



VALIDATION REPORT

FOR GOLD STANDARD A/R

REGISTRATION

CLIMATE BRIDGE LTD.

AFFORESTATION PROJECT IN

TONGLIAO, INNER MONGOLIA

GOLD STANDARD REF. NO.: GS3031

Report No: 15/019

Date: 2015-11-23

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Validation Report:	Report No.	Rev. No.	Date of 1st issue:	Date of this rev.
	15/019	2	2015-06-08	2015-11-23
Project:	Title:		Initial Version of all the templates:	Final Version of all the templates:
	Afforestation Project in Tongliao, Inner Mongolia		2014-12-12	2015-09-10
Project Participant(s):	Client:			
	Climate Bridge Ltd.			
Applied Standard	Title:		No.:	TA:
	Gold Standard-Afforestation/Reforestation (A/R) Requirements		0.9	Land Use & Forests
Validation team / Technical Review and Final Approval	Validation Team:		Technical review:	Final approval:
	Zhao Xuejiao(TL) Zhu Tangjun(TM)			
Expected Emission reductions: [t CO₂e]	Expected emission reductions over the crediting period:			
	106,604			
Confidential content:	<input type="checkbox"/> Yes		<input checked="" type="checkbox"/> No	
Key dates of validation:	Project Listed:	Draft Report issued:	On-site (from):	On-site (to):
	2014-12-12	2015-07-30	2015-04-20	2015-04-22
Summary of Validation Opinion:	<p>Climate Bridge Ltd. has commissioned the TÜV NORD JI/CDM Certification Program (CP) to validate the project: "Afforestation Project in Tongliao, Inner Mongolia" with regard to the relevant requirements of the Gold Standard Afforestation/Reforestation (A/R) Requirements version 0.9, host country criteria, as well as criteria given to provide for consistent project operations, monitoring and reporting.</p> <p>The project activity "Afforestation Project in Tongliao, Inner Mongolia", including 190 ha of eligible planting area, conforms to the performance certification criteria set in the document GS AR-Requirements_v0-9.</p> <p>The assessment team reviewed the estimation of the projected emission removals. It can be confirmed that the indicated amount of emission removals of 106,604 tonnes CO₂e over the crediting period of 30 years, resulting in a calculated annual average of 3,553 tCO₂e represent a reasonable estimation using the assumptions given by the project documents.</p> <p>In summary, it is TÜV NORD JI/CDM Certification Program (CP)'s opinion that the project meets all relevant Gold Standard Afforestation/Reforestation (A/R) Requirements version 0.9. TÜV NORD JI/CDM Certification Program (CP) thus requests the registration of the project as a Gold Standard Afforestation/Reforestation (A/R) project activity.</p>			
Document information:	Filename:			No. of pages:
	2015-11-23 GS FVaR_Tongliao Afforestation_clean			69

Abbreviations

BAU	Business as usual
CAR	Corrective Action Request
CDM	Clean Development Mechanism
CER	Certified Emission Reduction
CL	Clarification Request
CO₂	Carbon dioxide
CO₂e	Carbon dioxide equivalent
CP	Certification Program
DNA	Designated National Authority
DOE	Designated Operational Entity
DvalR	Draft Validation Report
EB	CDM Executive Board
EIA	Environmental Impact Assessment
EPA	Environmental Protection Bureau
ER	Emission reduction
ERPA	Emission reduction purchase agreement
FAR	Forward Action Request
FSR	Feasibility Study Report
GHG	Greenhouse gas(es)
GMO	Genetically Modified Organisms
GS	Gold Standard
GSF	Gold Standard Framework for Land Use & Forests
GSR	Gold Standard Afforestation/Reforestation (A/R) Requirements
IRR	Internal Rate of Return
IPCC	Intergovernmental Panel on Climate Change
LSC	Local Stakeholder Consultation
LSCR	Local Stakeholder Consultation Report
MDG	Millennium Development Goals
MTP	Million Tree Project
NGO	Non-Government Organisation
PA	Project Activity
PDD	Project Design Document
PP	Project Participant
QC/QA	Quality control/Quality assurance



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SD	Sustainable Development
SFR	Stakeholder Feedback Round
UNDP	United nations Development Programme
UNFCCC	United Nations Framework Convention on Climate Change
VER	Voluntary Emission Reduction
VT	Validation Team
VVS	Validation and Verification Standard
WWF	World Wide Fund for Nature
XLS	Emission Reduction Calculation Spread Sheet

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1 INTRODUCTION

Objective/Scope

The purpose of a validation is to have an independent third party assess the project design and compliance with the GS requirements as described in the Gold Standard documentation and supporting documents by the client.

The Gold Standard documentation and supporting documents were reviewed against the criteria as set out in the Gold Standard Principles, Gold Standard Afforestation/Reforestation (A/R) Requirements version 0.9, the Gold Standard Foundation Land Use & Forests Framework, version 1.0, and respective Annexes. The findings and conclusions on the project's compliance with the Gold Standard are recorded in this document.

In particular the project's baseline, GHG sources, sinks, and reservoirs; and the physical infrastructure, activities, technologies and processes of the GHG project, Do No Harm Assessment, Risk Register to the requirements of the GS and the project's compliance with

- The Gold Standard Principles;
- The Gold Standard Foundation Land Use & Forests Framework, version 1.0;
- The Gold Standard: Afforestation/Reforestation (A/R) Requirements v0.9;
- The Gold Standard A/R Guidelines for Local Stakeholder Consultation (LSC);
- The Gold Standard A/R Guidelines for Input & Grievance Mechanism;
- Other documents such as A/R all templates, etc.
- Other relevant rules, including the host country legislation

are validated in order to confirm that the project design as documented is sound and reasonable and meets the stated requirements and identified criteria. Validation is seen as necessary to provide assurance to stakeholders on the quality of the project and its intended generation of certified emission reductions (CERs) or Voluntary Emission Reductions (VERs).

Latest CDM requirements will be considered as far as applicable.

The validation scope is given as a thorough independent and objective assessment of the project design including especially: the correct application of the GS Standard, the project's baseline study, Do No Harm Assessment, Risk Register, local Stakeholder Consultation process, environmental impacts and monitoring plan, which are included in the A/R all required documents according to the A/R all templates and other relevant supporting documents, to ensure that the proposed GS project activity meets all relevant and applicable GS criteria.

The information included in the A/R all required documents and the supporting documents were reviewed against the requirements as set out by the Gold Standard. The validation team has, based on the requirements in the Gold Standard Afforestation/Reforestation (A/R)

Requirements, the Gold Standard Foundation Land Use & Forests Framework and the CDM Validation and Verification Standard^{VVSt} carried out a full assessment of all evidence.

The validation is based on the information made available to TÜV NORD JI/CDM CP and on the contract conditions.

The validation is not meant to provide any consulting to the project participants. However, stated requests for clarifications and/or corrective actions may provide input for improvement of the project design.

Level of assurance

The assessment was conducted to provide a reasonable level of assurance of conformance against the defined audit criteria and materiality thresholds within the audit scope. Based on the audit findings, a positive evaluation statement reasonably assures that the project GHG assertion is materially correct and is a fair representation of the GHG data and information.

Materiality

All GHG sinks, sources and/or reservoirs (SSRs) and GHG emissions are evaluated equal to or greater than 5% of the total GHG assertion.

2 GHG PROJECT DESCRIPTION

2.1 Project Characteristics

Essential data of the project is presented in the following Table 2-1.

Table 2-1: Project Characteristics

Item	Data
Project title	Afforestation Project in Tongliao, Inner Mongolia
Project Scope <i>(according to UNFCCC sectoral scope numbers for CDM)</i>	<input type="checkbox"/> 1 Energy Industries (renewable- /non-renewable sources)
	<input type="checkbox"/> 2 Energy distribution
	<input type="checkbox"/> 3 Energy demand
	<input type="checkbox"/> 4 Manufacturing industries
	<input type="checkbox"/> 5 Chemical industry
	<input type="checkbox"/> 6 Construction
	<input type="checkbox"/> 7 Transport
	<input type="checkbox"/> 8 Mining/Mineral production
	<input type="checkbox"/> 9 Metal production
	<input type="checkbox"/> 10 Fugitive emissions from fuels (solid, oil and gas)
	<input type="checkbox"/> 11 Fugitive emissions from production and consumption of halocarbons and hexafluoride
	<input type="checkbox"/> 12 Solvents use
	<input type="checkbox"/> 13 Waste handling and disposal
	<input checked="" type="checkbox"/> 14 Afforestation and Reforestation
	<input type="checkbox"/> 15 Agriculture
Applied Standard	Gold Standard Afforestation/Reforestation (A/R) Requirements version 0.9
Technical Area(s)	Land Use & Forests
Crediting period	30 years

2.2 Project Location

The details of the project location are given in table 2-2 and table 2-3:

Table 2-2: Project Location

No.	Project Location
Host Country	P. R. China
Region:	Inner Mongolia Autonomous Region
Project location address:	Zhaogensumo Village, Bagatala Town, Keerqin Left Back Banner, Tongliao Municipality
Location of the planting area:	South of the Zhaogensumo Village.

2.3 Technical Project Description

The Afforestation Project in Tongliao, Inner Mongolia (hereafter “the project”) is located in Zhaogensumo Village, Bagatala Town, Keerqin Left Back Banner, Tongliao Municipality, Inner Mongolia Autonomous Region, P. R. China.

The project is to establish forest on the land to generate GHG emission reductions and contribute to local sustainable development. The project is implemented by Shanghai Roots & Shoots. Shanghai Roots & Shoots started the Million Tree Project (MTP) in 2007^{/IM01/}.

In 2014, MTP planed 190 ha of forest by direct planting on degraded lands with some semi-fixed and fixed sand dunes. The project area includes two separate areas, Project Area 1 is on the west with a size of 80 hectares and Project Area 2 is on the east with a size of 110 hectares^{/MAP/}. The eligible planting areas is the same as the project area and area 1 and 2 are divided to 5 shapefiles, named under MU 1 to MU 5^{/MAP/}. The planting area covers the whole project area except for two roads inside.

All the project sites were illegally logged before 1950s. There is no natural renewal and reforestation before the project, all sites are degraded lands with some semi-fixed and fixed sand dunes. The mainly planted tree species is Hybrid poplars for the project.

The implementation of the project would reduce the GHG emissions for 106,604 tCO_{2e} in 30 years, with an average annual GHG emission of 3,553 tCO_{2e}.

3 METHODOLOGY AND VALIDATION SEQUENCE

3.1 Validation Steps

The validation of the project consisted of the following steps:

- Contract review
- Appointment of team members and technical reviewers
- Desk review of the all A/R required documents and supporting documents
- Validation planning
- On-Site assessment
- Background investigation and follow-up interviews with personnel of the project developer and its contractors
- Draft validation reporting
- Resolution of corrective actions (if any)
- Final validation reporting
- Technical review
- Final approval of the validation

3.2 Contract review

To assure that

- the project falls within the scopes for which accreditation is held,
- the necessary competences to carry out the validation can be provided,
- Impartiality issues are clear and in line with the GS requirements

a contract review was carried out before the contract was signed.

3.3 Appointment of team members and technical reviewers

On the basis of a competence analysis and individual availabilities, a validation team, consisting of one team leader and 1 additional team members, as well as the Technical Review personnel were appointed.

The list of involved personnel, the tasks assigned and the qualification status are summarized in the table 3-1 below.

Table 3-1: **Involved Personnel**

	Name	Company	Function ¹⁾	Qualification Status ²⁾	Scheme competence ³⁾	Technical competence ⁴⁾	Host country Competence	On-site visit
<input type="checkbox"/> Mr. <input checked="" type="checkbox"/> Ms.	Zhao Xuejiao	TN CERT GmbH	TL	LA	<input checked="" type="checkbox"/>	-	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
<input checked="" type="checkbox"/> Mr. <input type="checkbox"/> Ms.	Zhu Tangjun	-	TM	ETE	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
<input checked="" type="checkbox"/> Mr. <input type="checkbox"/> Ms.	Grzegorz Kochaniewicz	-	TR ^{B)}	LA	<input checked="" type="checkbox"/>	14.1	<input type="checkbox"/>	-
<input checked="" type="checkbox"/> Mr. <input type="checkbox"/> Ms.			FA ^{B)}		<input checked="" type="checkbox"/>	-	<input type="checkbox"/>	-

¹⁾ TL: Team Leader; TM: Team Member, TR: Technical review; OT: Observer-Team, OR: Observer-TR; FA: Final approval

²⁾ GHG Auditor Status: A: Assessor; LA: Lead Assessor; SA: Senior Assessor; T: Trainee; TE: Technical Expert

³⁾ GHG auditor status (at least Assessor)

⁴⁾ As per S01-MU03 or S01-VA070-A2 (such as 1.1, 1.2, ...)

A) Team Member: GHG auditor (at least Assessor status), Technical Expert (incl. Host Country Expert or Verification Expert), not ETE

B) No team member

Team Leader contributed to the review of documents, the assessment of the project activity and to the preparation of this report.

Team Leader and team member contributed to the assessment of special aspects of the project activity, e.g. technical or host country aspects.

Statements of competence for the above mentioned team members are enclosed in annex 2 of this report.

3.4 Review of Documents

Review of the documents provided by project proponents which have been used as direct sources of evidence for the verification conclusions. In addition, the several GS requirement documents were reviewed to ensure conformance of the project to the certification criteria, including the following key documents:

- The Gold Standard Principles;
- The Gold Standard Foundation Land Use & Forests Framework, version 1.0;
- The Gold Standard: Afforestation/Reforestation (A/R) Requirements v0.9;
- The Gold Standard A/R Guidelines for Local Stakeholder Consultation (LSC);



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- The Gold Standard A/R Guidelines for Input & Grievance Mechanism;
- Other documents such as A/R all templates, etc.
- Other relevant rules, including the host country legislation

Furthermore, the validation team used additional documentation by third parties like host party legislation, technical reports referring to the project design or to the basic conditions and technical data.

Refer to Section 7 of this report for the document details.

3.5 Site Visit and Follow-up Interviews

The validation team has carried out a site visit in order to assess the information included in the project documentation and to gain additional information regarding the compliance of the project with the relevant criteria applicable for GS.

During validation the validation team has performed interviews to confirm selected information and to resolve issues identified in the document review. The main topics of the interviews are summarized in table 3-2.

Table 3-2: **Interviewed persons and interview topics**

Interviewed Persons / Entities	Interview topics
Project proponent representatives: /IM01/ Credit Buyer: /IM02/ Local Stakeholders /IM03/	<ul style="list-style-type: none"> • Key Project Information • Chronological description of the project activity with documents of key steps of the implementation. • Technical details of the project realization, project feasibility, designing, operational life time, monitoring of the project • Environmentally safe and sound technology to be employed by the proposed project activity • Approval procedures and status • Financial aspects • Crediting period • Project activity starting date • GS VER allocation / ownership • Baseline study assumptions • Do-no-harm Assessment • Sustainable development issues • Monitoring • Risk Register • Stakeholder Consultation Meeting



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Interviewed Persons / Entities	Interview topics
	<ul style="list-style-type: none"> • Analysis of local stakeholder consultation • Roles & responsibilities of the project participants w.r.t. project management, monitoring and reporting • National Legislation • Editorial issues of the documents

A comprehensive list of all interviewed persons is part of section 7 ‘References’.

3.6 Project comparison

The validation team has compared the proposed GS project activity with similar projects or technology that have similar or comparable characteristics and with similar projects in the host country in order to achieve additional information esp. regarding:

- Project technology
- Baseline issues
- Do-no-harm Assessment
- Reasons for reviews, requests for reviews and rejections within the GS registration process.

3.7 Resolution of Clarification and Corrective Action Requests

3.7.1 Definition

A **Corrective Action Request (CAR)** will be established where:

- mistakes have been made in assumptions, application of the methodology or the project documentation which will have a direct influence the project results,
- the requirements deemed relevant for validation of the project with certain characteristics have not been met or
- there is a risk that the project would not be registered by the Gold Standard or that emission reductions would not be able to be verified and certified.

A **Clarification Request (CL)** will be issued where information is insufficient, unclear or not transparent enough to establish whether a requirement is met.

