

Cum sa utilizati Sourcing Hub NEPCon in procesul de due diligence Autumn 2017





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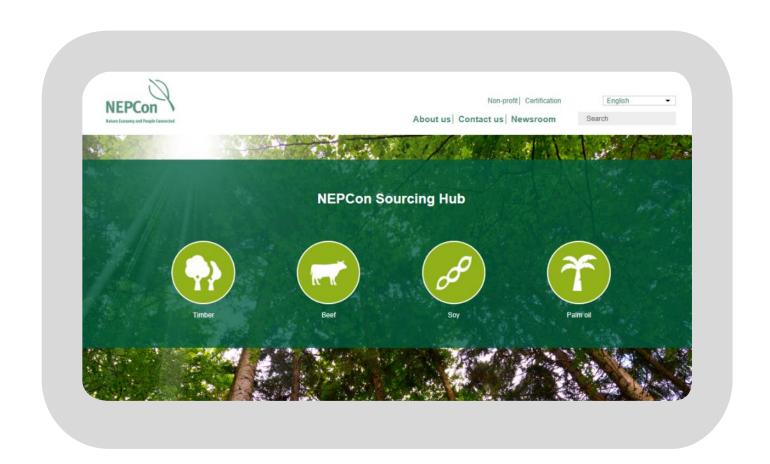
Continut



- Evaluari de risc
- Instrumente pentru elaborarea unui sistem de due diligence
- Instrumente specifice tarii in Sourcing Hub
- Alte documente

Lansat in August 2017... v1.0





www.nepcon.org/sourcinghub

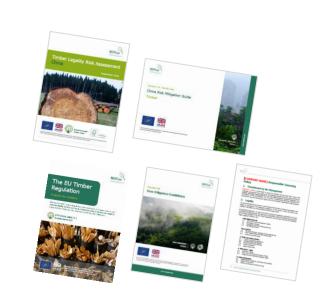
Tot ce aveti nevoie pentru due diligence intr-un singur <u>loc</u>













2

3

4

SELECTAREA

produsului

ACCESSUL

la o harta de ansamblu a riscurilor de aprovizionare

SELECTAREA

tarii pentru detalii

PREZENTAREA

detaliata a datelor
privind riscul
(e.x. riscurile asociate
pentru fiecare tip de
padure...)

GASIREA

unei serii de instrumente de indrumare si due diligence pentru a atenua riscurile

100+ instrumente gratuite pentru legalitatea lemnului



Indrumari specifice fiecarei tari



Evaluari Complete ale Riscului de Legalitate a Lemnului pentru toate cele 62 de tari



Prezentare generala a legilor relvante dintr-o tara din Lista de Legislatie Aplicabila



Ghidul de Reducere a Riscului pentru a ajuta la identificarea riscurilor din lantul de aprovizionare si a masurilor ce trebuie luate pentru o tara de aprovizionare



Ghidul Documentelor pentru a va ajuta sa determinati exact ce tip de documente sa solicitati de la furnizori, cum ar trebui sa arate si cum sa le verificati autenticitatea

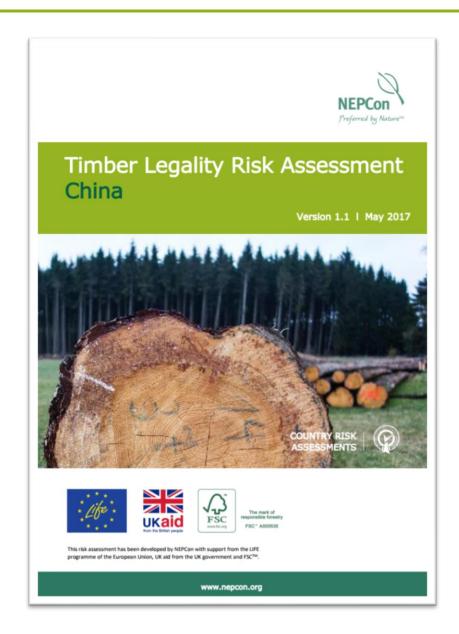
Instrumente de due diligence



- Informare furnizori
- Instructiuni privind due diligence
- Formularul de gestionare furnizori
- Lista de verificare a riscurilor
- Model de politica
- Formular de informatii de la furnizor
- etc.

Evaluari de risc...







Inima Sourcing Hub

Pagina de profil a tarii



Prezentarea sectorului

Colectare informatii



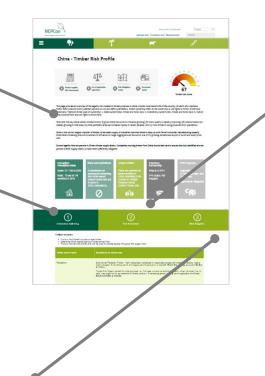
Tipurile de surse dintr-o tara pentru a ajuta la identificarea surselor legale de lemn pentru o tara



Privire de ansamblu asupra speciilor cu risc pentru a ajuta la reducerea riscurilor in lantul de aprovizionare



Documente cheie care pot indica legalitatea lemnului provenit dintr-o tara



Evaluare riscuri

Rezumat al principalelor riscuri de legalitate relevante pentru lanturile de aprovizionare cu lemn dintr-o tara





Taxes and Fees









Trade and Transport



Reducere riscuri



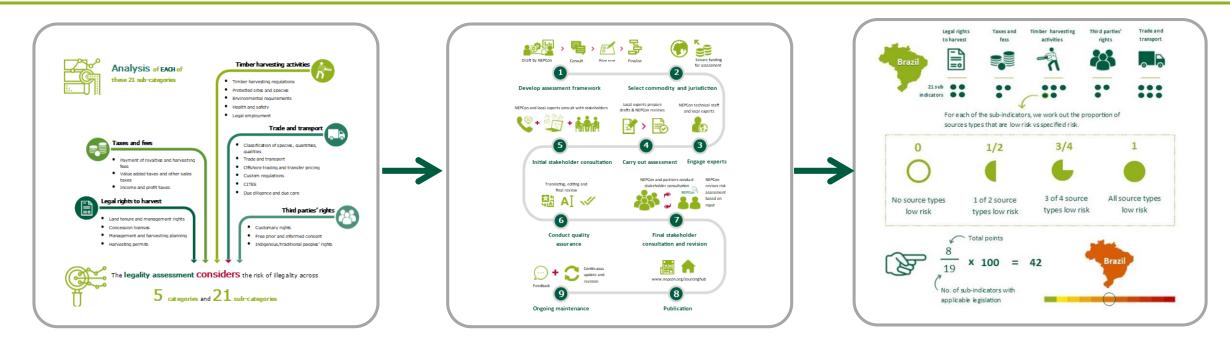
Instructiuni clare privind modul de reducere a riscurilor identificate pentru o anumita tara



