原始濒危森林和相应的森林社区。审核的最终结果有助于品牌商和零售商等客户识别、记录和管理从这些MMCF生产商采购纤维的风险水平。该审核还会介绍MMCF生产商的年度纽扣排名。

这些生产商将视为“合规”或“不合规”森林采购政策以及审核框架中的关键要求。

审核结果和最终报告可能出现同一个MMCF生产商在不同工厂的合规表现不同。但是，审核评估的是MMCF生产商的所有经营活动是否符合其采购政策，只有所有的工厂和供应链评估为原始濒危森林采购低风险，客户和供应链伙伴商才能判定该MMCF生产商属于合规状态。这有助于整个产业的公平竞争。

“关键 KPI”和“渐进 KPI”的合规与不合规

审核机构将根据一系列既定的“关键 KPI”出具一份最终审核报告，报告将予以公示。此外，审核机构将详述“关键 KPI”和“渐进 KPI”表现。审核报告中还将说明 Canopy 对生产商在两种 KPI 的改进建议，即立即解决关键 KPI 问题，逐步解决渐进 KPI 问题。所有信息将在最终审核报告中详细说明并公示。

免责声明

此审核框架和指南用英文撰写而成，如遇英文版本和其它翻译版本不符，则以英文版本为准。

请前往 Canopy 官网(<https://canopyplanet.org/resources/canopystyleaudit/>)查询电子版，以确保所参考内容是最新内容。