A **Forward Action Request (FAR)** will be issued when certain issues related to project implementation should be reviewed during the first verification.

3.7.2 Draft Validation

After reviewing all relevant documents and taken all other relevant information into account, the validation team issues all findings in the course of a draft validation report and hands this report over to the project proponent in order to respond on the issues raised and to revise the project documentation accordingly.

3.7.3 Final Validation

The final validation starts after issuance of the proposed corrective action (CA) of the CARs, CLs and FARs by the project proponent. The project proponent has to reply on those and the requests are “closed out” by the validation team in case the response is assessed as sufficient. In case of raised FARs the project proponent has to respond on this, identifying the necessary actions to ensure that the topics raised in this finding are likely to be resolved at the latest during the first verification. The validation team has to assess whether the proposed action is adequate or not.

In case the findings from CARs and CLs cannot be resolved by the project proponent or the proposed action related to the FARs raised cannot be assessed as adequate, no positive validation opinion can be issued by the validation team.

The CAR(s) / CL(s) / FAR(s) are documented in chapter 4.

3.8 Technical review

Before submission of the final validation report a technical review of the whole validation procedure is carried out. The technical reviewer is a competent GHG auditor being appointed for the scope this project falls under. The technical reviewer is not considered to be part of the validation team and thus not involved in the decision making process up to the technical review.

As a result of the technical review process the validation opinion and the topic specific assessments as prepared by the validation team leader may be confirmed or revised. Furthermore reporting improvements might be achieved.

3.9 Final approval

After successful technical review of the final report an overall (esp. procedural) assessment of the complete validation will be carried out by a senior assessor located in the accredited premises of TÜV NORD.

Only after this step the request for registration can be started (in case of a positive validation opinion).

4 VALIDATION FINDINGS

In the following table the findings from the desk review of the published documents, visits, interviews and supporting documents are summarised:

Table 4-1: Summary of CARs, CLs and FARs issued

Validation topic ¹⁾	No. of CAR	No. of CL	No. of FAR
2.1 Key Project Information	2	2	0
3.1 Do-no-harm Assessment	3	0	0
3.2. Local Stakeholder Consultation	2	1	0
3.4 Sustainability Monitoring Plan	0	0	0
3.5. Project Participants & Secured Titles	1	1	0
3.6. Risk Register	1	0	0
4.1. Additionality	0	1	0
5.1. Applicability	0	0	0
5.4. Other Emissions	0	0	0
5.5. Baseline	0	0	0
5.6. Leakage	0	0	0
5.7. CO ₂ -Fixation	0	0	0
SUM	9	5	0

¹⁾ The letters in brackets refer to the validation protocol

The following tables include all raised CARs, CLs and FARs. For an in depth evaluation of all validation items it should be referred to the validation protocols (see Annex 1).

The findings of validation process are summarized in the tables below.

Finding	CL 1		
Classification	<input type="checkbox"/> CAR	<input checked="" type="checkbox"/> CL	<input type="checkbox"/> FAR



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Finding	CL 1
<p>Description of finding <i>Describe the finding in unambiguous style; address the context (e.g. section)</i></p>	<p>It is observed that the location of project area and planting area was not described separately in the 2.1.1 (d) of 2.1 Key Project Information, and two maps of project area and planting area are needed if necessary.</p>
<p>Corrective Action #1 <i>This section shall be filled by the PP. It shall address the corrective action taken in details. In case the PDD is changed as part of the CA, the PP is requested to indicate the revised sections as well as the new version No.</i></p>	<p>The description of project area and planting area has been revised in the updated Key Project Information, and two maps have been also provided. As shown in the map, the project area is 190 hectares and the planting area is also about 190 hectares which almost covers the whole project area except for two roads inside.</p>
<p>DOE Assessment #1 <i>The assessment shall encompass all open issues in annex A-1. In case of non-closure, additional corrective action and DOE assessments (#2, #3, etc.) shall be added.</i></p>	<p>The revised document of “Key Project Information” has been checked, it is confirmed that the location of project area and planting area was stated separately. And the two maps have been provided in ‘Section 2. Shapefiles’ separately. Via checking the map^{/MAP/}, it is confirmed that the project area is calculated as 190 hectares and the planting area is also about 190 hectares which covers the whole project area except for two roads inside.</p>
<p>Conclusion <i>Tick the appropriate checkbox</i></p>	<p> <input type="checkbox"/> To be checked during the first periodic verification <input type="checkbox"/> Additional action should be taken (finding remains open) <input checked="" type="checkbox"/> The finding is closed </p>

Finding	CL 2		
Classification	<input type="checkbox"/> CAR	<input checked="" type="checkbox"/> CL	<input type="checkbox"/> FAR
<p>Description of finding <i>Describe the finding in unambiguous style; address the context (e.g. section)</i></p>	<p>It is observed that the description of “Herding to a reasonable degree is good for the ecosystem as the excrements of livestock will help the vegetation to grow and regenerate” was listed, the relevant binding guidelines to participants should be provided so that the risk can be minimized.</p> <p>And the relevant binding guidelines should be provided to DOE for verify.</p>		
<p>Corrective Action #1 <i>This section shall be filled by the PP. It shall address the corrective action taken in details. In case the PDD is changed as part of the CA, the PP is requested to indicate the revised sections as well as the new version No.</i></p>	<p>The training guidelines for workers have been provided to DOE which states the relevant supervision to safely implement the project.</p>		



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Finding	CL 2
<p>DOE Assessment #1 <i>The assessment shall encompass all open issues in annex A-1. In case of non-closure, additional corrective action and DOE assessments (#2, #3, etc.) shall be added.</i></p>	<p>The training guidelines for workers have been checked by the validation team^{/TG/}, it is confirmed that the relevant binding guidelines has been included in the training guidelines. Furthermore, via checking the Training Records^{/TCR/} and on-site interview^{/IM01/&/IM02/}, it is confirmed that the workers had been trained to safely implement the project and the “Herding to a reasonable degree” had been supervised by the workers and PP, hence, the risk can be minimized.</p>
<p>Conclusion <i>Tick the appropriate checkbox</i></p>	<p><input type="checkbox"/> To be checked during the first periodic verification <input type="checkbox"/> Additional action should be taken (finding remains open) <input checked="" type="checkbox"/> The finding is closed</p>

Finding	CL 3		
Classification	<input type="checkbox"/> CAR	<input checked="" type="checkbox"/> CL	<input type="checkbox"/> FAR
<p>Description of finding <i>Describe the finding in unambiguous style; address the context (e.g. section)</i></p>	<p>The description of the stakeholder feedback round is not updated.</p>		
<p>Corrective Action #1 <i>This section shall be filled by the PP. It shall address the corrective action taken in details. In case the PDD is changed as part of the CA, the PP is requested to indicate the revised sections as well as the new version No.</i></p>	<p>The description of the stakeholder feedback round has been updated.</p> <p>The LSC report and other project documents (non-confidential) has been submitted to Gold Standard Registry on August 5 2014 and has been published for all the stakeholders to make comments, also some hard copies with brief translation of the documents have been provided to local residents.</p> <p>Besides, project owner made a simple interview for the stakeholders who attended the physical LSC meeting during the following site visit of the Initial Certification on April 22 of 2015 to find out if there is any follow-up feedback from them. According to the interview, the stakeholders thought the planting was quite successful in the past year, and once all the trees grow up, the local environment would be significantly improved since the degenerated desert land would be turned into forest.</p> <p>From August 2014 when LSC was published to April 2015 when site visit of Initial Certification was conduct by the auditor, no comments were received.</p>		

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Finding	CL 3
<p>DOE Assessment #1 <i>The assessment shall encompass all open issues in annex A-1. In case of non-closure, additional corrective action and DOE assessments (#2, #3, etc.) shall be added.</i></p>	<p>The LSC report^{/LSC/} and also the mail sent to GS for LSC published^{/GSP/} has been checked, it is confirmed that the LSC report and other project documents (non-confidential) had been published on the Gold Standard Registry for all the stakeholders to make comments dated 05/08/2014. During the two months period GSP, there is no comments received from the global stakeholders via searching the GS website.</p> <p>Furthermore, via interview with the local stakeholders^{/IM01/}, it is confirmed that the project owner had made a simple interview on April 22 of 2015 to find out any follow-up feedback, and as stated by the local stakeholders^{/IM01/}, there is no negative comments from them, they thought all the trees grow up in the future, the local environment would be significantly improved since the degenerated desert land would be turned into forest.</p>
<p>Conclusion <i>Tick the appropriate checkbox</i></p>	<p><input type="checkbox"/> To be checked during the first periodic verification <input type="checkbox"/> Additional action should be taken (finding remains open) <input checked="" type="checkbox"/> The finding is closed</p>

Finding	CL 4		
Classification	<input type="checkbox"/> CAR	<input checked="" type="checkbox"/> CL	<input type="checkbox"/> FAR
<p>Description of finding <i>Describe the finding in unambiguous style; address the context (e.g. section)</i></p>	<p>For the items of “Provide the entity's legal registration number below and attach any documentation by the governing jurisdiction that proves that the entity is in good standing”, the description is not related to the requirement.</p>		
<p>Corrective Action #1 <i>This section shall be filled by the PP. It shall address the corrective action taken in details. In case the PDD is changed as part of the CA, the PP is requested to indicate the revised sections as well as the new version No.</i></p>	<p>The description has been revised in the updated ‘Project Participants & Secured Titles’, and relevant evidence has also been provided.</p> <p>The Legal registration number is W007 issued by Civil Affairs Bureau of Shanghai City, China.</p>		
<p>DOE Assessment #1 <i>The assessment shall encompass all open issues in annex A-1. In case of non-closure, additional corrective action and DOE assessments (#2, #3, etc.) shall be added.</i></p>	<p>Via checking the Legal registration documents of Jane Goodall Institute - Shanghai Roots & Shoots^{/LRD/}, it is confirmed that the entity's legal registration number is provided correctly, and the entity is in good standing due to it passed Annual Inspection and got the Organization Credit Code Certificate^{/LRD/}.</p>		
<p>Conclusion <i>Tick the appropriate checkbox</i></p>	<p><input type="checkbox"/> To be checked during the first periodic verification <input type="checkbox"/> Additional action should be taken (finding remains open) <input checked="" type="checkbox"/> The finding is closed</p>		

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Finding	CL 5		
Classification	<input type="checkbox"/> CAR	<input checked="" type="checkbox"/> CL	<input type="checkbox"/> FAR
Description of finding <i>Describe the finding in unambiguous style; address the context (e.g. section)</i>	The date of submission to the Pre-Feasibility Assessment (PFA) and the planting start is not stated in Retroactive submission section.		
Corrective Action #1 <i>This section shall be filled by the PP. It shall address the corrective action taken in details. In case the PDD is changed as part of the CA, the PP is requested to indicate the revised sections as well as the new version No.</i>	The date of submission to the PFA and the planting start has been stated in the updated 'Additionality'. The PFA was submitted on 06/04/2014, which before the planting start date of 11/04/2014.		
DOE Assessment #1 <i>The assessment shall encompass all open issues in annex A-1. In case of non-closure, additional corrective action and DOE assessments (#2, #3, etc.) shall be added.</i>	Via checking the mail of submission to the PFA dated 06/04/2014 ^{/MPFA/} , and via checking the implementation record of the project ^{/IR/} , it is confirmed that the project start date is 11/04/2014 which is the date of first tree planted. Hence, it is verified that the date of submission to the PFA is earlier than the planting start date of 11/04/2014, and the project is not applicable to Retroactive submission.		
Conclusion <i>Tick the appropriate checkbox</i>	<input type="checkbox"/> To be checked during the first periodic verification <input type="checkbox"/> Additional action should be taken (finding remains open) <input checked="" type="checkbox"/> The finding is closed		

Finding	CAR 1		
Classification	<input checked="" type="checkbox"/> CAR	<input type="checkbox"/> CL	<input type="checkbox"/> FAR
Description of finding <i>Describe the finding in unambiguous style; address the context (e.g. section)</i>	The size of the project area and the planting area was not stated separately, and the description of project area and planting area combined are 190 ha is not correct.		
Corrective Action #1 <i>This section shall be filled by the PP. It shall address the corrective action taken in details. In case the PDD is changed as part of the CA, the PP is requested to indicate the revised sections as well as the new version No.</i>	The size of the project area is 190 hectares and the planting area is also 190 hectares which almost covers the whole project area except for two roads inside. The relevant description has been revised.		



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Finding	CAR 1
<p>DOE Assessment #1 <i>The assessment shall encompass all open issues in annex A-1. In case of non-closure, additional corrective action and DOE assessments (#2, #3, etc.) shall be added.</i></p>	<p>The revised document of “Key Project Information” has been checked, it is confirmed that the size of project area and planting area was stated separately. Via checking the map^{/MAP/}, it is confirmed that the project area includes two separate areas, Project Area 1 is on the west with a size of 80 hectares and Project Area 2 is on the east with a size of 110 hectares. Hence, the total project area is calculated as 190 hectares and the planting area is also 190 hectares which covers the whole project area except for two roads inside. The relevant description has been checked as revised.</p>
<p>Conclusion <i>Tick the appropriate checkbox</i></p>	<p><input type="checkbox"/> To be checked during the first periodic verification <input type="checkbox"/> Additional action should be taken (finding remains open) <input checked="" type="checkbox"/> The finding is closed</p>

Finding	CAR 2		
Classification	<input checked="" type="checkbox"/> CAR	<input type="checkbox"/> CL	<input type="checkbox"/> FAR
<p>Description of finding <i>Describe the finding in unambiguous style; address the context (e.g. section)</i></p>	The value of hectares is not in line with other parts of the document.		
<p>Corrective Action #1 <i>This section shall be filled by the PP. It shall address the corrective action taken in details. In case the PDD is changed as part of the CA, the PP is requested to indicate the revised sections as well as the new version No.</i></p>	The value of hectares has been revised from 200 hectares to 190 hectares, it is a typo.		
<p>DOE Assessment #1 <i>The assessment shall encompass all open issues in annex A-1. In case of non-closure, additional corrective action and DOE assessments (#2, #3, etc.) shall be added.</i></p>	Via checking the map ^{/MAP/} , it is confirmed that the project area is 190 hectares, and also the value 190 hectares is listed in other parts of the “Key Project Information”. Hence it is confirmed that the value of 190 hectares is correct.		
<p>Conclusion <i>Tick the appropriate checkbox</i></p>	<input type="checkbox"/> To be checked during the first periodic verification <input type="checkbox"/> Additional action should be taken (finding remains open) <input checked="" type="checkbox"/> The finding is closed		

Finding	CAR 3		
Classification	<input checked="" type="checkbox"/> CAR	<input type="checkbox"/> CL	<input type="checkbox"/> FAR



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Finding	CAR 3
<p>Description of finding <i>Describe the finding in unambiguous style; address the context (e.g. section)</i></p>	<p>Via on-site interview with the workers, it is confirmed that Shanghai Roots & Shoots provides instructions and training that the villagers need. However, the evidence is missing and the relevant description of if the workers have supervision to safely implement the project is missing.</p>
<p>Corrective Action #1 <i>This section shall be filled by the PP. It shall address the corrective action taken in details. In case the PDD is changed as part of the CA, the PP is requested to indicate the revised sections as well as the new version No.</i></p>	<p>The relevant evidence for worker trainings has been provided.</p>
<p>DOE Assessment #1 <i>The assessment shall encompass all open issues in annex A-1. In case of non-closure, additional corrective action and DOE assessments (#2, #3, etc.) shall be added.</i></p>	<p>The training guidelines for workers have been checked by the validation team^{/TG/}, it is confirmed that the instructions and training that the villagers need have been provided. Furthermore, via checking the Training Records^{/TCR/} and on-site interview^{/IM01/&/IM02/}, it is confirmed that the workers have supervision to safely implement the project.</p>
<p>Conclusion <i>Tick the appropriate checkbox</i></p>	<p><input type="checkbox"/> To be checked during the first periodic verification <input type="checkbox"/> Additional action should be taken (finding remains open) <input checked="" type="checkbox"/> The finding is closed</p>