Ghid cuprinzator de Atenuare a Riscurilor si Ghid de documente

Evaluari de risc - procesul de elaborare





ELABORARE

a sistemului de evaluare a riscului pentru produse, ex. definirea (sub)catergoriilor

REALIZARE

evaluari de risc

+

STABILIRE

risc pentru fiecare din sub-categorii

CALCULARE

scorul pentru fiecare tara

+

COD CULOARE

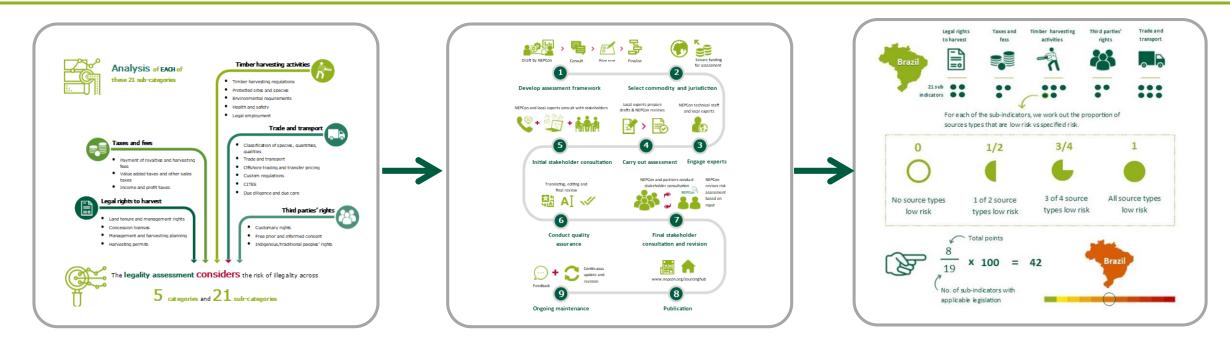
pe harta

Complet...

Categoria de legalitate	Sub-categoria de legalitate
Dreptul de exploatare a lemnului	 Drepturile de proprietate asupra terenului si de administrare Contract sau acord de concesiune Planificarea gestionarii si exploatarii Autorizatii de exploatare
Taxe si impozite	 Plata redeventelor si a taxelor de exploatare Taxa pe valoarea adaugata si alte impozite pe vanzari Venituri si impozite pe profit
Exploatarea lemnului	 Regulament privind exploatarea lemnului Zonele si speciile protejate Cerintele de mediu Sanatate si siguranta Angajarea legala
Drepturile legale ale tertilor	 Drepturile de folosinta Consimtamant liber, prealabil si informat Drepturile populatiei indigene
Comert si transport	 Clasificarea speciilor, cantitatilor, calitatii Comert si transport Comert offshore si preturile de transfer Reglementari vamale CITES

Evaluari de risc - procesul de elaborare





ELABORARE

a sistemului de evaluare a riscului pentru produse, ex. definirea (sub)catergoriilor

REALIZARE

evaluari de risc

+

STABILIRE

risc pentru fiecare din sub-categorii

CALCULARE

scorul pentru fiecare tara

+

COD CULOARE

pe harta

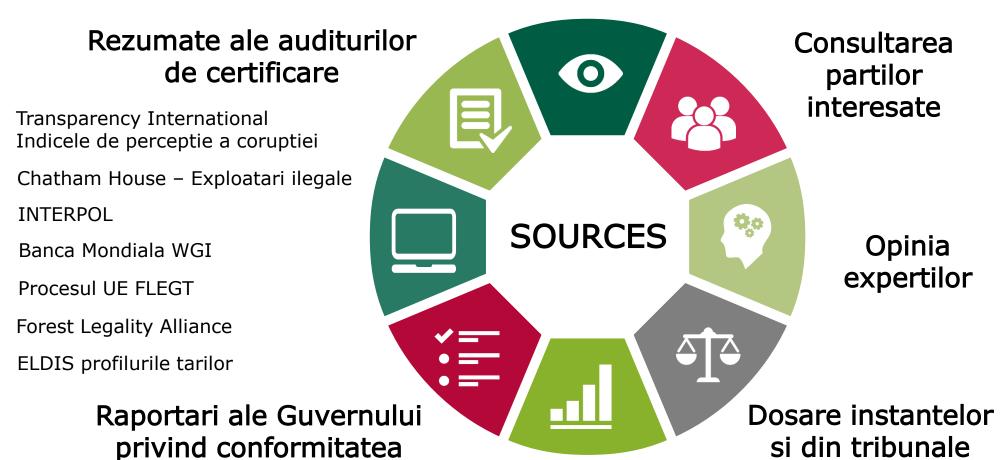
Complet...

Surse de date pentru evaluarea riscurilor



Experienta de pe teren si raportarile

noastre si alte altora



Surse multiple

Raportari statistice nationale

Cum determinam riscul scazut sau specificat?



Considerat risc scazut

Probleme care sunt:

- Temporare
- Neobisnuite sau nesistematice
- Cu impact limitat
- Controlate in mod eficient prin monitorizare si punere in aplicare eficienta si efectiva de catre agentiile guvernamentale

Considerat risc specificat

Probleme care:

- Afecteaza o zona extinsa si/ sau provoaca o paguba importanta si/ sau continua pe o perioada lunga de timp.
- Indica absenata sau incalarea legsilatiei.
- Nu este corectata sau tratata adecvat cand este identificata.
- Are un impact negativ semnificativ asupra societatii, realizarii de produse forestiere si alte servicii, ecosistemului forestier si asupra persoanelor afectate direct si indirect de operatiunile silvice.

