


Gold Standard Performance Certification Report for A/R project activity	
CERTIFICATION REPORT	
Title of the project activity	Afforestation Project in Tongliao, Inner Mongolia
Reference number of the project activity	GS ID: 3031 TN P-No. : 8003030698 – 21/029
Version number of the Certification report	2.0
Completion date of the Certification report	25/06/2021
Performance period number and duration of this performance period	Performance Period: 1 st 11/04/2014-31/12/2020 (Including both days)
Crediting period of the project activity	11/04/2014 to 10/04/2044
Project representative(s)	Climate Bridge (Shanghai) Ltd.
Host Party	P. R. China
Sectoral scope(s), selected methodologies/requirements	Scope: 14 / Technical area: 14.1 Gold Standard: Afforestation/Reforestation (A/R) Requirements V0.9
Total verified CO₂-certificates for all MUs achieved in this performance period	11,587 tCO ₂ e
Gold Standard Compliance Buffer achieved in this performance period	2,318 tCO ₂ e
GS VERs achieved in this performance period	9,269 tCO ₂ e
Name of VVB	TÜV NORD CERT GmbH
Name, position and signature of the approver of the Certification report	 Alexandra Nuske Final Approver

SECTION A. Executive summary

a. Objective

Climate Bridge (Shanghai) Ltd. has commissioned the TÜV NORD JI/CDM Certification Program to carry out the Gold Standard (GS) 1st periodic performance certification and the New Area Certification of the project “Afforestation Project in Tongliao, Inner Mongolia” for the performance period from 11/04/2014-31/12/2020 with regard to the relevant requirements of the Gold Standard Afforestation/Reforestation (A/R) Requirements version 0.9. The objective of certification is to have an independent review ex-post determination by a VVB of the New Area added and monitored GHG removals by sink that have occurred as a result of the project activity implemented during a defined performance period.

The objectives of the certification are the following:

- Assess conformance with the certification criteria as laid out in the GS Standard;
- Evaluate the conformance with the certification scope, including the GHG project and baseline scenarios; GHG sources, sinks, and reservoirs; and the physical infrastructure, activities, technologies and processes of the GHG project to the requirements of the GS;
- Evaluate the calculation of GHG emissions, including the correctness and transparency of formulae and factors used; assumptions related to estimating GHG emission reductions/removals; and uncertainties; and
- Determine whether the project could reasonably be expected to achieve the claimed GHG reduction/removals.

b. Scope and Criteria

The scope of this audit includes the assessment of the submitted project documents and supporting information against the criteria set for Performance Certification and New Area Certification. The scope of the certification is to verify that: (a) the actual monitoring system and procedures are in compliance with the monitoring systems and procedures described in the monitoring plan; (b) the GHG removals by sink data and express a conclusion with a reasonable level of assurance about whether the reported GHG removals by sink data are free from material misstatement; (c) the reported GHG emissions data is sufficiently supported by evidence, (d) the new area is eligible to be added into the project after initial certification. Verification shall ensure that the reported GHG removals by sink are complete and accurate in accordance with the applicable VCS criteria in order to be certified.

In accordance with section 7.8 of the Gold Standard A/R Requirements v0.9^{ARR/}, audit activities will include:

- Audit planning
- Desk review, in accordance with section 7.9 of the Gold Standard A/R Requirements v0.9^{ARR/}
- Field visit (field observations and interview with workers and stakeholders)
- Reporting

The criteria for this certification are the following:

- The Gold Standard Principles^{GSP/};
- The Gold Standard Foundation Land Use & Forests Framework, version 1.0^{LUFF/};



- The Gold Standard: Afforestation/Reforestation (A/R) Requirements v0.9^{/ARR/};
- The Gold Standard A/R Guidelines for Local Stakeholder Consultation (LSC)^{/GLSC/};
- The Gold Standard A/R Guidelines for Input & Grievance Mechanism^{/GIGM/};
- Other documents such as templates^{/TEM/}, etc.