Finding	CAR 4		
Classification	<input checked="" type="checkbox"/> CAR	<input type="checkbox"/> CL	<input type="checkbox"/> FAR
<p>Description of finding <i>Describe the finding in unambiguous style; address the context (e.g. section)</i></p>	<p>The evidence which stipulates that unless there is a serious pest problem, the farmers are not allowed to apply pesticides is not provided.</p>		
<p>Corrective Action #1 <i>This section shall be filled by the PP. It shall address the corrective action taken in details. In case the PDD is changed as part of the CA, the PP is requested to indicate the revised sections as well as the new version No.</i></p>	<p>The agreement and guidelines have been provided which states that unless there is a serious pest problem, the farmers are not allowed to apply pesticides.</p>		
<p>DOE Assessment #1 <i>The assessment shall encompass all open issues in annex A-1. In case of non-closure, additional corrective action and DOE assessments (#2, #3, etc.) shall be added.</i></p>	<p>Via checking the guide manual of 'Chemical Pesticides Policy'^{/GCP/} and interview with the local workers^{/IM01/}, it is confirmed that the regulation of unless there is a serious pest problem, the farmers are not allowed to apply pesticides has been defined, and the workers have the awareness to not apply pesticides unless extreme situation.</p>		
<p>Conclusion <i>Tick the appropriate checkbox</i></p>	<p><input type="checkbox"/> To be checked during the first periodic verification <input type="checkbox"/> Additional action should be taken (finding remains open) <input checked="" type="checkbox"/> The finding is closed</p>		



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Finding	CAR 5		
Classification	<input checked="" type="checkbox"/> CAR	<input type="checkbox"/> CL	<input type="checkbox"/> FAR
Description of finding <i>Describe the finding in unambiguous style; address the context (e.g. section)</i>	The guide relevant to the 'Chemical Pesticides Policy' is missing.		
Corrective Action #1 <i>This section shall be filled by the PP. It shall address the corrective action taken in details. In case the PDD is changed as part of the CA, the PP is requested to indicate the revised sections as well as the new version No.</i>	The guide manual of 'Chemical Pesticides Policy' has been provided.		
DOE Assessment #1 <i>The assessment shall encompass all open issues in annex A-1. In case of non-closure, additional corrective action and DOE assessments (#2, #3, etc.) shall be added.</i>	<p>The guide manual of 'Chemical Pesticides Policy'^{/GCP/} is provided to the validation team.</p> <p>Via checking this manual, it is confirmed that the 'Chemical Pesticides Policy' is documented and implemented and will be regularly updated.</p> <p>The policy includes the provisions for safe transport, storage, handling and application and the provisions for emergency situations^{/GCP/}.</p>		
Conclusion <i>Tick the appropriate checkbox</i>	<input type="checkbox"/> To be checked during the first periodic verification <input type="checkbox"/> Additional action should be taken (finding remains open) <input checked="" type="checkbox"/> The finding is closed		

Finding	CAR 6		
Classification	<input checked="" type="checkbox"/> CAR	<input type="checkbox"/> CL	<input type="checkbox"/> FAR
Description of finding <i>Describe the finding in unambiguous style; address the context (e.g. section)</i>	The number of the forms filled out by the participants is missing.		
Corrective Action #1 <i>This section shall be filled by the PP. It shall address the corrective action taken in details. In case the PDD is changed as part of the CA, the PP is requested to indicate the revised sections as well as the new version No.</i>	<p>The number of the forms has been stated in the updated 'Local Stakeholder Consultation'.</p> <p>13 of the participants filled out the "evaluation forms", some illiterate villagers asked others to help fill in their evaluation forms by telling them their opinion orally.</p>		
DOE Assessment #1 <i>The assessment shall encompass all open issues in annex A-1. In case of non-closure, additional corrective action and DOE assessments (#2, #3, etc.) shall be added.</i>	<p>Via checking the copy of LSC attendance's list with signature and the copies of all filled evaluation forms by attendance in LSC^{/LSC/}, it is verified that 13 of the participants filled out the "evaluation forms". This value is also in line with the forms number in Annex II: Original 'evaluation forms'.</p>		



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Finding	CAR 6
Conclusion <i>Tick the appropriate checkbox</i>	<input type="checkbox"/> To be checked during the first periodic verification <input type="checkbox"/> Additional action should be taken (finding remains open) <input checked="" type="checkbox"/> The finding is closed

Finding	CAR 7		
Classification	<input checked="" type="checkbox"/> CAR	<input type="checkbox"/> CL	<input type="checkbox"/> FAR
Description of finding <i>Describe the finding in unambiguous style; address the context (e.g. section)</i>	5 of the indicators are assessed after collecting the results from the stakeholders. Via checking the Sustainable Development Assessment of the stakeholders, it is confirmed the indicator score of Air quality, Soil condition and Biodiversity is defined as +1. However, the Category score is not correct.		
Corrective Action #1 <i>This section shall be filled by the PP. It shall address the corrective action taken in details. In case the PDD is changed as part of the CA, the PP is requested to indicate the revised sections as well as the new version No.</i>	The category score of Environment has been corrected to +1 in the updated 'Local Stakeholder Consultation'.		
DOE Assessment #1 <i>The assessment shall encompass all open issues in annex A-1. In case of non-closure, additional corrective action and DOE assessments (#2, #3, etc.) shall be added.</i>	Via checking the revised documents of "Local Stakeholder Consultation", it is confirmed that the indicator score of Environment is defined as +1, this value is verified as correct due to the indicator score of Air quality, Soil condition and Biodiversity is defined as +1.		
Conclusion <i>Tick the appropriate checkbox</i>	<input type="checkbox"/> To be checked during the first periodic verification <input type="checkbox"/> Additional action should be taken (finding remains open) <input checked="" type="checkbox"/> The finding is closed		

Finding	CAR 8		
Classification	<input checked="" type="checkbox"/> CAR	<input type="checkbox"/> CL	<input type="checkbox"/> FAR
Description of finding <i>Describe the finding in unambiguous style; address the context (e.g. section)</i>	The evidence of the project owner owns the rights for timber and non-timber forest products for the project area, and the evidence of the project owner holds all necessary permits to implement the project are not provided.		



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Finding	CAR 8
<p>Corrective Action #1 <i>This section shall be filled by the PP. It shall address the corrective action taken in details. In case the PDD is changed as part of the CA, the PP is requested to indicate the revised sections as well as the new version No.</i></p>	<p>The agreement between villagers and Roots & Shoots has been provided which states that the local villagers are original land owners and tree owners and they've endorsed the related rights and permits for project implementation to Shanghai Roots & Shoots during the crediting period. They promise not to change the land use during the project period and will do the main work (as primary actors). Shanghai Roots & Shoots will be responsible for the funds needed for planting and maintaining the forest (as financing entity), while also own the CO₂ user rights as permit holder.</p>
<p>DOE Assessment #1 <i>The assessment shall encompass all open issues in annex A-1. In case of non-closure, additional corrective action and DOE assessments (#2, #3, etc.) shall be added.</i></p>	<p>The Planting Agreement signed between the local villagers and Shanghai Roots & Shoots dated on 10/04/2014^{/PA/} has been provided and checked by the validation team. It is verified that the local villagers are original land owners and tree owners, however they've endorsed the related rights and permits for project implementation to Shanghai Roots & Shoots during the crediting period. Hence the local villagers promise not to change the land use during the project period and will do the main work (as primary actors). Shanghai Roots & Shoots will be responsible for the funds needed for planting and maintaining the forest (as financing entity), while also own the CO₂ user rights as permit holder. The local villagers owns the rights for timber and non-timber forest products for the project area, and the project owner holds all necessary permits to implement the project.</p>
<p>Conclusion <i>Tick the appropriate checkbox</i></p>	<p><input type="checkbox"/> To be checked during the first periodic verification <input type="checkbox"/> Additional action should be taken (finding remains open) <input checked="" type="checkbox"/> The finding is closed</p>

Finding	CAR 9		
Classification	<input checked="" type="checkbox"/> CAR	<input type="checkbox"/> CL	<input type="checkbox"/> FAR
<p>Description of finding <i>Describe the finding in unambiguous style; address the context (e.g. section)</i></p>	<p>For the Risk Topics of Fire: The area is quit dry and the risk of fire may be high, the explanation of n/a is not clarified.</p>		



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Finding	CAR 9
<p>Corrective Action #1 <i>This section shall be filled by the PP. It shall address the corrective action taken in details. In case the PDD is changed as part of the CA, the PP is requested to indicate the revised sections as well as the new version No.</i></p>	<p>The planting area is mostly flat sandy land, thus the risk of fire is quite low in the early phase of the project. After the trees grow to a certain age (about five years), the risk of fire may be elevated, and the project owner will adopt the necessary measures for fire preventing.</p> <p>According to the Forest Conservation Act of China, local government will set the fireproofing period when using fire is forbidden in the open air; and once a fire disaster occurs, the local government should be responsible for relevant rescuing immediately.</p> <p>According to historical records, there was no significant fire disaster occurred before in the project area.</p> <p>The project owner will set fireproofing installation around the forest and specially-assigned person will be trained to oversee and make sure all the fireproofing measures are well in operation.</p>
<p>DOE Assessment #1 <i>The assessment shall encompass all open issues in annex A-1. In case of non-closure, additional corrective action and DOE assessments (#2, #3, etc.) shall be added.</i></p>	<p>During on-site investigation, it is confirmed that the planting area is mostly flat sandy land, thus during the early phase of the project the risk of fire is quite low.</p> <p>Based on the local expertise of the validation team, it is confirmed that after the trees grow five years, the risk of fire is raised.</p> <p>Via on-site interview, it is confirmed that the project owner will adopt any necessary measures for fire preventing.</p> <p>Furthermore, via checking the Law of Forest in China^{/lfc/}, and interview with the local officer from forest bureau^{/IM01/}, it is confirmed that the local government set the fireproofing period when using fire is forbidden in the open air; and once a fire disaster occurs, the local government would be responsible for relevant rescuing immediately.</p> <p>Via checking the historical records from local government website^{/tg/}, it is concluded that there was no significant fire disaster occurred before within the project area.</p>
<p>Conclusion <i>Tick the appropriate checkbox</i></p>	<p><input type="checkbox"/> To be checked during the first periodic verification</p> <p><input type="checkbox"/> Additional action should be taken (finding remains open)</p> <p><input checked="" type="checkbox"/> The finding is closed</p>

5 VALIDATION ASSESSMENT SUMMARY

5.1 Assess –Key Project Information (Template 2.1)

2.1. Key Project Information		Conclusion
2.1.1 Key Project Information		
2.1.1 (a) Project activities	<p>The project was implemented in 2014 by planting mainly hybrid poplars on the degraded lands with some semi-fixed and fixed sand dunes. The planting work was implemented by local villagers under the supervision of project owner Shanghai Roots & Shoots.</p> <p>The project generates the extra job opportunities and income to the local villagers, brings the advanced forestry technology to the community, provides the land management education so that to achieve the sustainable development to the local area.</p> <p>Via checking the project implementation plan^{/PIP/} and the Sapling Purchase Agreement^{/SPA/}, it is confirmed that the description of project activity is actual and in accordance with the GS A/R requirements^{/GSR/}.</p>	OK
2.1.1 (b) Organisations that are involved in the project (project participants)	<p>Jane Goodall Institute – Shanghai Roots & Shoots (the project owner)</p> <p>Climate Bridge Ltd.(the credit buyer)</p> <p>Via checking the Emission Reduction Purchase Agreement^{/ERPA/} and during the on-site interview with the representatives from the two parties^{/IM01/&/IM02/}, it is confirmed that the PPs involved in the project is listed correctly.</p>	OK
2.1.1 © Communities involved in the project	<p>Via the on-site investigation^{/PHT/} and cross-check the map^{/MAP/}, it is confirmed Communities involved in the project is Zhaogensumo Village including 190 families and 749 population, located in Bagatala Town, Keerqin Left Back Banner, Tongliao Municipality, Inner Mongolia, China.</p>	OK
2.1.1 (d) Location of the project area and the planting area	<p>The project is located to south of the Zhaogensumo Village. And the boundaries of the planting area reach (East) the borders of Xiba Village and Zhaogen Village, (West) borders of Zhaogen Village and Bianjie Village, (South) herding land owned collectively by Zhaogensumo village residents, and (North) 30-year contracted farm land of Zhaogensumo village residents.</p> <p>However, it is observed that the location of project area and planting area was not described separately, and two maps of project area and planting area are needed if necessary.</p>	CL-1 OK
2.1.1 © Size of the project area and the planting area	<p>The size of the project area and the planting area was not stated separately, and the description of project area and planting area combined are 190 ha is not correct.</p>	CAR-1 OK

<p>2.1.1 (f) Risk of change to the <u>project area</u> (during the <u>crediting period</u>)</p>	<p>The Land Use Agreement^{/LUA/} was checked, it illustrated that if the village residents collectively decide to change their minds and give up the agreement, as the penalty, Shanghai Roots & Shoots would take over all the provided capital and terminate the cooperation and the local village residents should pay liquidated damages.</p> <p>Hence, it is confirmed that the signed agreement has a sufficiently binding character to minimize the risk of change to the project area (during the crediting period).</p> <p>The government website^{/ttrb/} was checked, it is confirmed that there is no major mineral resources discovered in Bagatala Town. The map in the key project information is cross-checked. Based on the local expertise of the validation team, it is further demonstrated that once the government issued the village's collective land permit, no one can change the land ownership unless the extreme situation.</p> <p>Hence it is concluded that the risk of change to the project area is very limited.</p>	<p>OK</p>
<p>2.1.1 (g) Risk of change to the project activities (during the <u>crediting period</u>)</p>	<p>Via on-site interview with the local villagers^{/IM03/}, it is confirmed that each family involved in the project owns a portion of the trees after the planting finished, and they will protect the trees from invading sand dunes.</p> <p>During the on-site investigation^{/PHT/}, it is observed that the barriers have been set around the planting area to prevent the grazing. And a person is assigned to maintain to the barriers at regular intervals.</p> <p>However, the description of "Herding to a reasonable degree is good for the ecosystem as the excrements of livestock will help the vegetation to grow and regenerate" was listed, the relevant binding guidelines to participants should be provided so that the risk can be minimized.</p> <p>And the relevant binding guidelines should be provided to DOE for verification.</p>	<p>CL2 OK</p>
<p>2.1.1 (h) Timeframe for the <u>project activities</u></p>	<p>Via checking the implementation record of the project^{/IR/}, it is confirmed that the project start date is 11/04/2014 which is the date of first tree planted.</p> <p>The crediting period is defined from 11/04/2014 to 10/04/2044, totally 30 years.</p>	<p>OK</p>
<p>2.1.1 (i) Number of (predicted) <u>CO₂-certificates</u></p>	<p>Total CO₂-certificates is verified as 106,604tCO₂e.</p>	<p>OK</p>
<p>2.1.1 (j) Land-use history and current situation of the <u>project area</u></p>	<p>Via checking the baseline survey report^{/BS/}, it is confirmed that the land use history is correctly stated in the document of Key Project Information. Furthermore the background was verified</p>	<p>OK</p>

	<p>by the DOE via checking the literature of Journal of Desert Research^{/JDR/} and Chinese Journal of Ecology^{/CJE/}.</p> <p>Via checking the project implementation plan^{/PIP/}, it is confirmed that the current situation of the project area is correct.</p>	
2.1.1 (k) Socio-economic history and current situation	<p>Via checking the baseline survey report^{/BS/} and project implementation plan^{/PIP/}, it is confirmed that Socio-economic history and current situation of the project is correct.</p> <p>In addition, the public information of the project area^{/pipa/} was verified by DOE as cross-check.</p>	OK
2.1.1 (l) Forest management applied (past and future)	<p>Via checking the description of the Forest management applied in the document of Key Project Information, based on the local expertise of the validation team, it is concluded that the future management is reasonable and realizable.</p> <p>In addition, the Forest management Program^{/FMP/} during the crediting period was verified by DOE, the management and monitoring work during each growth stage of the tree has been clearly determined in the program.</p>	OK
2.1.1 (m) Forest characteristics (including main tree species planted)	<p>The project implementation plan^{/PIP/} was verified, it is confirmed that the major tree species is hybrid poplar (<i>Popullus simonii</i>). Via checking the Sapling Purchase Agreement^{/SPA/}, the local hybrid poplar breeds Zhelin 4 was chosen to be planted.</p> <p>However, the value of hectares is not in line with other parts of the document of 2.1. Key Project Information.</p> <p>CAR 2 was raised.</p>	CAR-2 OK
2.1.1 (n) Main social impacts (risks and benefits)	<p>The Main social impacts were checked as analysed in the document of Key Project Information including both the risks and benefits.</p> <p>Based on the local expertise of the validation team, it is confirmed that the relevant analysis is reasonable and plausible.</p>	OK
2.1.1 (o) Main environmental impacts (risks and benefits)	<p>The Main environmental impacts were checked as analysed in the document of Key Project Information including both the risks and benefits.</p> <p>Based on the local expertise of the validation team, it is confirmed that the relevant analysis is reasonable and plausible.</p>	OK
2.1.1 (p) Financial structure	<p>The project belongs to the MTP which was financed by Shanghai Roots & Shoots, the MTP aims to raise community awareness of the Earth's precious environment while focusing on steps individuals can take to lessen their negative impact on the natural world. By planting trees in Inner Mongolia, the Million Tree Project is designed to improve both ecological and humanitarian conditions there. The MTP has big Social influence and many persons focus on this program, hence the MTP will and should be proceeded.</p>	OK