Un Sistem de Due Diligence





Sourcing Hub contine informatii extinse despre modul in care trebuie implementat sistemul dvs. de due diligence (DDS).

DDS NEPCon include mai multe **sabloane** care pot fi utilizate pentru a asigura ca sistemele si procedurile sunt dezvoltate si implementate in mod eficient.

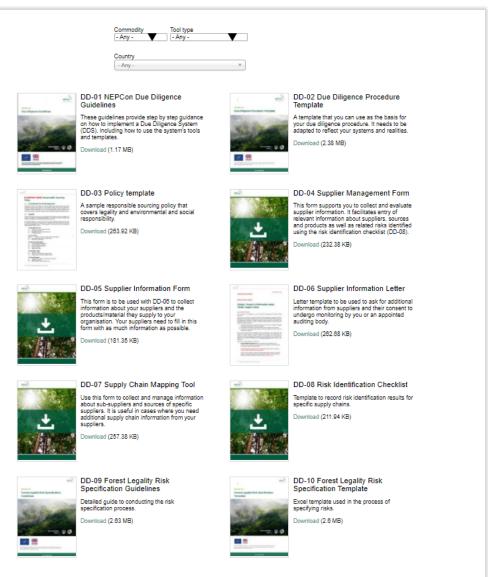
Puteti descarca toate **instrumentele** si **sabloanele** de care aveti nevoie pentru a configura un sistem de due diligence in compania dvs utilizand Sourcing Hub.





 Descarcati intregul sistem Due Diligence NEPCon de pe Sourcing Hub

 http://beta.nepcon.org/sourcing hub/info/what-due-diligence











[COMPANY NAME] Responsible Sourcing Policy

1. Commitment by the Management

[COMPANY NAME] is committed to procuring products and services that ensure that materials are sourced from legal and well-managed forests that have been certified to credible certification standards and/or are from post-consumer recycled materials. As a commerstone of that commitment, we will pursue a Responsible Sourching Programme to promote the use and marketing of legal and environmentally responsible forest products.

Legality

We are committed to sourcing only wood material that has been produced, processed, and traded in compliance with applicable legislation in the country where the trees were originally harvested, as well as along the entire supply chain.

By applicable legislation, we refer to the following types of legislation applicable to harvest and trade of forest products. This definition is intended to meet international requirements such as those adopted in the EU Timber Regulation, the US Lacey Act and the Australian Illegal Logging Prohibition Act:

Legal rights to harvest

- 1.1 Land tenure and management rights
- 1.2 Concession licenses
- 1.3 Management and harvesting planning
- 1.4 Harvesting permits

Taxes and fees

- 1.5 Payment of taxes, royalties and harvesting fees
- 2.2 Value-added taxes and other sales taxes
- 2.3 Income and profit taxes

Timber harvesting activities

- 3.1 Timber harvesting regulations
- 3.2 Protected Sites and species
- 3.3 Environmental requirements 3.4 Health and safety
- 3.5 Legal employment

4. Third parties' rights

- 4.1 Customary rights
- 4.2 Free, Prior and Informed Consent (FPIC)
- 4.3 Indigenous and traditional peoples' rights

5. Trade and transport

- 5.1 Classification of species, quantities and qualities
- 5.2 Trade and transport
- 5.2 Offshore trading and transfer pricing

1 DD-03 Responsible Sourcing Policy





Informati furnizorii de certintele DD si solicitati informatii despre lantul de aprovizionare (DD-06)



- Pentru informarea furnizorilor cu privire la necesitatile de informare
- Pentru a solicita informatii despre lanturile de aprovizionare
- Formular de consimtamant pentru a asigura accesul la dovezi, audituri si materiale pentru testare



[PLACE AND DATE]

COMPANY NAME AND ADDRESS1

SUPPLIER NAME AND ADDRESS]

Subject: Access to Information about Timber Supply Chains

Dear [RECIPIENT NAME],

I am writing to you regarding our work to meet the requirements of the EU Timber Regulation.

As you may know the EU is implementing the EU Timber Regulation (Regulation (EU) No 995/2010) of the European Parliament and of the Council of 20 October 2010 Isying down the obligations of operators who place timber and timber products on the market. The regulation seeks to counter the trade in illegally harvested timber and timber products through three key obligations:

- It prohibits the placing on the EU market for the first time of illegally harvested timber and products derived from such timber;
- 2. EU operators and traders must keep records of their suppliers and customers.
- EU operators who place timber products on the EU market for the first time must exercise 'due diligence'.

Since we are purchasing wood products from your company we are required by the regulation to secure access to information describing the timber and timber products, country of harvest, species, quantity, details of the supplier, and information on compliance with national legislation, to assess the risk of illegal timber in this supply chain, based on the information identified above and taking into account, criteria set out in the regulation.

We are now writing to seek your consent to;

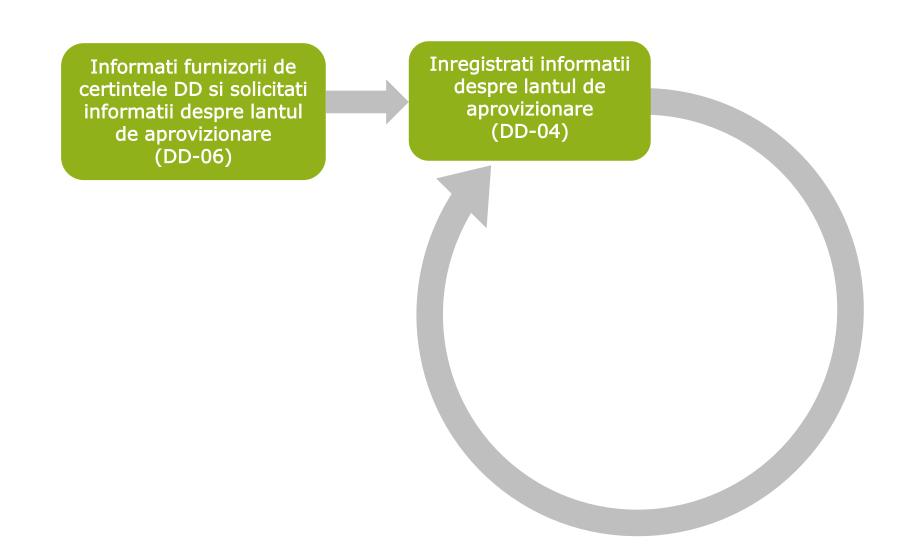
 Provide additional information about the material we purchase from your company. This will help us in securing access to the relevant information about our products required under the EUTR.