TÜV NORD has assessed the completeness of the project documents and has assessed compliance of the project against the GS requirements and Gold Standard Afforestation/Reforestation (A/R) Requirements version 0.9^{/ARR/}.

c. Level of Assurance and Materiality

In accordance with ISO 14064-3^{/ISO/}, the level of assurance is used to determine the depth of detail that the audit team designs the audit plan to determine if there are any material errors, omissions or misrepresentations. TÜV NORD has conducted the performance certification with a reasonable level of assurance. This decision was based on the interest in developing an assessment statement that would include the following wording:

“Based on the process and procedures conducted, the GHG assertion is materially correct and is a fair representation of the GHG data and information, and is prepared in accordance with the related International Standard on GHG quantification, monitoring and reporting, or to relevant national standards or practices.”

In accordance with ISO 14064-3^{/ISO/}, materiality is the concept that individual or the aggregation of errors, omissions and misrepresentations could affect the greenhouse gas assertion. Materiality is considered when the verifier develops the risk-based sampling plan. The performance certification will have a materiality threshold of 5% of the claimed GHG emissions.

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

d. Project Summary

Project Proponents (Parties):	Climate Bridge (Shanghai) Ltd..
Title of project activity:	Afforestation Project in Tongliao, Inner Mongolia
Location of the project activity:	Zhaogensumogacha and Nugusitaigacha, Horqin Left Back Banner, Tongliao Municipality, Inner Mongolia, China
Geographical Coordinates:	Initial Area Latitude: 43°11.80' and 43°12.75'N Initial Area Longitude: 122°7.78' and 122°11.64'E New Area Latitude: 43°23.46' and 43°27.70'N New Area Longitude: 122°20.51' and 122°24.75'E
Project total areas (ha):	1,370.96
Planting areas (ha):	1,370.96
Initial Certification areas (ha):	190
New areas (ha):	1,180.96



Project's crediting period: 11/04/2014 to 10/04/2044 (two days included)

Period verified in this certification: 11/04/2014-31/12/2020 (two days included)

This report describes the verification audit of the "Afforestation Project in Tongliao, Inner Mongolia" project, a afforestation project located in China, against The Gold Standard Afforestation/Reforestation (A/R) Requirements v0.9^{ARR} and all applicable requirements therein. The certification covers all GHG removals generated in the performance period from 11/04/2014 to 31/12/2020. The certification was conducted by means of document review, follow-up interviews and site inspection, and the resolution of outstanding issues. The certification included: evaluating whether the new area is eligible to be added into the project after initial certification; evaluating whether the monitoring methodology and the monitoring plan were consistently and appropriately applied; and assessing the collection of evidence supporting the reported data for conformity to the standard.

As part of the verification 45 findings were raised and closed. Refer to Appendix 4 of this report for detail assessment: 24 New Information Requests (NIRs), 19 Corrective Action Requests (CARs), 2 Opportunity for Improvements (OFIs) were raised and closed. Refer to Appendix 4 of this report for detail assessment. and successfully closed. There was no FAR raised in this performance certification report. The assessment is included in the report.

During the crediting period a total of 449,706 tCO₂e is expected to be issued out by all MUs, of which 11,587 tCO₂e have also been certified during this audit. Therefore, the amount of credits to be issued after the certification would be 11,587 tCO₂e. There are no uncertainties associated with this performance certification conclusion.

e. Competency of Audit Team

Lead Auditor/GS Verifier: Zhao Xuejiao (Fancy Zhao) is qualified by TÜV NORD in Validation and Verification of Clean Development Mechanism Requirements (CDM projects) and other voluntary schemes as VCS, ISO14064, CCB and Social Carbon (SC) and also qualified by GS in Validation and Verification of GS projects as listed in the <https://www.goldstandard.org/resources/approved-auditors>.