	During the on-site interview with the representative ^{/IM01/} , it is confirmed that Shanghai Roots & Shoots will provided long-term funds to the MTP and also this project, hence the financial viability in the long term is confirmed.	
2.1.2 Shapefiles		
(a) Project area	All files related to a shape have been provided to view the shape ^{/SHAPE/} , including .shp (geometries), .dbf (attributes), .shx (index) and .prj (projection). The project area includes two separate areas, Project Area 1 is on the west with a size of 80 hectares and Project Area 2 is on the east with a size of 110 hectares ^{/SHAPE/} .	OK
(b) Planting areas	All files related to a shape have been provided to view the shape ^{/SHAPE/} , including .shp (geometries), .dbf (attributes), .shx (index) and .prj (projection). The planting areas is the same as the project area and area 1 and 2 are divided by 5 shapefiles, named under MU 1 to MU 5 ^{/SHAPE/} .	OK
(c) Eligible planting area	All files related to a shape have been provided to view the shape ^{/SHAPE/} , including .shp (geometries), .dbf (attributes), .shx (index) and .prj (projection). The eligible planting areas is the same as the planting area and area 1 and 2 are divided by 5 shapefiles, named under MU 1 to MU 5 ^{/SHAPE/} .	OK
(d) Modelling Units	There are 5 modelling units, named under MU 1 to MU 5 ^{/SHAPE/} .	OK
(e) Infrastructure (roads, houses, etc.)	There are two roads inside the project area, named under road 1 and road 2 ^{/SHAPE/} .	OK
(f) Water bodies	Via checking the baseline survey report ^{/BS/} and project implementation plan ^{/PIP/} , it is confirmed that no water bodies are located inside the project area.	OK
(g) Sites with special significance for indigenous people and local communities-resulting from the LSC	Via checking the LSC report ^{/LSC/} , it is confirmed that there are no sites with special significance for indigenous people and local communities.	N/A
(h) Where indigenous people and local communities are situated	Via checking the LSC report ^{/LSC/} , it is confirmed that there are no sites with special significance for indigenous people and local communities.	N/A
(i) Where indigenous people and local communities have legal rights, customary rights or sites with special cultural, ecological, economic, religious or spiritual significance	Via checking the LSC report ^{/LSC/} , it is confirmed that there are no sites with special significance for indigenous people and local communities.	N/A

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2.1.3 Boundaries		
Please provide evidence that boundaries of the project area and the planting are clearly distinguishable in the field.	All files related to a shape have been provided to view the shape ^{/SHAPE/} , including .shp (geometries), .dbf (attributes), .shx (index) and .prj (projection). The planting area is the same as the project area and area 1 and 2 are divided by 5 shapefiles, named under MU 1 to MU 5 ^{/SHAPE/} .	OK

3.1 Do-no-harm Assessment		Assessment	Conclusion
Social			
Indigenous People and Local Communities			
1. Sites with legal and customary rights of indigenous people and local communities shall be identified, known and respected by the workers.	Via checking the Land Use Agreement ^{/LUA/} , it is confirmed that the local people own the land and trees. They have been planted trees themselves. No extra workers are hired for tree planting or maintenance.	Future risk of non-compliance: <input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High <input checked="" type="checkbox"/> not applicable, as not relevant	N/A
2. Sites for special cultural, ecological, economic, religious or spiritual significance to the indigenous people and local communities shall be identified, known and respected by the workers.	Via checking the Land Use Agreement ^{/LUA/} , it is confirmed that the local people own the land and trees. They have been planted trees themselves. No extra workers are hired for tree planting or maintenance.	Future risk of non-compliance: <input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High <input checked="" type="checkbox"/> not applicable, as not relevant	N/A
3. The transfer of control of any activities from indigenous people and local communities to the project owner shall be documented.	Via checking the Carbon Credit Endorsement evidence ^{/CCE/} , it is confirmed that local people have authorize the project owner to deal with anything regarding carbon credit rights of this project. Hence the risk on non-compliance is low in the future.	Future risk of non-compliance: <input checked="" type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High <input type="checkbox"/> not applicable, as not relevant	OK
4. The project shall not involve and shall not be complicit in the involuntary relocation of people.	Via checking the Land Use Agreement ^{/LUA/} and on-site interview with local people ^{/IM01/} , it is confirmed that the project area doesn't	Future risk of non-compliance: <input type="checkbox"/> Low <input type="checkbox"/> Medium	N/A

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	include any habitats of local residents and won't cause any relocation of people.	<input type="checkbox"/> High <input checked="" type="checkbox"/> not applicable, as not relevant	
5. On sites with significant disputes, all operations should be stopped until the disputes are resolved.	Via checking the Land Use Agreement ^{/LUA/} and on-site interview with local people ^{/IM01/} , it is confirmed that the local residents are voluntary to planting the trees and support the projects, no significant disputes observed and involved.	Future risk of non-compliance: <input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High <input checked="" type="checkbox"/> not applicable, as not relevant	N/A
Working Conditions			
6. <u>Workers</u> shall be able to establish and join labour organisations	Via checking the Land Use Agreement ^{/LUA/} , it is confirmed that the local people own the land and trees. They have been planted trees themselves. No extra workers are hired for tree planting or maintenance. And via checking the Carbon Credit Endorsement evidence ^{/CCE/} , it is confirmed that local people have authorize Shanghai Roots & Shoots to deal with anything regarding carbon credit rights of this project. Furthermore, via the on-site interview with local people ^{/IM01/} , it is confirmed that there is not any restriction regarding workers' rights caused by the project activity. Local people are free to establish and join any labour organisations as they wish. Hence the risk on non-compliance is low in the future.	Future risk of non-compliance: <input checked="" type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High <input type="checkbox"/> not applicable, as not relevant	OK
7. <u>Workers</u> and labour organisations shall be generally satisfied with their working agreements	Via checking the Land Use Agreement ^{/LUA/} , it is confirmed that the local people own the land and trees. They have been planted trees themselves. No	Future risk of non-compliance: <input checked="" type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	OK



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	<p>extra workers are hired for tree planting or maintenance.</p> <p>Furthermore, via checking the working agreements^{/WA/} signed by Shanghai Roots & Shoots with all individual workers and the village committee and on-site interview with local people^{/IM01/}, it is confirmed that both the individual workers and the village committee are satisfied with the working agreement.</p> <p>Hence the risk on non-compliance is low in the future.</p>	<input type="checkbox"/> not applicable, as not relevant	
<p>8. Working agreements with all individual workers shall be documented and implemented.</p>	<p>Furthermore, via checking the working agreements^{/WA/} signed by Shanghai Roots & Shoots with all individual workers and the village committee and on-site interview with local people^{/IM01/}, it is confirmed that all individual workers have signed the working agreement, and agreement will be implemented accordingly.</p>	<p>Future risk of non-compliance:</p> <input checked="" type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High <input type="checkbox"/> not applicable, as not relevant	<p>OK</p>
<p>9. There shall not be forced labour, as defined by the <i>ILO Forced Labour Convention</i>.</p>	<p>Furthermore, via checking the working agreements^{/WA/} signed by Shanghai Roots & Shoots with all individual workers and the village committee and on-site interview with local people^{/IM01/}, it is confirmed that all individual workers have signed the working agreement voluntarily. The local people will be under the protection of Labor Law of the People's Republic of China^{/LL/} and no forced labour as defined by the ILO Forced Labour Convention^{/ilo/} is allowed.</p>	<p>Future risk of non-compliance:</p> <input checked="" type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High <input type="checkbox"/> not applicable, as not relevant	<p>OK</p>

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	Hence the risk on non-compliance is low in the future.		
10. There shall not be child labour, as defined by the <i>ILO Minimum Age Convention</i>	<p>Furthermore, via checking the working agreements^{/WA/} signed by Shanghai Roots & Shoots with all individual workers and the village committee and on-site interview with local people^{/IM01/}, it is confirmed that all individual workers are beyond 18 years old, no child labour observed.</p> <p>The local people will be under the protection of Labor Law of the People's Republic of China^{/LL/} and no child labour is allowed. Hence the risk on non-compliance is low in the future.</p>	<p>Future risk of non-compliance:</p> <input checked="" type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High <input type="checkbox"/> not applicable, as not relevant	OK
11. If the host country did not ratify one or more of the 8 <i>ILO Fundamental Conventions</i> , the <u>project owner</u> shall provide a written affirmation to uphold them.	Host country China ratified the requirements ^{/LL/} .	<p>Future risk of non-compliance:</p> <input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High <input checked="" type="checkbox"/> not applicable, as not relevant	N/A
12. Copies of the 8 <i>ILO Fundamental Conventions</i> shall be available for <u>workers</u> .	<p>Furthermore, via checking the working agreements^{/WA/} signed by Shanghai Roots & Shoots with all individual workers and the village committee and on-site interview with local people^{/IM01/}, it is confirmed that 8 ILO Fundamental Conventions are available for workers.</p>	<p>Future risk of non-compliance:</p> <input checked="" type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High <input type="checkbox"/> not applicable, as not relevant	OK
No Discrimination			
13. The <u>project owner</u> shall not be involved, and shall not be complicit, in any form of:	Via on-site interview with the PP representative from project owner Shanghai Roots & Shoots ^{/IM02/} and searched the website of the company ^{/srr/} , it is confirmed	<p>Future risk of non-compliance:</p> <input checked="" type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	OK



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<p>(a) sexual harassment, AND</p>	<p>that the project owner is a non-profit organization with its own moral code in line with China's legal regulations on sexual harassment. Any improper behaviors, such as sexual harassment and discrimination are forbidden.</p> <p>Hence the risk on non-compliance is low in the future.</p>	<p><input type="checkbox"/> not applicable, as not relevant</p>	
<p>(b) discrimination based on gender, race, religion, sexual orientation or any other basis.</p>	<p>Via on-site interview with the PP representative from project owner Shanghai Roots & Shoots^{/IM02/} and searched the website of the company^{/srr/}, it is confirmed that the project owner is a non-profit organization with its own moral code in line with China's legal regulations on sexual harassment. Any improper behaviors, such as sexual harassment and discrimination are forbidden. Via interview, it is found that in case of any discrimination, Shanghai Roots & Shoots would demand the person who is responsible for discrimination end his/her involvement with the project immediately and find someone else to take over his/her job. If the person is found guilty of sexual harassment, he or she would be dismissed from the team and pay a financial penalty if necessary. Farmers sign up voluntarily regardless of gender, race, religion, sex orientation or any other basis.</p> <p>Hence the risk on non-compliance is low in the future.</p>	<p>Future risk of non-compliance:</p> <p><input checked="" type="checkbox"/> Low</p> <p><input type="checkbox"/> Medium</p> <p><input type="checkbox"/> High</p> <p><input type="checkbox"/> not applicable, as not relevant</p>	<p>OK</p>
<p>Anti-Corruption</p>			
<p>14. The project owner shall not be involved</p>	<p>Via on-site interview with the PP representative from</p>	<p>Future risk of non-compliance:</p>	<p>OK</p>



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<p>and shall not be complicit in corruption. The project owner shall publicise a commitment not to offer or receive bribes in money or any other form of corruption. The project owner shall comply with anti-corruption legislation where this exists.</p>	<p>project owner Shanghai Roots & Shoots^{/IM02/} and searched the website of the company^{/srr/}, it is confirmed that the project owner is a non-profit organization. As a legally registered non-profit organization, Shanghai Roots & Shoots has the obligation to comply with NPO regulations, including anti-corruption law. The annual audit by the government makes sure that Shanghai Roots & Shoots operates with full compliance with China law and regulations.</p> <p>Hence the risk on non-compliance is low in the future.</p>	<p><input checked="" type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High <input type="checkbox"/> not applicable, as not relevant</p>	
<p>Occupational Health & Safety</p>			
<p>15. There shall be a 'Health & Safety Policy' that is documented, implemented and regularly updated. This policy shall include at a minimum:</p> <p>(a) provisions for first aid,</p>	<p>Via on-site investigation and interview with the workers^{/IM01/}, it is confirmed that Shanghai Roots & Shoots has referenced Safety and Healthy in Forestry Work published by ILO^{/ilo/} and adapted it to meet the local conditions to ensure workers' health and safety. Shanghai Roots & Shoots has provided a first aid kit for local villagers which is confirmed by means of interview with the village head^{/IM01/}.</p> <p>Hence the risk on non-compliance is low in the future.</p>	<p>Future risk of non-compliance: <input checked="" type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High <input type="checkbox"/> not applicable, as not relevant</p>	<p>OK</p>
<p>(b) provisions for the safe transport of workers,</p>	<p>Shanghai Roots & Shoots has referenced Safety and Healthy in Forestry Work published by ILO^{/ilo/} and adapted it to meet the local conditions to ensure workers' health and safety. The policy including the item of safe transport, and the item is implemented by the</p>	<p>Future risk of non-compliance: <input checked="" type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High <input type="checkbox"/> not applicable, as not relevant</p>	<p>OK</p>

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	<p>village committee which is confirmed by means of interview with the village head^{/IM01/}.</p> <p>Hence the risk on non-compliance is low in the future.</p>		
<p>(c) provisions for timely evacuation of workers to an adequately equipped medical facility in case of serious accident</p>	<p>Shanghai Roots & Shoots has referenced Safety and Healthy in Forestry Work published by ILO^{/ilo/} and adapted it to meet the local conditions to ensure workers' health and safety. The policy including the item of timely evacuation plan, and the item is implemented by the village committee which is confirmed by means of interview with the village head^{/IM01/}.</p> <p>Hence the risk on non-compliance is low in the future.</p>	<p>Future risk of non-compliance:</p> <p><input checked="" type="checkbox"/> Low</p> <p><input type="checkbox"/> Medium</p> <p><input type="checkbox"/> High</p> <p><input type="checkbox"/> not applicable, as not relevant</p>	OK
<p>(d) a health insurance scheme for workers who are impacted by workplace accidents</p>	<p>Shanghai Roots & Shoots has referenced Safety and Healthy in Forestry Work published by ILO^{/ilo/} and adapted it to meet the local conditions to ensure workers' health and safety. The policy including the item of health insurance scheme, and the item is implemented by the village committee which is confirmed by means of interview with the village head^{/IM01/}.</p> <p>Hence the risk on non-compliance is low in the future.</p>	<p>Future risk of non-compliance:</p> <p><input checked="" type="checkbox"/> Low</p> <p><input type="checkbox"/> Medium</p> <p><input type="checkbox"/> High</p> <p><input type="checkbox"/> not applicable, as not relevant</p>	OK
<p>(e) if workers stay in camps for a longer period of time, measures shall to provided to ensure that conditions for accommodation</p>	<p>Shanghai Roots & Shoots has referenced Safety and Healthy in Forestry Work published by ILO^{/ilo/} and adapted it to meet the local conditions to ensure workers' health and safety. The policy including the</p>	<p>Future risk of non-compliance:</p> <p><input checked="" type="checkbox"/> Low</p> <p><input type="checkbox"/> Medium</p> <p><input type="checkbox"/> High</p> <p><input type="checkbox"/> not applicable, as not relevant</p>	OK