[WHERE ADDITIONAL INFORMATION IS REQUIRED ABOUT SUPPLY CHAIN(S), THE FOLLOWING SENTENCE CAN BE ADDED:]

To allow us to evaluate our supply of timber and/or paper products, we request that you complete the attached excel sheet [ENTER NAME OF THE EXCEL FILE (DD-05)], providing information about the products you sell to us.









- Document in format Excel
- Pentru inregistrarea sistematica a tuturor furnizorilor si a informatiilor despre lantul de aprovizionare
- Ajuta la identificarea deficientelor din informatii
- Concluzii privind riscul la documente

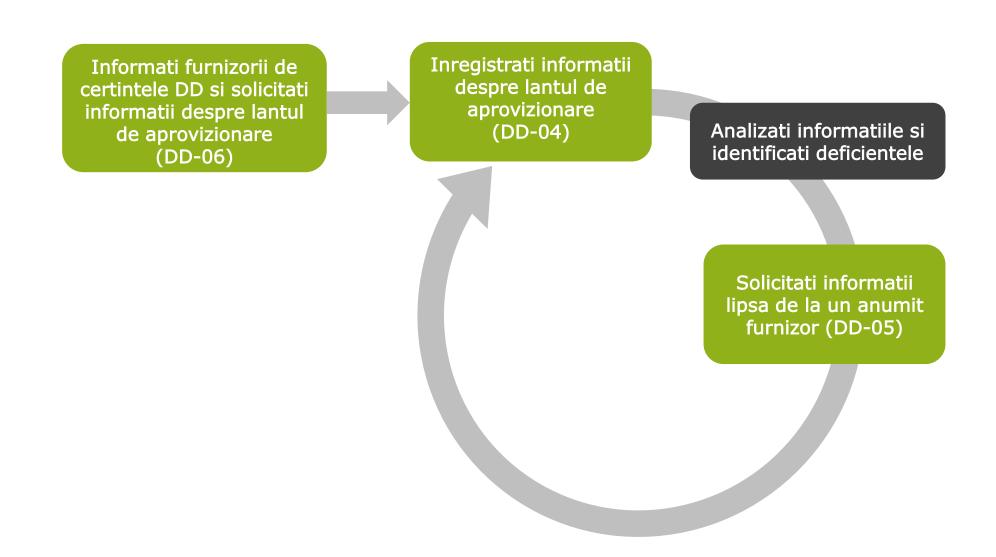
[ORGANISATION NAME] Supply Chain Overview

his document is the principal record for cataloguing supply chain information from all suppliers and recording risk assessment and mitigation actions as part of the LORGANISATION NAME, due diligence system.

	1. S	upplier infor	mation			2. Product information									3. Material Origi					
Supplier ID	Supplier name	Supplier country	SUPPLIER verification/certification		Product ID	Product description	Group	PRODUCT verification / certificati	Component or single material		Species (scientific name)	Species (trade name)		Country of harvest	t harvest (if	Harvest concession				
Enter the name or ID of the first tier supplier.	supplier	in which the supplier is based	certification/verificat	at certification code		Enter the description of the product or component. This should contain information that can identify the product.	EU customs product code, if applicable.	t certification/ verification applicable to the PRODUCT, if applicable.	component is used per product, please	product, note the type of component in each line.	scientific name of	f of the species.	volume purchased	country of HARVEST of the material.		of harvest, if known.	Do yo acce inforn abou chair produ			
										C		}								









- Colectati informatii lipsa de la un anumit furnizor
- Ofera furnizorilor o imagine de ansamblu a informatiilor actuale pentru a clarifica existenta deficientelor
- Furnizorul completeaza fisa si returneaza informatiile lipsa si dovezile justificative

1. Product Information							2. Information about	origin	4. Agreement on materials included?				
Product type/descri ption		PRODUCT verification I certification	Component or single material	Species (scientific name)	Species (trade name)	Country of harvest (if known)	Sub-national region of harvest (if known)	Harvest concession (if known)	Image	NEPCon Comments			
10194021	9403 30, 940		Component	1. Cunninghamia lanceolata, 2. MDF(Eucalyptus,pinus,and other mixed woods), 3. Plywood[Populus spp,plywood with Pinus spp veneer)	species, Pine	China	1. FIR:FROM GUIZHOU PROVENCE 2. MDF:FROM FUJIAN PROVENCE 3. LAMINATE BOARDIPLYWOOD:FROM GUANGXI PROVENCE		MDF laminate board (pine wood)	No Cunninghamia lanceolata the image.			