She has experience with more than 200 validation and verification projects including VCS forestry project and GS forestry project in China since year of 2010. She has a bachelor degree of Biological Engineering and master degree of Environmental Engineering. Based on the education background, she engaged in the sustainable development survey when worked as consultant for three years and worked with WWF, GEI (Global Environment Institute) and other NGOs for studying the social and cultural, ecological and biodiversity in China so that to achieve the sustainable development for many projects. Also based on more than 10 years site investigation and interview with local stakeholders and designers of the projects during the CDM, GS, SC, CCB and VCS validation and verification process. Furthermore, as She has a bachelor degree of Biological Engineering and the main subject is plant pathology, hence she knows the knowledge of biodiversity and gained many biodiversity expertise during the validation and verification site inspection in China. She has conducted more than 15 VCS&CCBAR project validation and/or verification¹, thus has the relevant social and cultural expertise

¹ VCS+CCB projects including project No. PL1855, PL1865, PL1866, PL1847, PL1825, PL1826, PL1832, PL1864, PL2070, PL1895, the team leader has conducted the validation and verification activities on site for all the listed projects. And for PL2301, PL2305, PL2310, PL1896, the team leader has conducted the validation activities on site.

in this region and also have relevant ecological and biodiversity experience due to the education background. She speaks mandarin which is the common language in China and the regional residents can speak and understand this language.

Technical Expert: Li Guifang has Bachelor degree in Agriculture Resources and Environment and Master degree in Plant Nutrition, and work experience more than 5 years in consultancy under the GHG, ecological and biodiversity to the development of forestry management and A/R projects, qualified by TÜV NORD in Scope 14. Thus she has the relevant agriculture, forestry and or other land use experience in China due to education background and working experience. She has conducted more than 15 VCS&CCBAR project validation and/or verification², thus has the relevant social and cultural expertise and also have relevant ecological and biodiversity experience due to the education background. Furthermore, as her education background, she has engaged in the Agriculture and Environment, especially the plant research in some survey fields in China and with the consultancy work for forestry management and A/R projects, so that to develop the project well, she spent many time in site for community and biodiversity survey and research thus accumulated the related biodiversity and social expertise in China through interview with locals and conducted questionnaires survey and study the biodiversity in the sample plots etc.. She speaks mandarin which is the common language in China and the regional residents can speak and understand this language.

Refer to section B and Appendix 2 of this report for the competency of the audit team.

f. Certification Report History

This corresponds to the initial certification report (ver. 2)^{ICR/} for the Project “Afforestation Project in Tongliao, Inner Mongolia”.

² VCS+CCB projects including project No. PL1855, PL1865, PL1866, PL1847, PL1825, PL1826, PL1832, PL1864, PL2070, PL1895, the team member has conducted the validation and verification activities on site for all the listed projects. And for PL2301, PL2305, PL2310, PL1896, the team member has conducted the validation activities on site.

SECTION B. Certification team, technical reviewer and approver

B.1. Certification team member

No.	Role	Type of resource	Last name	First name	Affiliation (e.g. name of central or other office of VVB or outsourced entity)	Involvement in			
						Desk review	On-site inspection	Interview(s)	Certification findings
1.	Team Leader (also verifier)	EI	ZHAO ³	Xuejiao	-	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
2.	Team member (External Technical Expert)	EI	LI	Guifang	-	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

B.2. Technical reviewer and approver of the Verification report

No.	Role	Type of resource	Last name	First name	Affiliation (e.g. name of central or other office of VVB or outsourced entity)
1.	Technical reviewer /Approver	IR	Alexandra	Nuske	TÜV NORD CERT GmbH

³ The initial certification was conducted by VVB TÜV NORD, also the verifier Fancy Zhao is the validator of this project. This has been pre-approved by SustainCert by checking the email negotiation between the PP and SustainCert^{ESV/} dated on 24/02/2021.

SECTION C. Certification Process

C.1. Method and Criteria

The certification was performed through a combination of document review, interviews with relevant personnel and on-site inspections, as discussed in below Sections C.2 through C.4 of this report. At all times, the project was assessed for conformance to the criteria described in Section A of this report. As discussed in Section C.5, findings were issued to ensure that the project was in full conformance to all requirements.

Prior to conducting the site visit activities, the audit team created a audit plan with sampling plan to determine the areas with the greatest risk of material error.

C.2. Document review

During the documents review all documents provided by the client and publicly available documents relevant for the verification were reviewed.