审核框架和指南亦受制于如下链接里的所有条件：
canopyplanet.org/tools-and-resources

LIST OF ANNEXES

ANNEX 1 – TEMPLATE FOREST SOURCING POLICY FOR MMCF PRODUCER

ANNEX 2 – THE MMCF SOLUTIONS PATHWAY

ANNEX 3 – AUDIT FLOW CHART

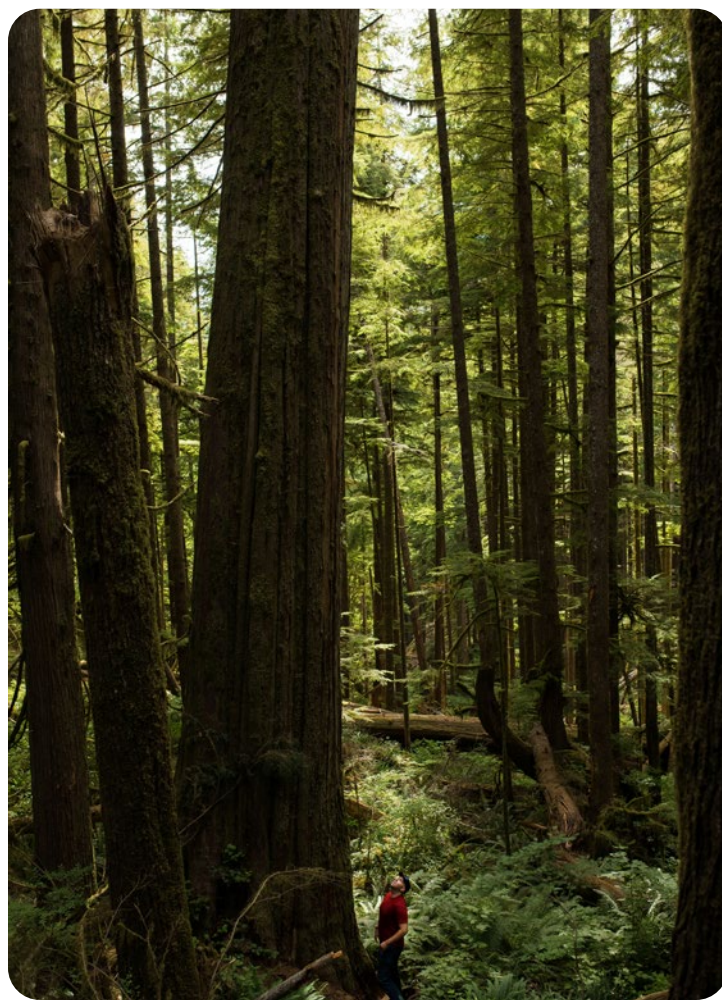
ANNEX 4 – KEY PERFORMANCE INDICATORS FOR MILLS

ANNEX 5 – KEY PERFORMANCE INDICATORS FOR FORESTS/ PLANTATIONS

ANNEX 6 – SCOPE OF THE SURVEILLANCE AUDIT

ANNEX 7 – GUIDELINES FOR COLLECTING FOREST OF ORIGIN INFORMATION

ANNEX 8 – DISPUTE RESOLUTION



附附件目录

附件 1 – MMCF 生产商森林采购政策模版

附件 2 – MMCF 解决路径

附件 3 – 审核流程图解

附件 4 – 工厂关键绩效指标 KPI

附件 5 – 森林/种植林关键绩效指标 KPI

附件 6 – 跟踪审核范围

附件 7 – 搜集森林来源地信息指南

附件 8 – 争议解决

FOOTNOTES

- i. Current members of this group are H&M, M&S, Inditex/Zara, EILEEN FISHER, Stella McCartney and Canopy. The CanopyStyle Leaders for Forest Conservation approved the foundational version of the audit framework in 2015, as well as all updated versions, and continues to support completion of the audit by MMCF producers.
- ii. Ancient and Endangered Forest Ancient and endangered forests are defined as intact forest landscape mosaics, naturally rare forest types, forest types that have been made rare due to human activity, and/or other forests that are ecologically critical for the protection of biological diversity. Ecological components of endangered forests are: Intact forest landscapes; Remnant forests and restoration cores; Landscape connectivity; Rare forest types; Forests of high species richness; Forests containing high concentrations of rare and endangered species; Forests of high endemism; Core habitat for focal species; Forests exhibiting rare ecological and evolutionary phenomena. As a starting point to geographically locate ancient and endangered forests, maps of High Conservation Value Forests (HCVF), as defined by the Forest Stewardship Council (FSC), and of intact forest landscapes (IFL), can be used and paired with maps of other key ecological values like the habitat range of key endangered species and forests containing high concentrations of terrestrial carbon and High Carbon Stocks (HCS). (The Wye River Coalition's Endangered Forests: High Conservation Value Forests Protection – Guidance for Corporate Commitments. This has been reviewed by conservation groups, corporations, and scientists such as Dr. Jim Stritholt, President and Executive Director of the Conservation Biology Institute, and has been adopted by corporations for their forest sourcing policies). Key endangered forests globally are the Canadian and Russian Boreal Forests; Coastal Temperate Rainforests of British Columbia, Alaska and Chile; Tropical forests and peat lands of Indonesia, the Amazon and West Africa. For more information on the definitions of ancient and endangered forests, please go to canopyplanet.org/tools-and-resources/forest-mapper
- iii. Intact Forest Landscape (IFL) is an unbroken expanse of natural ecosystems within the zone of current forest extent, showing no signs of significant human activity, and large enough that all native biodiversity, including viable populations of wide-ranging species, could be maintained. (intactforests.org/world.map.html)
- iv. Peatland is an area with an accumulation of partly decomposed organic matter with ash content equal to or less than 35%, peat depth equal to or deeper than 50 cm, and organic carbon content (by weight) of at least 12%. Tropical Peatlands (peat soils) (Histosols) are defined as organic soils with 65% or more organic matter.
- v. Primary, high, medium and low-density forests and regenerating forests are recognized as High Carbon Stock (HCS) forests. HCS forests in Indonesia and Malaysia are defined as natural forest areas with above ground carbon stocks above a threshold set in the range of 25-70 tons of carbon per hectare. More precise carbon thresholds for regenerating forests tailored to particular ecosystem types and landscapes must be assessed and agreed upon via a credible review process with the involvement and agreement of NGOs, companies and the parties that developed the HCS concept, definitions and associated methodology to identify and conserve High Carbon Stock.
- vi. As defined by the FSC and High Conservation Value Resource Network (<http://www.hcvnetwork.org/>), High Conservation Value (HCV) areas contain particularly important conservation values including rare, threatened and endangered species and their habitat and areas with cultural or livelihood significance for local communities.
- vii. Origin refers to the plantation, forest tenure or concession where the trees have been logged. For more information, see ANNEX 7 Guidelines for collecting Forest of Origin information
- viii. Legal forest management is management that complies with all applicable international, national, and local laws, including environmental, forestry, and civil rights laws and treaties.
- ix. Plantation: A forest area established by planting or sowing with using either alien or native species, often with one or few species, regular spacing and even ages, and which lacks most of the principal characteristics and key elements of natural forests. Source: International Generic Indicators FSC-STD-60-004 V1-0 EN
- x. Agricultural residues are residues/by-products left over from food production or other processes and using them maximizes the lifecycle of the fiber. Depending on how they are harvested, fibers may include flax, bagasse, and hemp.