Informati furnizorii de certintele DD si solicitati informatii despre lantul de aprovizionare (DD-06)

Inregistrati informatii despre lantul de aprovizionare (DD-04)

Analizati informatiile si identificati deficientele

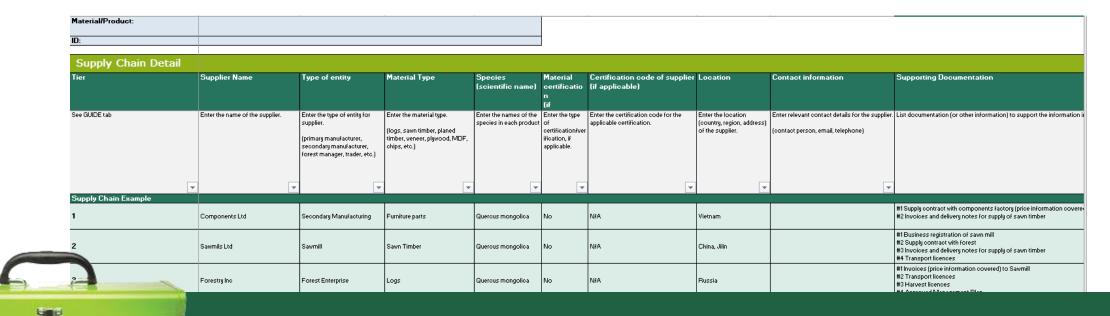
Solicitati informatii lipsa de la un anumit furnizor (DD-05)

Instrument de Gestionare a Lantului de Aprovizionare (DD-07)

Analizati informatiile si identificati deficientele



- Daca este necesar, "harta" lantului de aprovizionare pana la sursa
- Se pot introduce informatii despre fiecare furnizor din lant
- Inclusiv nume, adresa, tip de companie, certifcare







Informati furnizorii de certintele DD si solicitati informatii despre lantul de aprovizionare (DD-06) Inregistrati informatii despre lantul de aprovizionare (DD-04)

Analizati informatiile si identificati deficientele

Analizati informatiile si identificati deficiente

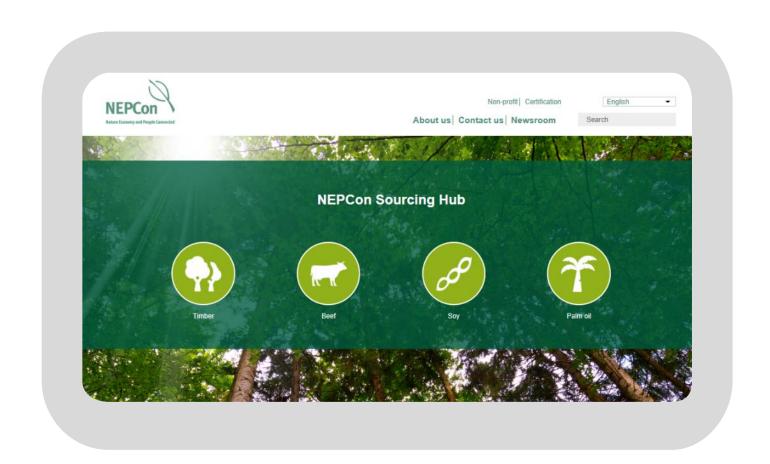
Solicitati informatii lipsa de la un anumit furnizor (DD-05)

Instrument de Gestionare a Lantului de Aprovizionare (DD-07)

Analizati informatiile si identificati deficientele

Lansat in August 2017... v1.0





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...si puteti descarca Ghidul de Documente pentru a afla mai multe:





3. Evaluare de risc

3. Evaluarea riscurilor



 In pasul anterior, ati asigurat accesul la informatii despre lanturile de aprovizionare.

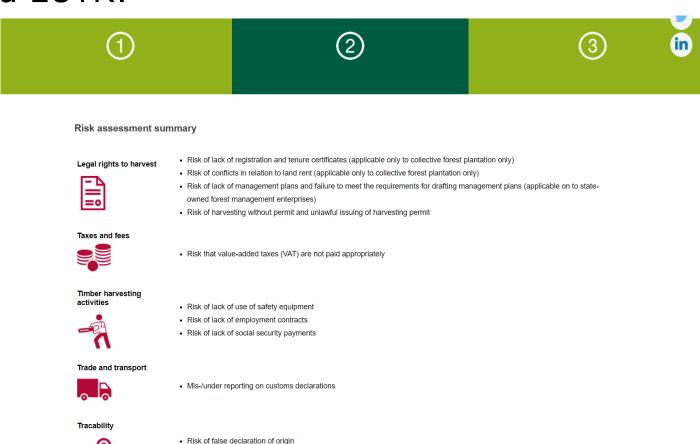
Acum, puteti evalua riscul asociat acestor produse.



3. Evaluare de risc



In fila *Evaluarea riscului* (2), este un rezumat al riscurilor identificate la nivel de tara. Acestea sunt impartite in cele cinci domenii de legislatie relevante pentru EUTR:



· Risk of timber mixing in production and trade

B. Overview of timber legality risks in China

Timber Risk Score: 73 / 100 in 2017

This report contains an evaluation of the risk of illegality in China for five categories and 21 sub-categories of law. We found:

- Specified risk for 5 sub-categories.
- · Low risk for 13 sub-categories.
- · No legal requirements for 3 sub-categories.

The Timber Risk Score for China is 73 out of 100. The key legality risks identified in this report concern legal rights to harvest, taxes and fees, timber harvesting activities and trade and transport.

For **Legal Rights to Harvest**, there is a risk of:

- · A lack of registration and tenure certificates (applicable only to collective forest plantation only) (Sub-category 1.1)
- · Conflicts in relation to land rent (applicable only to collective forest plantation only) (1.1.)
- · A lack management plans and failure to meet the requirements for drafting management plans (applicable on to state-owned forest management enterprises) (1.3)
- · Harvesting without permit and unlawful issuing of harvesting permit and the (1.4)

For Taxes and Fees, there is a risk that that value-added taxes (VAT) are not paid according to law (1.6).

For **Timber Harvesting Activities**, there is risk that:

- Safety equipment is not used in harvesting activities (1.11)
- Employment contracts are not in place for all employees (1.12)
- · Social security payments are not up to date for all employees

For Trade and Transport, there is a risk of miss-/under reporting on customs declarations, exacerbated by the issues related to corruption and poor governance (1.19).

Timber source types and risks

There are three timber source types found in China. Knowing the "source type" that timber originates from is useful because different source types can be subject to different applicable legislation and have attributes that affect the risk of non-compliance with the legislation. We have analysed the risks for all source types and found the risks differ between them.

Plantation Forest

Commercial Plantation Timber - from collectively, individually or corporately owned commercial plantations, mostly state managed. A harvesting permit and logging permit application is required. The is the primary source of timber in China.