All templates, supporting documents and shapefiles were carefully reviewed for conformance to the verification criteria.

The documents provided by project proponents have been used as direct sources of evidence for the certification conclusions.

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

The references used in the course of this certification are summarized in Appendix 3.

The certification was performed basing on the documents check and site inspection/measurements, refer to the section D of this report for the verification process detail and corresponding documents review.

C.3. On-site inspection

The objectives of the on-site inspections performed were to:

- Select samples of data from on-the-ground measurements for certification in order to meet a reasonable level of assurance and to meet the materiality requirements of the certification;
- Perform a review of the project area and project activities to ensure that the project conforms to the requirements of the GS AR-Requirements_v0.9; and

In fulfillment of the above objectives, the certification site inspection was conducted on 23/03/2021~26/03/2021.

Field sampling and techniques based on the project parameters, scope and best professional judgement of the audit team in order to meet a reasonable level of assurance.

The sampling plan during on-site audit is determined taking into account the accessibility and similitude of the areas and the tool for sampling was referred by audit team for the site certification.

The sampling design (number of plot, location) is considered to be in line with the requirements for validation (IAF Guidance on the Application of ISO/IEC Guide 66 - G.5.3.12. : $x=\sqrt{y}$, where x is the sampling size by verification team and y is the sample plots number determined by PP in ER sheet), and it has ensured a representative cross-section of the properties in the areas.

Sample plots selected by VVB is calculated as below,

- MU 1, number of plots y is 4. $X=\sqrt{4}=2$
- MU 2, number of plots y is 4. $X=\sqrt{4}=2$
- MU 3, number of plots y is 5. $X=\sqrt{5}=2$

A ground inspection of the project area was conducted during the site visit and members of the verification team visited 6 sample plots within the project area.

During the site inspection, the 6 sample plots are determined by the audit team by checking the map of the project location and PP sampling plots inventory^{/MSR/}, details as following table,

Table C-1 Locations for site inspection

Site Visit time	Modelling Units No.	Sample No.	Coordinates	
24/03/2021	MU1	1	E122.186395	N43.204792
	MU1	3	E122.145862	N43.206162
	MU2	3	E122.370980	N43.419231
25/03/2021	MU2	4	E122.367230	N43.397680
	MU3	2	E122.371119	N43.450764
	MU3	5	E122.356873	N43.427113

The main activities undertaken by the audit team were as follows:

- An assessment of the implementation and operation of the project activity through visual inspection and through interviews with the PP's staff. Project boundaries and stand information were assessed;
- A total of 6 randomly selected inventory sampling plots^{/MSR/} were re-measured by the project proponent's staff under observation of the audit team. While the project proponent was carrying out the re-measurement, the audit team verified that the operational and data collection procedures were implemented in accordance with the monitoring plan and verified the information flows for generating, aggregating and reporting the monitoring parameters. Furthermore, the monitoring equipment was checked in order to confirm that the monitoring practices followed the requirements of the project design. Furthermore, the audit team performed a consistency check in order to verify the consistency of the previous measurement and the re-measurement, and to verify the correctness of the reported stand growth;
- Confirmation that the quality control and quality assurance procedures were in place; and
- Interview project personnel to verify that appropriate working conditions, health and safety, waste management and capacity building activities take place as described by the project's design.

Based on above activities conducted by VVB, it is confirmed that the project activity is implemented in line with the project files and the boundary is verified as correct, the values determined in the previous measurement by monitoring team is almost same to the re-measurement values, thus the correctness of the reported stand growth is confirmed.

C.4. Interviews

The objective of the interview process was to solicit important information from personnel related to project and relevant to the certification process. Onsite interviews and information discussions were

conducted with Representatives from project developer^{/11/}, local government officers^{/12/}, local Villagers (including monitoring staff)^{/13/}, Representatives from Shanghai Roots & Shoots^{/14/}. The interviews were performed by the audit team on-site and the following is a list of the main interviewees and subject.