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<p>and nutrition comply at least with those specified in the <i>ILO Code of Practice on Safety & Health in Forestry</i></p>	<p>measures for workers to stay in camps for a longer period of time, and the measure is implemented by the village committee which is confirmed by means of interview with the village head^{/IM01/}. The village committee^{/IM01/} ensure that conditions for accommodation and nutrition in-take comply at least with those specified in the ILO Code of Practice on Safety & Health in Forestry^{/ilo/}.</p> <p>Hence the risk on non-compliance is low in the future.</p>		
<p>16. An individual shall be appointed to have overall responsibility for 'Health & Safety' at the worksite</p>	<p>By means of interview with the village head^{/IM01/}, it is confirmed that he is appointed as the one to have overall responsibility for 'Health & Safety' at the worksite.</p> <p>Hence the risk on non-compliance is low in the future.</p>	<p>Future risk of non-compliance:</p> <p><input checked="" type="checkbox"/> Low</p> <p><input type="checkbox"/> Medium</p> <p><input type="checkbox"/> High</p> <p><input type="checkbox"/> not applicable, as not relevant</p>	<p>OK</p>
<p>17. <u>Workers</u> shall have job-specific training and supervision to safely implement the project.</p>	<p>Via on-site interview with the workers^{/IM01/}, it is confirmed that Shanghai Roots & Shoots provides instructions and training that the villagers need. However, the evidence is missing and the relevant description of if the workers have supervision to safely implement the project is missing.</p>	<p>Future risk of non-compliance:</p> <p><input checked="" type="checkbox"/> Low</p> <p><input type="checkbox"/> Medium</p> <p><input type="checkbox"/> High</p> <p><input type="checkbox"/> not applicable, as not relevant</p>	<p>CAR 3</p> <p>OK</p>
<p>18. <u>Workers</u> shall have safe protective equipment, tools and machinery appropriate for their work</p>	<p>Via on-site interview with the workers^{/IM01/}, it is confirmed that Shanghai Roots & Shoots provides safe protective equipment, tools and machinery to the workers if they need.</p>	<p>Future risk of non-compliance:</p> <p><input checked="" type="checkbox"/> Low</p> <p><input type="checkbox"/> Medium</p> <p><input type="checkbox"/> High</p> <p><input type="checkbox"/> not applicable, as not relevant</p>	<p>OK</p>

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	Hence the risk on non-compliance is low in the future.		
Environmental			
Tree Species			
19. The genotypes of the <u>tree</u> species planted shall be well-adapted to the site.	The main tree species planted by the project is hybrid poplars ^{/PIP/&/SPA/} . Via checking the report of <i>Populus simonii</i> in North China ^{/FAO/} , it is confirmed that hybrid poplars are one of the best tree species for afforestation and reforestation in this area and well-adapted to the site. Hence the risk on non-compliance is low in the future.	Future risk of non-compliance: <input checked="" type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High <input type="checkbox"/> not applicable, as not relevant	OK
20. <i>Exotic tree species</i> shall not be used, unless direct experience, or scientific research, demonstrate that there is, or can be, no invasiveness and no adverse impacts	Via checking the project implementation plan ^{/PIP/} and Sapling Purchase Agreement ^{/SPA/} , it is conformed that no <i>Exotic tree species</i> used.	Future risk of non-compliance: <input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High <input checked="" type="checkbox"/> not applicable, as not relevant	N/A
Habitat connectivity			
21. Through a smart mosaic of the <u>planting areas</u> , buffer zones and infrastructure habitat connectivity for flora and fauna should be enhanced	Via the map check and on-site investigation, it is confirmed that habitat connectivity for flora and fauna will be enhanced through the planting areas and buffer zones.	Future risk of non-compliance: <input checked="" type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High <input type="checkbox"/> not applicable, as not relevant	OK
GMOs			
22. <i>Genetically Modified Organisms (GMOs)</i> as defined by FSC shall not be used	Via checking the project implementation plan ^{/PIP/} and Sapling Purchase Agreement ^{/SPA/} , it is conformed that no <i>GMOs</i> used.	Future risk of non-compliance: <input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High <input checked="" type="checkbox"/> not applicable, as not relevant	N/A
Biodiversity			

<p>23. Minimum 10% of the <i>project area</i> shall be <i>identified</i> and <i>managed</i> to protect or enhance the <i>biological diversity of native ecosystems</i>. For this, the <i>HCV</i> approach should be followed.</p>	<p>Via on-site investigation, it is confirmed that an area with no less than 10% of the project area has been managed to protect or enhance the biological diversity of native ecosystems according to the <i>HCV</i> approach.</p>	<p>Future risk of non-compliance: <input checked="" type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High <input type="checkbox"/> not applicable, as not relevant</p>	<p>OK</p>
<p>24. (a) Existing patches of trees or single solitary stems of <i>native tree species</i> shall always be <i>identified</i> and <i>managed</i> to protect or enhance the <i>biological diversity</i></p>	<p>Via on-site investigation, it is confirmed that there are some elms in the project area and these trees have been identified and will not be cut or hurt.</p>	<p>Future risk of non-compliance: <input checked="" type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High <input type="checkbox"/> not applicable, as not relevant</p>	<p>OK</p>
<p>(7) habitats of endangered species shall always be <i>identified</i> and <i>managed</i> to protect or enhance the <i>biological diversity</i></p>	<p>Via on-site investigation, it is confirmed that No endangered species found in the project area.</p>	<p>Future risk of non-compliance: <input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High <input checked="" type="checkbox"/> not applicable, as not relevant</p>	<p>N/A</p>
<p>Erosion</p>			
<p>25. To ensure healthy soils the following aspects shall be identified and appropriate measures shall be put in place to protect them (a) soil types</p>	<p>Via on-site investigation and checking the baseline survey report^{/BS/}, it is confirmed that the soil type is aeolian sandy soil. Through the project, it cannot be turned into healthy soil completely, but will be improved.</p>	<p>Future risk of non-compliance: <input checked="" type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High <input type="checkbox"/> not applicable, as not relevant</p>	<p>OK</p>
<p>(b) biota</p>	<p>Via checking the document of Desertification and Ecological Restoration of Keerqin Sandy Land^{/DERK/}, the common biota such as flora, fauna and other vegetation are identified. Via on-site interview with the workers^{/IM01/}, it is confirmed that the soil will be refilled after planting to recover the soil structure.</p>	<p>Future risk of non-compliance: <input checked="" type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High <input type="checkbox"/> not applicable, as not relevant</p>	<p>OK</p>

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(c) erosion	Via on-site investigation, it is observed that the top soils are easy to be mobilized with strong winds. The fences have been built around the planting area and bushes have been planted ^{/PHT/} to slow down the wind speed on the surface of the earth. No water related erosion is expected in this project area.	Future risk of non-compliance: <input checked="" type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High <input type="checkbox"/> not applicable, as not relevant	OK
(d) compaction	As the major soil type is dditio sandy soil, there's not a high possibility of compaction.	Future risk of non-compliance: <input checked="" type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High <input type="checkbox"/> not applicable, as not relevant	OK
26. Ploughing on slopes with a gradient greater than 10% (5°) shall follow the land contour	Via on-site investigation, it is confirmed that there is no ploughing on slopes with a gradient greater than 10% (5°).	Future risk of non-compliance: <input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High <input checked="" type="checkbox"/> not applicable, as not relevant	N/A
Fertilizers			
27. Fertilizers shall be avoided, or their use shall be minimised and justified	Via checking the Forest management Program issued by Shanghai Roots & Shoots ^{/FMP/} and on-site interview with the workers, it is confirmed that no fertilizers used for trees.	Future risk of non-compliance: <input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High <input checked="" type="checkbox"/> not applicable, as not relevant	N/A
28. If the aerial application of fertilizer is used, then measures shall be put in place to prevent drift	Via checking the Forest management Program issued by Shanghai Roots & Shoots ^{/FMP/} and on-site interview with the workers, it is confirmed that no fertilizers used for trees.	Future risk of non-compliance: <input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High <input checked="" type="checkbox"/> not applicable, as not relevant	N/A
Chemical pesticides			
29. Chemical pesticides shall be avoided, or their use shall be minimised and justified	The evidence which stipulates that unless there is a serious pest problem, the farmers are not allowed to apply pesticides is not provided.	Future risk of non-compliance: <input checked="" type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	CAR 4 OK

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		<input type="checkbox"/> not applicable, as not relevant	
30. Chemical pesticides shall be used in accordance with the <i>FSC Pesticides Policy</i>	Via interview with the project owner and workers ^{/IM01/} , it is confirmed that Chemical pesticides would be used in accordance with the FSC Pesticides Policy if the chemical pesticides need to be used.	Future risk of non-compliance: <input checked="" type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High <input type="checkbox"/> not applicable, as not relevant	OK
31. There shall be a 'Chemical Pesticides Policy' that is documented, implemented and regularly updated. This policy shall include at a minimum: (a) provisions for safe transport, storage, handling and application	The guide is not provided. Via checking 'Chemical Pesticides Policy' ^{/GCP/} , it is confirmed that the 'Chemical Pesticides Policy' is documented and implemented and will be regularly updated. The policy includes the provisions for safe transport, storage, handling and application and the provisions for emergency situations ^{/GCP/} .	Future risk of non-compliance: <input checked="" type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High <input type="checkbox"/> not applicable, as not relevant	CAR-5 OK
(b) provisions for emergency situations	Via checking 'Chemical Pesticides Policy' ^{/GCP/} , it is confirmed that the 'Chemical Pesticides Policy' is documented and implemented and will be regularly updated. The policy includes the provisions for safe transport, storage, handling and application and the provisions for emergency situations ^{/GCP/} .	Future risk of non-compliance: <input checked="" type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High <input type="checkbox"/> not applicable, as not relevant	CAR-5 OK
32. In the case that chemical pesticides are used and two or more different chemical pesticides are equally effective, the least hazardous chemical pesticide shall be used	Via interview with the project owner and workers ^{/IM01/} , it is confirmed that if Chemical pesticides used, the project owner will oversee the process to ensure the least amounts of hazardous chemical pesticides are used.	Future risk of non-compliance: <input checked="" type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High <input type="checkbox"/> not applicable, as not relevant	OK
Biological control agents			

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<p>33. <i>Biological control agents</i> shall be avoided, or their use shall be minimised and justified.</p>	<p>Via interview with the project owner and workers^{/IM01/}, it is confirmed that no biological control agents will be used.</p>	<p>Future risk of non-compliance:</p> <p><input type="checkbox"/> Low</p> <p><input type="checkbox"/> Medium</p> <p><input type="checkbox"/> High</p> <p><input checked="" type="checkbox"/> not applicable, as not relevant</p>	<p>N/A</p>
Water resources			
<p>34. On both sides of permanent or temporary <i>water bodies</i> (lakes, streams, rivers, wetlands, etc.) riparian buffer zones of 15 meters shall be implemented on each site. In these riparian buffer zones:</p> <p>(a) only <i>native tree species</i> may be planted,</p>	<p>Via on-site investigation and checking the baseline survey report^{/BS/}, it is confirmed that There are no water bodies in the project area.</p>	<p>Future risk of non-compliance:</p> <p><input type="checkbox"/> Low</p> <p><input type="checkbox"/> Medium</p> <p><input type="checkbox"/> High</p> <p><input checked="" type="checkbox"/> not applicable, as not relevant</p>	<p>N/A</p>
<p>(b) <i>invasive species</i> shall be removed</p>	<p>Via on-site investigation and checking the baseline survey report^{/BS/}, it is confirmed that There are no water bodies in the project area.</p>	<p>Future risk of non-compliance:</p> <p><input type="checkbox"/> Low</p> <p><input type="checkbox"/> Medium</p> <p><input type="checkbox"/> High</p> <p><input checked="" type="checkbox"/> not applicable, as not relevant</p>	<p>N/A</p>
<p>(c) all existing <i>vegetation</i> shall be kept</p>	<p>Via on-site investigation and checking the baseline survey report^{/BS/}, it is confirmed that There are no water bodies in the project area.</p>	<p>Future risk of non-compliance:</p> <p><input type="checkbox"/> Low</p> <p><input type="checkbox"/> Medium</p> <p><input type="checkbox"/> High</p> <p><input checked="" type="checkbox"/> not applicable, as not relevant</p>	<p>N/A</p>
<p>(d) no <i>timber harvesting</i> activities shall take place</p>	<p>Via on-site investigation and checking the baseline survey report^{/BS/}, it is confirmed that There are no water bodies in the project area.</p>	<p>Future risk of non-compliance:</p> <p><input type="checkbox"/> Low</p> <p><input type="checkbox"/> Medium</p> <p><input type="checkbox"/> High</p> <p><input checked="" type="checkbox"/> not applicable, as not relevant</p>	<p>N/A</p>
<p>(e) no use of <i>fertilizer</i> or <i>chemical pesticides</i></p>	<p>Via on-site investigation and checking the baseline survey report^{/BS/}, it is confirmed that There are no water bodies in the project area.</p>	<p>Future risk of non-compliance:</p> <p><input type="checkbox"/> Low</p> <p><input type="checkbox"/> Medium</p> <p><input type="checkbox"/> High</p>	<p>N/A</p>

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		<input checked="" type="checkbox"/> not applicable, as not relevant	
35. The flows of <i>water bodies</i> shall not be blocked	Via on-site investigation and checking the baseline survey report ^{BS/} , it is confirmed that There are no water bodies in the project area.	Future risk of non-compliance: <input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High <input checked="" type="checkbox"/> not applicable, as not relevant	N/A
36. The groundwater in and around the <u>planting area</u> shall not be negatively affected by the <u>project</u>	Via on-site investigation and checking the project implementation plan ^{PIP/} , it is confirmed that no fertilizer was used during tree planting, and the groundwater resources are plentiful around the project area which will remain sufficient during the whole project period.	Future risk of non-compliance: <input checked="" type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High <input type="checkbox"/> not applicable, as not relevant	OK
Waste			
37. All sources of waste and <i>waste products</i> shall be identified and classified. <i>Waste products</i> include amongst others (a) chemical wastes	Via on-site investigation and based on the local expertise of the validation team, it is confirmed that no chemical wastes would be generated.	Future risk of non-compliance: <input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High <input checked="" type="checkbox"/> not applicable, as not relevant	N/A
(b) containers	Via on-site investigation, it is observed that the containers are cleaned from the forest. And via interview with the project owner and local people, it is confirmed that they will clear off the containers of all kinds regularly as they manage the forest.	Future risk of non-compliance: <input checked="" type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High <input type="checkbox"/> not applicable, as not relevant	OK
(c) fuels and oils	Via on-site investigation, it is observed that no fuel or oil was spill out in the forest. If there will be some fuel or oil due to the driving, the amount is so small that will be volatilized soon.	Future risk of non-compliance: <input checked="" type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High <input type="checkbox"/> not applicable, as not relevant	OK
(d) human waste	Via on-site investigation, it is observed that no toilet within the project area,	Future risk of non-compliance: <input checked="" type="checkbox"/> Low	OK