This matrix summarises the findings of the timber legality risk assessment set out in this

			Source Type								
Legal Category	Sub-Category	Natural forest	Plantation forest	Bamboo forest							
	1.1 Land tenure and management rights	Low	Specified	Low							
Legal rights to	1.2 Concession licenses	N/A	N/A	N/A							
harvest	1.3 Management and harvesting										
	planning	Specified	Specified	Specified							
	1.4 Harvesting permits	Specified	Specified	Specified							
	1.5 Payment of royalties and harvesting										
	fees	Low	Low	Low							
Taxes and fees	1.6 Value added taxes and other sales										
	taxes	Low	Low	Low							
	1.7 Income and profit taxes	Low	Low	Low							
	1.8 Timber harvesting regulations	Low	Low	Low							
Timber	1.9 Protected sites and species	Low	Low	Low							
harvesting	1.10 Environmental requirements	Low	Low	Low							
activities	1.11 Health and safety	Specified	Specified	Specified							
	1.12 Legal employment	Specified	Specified	Specified							
	1.13 Customary rights	Low	Low	Low							
Third parties'	1.14 Free prior and informed consent	N/A	N/A	N/A							
rights	1.15 Indigenous/traditional peoples										
	rights	Low	Low	Low							
	1.16 Classification of species, quantities,										
	qualities	Low	Low	Low							
Trade and	1.17 Trade and transport	Low	Low	Low							
transport	1.18 Offshore trading and transfer										
a a lispoi c	pricing	Low	Low	Low							
	1.19 Custom regulations										
	1.20 CITES	Low	Low	Low							
Diligence/due	1.21 Legislation requiring due										
care procedures	diligence/due care procedures	N/A	N/A	N/A							



D. Legality Risk Assessment

LEGAL RIGHTS TO HARVEST

1.1. Land tenure and management rights

Legislation covering land tenure rights, including customary rights as well as management rights that includes the use of legal methods to obtain tenure rights and management rights. It also covers legal business registration and tax registration, including relevant legal required licenses. Risk may be encountered where land rights have not been issued according to prevailing regulations and where corruption has been involved in the process of issuing land tenure and management rights. The intent of this indicator is to ensure that any land tenure and management rights have been issued according to the legislation.

1.1.1. Applicable laws and regulations

- Constitution of the People's Republic of China dated 4th of December 1982 Article
 5-23 & 26. Available at: http://www.npc.gov.cn/npc/xinwen/node-505.htm
- General Principle of Civil Law of the People's Republic of China dated 12th of April 1986 – Article 80-83. Available at: http://www.npc.gov.cn/wxzl/wxzl/2000-12/06/content 4470.htm
- Law of the People's Republic of China on the Contracting of Rural Land ("Rural Land Contracting Law") dated 29th of August 2002 – Article 2 & 23. Available at: http://en.pkulaw.cn/display.aspx?cqid=41762&lib=law
- Property Law of the People's Republic of China ("Property Law") dated 16th of March 2007 – Article 124, 125 & 127. Available at: http://en.pkulaw.cn/display.aspx?cgid=89386&lib=law
- 5) Forest Law of the People's Republic of China ("Forest Law") dated 20th September 1984, 1998 Amendment. Revised 27th of August 2009 Article 3. Available at: http://en.pkulaw.cn/display.aspx?cgid=20095&lib=law
- 6) Regulation on the Implementation of the Forestry Law of the People's Republic of China [Revised], dated 29th January 2000 - Article 15, 34. Available at: http://www.forestry.gov.cn/main/3950/content-459869.html
- Processing Measures for the Disputes of Forest Trees and Forest Land Tenure and Ownership dated 14th October 1996 – Article 2. Available at: http://www.forestry.gov.cn/main/3951/content-204759.html
- 8) Administration Measures for Forest and Forestland Tenure Registration dated 31st December 2000 – Article 3-9. Available at: http://www.forestry.gov.cn/main/3951/content-204744.html
- Law of the People's Republic of China on the Mediation and Arbitration of Rural Land Contract Disputes dated 1st January 2010 – Article 2-6. Available at: http://www.forestry.gov.cn/main/24/content-204668.html
- Company Law of the People's Republic of China (2005 Revision) dated 1st January 2006 – Article 6-9, Available at:

http://wenku.baidu.com/link?url=rklYkWRxwQBLXhGrPRie6q73Ns0fxTfa8Ed6YpN3u iSiDO5pRXKD3WAqNe3nHCtvkkx-V4rMO95qpywiBanHwewDrrFSs67bAffZWpGPh17

- Taxation Registration Administration Measure dated 1st February 2004 Chapter 1
 A vailable at: http://www.gov.cn/gongbao/content/2004/content 62924.htm
- Regulations Governing Examination and Approval of Occupation and Requisition of Forest Land dated 4th January 2001. Available at: http://www.gov.cn/gongbao/content/2002/content_61894.htm
- Land management law of P. R. China dated 25th of June 1986 and revised 28th of August 2004. Available at: http://www.china.com.cn/chinese/law/647616.htm

All the provinces shall apply the laws listed above but may still take different approaches to ensure the right of land tenure and management.

1.1.2. Legal authority

- State Forestry Administration and forest bureaus at different levels are responsible for the laws about forest, forest trees and forest land.
- State Administration of Taxation is responsible for Taxation, Registration, Administration and Measure.
- State Administration for Industry and Commerce is responsible for Company Law.

1.1.3. Legally required documents or records

Numbers below refers to the numbers in section 1.1.1.