脚注

- i. 目前领导小组成员包括 H&M、M&S、Inditex/Zara、EILEEN FISHER、Stella McCartney 和 Canopy。森林保护 CanopyStyle 领导小组审批通过了 2015 年审核框架基本版以及所有更新版本，将继续支持 MMCF 生产商完成审核。
- ii. 原始濒危森林指完整森林景观、天然稀有林、由于人类活动导致其稀有的森林类型和/或其它对维持生物多样性及生态完整性具有关键生态价值的森林。濒危森林包括：完整森林景观、残余森林和核心恢复区、景观连接度、稀有森林、物种丰富的森林、稀有濒危物种 聚集的森林、特有森林、重点物种的核心栖息地、表现出稀有生态和演化现象的森林。为了定位原始濒危森林，可使用 FSC 森林管理委员会定义的 HCV 高保护价值森林地图，以及高保护价值资源网络和 IFL 完整森林景观，同时还参考其它关键生态价值和碳汇价值的地图，比如重要濒危物种栖息地、高陆地碳汇的森林、泥炭地和高碳汇林 HCS。(The Wye River Coalition 怀伊河联盟的濒危森林，高保护价值森林的保护-企业承诺指南。该指南已经获得环保组织、企业和诸如生物保护研究所的主席兼执行总裁 Jim Stritholt 博士等科学家的审阅，并在众多企业的森林采购政策中采用。) 关键濒危森林包括加拿大和俄罗斯北方林，英属哥伦比亚、阿拉斯加和智利的沿海温带雨林，印度尼西亚、亚马逊和西非的热带雨林和泥炭地。更多原始濒危森林的定义，请参考 canopyplanet.org/tools-and-resources/forest-mapper
- iii. 完整森林景观 IFL 是指没有遭到破坏的自然生态系统，没有大量人类活动，面积大可以维持所有自然生物多样性，包括广泛分布着不同物种。intactforests.org/world.map.html
- iv. 泥炭地指部分分解的有机物聚集地，炭灰含量不超过 35%，泥炭深度等于或大于 50cm，有机碳含量（重量）至少 12%。热带泥炭地（泥炭土）（有机土）指有机物含量 65% 或以上的有机土。
- v. 高密度、中密度、低密度森林和再生林被视为高碳汇森林。印度尼西亚和马来西亚的高碳汇森林指地表碳汇超过 25-70 吨/公顷的森林。针对特定生态系统和景观、用于再生林的更精确碳汇临界值必须通过可信的评估程序进行评估审批，参与方包括 NGO、公司和开发 HCS 概念、定义和相关定义方法的机构。
- vi. FSC 和高保护价值资源网络(hcvnetwork.org/)对高保护价值区域的定义是包含重要保护价值，比如稀有、受威胁、濒危物种及其栖息地，以及对当地社区具有重要文化和生存价值的区域。
- vii. 森林来源地指采伐树木的种植林、森林或森林经营地。更多信息可参考附件 7 收集森林来源地信息指南。
- viii. 合法森林管理指符合所有适用国际、国家和当地法律法规，包括环境、林地、民法法和公约。
- ix. 种植林：通过种植或播种外来物种或本地物种，通常使用一种或极少种类的物种，种植间隔相同、树木年龄相同，但缺少天然林的大部分主要特征和关键成分。信息来源：国际通用指标 FSC-STD-60-004 V1-0 EN
- x. 以后可能建立中心化资金池，MMCF 生产商根据自身供应链大小、整合程度、所拥有的工厂数量和供应链风险水平支付各自的费用。目的旨在创建中立的资金环境，尽可能减少不公平的现象。
- xi. 农业剩余指的是食品生产或其它加工过程中产生的废料/副产品。循环使用可最大化纤维的生命周期。这些纤维可包括亚麻、甘蔗和大麻，采伐方式不一。

INTERPRETATION NOTES FOR PRELIMINARY PERFORMANCE INDICATORS

The verification audit is intended to verify that MMCF producers are not sourcing from ancient and endangered forests and other controversial sources.