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	hence there will be small amount of human waste left in the forest. However, the amount is quite small due to only forest manager visit the forest.	<input type="checkbox"/> Medium <input type="checkbox"/> High <input type="checkbox"/> not applicable, as not relevant	
(e) rubbish (including metals, plastics, organic and paper products)	Via on-site investigation, it is observed that the rubbish are cleaned from the forest. And via interview with the project owner and local people ^{/IM01/} , it is confirmed that they will clear off the rubbish of all kinds regularly as they manage the forest.	Future risk of non-compliance: <input checked="" type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High <input type="checkbox"/> not applicable, as not relevant	OK
(f) abandoned buildings, machinery or equipment	Via on-site investigation, it is observed that the abandoned items are cleaned from the forest. And via interview with the project owner and local people ^{/IM01/} , it is confirmed that they will clear off the abandoned items of all kinds regularly as they manage the forest.	Future risk of non-compliance: <input checked="" type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High <input type="checkbox"/> not applicable, as not relevant	OK
38. Measures for waste products and their spillage shall be put in place for safe and environmentally appropriate: (a) collection	Via interview with the project owner and local people ^{/IM01/} , it is confirmed that they will collect all waste products found from the project area as they manage the forest and the waste products will be well packed without any spillage.	Future risk of non-compliance: <input checked="" type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High <input type="checkbox"/> not applicable, as not relevant	OK
(b) transport	Via interview with the project owner and local people ^{/IM01/} , it is confirmed that they will transport the well packed waste products found from the project area to their villages, leaving no spillage.	Future risk of non-compliance: <input checked="" type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High <input type="checkbox"/> not applicable, as not relevant	OK
(c) storage	Via on-site investigation and interview with the project owner and local people ^{/IM01/} , it is confirmed that the waste products collected from the project area will be transported to the	Future risk of non-compliance: <input checked="" type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High <input type="checkbox"/> not applicable, as not relevant	OK

	designated collection area for centralized disposal.		
(d) handling	Via on-site investigation and interview with the project owner and local people ^{/IM01/} , it is confirmed that the waste products collected from the project area will be transported to the designated collection area for centralized disposal.	Future risk of non-compliance: <input checked="" type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High <input type="checkbox"/> not applicable, as not relevant	OK
(e) disposal	Via on-site investigation, it is confirmed that some waste can degrade naturally, and for those that can't degrade naturally, their disposal will be handled by professional companies.	Future risk of non-compliance: <input checked="" type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High <input type="checkbox"/> not applicable, as not relevant	OK
Mangroves			
1. 90% of the planting area shall be planted with mangrove species	No mangrove species involved in the project.	Future risk of non-compliance: <input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High <input checked="" type="checkbox"/> not applicable, as not relevant	N/A

3.2. Local Stakeholder Consultation		Conclusion
Design of physical meeting(s)		
Agenda	As per the template of Local Stakeholder Consultation (LSC), the following points are covered during the LSC process, which is in line with the requirements. - Opening of the meeting - Explanation of the project; based on the content of the 'Key Project Information' - Discussion of continuous input and grievance mechanism - Questions for clarification about the project - Blind 'SD Matrix' exercise - Discussion on monitoring the mitigation measures - Closure of the meeting	OK
Invitation tracking table	Via checking the Emails of invitation ^{/EI/} and interview with the local villagers ^{/IM01/} , it is confirmed that all the name of the invitee are invited to the LSC. And some of the invitee confirmed via Oral or Email.	OK

Describe your selection	<p>Via checking the names and organization of the invitee, it is confirmed that the organisations/individuals who are the relevant stakeholders to the project were decided in accordance with the GS requirement.</p> <p>The gender, age, ethnicity are considered during selecting the stakeholders, different age, males and females and different ethnicities (Mongolian and Han ethnicities) are all selected.</p>	OK
Text of individual invitations	The text of individual invitations has been clearly stated.	OK
Description of other consultation methods used	Other consultation methods such as small meetings with local government officers through phone calls and face-to-face conversations were used and described.	OK
Participants' in physical meeting(s)		
Reference ID to the original participants' list	<p>Via checking the attendance list^{/LSC/}, it is confirmed that the original participants' list is attached in Annex I.</p> <p>Total 27 stakeholders attended the meeting, 11 female.</p>	OK
Participants list	Date, time, location are in line with the original participants' list ^{/LSC/} , and the stakeholders are classified by 5 category. Villager, Local officer, Consultant, NGO, and Project owner.	OK
Evaluation forms		
Reference ID to the original 'evaluation forms'	<p>Via checking the evaluation forms^{/LSC/}, it is confirmed that the original participants' list is attached in Annex II.</p> <p>Total 27 stakeholders attended the meeting, XX filled out the forms.</p> <p>The number of the forms filled out by the participants is missing.</p>	CAR-6 OK
Summarise the main comments in the table below (please translate into English if necessary). Provide references to the individual 'evaluation forms'.	The summary of the main comments in the table has been checked as in line with the original individual 'evaluation forms' ^{/LSC/} .	OK
Pictures from physical meeting(s)	The pictures from physical meeting are checked as added accordingly.	OK
Outcome of consultation process		
Minutes of physical meeting(s)	Via checking the description of Minutes of physical meeting, it is confirmed that a summary of the meeting as well as all comments received are included. Also an outline of the discussions on continuous input and grievance expression methods; comments, agreements or modifications suggested by stakeholders are also included in the minutes.	OK

Minutes of other consultations	Via on-site interview with Mr. Li Yunxiang ^{/IM02/} of Tongliao Forestry Bureau, it is confirmed that his suggestions and comments were collected by a small meeting with project owner. He supported the project and his suggestions were considered by the project owner.	OK
Assessment of all comments		
Stakeholder comment	All the Stakeholder comments from original evaluation forms are assessed, the explanation of the comment is taken into account was elaborated.	OK
Summary of alterations based on comments	Only one comment considering the language translation is taken into account, and the measures have been provided.	OK
Sustainable Development Assessment		
Sustainable Development Assessment of the project owner:		
Environment Indicator	5 indicators are assessed before take the results from the stakeholders. Indicator score of Soil condition and Biodiversity is defined as +1. And Category score is +1.	OK
Social Development Indicator	4 indicators are assessed before take the results from the stakeholders. Indicator score of Human and institutional capacity is defined as +1. And Category score is +1.	OK
Economic & Technical Development Indicator	3 indicators are assessed before take the results from the stakeholders. All the Indicator score is defined as 0. And Category score is 0.	OK
Justification choices, data source and provision of references		
Environment	All the indicators of environment was justified, the references are verified by the validation team ^{/REI/} . It is concluded that the justification was conducted based on the relevant references.	OK
Social Development	All the indicators of social development was justified, the references are verified by the validation team ^{/RSDI/} . It is concluded that the justification was conducted based on the relevant references.	OK
Economic & Technical Development	All the indicators of economic & technical development was justified, the references are verified by the validation team ^{/RETDI/} . It is concluded that the justification was conducted based on the relevant references.	OK
Summary of Sustainable Development Assessment of the stakeholders – BLIND exercise		
Environment Indicator	5 indicators are assessed after take the results from the stakeholders. Via checking the Sustainable Development Assessment of the stakeholders ^{/LSC/} , it is confirmed the indicator score of Air quality, Soil condition and Biodiversity is defined as +1. The Category score is not correct.	CAR-7 OK

Social Development Indicator	4 indicators are assessed after take the results from the stakeholders. Via checking the Sustainable Development Assessment of the stakeholders ^{/LSC/} , it is confirmed the indicator score of Human and institutional capacity is defined as +1. And Category score is +1.	OK
Economic & Technical Development Indicator	3 indicators are assessed after take the results from the stakeholders. Via checking the Sustainable Development Assessment of the stakeholders ^{/LSC/} , it is confirmed the all the Indicator score is defined as 0. And Category score is 0.	OK
Comments accompanying the BLIND exercise	Based on the Sustainable Development Assessment of the stakeholders ^{/LSC/} , it is confirmed the stakeholders were more concerned about the environmental impact than social and economic impact, and they thought the planting could benefit the local environment by improving the soil condition, air quality and ecosystem.	OK
Main differences		
Main differences	<p>The differences before and after take the results from the stakeholders have been compared.</p> <p>Via on-site investigation, it is confirmed that the planting scale of this project is quite small, thus the impact on local environment not so significant. And it is not easy to measure and monitor the impact. Based on this, the indicator scores of air quality and soil condition were changed from +1 to 0.</p>	OK
Consolidated Sustainable Development Assessment – with final scores		
Environment Indicator	After the differences compared, only indicator score of Biodiversity is defined as +1. And Category score is +1. This is verified by the validation team as reasonable and correct.	OK
Social Development Indicator	After the differences compared, only indicator score of Human and institutional capacity is defined as +1. And Category score is +1. This is verified by the validation team as reasonable and correct.	OK
Economic & Technical Development Indicator	After the differences compared, all the indicator score is defined as 0. And Category score is 0. This is verified by the validation team as reasonable and correct.	OK
Sustainability Monitoring Plan		
Discussion on Sustainability Monitoring Plan	<p>Via on-site interview with the local people^{/IM01/}, it is confirmed that they would like to participate in monitoring of the SD indicators.</p> <p>Gathered the suggestions from the stakeholders for the SD indicators, it is concluded that as follow:</p> <p>For the indicator of biodiversity, a questionnaire could be used for local stakeholders to monitor the visible change of the local ecosystem, which is deemed as a cost effective way.</p>	OK

	<p>For the indicator of human and institutional capacity, the stakeholders suggested also using a questionnaire to reflect their own feelings about the local community with regards to this project, which is deemed as a cost effective way.</p> <p>Based on the questionnaires, the stakeholders can participate in the monitoring.</p>	
Discussion on continuous Input and Grievance Mechanism		
Discussion on Sustainability Monitoring Plan	<p>Via on-site investigation, it is confirmed that the Continuous Input and Grievance Expression Process Book has been published on the notice board of the local village. Via interview with the local people^{/IM01/}, it is confirmed that they will write their comments or suggestions in the book anytime. Two languages of the book is provided. The project owner will check the book regularly and collect all the comments received. The contact of responsible person is checked as provided in the book.</p>	OK
Stakeholder feedback round		
Description of the design of the stakeholder feedback round	The description of the stakeholder feedback round is not updated.	CL3 OK

3.4. Sustainability Monitoring Plan		Conclusion
Indicator identified by the Sustainable Development Assessment in the chapter '3.2 Local Stakeholder Consultation' rated as positive (+1) or negative (-1)		Stakeholder
Biodiversity	<p>The validation team considers that the project activity improves the numbers of flora and fauna through planting trees and would increase the Biodiversity at the local area.</p> <p>The validation team agrees that the monitoring of the numbers of flora and fauna can directly reflect the ability of the project to increase the Biodiversity at the local area. Continuous monitoring of the numbers of flora and fauna will be carried out by project owner through provided questionnaires to local stakeholders to collect their comments on the local ecosystem and biodiversity once a year.</p>	OK
Human and institutional capacity	<p>The validation team considers that the project activity improves the social development through change in decision-making structures at local village and would increase the human and institutional capacity at the local area.</p> <p>The validation team agrees that the monitoring of change in decision-making structures at local village can directly reflect the ability of the project to increase the human and institutional capacity at the local area. Continuous monitoring of change in decision-making structures at local village will be carried out by project owner through meetings and activities organized for local residents and also provided questionnaires to local stakeholders</p>	OK

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	to collect their comments on the local institutional capacity once a year.	
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3.5. Project Participants & Secured Titles		Conclusion
Project owner		
Project Owner	Via on-site interview with the representative of the project owner ^{/IMO2/} and through searching the website of the project owner ^{/SRR/} , it is confirmed the below information is correct. Legal entity: Jane Goodall Institute – Shanghai Roots & Shoots Suite 1613, 16/F Ocean Towers, 550 Yan An Road East 200001, Shanghai China Contact person: Ting, Chen Million Tree Project Director +86 138 1636 2425 tingchen@jgi-shanghai.org	OK
Provide the entity's legal registration number below and attach any documentation by the governing jurisdiction that proves that the entity is in good standing.	Via checking the Legal registration documents of Jane Goodall Institute - Shanghai Roots & Shoots ^{/LRD/} , it is confirmed that the entity's legal registration number is provided correctly, and the entity is in good standing due to it passed Annual Inspection and got the Organization Credit Code Certificate ^{/LRD/} .	CL4 OK
Define the rights of this entity:	<input type="checkbox"/> Authority to instruct The <u>Gold Standard Secretariat</u> . <input checked="" type="checkbox"/> Authority to request or communicate the addition or edits of project participants (e.g. voluntary withdrawal of project participants, updates of contact details, etc.). <input checked="" type="checkbox"/> Authority to receive all information from The <u>Gold Standard Secretariat</u> on matters related to the <u>project</u> .	OK
(a) Entity that owns the CO₂ user rights or carbon sequestration rights	<input checked="" type="checkbox"/> N/A, this entity is also the project owner. Via checking the Carbon Credit Endorsement evidence signed between local village residents and Shanghai Roots & Shoots dated 2014-04-10 ^{/CCE/} , it is confirmed that the Shanghai Roots & Shoots owns the CO ₂ user rights or carbon sequestration rights.	N/A
(b) Entity that holds an uncontested legal land title for the project area	<input type="checkbox"/> N/A, this entity is also the project owner. Villagers are original land owners and tree owners. Via checking the Land Use Agreement signed between local village residents and Shanghai Roots & Shoots dated 2014-04-10 ^{/LUA/} , it is confirmed that the local villagers promise not to change the land use during the project period and will do the main work (as primary actors). Shanghai Roots & Shoots will be responsible for the funds needed for planting and maintaining the forest (as financing entity), while also	OK

	own the CO ₂ user rights as permit holder. The local villagers hold an uncontested legal land title for the project area.	
(c) Entity that owns the rights for timber and non-timber forest products for the project area	<input type="checkbox"/> N/A, this entity is also the project owner. The evidence of the entity who owns the rights for timber and non-timber forest products for the project area was not provided.	CAR-8 OK
(d) Entity that holds all necessary permits to implement the project (planting permits, infrastructure permits, harvesting permits, etc.)	<input checked="" type="checkbox"/> N/A, this entity is also the project owner. The evidence of the project owner holds all necessary permits to implement the project is not provided.	CAR-8 OK
(e) Entity that participates in the financing of the project.	<input checked="" type="checkbox"/> N/A, this entity is also the project owner. Via on-site investigation and interview with the representative of project owner and local residents ^{/IM01/&/IM02/} , and further checking the Land Use Agreement ^{/LUA/} and project implementation plan ^{/PIP/} , it is confirmed that the project owner participates in the financing of the project.	OK
Other project participant	<p>Climate Bridge Ltd. is Project consultant & credits buyer Via on-site interview with the representative of the credits buyer^{/IM03/} and through searching the website of the credits buyer^{/cb/}, it is confirmed the below information is correct.</p> <p>Legal entity: Climate Bridge Ltd. Suite 19D, Sanhe Centre, 121 Yanping Road, Jing'an District, Shanghai, China, 200042</p> <p>Contact person: Princeton, Peng CEO +86 21 6246 2036 princeton.peng@climatebridge.com</p>	OK

3.6. Risk Register		Score	Conclusion
Risk Topics			
Management qualifications in forestry, operations, finance, legal	The project owner Shanghai Roots & Shoots was confirmed fully with the forest management experience. Via on-site investigation and interview with the representative of the project owner, it is confirmed that some full time forest experts are assigned to oversee the whole program, and all the project experts have forest-related education background and relevant working experience on similar regions. Furthermore, via interview with the project owner ^{/IM02/} and checking the LSC record ^{/LSC/} , it is confirmed that consultants from third parties Oregon	-	OK

	State University and Cold and Arid Regions Environmental and Engineering Research Institute of Chinese Academy of Sciences will provide regular assessments during the whole project period so there will be very little risk on the management qualifications.		
Workers qualifications in the technical implementation	The local residents who own the trees do all the work themselves instead of hiring workers. Via checking the technical training record ^{/TCR/} and the guidance and manual ^{/FMM/} , it is confirmed that all the workers are adequately trained and will implement the project according to the guidance, hence there will be little risk on workers qualifications.	-	OK
Financial means: complete and realistic income streams (investment, funding, co-funding, sales, etc.) and expenditure (administration, infrastructure, machines, labour, audits, unexpected expenditures, etc.)	The project belongs to the MTP. Via interview with the representative of the project owner ^{/IM02/} , it is confirmed that the funds needed for the project and MTP have already been secured.	-	OK
Water: drought, flood, hail, snow, heavy rains	Via checking the baseline survey report ^{/BS/} , it is confirmed that there are no water bodies in the project area, but the resources of groundwater are plentiful, so the groundwater will be used for irrigation, and it will remain sufficient during the whole project period. Further through checking the forest management program ^{/FMP/} , it is confirmed that the planted trees will be watered regularly to make sure their growth.	-	OK
Wind: heavy wind, hurricanes	Via checking the baseline survey report ^{/BS/} and checking the local official website ^{/pipa/} , it is confirmed that the project is located in mainland, thus there should be no big risk of hurricanes and heavy wind.	-	OK
Animals: domestic, wild	During on-site investigation, it is confirmed that the barriers had been set up around the planting area to prevent the animals from treading and eating.	0	OK
Fire: natural fires, fire management	During on-site investigation, it is confirmed that the planting area is mostly flat sandy land, thus during the early phase of the project the risk of fire is quite low. Based on the local expertise of the validation team, it is confirmed that after the trees grow five years, the risk of fire is raised. Via on-site interview, it is confirmed that the project owner will adopt any necessary measures for fire preventing. Furthermore, via checking the Law of Forest in China ^{/lfc/} , and interview with the local officer from forest bureau ^{/IM01/} , it is confirmed that the local government set the fireproofing period when using fire is forbidden in the open air; and once a fire	0	CAR 9 OK