- Administration Measures for Forest and Forestland Tenure Registration dated 31st December 2000 – Article 3-9:
 - · Forest Tree and Forest Land Tenure Certificate (Forest Tenure Certificate)
- Company Law of the People's Republic of China (2005 Revision) dated 1st January 2006 – Article 6-9:
 - For companies leasing forest land for forest management: Forest land contract in addition to the above certificate.
 - · Business Registration Certificate, only applicable for companies mentioned above
- 11) Taxation Registration Administration Measure dated 1st February 2004 Chapter 1 and 2:
 - · Tax Registration Certificate, applicable only for companies

1.1.4. Sources of Information

- Chatham House. Available at: http://www.illegal-logging.info/;
- ELDIS regional and country profiles. Available at: http://www.eldis.org;
- Environmental Investigation Agency. Available at: http://www.eia-international.org;



- Greenpeace (2005). Investigation on APP's Hainan Project. Greenpeace, pp. 1-8.
 Available at: http://www.greenpeace.org/eastasia/Global/eastasia/publications/reports/forests/2 005/investigation-app-hainan-project.pdf [Accessed 22 Sep. 2015]
- Blog.sina.com.cn (N.Y.). Report on Foreign Forest Companies. [online]. Ren. Available at: http://blog.sina.com.cn/s/blog/436698a40100f0p6.html [Accessed 15 July 2015]
- Ping, L. (2014). Large-Scale Land Acquisition: Field Findings and Recommendations. Washington, DC: Rights and Resources Initiative, pp. 3-37.
 Available at: http://www.rightsandresources.org/publication/large-scale-land-acquisition-for-app-forest-plantations-field-findings-and-recommendations/
 [Accessed 3 November 2015]
- Ping, L. and Xiaobei, W. (2014). Forest Land Acquisition by Stora Enso in South China: Status, Issues, and Recommendations. Washington, DC: Rights and Resources Initiative, pp. 3-45. Available at: http://www.rightsandresources.org/publication/forest-land-acquisition-by-stora-enso-in-south-china-status-issues-and-recommendations/ [Accessed 3 November 2015]
- 6) Kram, M., Bedford, C., Durnin, M., Luo, Y., Rokpelnis, K., Roth, B., Smith, N., Wang, Y., Yu, G., Yu, Q., and Zhao, X. (2012). Protecting China's Biodiversity: A Guide to Land Use, Land Tenure, and Land Protection Tools. (N. Smith, Ed.) Beijing: The Nature Conservancy. Available at: http://www.nature.org/media/china/chinabook-wholebook-lowres.pdf
- zgxcfx.com. (2013). Forest tenure disputes and its reasons during collective forest tenure reform. [online]. Available at: www.zgxcfx.com/Article/53458.html
- forestry.gov.cn. (2012). Forest tenure certificate issued for forest on non-forestry land in Sinan County, Guizhou. [online]. Forestry website for China. Available at: http://www.forestry.gov.cn/portal/main/s/102/content-567294.html
- Transparency.org. (2014). Corruption by Country/Territory: Corruption Perceptions Index 2014 for China. [online]. Transparency International. Available at: http://www.transparency.org/country/#CHN
- 10) The World Bank. (2014). Worldwide Governance Indicators for China: Country Data Report for China, 1996-2014. [online]. Available at: http://info.worldbank.org/governance/wgi/index.aspx#countryReports

1.1.5. Risk determination

Overview of legal requirements

The Constitution, General Principle of Civil Law, and the Forestry Law of China provide that forest resources are owned by the State except for those owned by collectives according to laws. There are three forms of ownership to forest, timber and forest land:

- State-owned forest, timber and forest land;
- (ii) Collectively owned forest, timber and forest land; as well as



included in forestry land subject to planning. This could be considered a potential risk. However, these non-forestry lands are included within land use rights certificates, which can serve as evidence that the certificate holder owns the use right of land and the right to use the resources on the land. At any rate, to safeguard the interests of farmers, China now allows the issuing of forest tenure certificates for forest on non-forestry land, and some cities or provinces have been implementing the policy.

Risk Conclusion

Based on the available information, the risk in this category has been generally assessed as Low at the country level. However, also based on the available information, risks in some southern provinces in China persist and can be assessed as Specified, including: Hainan, Yunnan and Guangdong. The risks are reflected in two aspects: 1) some collective forests are not registered or issued with forest tenure certificates; and 2) harvesting on non-forestry land.

1.1.6. Risk designation and specification

Low risk:

China

Specified risk:

Commercial Plantations in some areas in Hainan, Yunnan, Guangdong and possibly other provinces within the Southern Collective Forest Region (Hunan, Jiangxi, Fujian, Zhejiang, Hubei).

1.1.7. Control measures and verifiers

- Harvesting permit may be used to confirm the ownership or tenure.
- In areas with land tenure conflicts: Consultation with neighbors, local communities
 and other stakeholders shall confirm that land tenure rights are clear and where
 applicable lease of the land has been agreed by all the land owners.
- Contractors shall have a valid forest land contract signed by all land tenure owners involved in the area.
- Contractors leasing forest land shall hold the forest tenure certificate (or similar document) to show the tenure transfer registration.
- Stakeholder consultation shall confirm that the legal status of the operation or rights for conducting the established activities are not subject to court orders or other legally established decisions to cease operations.
- Valid business registration documents (Business Registration Certificate and Tax Registration Certificate) shall exist for companies.

1.2. Concession licenses

Legislation regulating procedures for the issuing of forest concession licenses, including use of legal methods to obtain concession license. Especially bribery, corruption and nepotism are well-known issues in connection with concession licenses. The intent of this indicator is to avoid risk related to

3. Evaluare de risc



Instrumente suplimentare care va ajuta in procesul de evaluare a riscurilor:

- Anexa 2 a DD-01 Ghidului de Due Diligence introduce procesul de identificare a riscurilor.
- DD-08 Model de Verificatori pentru Identificarea Riscului ofera un model pentru identificarea riscurilor pe anumite lanturi de aprovizionare.
- Inregistrati concluzia riscului in **Formularul de Gestionare Furnizor** DD-04 pentru a oferi o imagine de ansamblu a riscului din toate lanturile de aprovizionare.
- Instrumentul de Gestionare a Lantului de Aprovizionare DD-07 poate fi folosite pentru a inregistra informatii despre lantul de aprovizionare de un nivel detaliat.
- Anexa 3 a DD-01 Ghidului de Due Diligence ofera indrumari cu privire la modul de specificare a ricului
- Verificatori pentru Evaluarea Sistemului de Certificare DD-13 pot fi utilizati pentru a inregistra evaluarea sistemului de certificare.