No.	Interviewee			Date	Subject	Team member
	Last name	First name	Affiliation			
1.	Huang ^{/11/}	Shanfeng	Climate Bridge (Shanghai) Ltd.. /Technical Director	23/03/2021~ 26/03/2021	<ul style="list-style-type: none"> - Chronological description of the project activity with documents of key steps of the implementation. - Technical details of the project - Baseline and Leakage - Project Boundary, planting area - Eligibility criteria - ER calculation - Monitoring system - Risks - SD indicators monitoring - Crediting period - Project activity starting date - New areas information - Ownership - Local stakeholder consultation 	Zhao Xuejiao Li Guifang
2.	Lin ^{/11/}	Mao	Climate Bridge (Shanghai) Ltd.. /Project Manager	23/03/2021~ 26/03/2021		
3.	Guo ^{/12/}	Yan	Horqin Left Back Banner Forest and Grass Bureau/Forest Section Chief	23/03/2021	<ul style="list-style-type: none"> - National legislation to forest - Provincial legislation to afforestation - Local forestry development - Roles & responsibilities of the government - local communities situation - local biodiversity situation - local climate - local environment 	Zhao Xuejiao Li Guifang
4.	Bao ^{/12/}	Honghao	Horqin Left Back Banner Forest and Grass Bureau/Forest Section Staff	23/03/2021		
5.	Xi ^{/13/}	Yumei	Local Villager	23/03/2021	<ul style="list-style-type: none"> - job opportunities - living condition - Monitoring work - training - local stakeholder consultation - impact to local villagers - impact to local environment - impact to local biodiversity 	Zhao Xuejiao Li Guifang
6.	Zhang ^{/13/}	Xinxin	Local Villager	23/03/2021		
7.	Li ^{/13/}	Bing	Local Villager	23/03/2021		
8.	Bao ^{/13/}	Dawa	Local Villager	23/03/2021		
9.	E ^{/13/}	Erdun	Local Villager	23/03/2021		
10.	Maqi ^{/13/}	Gaowa	Local Villager	23/03/2021		

No.	Interviewee			Date	Subject	Team member
	Last name	First name	Affiliation			
11.	Chun ^{/13/}	Mei	Local Villager/Monitoring Staff	23/03/2021		
12.	Sha ^{/13/}	Rina	Local Villager	23/03/2021		
13.	Nashun ^{/13/}	Menghe	Local Villager	23/03/2021		
14.	Bao ^{/13/}	Jingang	Local Villager/Monitoring Staff	23/03/2021		
15.	Bao ^{/13/}	Chengxiang	Local Villager/Monitoring Staff	23/03/2021		
16.	Wang ^{/14/}	Kai	Shanghai Roots & Shoots/Project Manager, Monitoring Staff	23/03/2021~ 26/03/2021	<ul style="list-style-type: none"> - Project Financing - Monitoring work - Project implementation - Forest management - Risks - Environment of project aera 	Zhao Xuejiao Li Guifang

C.5. Resolution of Findings

Any potential or actual material discrepancies identified during the assessment process were resolved through the issuance of findings. The types of findings issued by VVB were characterized as follows:

Correction Action Request (CAR): A CAR signified a material discrepancy with respect to a specific requirement. This type of finding could only be closed upon receipt by VVB of evidence indicating that the identified discrepancy had been corrected. Resolution of all open CARs was a prerequisite for issuance of a certification statement.

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

New Information Request (NIR): A NIR signified a need for supplementary information in order to determine whether a material discrepancy existed with respect to a specific requirement. Receipt of an NIR did not necessarily indicate that the project was not in compliance with a specific requirement. However, resolution of all open NIRs was a prerequisite for issuance of a certification statement.

Opportunity for Improvement (OFI): An OFI indicated an area that should be monitored or ideally, improved upon. OFIs were considered to be an indication of something that could become a non-conformity if not given proper attention, and were sometimes issued in the case that a non-material discrepancy was identified. OFIs were considered to be closed upon issuance.

As part of the new area and performance certification, 19 CAR, 24 NIR and 2 OFI were issued. All findings issued by the audit team during the certification process have been closed. There is no FAR raised during this performance certification process. All findings issued during the certification process, and the inputs for their closure, are described in Appendix 4 of this report.