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	disaster occurs, the local government would be responsible for relevant rescuing immediately. Via checking the historical records from local government website ^{/tgb/} , it is concluded that there was no significant fire disaster occurred before within the project area.		
Diseases: insects, bacteria, viruses	Through checking the forest management program ^{/fmp/} , it is confirmed that the diseases from insects will be prevented by the forest experts via routine overseeing.	0	OK
Temperatures: frost, heat	Via interview with on-site residents and checking the historical records derived from the Tongliao Land Resources Bureau ^{/trrb/} , it is confirmed that frost damage on trees was not common in the project area. However, during winter, the warming measures will be adopted to keep the survival rate.	0	OK
Irregular resettlement or illicit crop production	Via checking the baseline survey report ^{/bs/} , it is confirmed that there is no resettlement involved in this project	-	N/A
Exploitation of underground resources: mining, water, etc.	It is confirmed that the irrigation water for trees is from underground. However via on-site investigation and interview with the local people and checking the forest management program ^{/fmp/} , it is confirmed that the trees are not used as commercial purpose, hence irrigation is not frequent, and after the trees are taller enough, they will reserve more rainfall into underground. This will impact the ground water level in a positive way.	-	OK

4.1. Additionality		Conclusion
Option of Additionality		
<input checked="" type="checkbox"/> Option 2 – Positive List was chosen by the PP for additionality demonstration.		
Part I		
2. The project shall meet all of the requirements (a), (b) and (c) in the list below and at least one of the requirements from (d) to (g) in order to be considered as additional under Option 2.		
(a) The project is located in a Less Developed Country (LDCs) or in a region with a recent <i>UNDP Human Development Indicator</i> below 0.8.	Via checking the UNDP website ^{/undp/} , it is confirmed that the project is located in a region with a recent UNDP Human Development Indicator of 0.719 which is below 0.8.	OK
(b) The project shall have no intention of creating a forest for the commercial use of the timber or non-timber forest products.	Via checking the planting agreement ^{/pa/} signed between the project owner and local villagers, it is confirmed that project has no intention of creating a forest for the commercial use of the timber or non-timber forest products.	OK

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<p>(c) The project activities shall not be mandatory by any law or regulation, OR if it is mandatory, it shall demonstrate that these laws or regulations are systematically not enforced.</p>	<p>Via on-site investigation and checking the project implementation plan^{/PIP/}, and interview with the local officer^{/IMO1/}, it is confirmed that the project activity is a voluntary programme, not mandatory by any law or regulation.</p>	<p>OK</p>
<p>Part II</p>		
<p>2. The project shall meet all of the requirements (a), (b) and (c) in the list below and at least one of the requirements from (d) to (g) in order to be considered as additional under Option 2.</p>		
<p>(d) The project area is located in a region with a mean annual precipitation of less than 600 mm.</p>	<p>Via checking the Tongliao Governmental website^{/tg/}, it is confirmed that the mean annual precipitation of Tongliao City is 310-500mm, less than 600mm.</p>	<p>OK</p>
<p>(e) The soil pH of the planting area is less than 4.0.</p>	<p>N/A</p>	<p>N/A</p>
<p>(f) The planting area is planted with minimum 5 different native tree species in mixed stands, covering at minimum 50% of the planting area.</p>	<p>N/A</p>	<p>N/A</p>
<p>(g) The project area is located:</p> <ul style="list-style-type: none"> • In a country or region with a recent UNDP Human Development Indicator¹ below 0.5, OR • In a Small Island Developing State (SIDS) 	<p>N/A</p>	<p>N/A</p>
<p>Retroactive submission</p>		
<p>3. If the submission to the <u>Pre-Feasibility Assessment</u> was after the <u>planting start</u>, the <u>project proponent</u> shall demonstrate that</p>		
<p>(a) the revenues from CO₂-certificates were seriously considered in the decision to implement the project, AND</p>	<p>N/A, the submission to the PFA was before the planting start. However, the date of submission to the PFA and the planting start is not stated.</p>	<p>CL5 OK</p>

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<p>(b) there was continuous interest in CO₂-certificates for the project in parallel with its implementation</p>	<p>N/A, the submission to the PFA was before the planting start. However, the date of submission to the PFA and the planting start is not stated.</p>	<p>CL5 OK</p>
<p>No deforestation</p>		
<p>4. The <u>planting area</u> shall not have been <i>forest</i> for at least 10 years prior to the <u>planting start</u>, OR In case the <u>planting area</u> was deforested in the 10 years prior to the <u>planting start</u>, evidence shall be provided which demonstrates that the deforestation was caused by force majeure</p>	<p>Via checking the baseline survey report^{/BS/} and on-site interview with the local residents and local officer^{/IM01/}, it is confirmed that the planting area have not been forest for at least 10 years prior to the planting start in 2014. Furthermore, through checking the satellite imagery of this project area took in 2004, it can be confirmed that the planting area has not been forest for at least 10 years prior to the planting start (2014).</p>	<p>OK</p>

5.1. Applicability		Conclusion
<p>Applicability</p>		
<p>1. Areas shall not be on wetlands</p>	<p>Via checking the baseline survey report^{/BS/} and on-site interview with the local residents and local officer^{/IM01/}, it is confirmed that the project areas are almost on sandy land, not on wetlands.</p>	<p>OK</p>
<p>2. Areas with <i>organic soils</i> shall not be drained or irrigated (except for irrigation for <u>planting</u>).</p>	<p>Via checking the baseline survey report^{/BS/} and on-site interview with the local residents and local officer^{/IM01/}, it is confirmed that the project areas are mostly sandy land, and no organic soils are involved in the project area.</p>	<p>OK</p>
<p>3. Soil disturbance (through ploughing, digging of pits, stump removals, infrastructure, etc.) on <i>organic soils</i> shall be in less than 10% of the area that is submitted to certification (not 10% of the entire <u>project area</u>).</p>	<p>Via checking the baseline survey report^{/BS/} and on-site interview with the local residents and local officer^{/IM01/}, it is confirmed that the project areas are mostly sandy land, and no organic soils are involved in the project area.</p>	<p>OK</p>
<p>4. The most likely scenario without the <u>project</u> (baseline scenario) shall be defined for the <u>project area</u>. This scenario shall not show any <i>significant</i> increase of the Baseline biomass ('<u>tree</u>' and '<u>non-tree</u>').</p>	<p>Via checking the baseline survey report^{/BS/} and on-site interview with the local residents and local officer^{/IM01/}, it is confirmed that the most likely baseline scenario is the existing scenario without project: the area is the degraded grassland and the situation of degradation will be continued for years. This scenario would not show any <i>significant</i> increase of the Baseline biomass.</p>	<p>OK</p>

5.4. Other Emissions		Conclusion
Site preparation		
1. Where existing 'tree' and 'non-tree' biomass of the Baseline is burned for the purpose of land preparation, an additional 10% of the Baseline shall be deducted. This is to account for the non-CO ₂ green-house-gas emissions (N ₂ O and CH ₄) that are released during the burning process.	Via checking the baseline survey report ^{/BS/} and on-site interview with the local residents and local officer ^{/IM01/} , it is confirmed that the no existing 'tree' or 'non-tree' biomass of the Baseline is burned for the purpose of land preparation.	N/A

5.5. Baseline		Conclusion																				
1. To determine the Baseline of the eligible planting area the land shall be																						
(a) stratified according to its vegetation types (grassland, bushland, etc.)	Via checking the baseline survey report ^{/BS/} , it is confirmed that in the baseline scenario, there are only sparse bushes and grasses on the land and the vegetation is distributed in a mosaic fashion across the entire project area. Therefore, a single stratum combining the stocks for both vegetation types is used as "sparse shrub and grassland" whose size is equal to the eligible planting area which is 190 ha.	OK																				
2. To determine the Baseline of the eligible planting area the land shall be																						
(b) for each of these strata, scientifically based local, regional or national default values shall be found which state the biomass of these vegetation types.	Via checking the baseline survey report ^{/BS/} , it is confirmed that baseline is determined as below:	OK																				
	<table border="1"> <thead> <tr> <th></th> <th>Stratum ID</th> <th>Baseline tree biomass</th> <th>Baseline non-tree biomass</th> </tr> </thead> <tbody> <tr> <td></td> <td>Sparse shrub and grassland</td> <td>477.77 tCO₂</td> <td>8.97 tCO₂</td> </tr> <tr> <td></td> <td>Total</td> <td>477.77 tCO₂</td> <td>8.97 tCO₂</td> </tr> <tr> <td></td> <td>Eligible planting area</td> <td colspan="2">190 ha</td> </tr> <tr> <td></td> <td>Baseline</td> <td colspan="2">2.56 tCO₂/ha</td> </tr> </tbody> </table>		Stratum ID	Baseline tree biomass	Baseline non-tree biomass		Sparse shrub and grassland	477.77 tCO ₂	8.97 tCO ₂		Total	477.77 tCO₂	8.97 tCO₂		Eligible planting area	190 ha			Baseline	2.56 tCO₂/ha		
	Stratum ID	Baseline tree biomass	Baseline non-tree biomass																			
	Sparse shrub and grassland	477.77 tCO ₂	8.97 tCO ₂																			
	Total	477.77 tCO₂	8.97 tCO₂																			
	Eligible planting area	190 ha																				
	Baseline	2.56 tCO₂/ha																				
Stratum ID: Sparse shrub and grassland																						
Baseline tree biomass (m ³ /ha or tdm/ha)	Value is determined as 0.7988 tdm/ha. The value is a regional default value, which is confirmed via checking the reference of LI Yu-qiang, etc. Study on the Dynamics of Biomass, Calorific Value and Energy of the Psamophyte Communities during Desertification. Arid Zone Research, 2005, 22 (3) ^{/RBV/} .	OK																				
BEF	N/A	N/A																				
Wood density	N/A	N/A																				
Root-to-Shoot ratio	Value is determined as 0.72. The value is a regional default value, which is confirmed via checking the reference of LI Yu-qiang, etc. Study on the Dynamics of Biomass, Calorific	OK																				

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	Value and Energy of the Psamophyte Communities during Desertification. Arid Zone Research, 2005, 22 (3) ^{/RBV/} .	
Baseline tree biomass (tCO ₂ /ha)	2.51 tCO ₂ /ha	OK
Area	190ha	OK
Baseline tree biomass (tCO ₂)	477.77tCO ₂	OK
Baseline non-tree biomass (tdm/ha)	Value is determined as 0.0322 tdm/ha. The value is a regional default value, which is confirmed via checking the reference of Li Yu-qiang, etc. Study on the Dynamics of Biomass, Calorific Value and Energy of the Psamophyte Communities during Desertification. Arid Zone Research, 2005, 22 (3) ^{/RBV/} .	OK
Root-to-Shoot ratio	N/A	N/A
Baseline non-tree biomass (tCO ₂ /ha)	0.05 tCO ₂ /ha	OK
Area	190 ha	OK
Baseline non-tree biomass (tCO ₂)	8.97 tCO ₂	OK

5.6. Leakage		Conclusion
Describe the selection of your categories.		
(a) collection of wood (for firewood, charcoal, etc.)	Not selected. Via on-site investigation and checking the baseline survey report ^{/BS/} , it is confirmed that the planting areas are mostly sandy land in the baseline scenario, then during the baseline scenario, there was no collection of wood (for firewood, charcoal, etc.) inside the project area. Hence, during the project scenario, there was no leakage caused by collection of wood (for firewood, charcoal, etc.) outside the boundary which is attributable to the A/R project activity.	OK
(b) timber harvesting	Not selected. Via on-site investigation and checking the baseline survey report ^{/BS/} , it is confirmed that the planting areas are mostly sandy land not a forest or shrub land in the baseline scenario, then during the baseline scenario, there was no timber harvesting inside the project area. Hence, during the project scenario, there was no leakage caused by timber harvesting outside the boundary which is attributable to the A/R project activity.	OK
(c) agriculture (crop cultivation, shrimp cultivation, etc.)	Not selected. Via on-site investigation and checking the baseline survey report ^{/BS/} , it is confirmed that the planting areas are mostly	OK

	sandy land in the baseline scenario, then during the baseline scenario, there was no agriculture (crop cultivation, shrimp cultivation, etc.) inside the project area. Hence, during the project scenario, there was no leakage caused by agriculture (crop cultivation, shrimps cultivation, etc.) outside the boundary which is attributable to the A/R project activity.	
(d) livestock	Not selected. Via on-site investigation and checking the baseline survey report ^{/BS/} , it is confirmed that there is livestock around the project area, however, the planting areas are mostly sandy land in the baseline scenario, then during the baseline scenario, there was no graze inside the project area. Hence, during the project scenario, there was no leakage caused by graze outside the boundary which is attributable to the A/R project activity.	OK
Overview of the different leakage strata and the results of the baseline determination. The individual calculation of each stratum is in the boxes below.		
	Based on the above assessment, Leakage is 0.	OK

5.7. CO ₂ -Fixation		Conclusion
Long-term CO₂-Fixation		
4. Existing 'tree biomass' from the carbon stock of the <u>Baseline</u> that is not removed shall be reflected in the growth-model.	The Existing 'tree biomass' from the carbon stock of the Baseline that is not removed has been checked as reflected in the growth-model.	OK
5. A realistic survival-rate shall be reflected in the growth-model.	Via searching the Forest Management Program ^{/PMP/} and based on the local expertise of the validation team, it is confirmed that a realistic survival-rate of 80% has been reflected in the growth-model.	OK
Long-term CO₂-Fixation tree biomass		
Growth-model ID	Poplar (<i>Populus simonii</i>)	OK
Applied for Mus	This growth-model applied to all of the planting area.	OK
Calculation model	<input checked="" type="checkbox"/> Option 1 – Selective harvesting <input type="checkbox"/> Option 1 – Conservation forest <input type="checkbox"/> Option 2 – Rotation forestry	OK
Time period	30 years until the equilibrium.	OK
Long-term CO ₂ -Fixation tree biomass (m ³ /ha or tdm/ha)	Value is determined as 776.36 m ³ /ha. The value is a project specific value, which is confirmed via checking the reference of Lv Wen. <i>Populus Simonii</i> in North China, 2002 ^{/RFV/} .	OK
BEF	Value is determined as 1.1. The value is a gold standard default value via checking the GS A/R Requirement.	OK



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Wood density	Value is determined as 0.3. The value is a gold standard default value via checking the GS A/R Requirement.	OK
Root-to-Shoot ratio	Value is determined as 0.2. The value is a gold standard default value via checking the GS A/R Requirement.	OK
Long-term CO ₂ -Fixation <small>tree biomass</small> (tCO ₂ /ha)	563.64 tCO ₂ /ha	OK
6. The number of sample plots of a <i>forest inventory</i> shall be sufficient to meet a <u>MU</u> precision with a maximum error of $\pm 20\%$ at a 90% confidence interval. Where the error is above 20%, the additional difference shall be deducted. Provide an overview for which Mus this requirement was relevant and describe the adaptation.	N/A	N/A

6 VALIDATION OPINION

Climate Bridge Ltd. has commissioned the TÜV NORD JI/CDM Certification Program (CP) to validate the project: “Afforestation Project in Tongliao, Inner Mongolia” with regard to the relevant requirements of the Gold Standard for GS A/R project activities, as well as criteria for consistent project operations, monitoring and reporting. The Gold Standard Documentation and supporting documents were reviewed against the criteria as set out in the Gold Standard Principles, Gold Standard Afforestation/Reforestation (A/R) Requirements version 0.9, the Gold Standard Foundation Land Use & Forests Framework, version 1.0, and respective Annexes, as applicable.

In the course of the validation 9 Corrective Action Requests (CARs) and 5 Clarification Requests (CLs) were raised and successfully closed. No Forward Action Request (FAR) was raised.