This section is meant to describe the very rare cases where this could be acceptable, and defines the pre-requisites and other requirements for such rare exceptions to occur.

CONTEXT

There are rare exceptions that allow sourcing from Ancient and Endangered Forests. An example would be the Great Bear Rainforest in 2016 - where we have robust conservation planning in place and are now simply looking for FSC certification to be reconfirmed to verify sustainable logging in the areas not set aside for protection. These pre-requirements of not logging in critical areas (large scale scientifically-based conservation planning*) and then FSC in areas where logging is occurring is the key approach required by partners in the CanopyStyle Initiative.

Large scale scientifically-based conservation and FSC are the prior requirements for any sourcing from ancient and endangered forests, including, but not limited to, the Boreal Forest, Vancouver Islands Coastal Temperate Rainforests, the Amazon or Indonesia's Rainforest. If large scale, scientifically-based conservation has not yet been legislated by decision makers, MMCF producers or their suppliers are expected to have put in place adequate logging moratoria and demonstrate clear process and timelines for finalizing legislated protected areas and attaining FSC.

* i.e. Large scale science-based conservation planning in Canada's Boreal Forests is expected to yield approximately 50-65% in protection.

Canopy uses the definition of deforestation developed by the Accountability Framework initiative (AFI)

初步绩效指标解读说明

审核旨在评估 MMCF 生产商没有从原始濒危森林和其它争议性地区采购。

此部分描述的是可以接受的特殊情况，并定义了接受特殊情况的前提条件和其它要求。

背景

特殊情况下允许从原始濒危森林采购。比如 2016 年的大熊雨林，已经有健全的森林保护方案，目前只需要再次确定 FSC 认证，确保在该区域的可持续性伐木。关键区域（具备大规模科学保护方案）零采购 伐木区域 FSC 认证的这些前提条件是 CanopyStyle 行动伙伴商要求的关键方法。

科学保护方案还没有经过决策者立法确认，MMCF 生产商或其供应商需暂停伐木，并制定明确的流程和时间表，完成保护区的立法保护以及获得 FSC 认证。

比如，加拿大北方林的大规模科学保护方案需实现 50-65% 的保护区。

Canopy 使用的是 AFI（问责制框架倡议）提出的“毁林”定义。

DEFORESTATION

Loss of natural forest as a result of:

- i. conversion to agriculture or other non-forest land use;
- ii. conversion to a tree plantation; or
- iii. severe and sustained degradation.

This definition pertains to no-deforestation supply chain commitments, which generally focus on preventing the conversion of natural forests.

Severe degradation (scenario iii in the definition) constitutes deforestation even if the land is not subsequently used for a non-forest land use.

Loss of natural forest that meets this definition is considered to be deforestation regardless of whether or not it is legal.

The Accountability Framework's definition of deforestation signifies 'gross deforestation' of natural forest where 'gross' is used in the sense of 'total; aggregate; without deduction for reforestation or other offset.'



毀林

由于i)向农业用地或其它非森林用地的转化;ii)向种植林的转化;或iii)不断严重的退化,所导致的天然森林的损失。

此定义与供应链零毁林的承诺相关,该承诺旨在遏制天然森林的转化。

即便土地最后没有用于非森林用途,严重退化(定义中的第三种情况)仍构成毁林

无论合法与否,只要符合该定义的天然森林损失,即视为毁林。

问责制框架提出的毁林定义指的是天然森林的“所有毁林”,“所有”指的是“总体、整体”,造林或其它行为不计为抵消因素。



TRANSFORMING BUSINESS FOR THE PLANET

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