4. Reducerea riscurilor

4. Reducerea riscurilor





Version 1.0 | May 2017

China Risk Mitigation Guide

Timber







This tool has been developed by NEPCon with support from the LIFE programme of the European Union and UK aid from the UK government.





Customs Regulations

			Document Guide
Mis-/ under reporting on customs declarations	Products shall be correctly classified (type, HS customs code, species, quantities, qualities, etc.).	Review and verify documents Check information on all import/ export documentation (including Customs Declaration Registration Approval Certificate and phytosanitary certificate (where applicable)) and verify that information corresponds to material received.	 Customs Declaration Registration Approval Certificate Phytosanitary certificate (where applicable)

4. Reducerea riscurilor





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China Document Guide





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Example 14: Customs declaration registration approval certificate for custor declaration company

(Registration form of external trade proprietor)

Applicable to: Forest entities who export timber to other countries

Purpose and content of document: All entities that have import and export busines should register at Ministry of Commerce of China to obtain the right to import and export. The registration form shows that the holder has the right to legally import export. The contents of the registration certificate are: name of the entity (both Er and Chinese names), address, organisation code, contact information, business registration code etc.

Holder of document: Forest entities exporting timber to other countries

Document issued by: Ministry of Commerce

Signature/Seal required by: Local branches of Ministry of Commerce

Key considerations when checking the document:

- Is the name the same as on the business registration certificate?
- Is the business registration code the same as that appearing on the business registration certificate?
- Is the information in the custom registration system:

Example of Customs declaration registration approval certificate for customs declaration company

经营者中文名称	Company n	ame	18 A.A.	E STORES		
经营者英文名称						
组织机构代码	100009512	经营业 (由备案登记	#美型 2机关编写	国有企业		
住所		110000		Vall Die 1		
经营场所 (中文)		Uncertainty.				
经营场所 (英文)	100000000000000000000000000000000000000	DURL YUK				
联系电话	59518667	联系作	X.	59518636		
邮政编码	100861	电子数		zhul@csemc.com		
工商登记注册日期	1999-9-22	Busines	COLUMN TO SERVICE TO S	tration cod		
依法办理工商登记的企业	L还须填写以下内容	1887				
企业法定代表人姓名	周文明	有效证	件号	4504031944082809		
注册资金	或任李肆拾玖儿	沅	21/20	(折美		
依法办理工商登记的外口	图(地区)企业或个	体工商户 (独	变经营者)	还须填写以下内容		
"企业法定代表人/ 个体工商负责人姓名		有效证	件号			
企业资产/个人财产				(折美)		
备注 英文名称变	医、旧证号: 00621	165				
填表前请认真阅读背面的	的条款,并由企业法	定代表人或个	体工商负责	人签字、盖章。		















Pagina tarii

Evaluarea riscului

Ghid de diminuare a riscului

Lista de verificare pentru documente

Lista legislatiei aplicabile

Acum

disponibil

China, Honduras, Liberia

Ghana si DRC

Alte 57 de tari

Acum disponibil	Acum disponibil	Acum disponibil	Acum disponibil
Acum disponibil	Acum disponibil	Acum disponibil	Acum disponibil
Acum disponibil	Acum disponibil	In curand	In curand

Limba in care sunt disponibile documentele



Cod	Nume	Franceza	Germana	Spaniola	Portugeza	Estoniana	Letona	Lituaniana	Romana	Maghiara	Poloneza	Chineza	Rusa	Vietnameza
DD-01	Ghid Due Diligence	$\sqrt{}$	$\sqrt{}$	\checkmark	\checkmark	$\sqrt{}$	$\sqrt{}$	$\sqrt{}$	\checkmark	$\sqrt{}$				
DD-02	Model Procedurii de Due Diligence NEPCon													
DD-03	Model de Politica de Aprovizionare Responsabila													
DD-04	Formular de Gestionare Furnizor													
DD-05	Formular de Informatii Furnizor	\checkmark		\checkmark	\checkmark							\checkmark	√	\checkmark
DD-06	Scrisoare pentru Furnizori	\checkmark			\checkmark							\checkmark	\checkmark	\checkmark
DD-07	Instrument de Gestionare a Lantului de Aprovizionare													
DD-08	Model de Verificatori pentru Identificarea Riscului													
DD-09	Ghid privind Riscul Legal Specificat la Paduri													

Limba in care sunt disponibile documentele



Cod	Nume	Franceza	Germana	Spaniola	Portugeza	Estoniana	Letona	Lituaniana	Romana	Maghiara	Poloneza	Chineza	Rusa	Vietnameza
DD-10	Model privind Riscul Legal Specificat la Paduri													
DD-11	Ghid de due diligence pentru OS	$\sqrt{}$		\checkmark		\checkmark		\checkmark	\checkmark	\checkmark	\checkmark			
DD-12	Model de procedura due diligence pentru OS	$\sqrt{}$		\checkmark		\checkmark		\checkmark	\checkmark	\checkmark	\checkmark			
DD-13	Verificatori pentru Evaluarea Sistemului de Certificare													
DD-14	Model de Raport pentru Auditurile Furnizorului													
N/A	Ghid privind relatiile cu furnizorii													
N/A	Ghid pentru comercianti													
N/A	Articol de testare a lemnului		\checkmark											
N/A	Articol pentru documente false													

Alte documente



The EU Timber Regulation

A guide on managing good relations with your suppliers

Are you required to carry out due diligence on the tin this leaflet to find out how to get all the information your suppliers while also maintaining good relations



EUTR Guiding Leaflet no. 2 Published May 2017

The EU Timber Regulation

A guide for retailers

What is the EU Timber Regulation and what does it red Use this leaflet to find out more, including what producarry out due diligence on, and how to do the due diligence



EUTR Guiding Leaflet no. 1
Published March 2017





Fake Documents

How to spot them and what to do about them



Thematic article series no. 2 Published July 2017



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UKai

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UKaid

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Tumber Trade" funded by the LIFE programme of the Europ
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The End



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