The review of the project design documentation and additional documents related to baseline and monitoring methodology; the subsequent background investigation, follow-up interviews and review of comments by parties, stakeholders and NGOs have provided TÜV NORD JI/CDM CP with sufficient evidence to validate the fulfilment of the stated criteria.

In detail the conclusions can be summarised as follows:

- The project meets all eligibility criteria set by the GS.
- The project involves the adaption of a new technology.
- The project does not result in negative social, environmental and/or economic impacts.
- The project contribution to Sustainable Development is determined.
- The project additionality is sufficiently justified.
- Conservative assumptions were applied in the project description.
- The monitoring plan of SD parameters is transparent and adequate.
- The project meets the stakeholder consultation requirements.

The conclusions of this report show, that the project, as it was described in the project documentation, is in line with all criteria applicable for the validation.

Shanghai, 2015-11-23



Zhao Xuejiao

TÜV NORD JI/CDM CP

Validation Team Leader

Essen, 2015-11-23



Alexandra Nebel

TÜV NORD JI/CDM CP

Final Approval

7 REFERENCES

Table 7-1: Documents provided by the project participant

Reference	Document
/BS/	Baseline survey report issued by Million Tree Project Program investigation team dated in Sep. 2013.
/CCE/	Carbon Credit Endorsement evidence signed between local village residents and Shanghai Roots & Shoots dated 2014-04-10
/EI/	Email of invitation
/ERPA/	Emission Reduction Purchase Agreement signed between Shanghai Roots & Shoots and Climate Bridge Ltd. dated 2013-07-26.
/FMM/	Forest management manual issued by Shanghai Roots & Shoots
/FMP/	Forest management Program issued by Shanghai Roots & Shoots
/GCP/	Guidelines for pesticides utilization issued by Shanghai Roots & Shoots and agreed by the local workers
/GSP/	Mail sent to GS for LSC published from the Climate Bridge Ltd. dated on 2014-08-05
/IR/	Implementation record of the project issued by Shanghai Roots & Shoots and local villagers during the project operation period
/LRD/	Legal registration documents of Jane Goodall Institute - Shanghai Roots & Shoots 1. Business Licence issued by Civil Affairs Bureau of Shanghai City, China dated 06/07/2012. 2. Annual Inspection Records from 2012-2014. 3. Organization Code Certificate 4. Certificate of Account Established. 5. Organization Credit Code Certificate
/LSC/	Local Stakeholder Consultation process evidences: The copy of LSC attendance's list with signature; The copy of all filled evaluation forms by attendance in LSC The pictures from physical meeting Questionnaire of Sustainable Development Assessment of the stakeholders
/LUA/	Land Use Agreement signed between local village residents and Shanghai Roots & Shoots dated 2014-04-10

Reference	Document
/MAP/	Map of the project area 1 and 2, MU1 to MU5
/MPFA/	Mail of submission to the PFA dated 06/04/2014 and received the GS registry confirmation on same day.
/PA/	Planting Agreement signed between the local villagers and Shanghai Roots & Shoots dated on 10/04/2014.
/PIP/	Project implementation plan of Tongliao issued by Shanghai Roots & Shoots (the project belongs to the MTP) dated in Jan. 2014
/RBV/	Reference of Baseline value determination LI Yu-qiang, etc. Study on the Dynamics of Biomass, Calorific Value and Energy of the Psamophyte Communities during Desertification. Arid Zone Research, 2005, 22 (3)
/REI/	References of Environmental Indicator Justification 1. TAI Jicheng, LIU Tao, FU Yanqiu etc. <i>Analysis and Evaluation on Status of Air Quality within the Last Three Years in Tongliao City</i> . [J] Journal of Inner Mongolia University of Nationalities. Vol. 28 No.6 Nov. 2013 2. YANG Xiaohui, ZHONG Jianhua, HUO Fenglan, etc. <i>Utilization status and analysis of Tongliao's Water Resources</i> . [J] Inner Mongolia Irrigation. November 2011 Issue 134. 3. SI Qin, FANG Hong, JIANG Dongkai. <i>On the water pollution in Tongliao</i> . [J] Technology and Economics of Inner Mongolia. No. 14, 2014 4. FAN Fu, ZHANG Yongliang, LI Zhigang, etc. <i>Characteristics of the natural grassland soil in Tongliao and Improvement Measures</i> . [J] Symposium of China Grassland Society 2000. 5. LIN Ruilan, <i>Analysis to the Environmental Influence and Prevention Measures of Ecological Construction in Kubuqi Forest</i> . [J] Central South Forest Inventory and Planning, May 2013, Vol.32 No.2. 6. World Bank. 2012. <i>China – Hunan Forest Restoration and Development Project</i> . Washington D.C.: The World Bank.
/RETDI/	References of Economic & Technical Development Indicator Justification World Bank. 2012. <i>China – Hunan Forest Restoration and Development Project: indigenous people plan: Social Assessment Report</i> . Washington D.C.: The World Bank.
/RFV/	References of Fixation Lv Wen. <i>Populus Simonii</i> in North China
/RSDI/	References of Social Development Indicator Justification 1. KE Shuifa, LI Zhou, ZHENG Yan, etc. <i>Analysis of the Influence on Employment of Afforestation in China</i> . Agricultural Economics. Issue 3, 2010.



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Reference	Document
	<p>2. HUANG Yinli, YU Peiyan, LI Aiqin, etc. <i>Analysis of Expected Influence on Employment of CDM Afforestation and Reforestation Project: An Research Based on Heilongjiang Province</i>. Ecological Economics. Issue 2, 2012</p> <p>3. YE Jingzhong, CHENG Tianshu, YANG Zhao, etc. <i>Social Economical Analysis on Afforestation and Sand-Control Project Design</i>. [J] Soft Science of China. Issue 8, 2005.</p> <p>4. LIANG Chuan. <i>The Relationship between Villagers' self-organized Committee and Forest Restoration and Protection</i>. [J] Forestry and Society, Issue 13, 2005.</p>
<p>/SHAPE/</p>	<p>Shapefiles MU 1_lines.dbf MU 1_lines.prj MU 1_lines.shp MU 1_lines.shx MU 2_lines.dbf MU 2_lines.prj MU 2_lines.shp MU 2_lines.shx MU 3_lines.dbf MU 3_lines.prj MU 3_lines.shp MU 3_lines.shx MU 4_lines.dbf MU 4_lines.prj MU 4_lines.shp MU 4_lines.shx MU 5_lines.dbf MU 5_lines.prj MU 5_lines.shp MU 5_lines.shx Project area 1_lines.dbf Project area 1_lines.prj Project area 1_lines.shp Project area 1_lines.shx Project area 2_lines.dbf Project area 2_lines.prj Project area 2_lines.shp Project area 2_lines.shx Road 1_lines.dbf Road 1_lines.prj Road 1_lines.shp Road 1_lines.shx Road 2_lines.dbf Road 2_lines.prj Road 2_lines.shp</p>

Reference	Document
	Road 2_lines.shx
/SPA/	Sapling Purchase Agreement dated in Apr. 04/2014.
/TCR/	Project Responsibilities, Training and Competence Records of each sub-project: 1. Project Organization Chart and responsibilities 2. Villagers Training Records 3. Sample Copy of Labor/Operator Certificates
/TG/	Training guideline & manual for workers issued by Shanghai Roots & Shoots
/WA/	Working agreements signed by Shanghai Roots & Shoots with all individual workers and the village committee dated 2014-04-10
/XLS/	Emission reduction calculation spreadsheet

Table 7-2: Background investigation and assessment documents

Reference	Document
/Annex-GS/	Gold Standard Annexes http://www.cdmgoldstandard.org/project-certification/rules-and-toolkit
/CDM M&P/	CDM Modalities and Procedures
/CDM-PDD/	UNFCCC registered Project Design Document named "Afforestation Project in Tongliao, Inner Mongolia" ver. 1.3. dated 2013-12-31
/CJE/	Chinese Journal of Ecology, 2004 , 23(5):179 ~ 185, DOI:10.13292/j.1000-4890.2004.0176
/CPM/	TÜV NORD JI / CDM CP Manual (incl. CP procedures and forms)
/DERK/	Desertification and Ecological Restoration of Keerqin Sandy Land by Chinese Journey of Ecology 2004,23(5):179~185 Author: Jiang Deming
/GFK/	"Guidelines on additionality of first-of-its-kind project activities" version 02.0
/GLSC/	Gold Standard A/R Guidelines for Local Stakeholder Consultation (LSC) version 0.9 valid since Aug. 2013

Reference	Document
/GSF/	Gold Standard Framework for Land Use & Forests version 1.0 published in Nov. 2013
/GSR/	Gold Standard Afforestation/Reforestation (A/R) Requirements version 0.9
/GST/	Gold Standard Afforestation/Reforestation (A/R) all templates 2.1 – Template – Key Project Information 3.1 – Template – Do-No-Harm Assessment 3.2 – Template – Local Stakeholder Consultation 3.3- Template-List-of-Inputs-Grievances 3.5 – Template – Cover Letter 3.5 – Template – Project Participants and Secured Titles 3.5 – Template – Sustainability Monitoring Plan 3.5 – Template – Terms and Conditions (LUF) 3.6 – Template – Risk Register 4.1 – Template – Additionality 5.1 – Template – Applicability 5.4 – Template – Other Emissions 5.5 – Template – Baseline 5.6 – Template – Leakage 5.7 – Template – CO2-Fixation 6.1 – Template – Carbon Performance
/IPCC-GP/	IPCC Good Practice Guidance & Uncertainty Management in National Greenhouse Gas Inventories, 2000
/IPCC-RM/	Revised 2006 IPCC Guidelines for National Greenhouse Gas Inventories: Reference Manual
/JDR/	Vol. 20 Supp. Jun. 2000, Journal of Desert Research, Ref No. 1000-694X(2000)Zeng-0001-06.
/KP/	Kyoto Protocol (1997)
/LL/	Labour Law of the People's Republic of China http://www.gov.cn/banshi/2005-05/25/content_905.htm
/MA/	Decision 3/CMP. 1 (Marrakesh – Accords & Annex to decision (17/CP.7))
/PHT/	Photographs of Project Site, planting area, saplings, communities situation etc.
/PS/	UNFCCC Project Standard (Version 09.0)
/VVS/	UNFCCC Validation and Verification Standard (Version 09.0)

Table 7-3: Websites used

Reference	Link	Organisation
/cb/	http://climatebridge.com/	Climate Bridge Ltd.
/cd4cdm/	www.cd4cdm.org	UNEP Riso Centre
/ilo/	http://www.ilo.org/global/standards/introduction-to-international-labour-standards/lang--en/index.htm	International Labour Organization
/ipcc/	www.ipcc-nggip.iges.or.jp	IPCC publications
/lfc/	http://www.gov.cn/banshi/2005-09/13/content_68753.htm	Law of Forest in China
/pipa/	http://kzhq.tongliao.gov.cn/	Public information of the project area-Local government website
/srr/	http://jgi-shanghai.org/	Shanghai Roots & Shoots
/tg/	http://www.tongliao.gov.cn/zjt/qnyy/	Tongliao Government
/tlrb/	http://tongliao.nmggtt.gov.cn/wgk/ghjh/kczygh/201412/t20141223_352797.html	Tongliao Land Resources Bureau
/undp/	http://hdr.undp.org/en/data/profiles/	United Nations Development Program
/unfccc/	http://cdm.unfccc.int	UNFCCC

Table 7-4: List of interviewed persons

Reference	Mol ¹		Name	Organisation / Function
/IM01/	V	<input checked="" type="checkbox"/> Mr. <input type="checkbox"/> Ms	Li Yunxiang	Tongliao Forest Bureau/Forestation & Desertification Control Section Chief
/IM01/	V	<input checked="" type="checkbox"/> Mr. <input type="checkbox"/> Ms	Bao Haishan	Local Resident/Village Head

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Reference	Mol ¹		Name	Organisation / Function
/IM01/	V	<input checked="" type="checkbox"/> Mr. <input type="checkbox"/> Ms	Han Li	Local Resident/Police Man
/IM01/	V	<input checked="" type="checkbox"/> Mr. <input type="checkbox"/> Ms	Haobisigalatu	Local Resident/Farmer
/IM01/	V	<input checked="" type="checkbox"/> Mr. <input type="checkbox"/> Ms	Ha Da	Local Resident/Farmer
/IM01/	V	<input checked="" type="checkbox"/> Mr. <input type="checkbox"/> Ms	Bai Ritu	Local Resident/Farmer
/IM01/	V	<input checked="" type="checkbox"/> Mr. <input type="checkbox"/> Ms	Bu Li	Local Resident/Farmer
/IM02/	V	<input type="checkbox"/> Mr. <input checked="" type="checkbox"/> Ms	Chen Ting	Shanghai Roots & Shoots/Project chief executive
/IM02/	V	<input checked="" type="checkbox"/> Mr. <input type="checkbox"/> Ms	Wang Kai	Shanghai Roots & Shoots/Inner Mongolia business chief executive
/IM02/	V	<input checked="" type="checkbox"/> Mr. <input type="checkbox"/> Ms	Yang Huaize	Shanghai Roots & Shoots/Expert of Forestation
/IM02/	V	<input type="checkbox"/> Mr. <input checked="" type="checkbox"/> Ms	Qiao Tianli	Shanghai Roots & Shoots/Project executive
/IM03/	V	<input type="checkbox"/> Mr. <input checked="" type="checkbox"/> Ms	Huang Shanfeng	Climate Bridge Ltd./ Project Manager

¹⁾ Means of Interview: (Telephone, E-Mail, Visit)

ANNEX

A1: Statement of competence of involved Personnel



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ANNEX 1: STATEMENTS OF COMPETENCE OF INVOLVED PERSONNEL

Statement of Competence
 Appointment and authorization according to the procedures of the TÜV NORD JI/CDM Certification Program

Ms. Fancy Zhao

SCHEME	STATUS	VALID UNTIL
CDM	Lead Assessor (Validation, Verification)	2015-12-07
VCS / ISO 14064-2	Lead Assessor	2015-12-07

Authorization status for technical areas within sectoral scopes:

CODE	TECHNICAL AREA	TR SUBCATEGORIES
1.2	Renewables	

230 - Rev. 3, Date: 2015-06-08

Fancy_001\VA08\F20_2015-06-08_rev.3.doc 001\VA08\F20-w3\2015-10-26

Statement of Competence
 Appointment and authorization according to the procedures of the TÜV NORD JI/CDM Certification Program

Mr. Tang Jun Zhu

Authorization status for technical areas within sectoral scopes:

CODE	TECHNICAL AREA
14.1	Forestry

312 - Rev. 0, Date: 2012-04-27

312_001\F20_2012-04-27_rev.0.doc 001\F20-w2\2012-04-26

Statement of Competence
 Appointment and authorization according to the procedures of the TÜV NORD JI/CDM Certification Program

Mr. Grzegorz Kochaniewicz

SCHEME	STATUS	VALID UNTIL
CDM	Lead Assessor	2016-01-24
Validation/Verification	Technical Reviewer	2016-01-24
VCS / ISO 14064-2	Lead Assessor	2016-01-24

Authorization status for technical areas within sectoral scopes:

CODE	TECHNICAL AREA
1.2	Renewable Energies
3.1	Energy Demand
14.1	Forestry

173 - Rev. 5, Date: 2014-12-12

173_001\VA08\F20_2014-12-12_rev.5.doc 001\VA08\F20-w3\2014-10-26

Statement of Competence
 Appointment and authorization according to the procedures of the TÜV NORD JI/CDM Certification Program

Ms. Alexandra Nebel

SCHEME	STATUS	VALID UNTIL
CDM	Senior Assessor (Validation, Verification) Technical Reviewer	2016-03-03
Ji	Senior Assessor Technical Reviewer	2016-03-03
VCS / ISO 14064-2	Senior Assessor Technical Reviewer	2016-03-03

Authorization status for technical areas within sectoral scopes:

CODE	TECHNICAL AREA
1.2	Renewables
14.1	Afforestation and reforestation

095 - Rev. 6, Date: 2016-10-14

001_001\VA08\F20_2016-10-14_rev.6.doc 001\VA08\F20-w3\2016-10-26