SECTION D. Certification findings

2. KEY PROJECT INFORMATION		
2.1. Key Project Information		Conclusion
2.1.1 Key Project Information		
Project Title, ID and Type of Certification	<p>Title: Afforestation Project in Tongliao, Inner Mongolia</p> <p>Gold Standard ID: GS3031</p> <p>Type of Certification:</p> <p><input checked="" type="checkbox"/> Performance Certification <input checked="" type="checkbox"/> New Area Certification</p> <p>The initial certification and Annual Reporting should not be selected, CAR 01 was raised and closed. Refer to Appendix 4 of this report for detail assessment.</p>	<p>CAR 01</p> <p>OK</p>
2.1.1 (a) Project activities	<p>In the initial certification^{/ICR/}, it is confirmed that the project was implemented since 2014 by planting native species with mainly <i>Poplar (Populus L.)</i> on the degraded lands of 190 ha in Zhaogensumogacha Village, Tongliao City, Inner Mongolia, China.</p> <p>After initial certification approved by GS, another 1,180.96 hectares of native tree species (<i>Pinus sylvestris</i> and <i>Populus L.</i>) were planted in 2016 which is added into the project by using the new areas certification process together with the performance certification of initial approved project with GS Ref No. GS3031.</p> <p>Hence, during this performance period from 11/04/2014-31/12/2020, the project area has reached 1,370.96 hectares since 2016. The planting and maintenance work were implemented by the local villagers under the supervision of Shanghai Roots & Shoots and Climate Bridge (Shanghai) Ltd.</p> <p>The project generates ecological and social benefits to the local villagers so that achieve the sustainable development to the local area.</p> <p>Via site inspection of the project implementation^{/PHT/}, it is confirmed that the description of project activity is actual and the area size is changed since the Initial Certification due to new areas added, thus this part is updated and verified as in line with the GS A/R requirements^{/ARR/}.</p> <p>However, some information is missing, NIR 01, NIR 02 and CAR 02 were raised and closed. Refer to Appendix 4 of this report for detail assessment.</p>	<p>NIR 01</p> <p>NIR 02</p> <p>CAR 02</p> <p>OK</p>
2.1.1 (b) Organisations that are involved in the project (project participants)	<p>Village collectives</p> <p>Via checking the Initial Certification Report^{/ICR/} and Certification of land ownership and carbon credit endorsement^{/CLO/}, it is confirmed that the all the project land belongs to the local communities, while the initial project area in Zhaogensumogacha belongs to Zhaogensumogacha Collective and the new area in Nugusitaigacha belongs to Nugusitaigacha Collective. Via checking the LSC record^{/LSC/,/LSCN/}, it is verified that all villagers support the implementation of the project.</p> <p>As verified in the Initial Certification Report^{/ICR/}, it is confirmed that the Zhaogensumogacha Collective authorized Shanghai Roots & Shoots the right to deal with</p>	<p>NIR 03</p> <p>NIR 04</p> <p>CAR 03</p> <p>OK</p>

	<p>anything regarding carbon credit rights of this project. And Shanghai Roots & Shoots signed the carbon credit purchase agreement with Climate Bridge to authorize the carbon credits development generated from the initial afforestation project in Zhaogensumogacha during the crediting period.</p> <p>Besides, for the new added areas, via checking the Certification of land ownership and carbon credit endorsement^{/CLO/}, it is confirmed village committees represent all the villagers have signed a document to authorize Climate Bridge (Shanghai) Ltd. as the project developer to deal with anything regarding carbon credit rights of this project.</p> <p>Jane Goodall Institute – Shanghai Roots & Shoots</p> <p>Shanghai Roots & Shoots provided planting funds for the initial afforestation activity in Zhaogensumagacha, and unthorized Climate Bridge the user rights of the carbon credits generated from the project as verified in the initial certification report^{/ICR/}. Then the intial project has been registered as a GS A/R project (GS3101) in November 2015, following which, Shanghai Roots & Shoots has been working with Climate Bridge and villagers of Zhaogensumogacha together to support the following implemenation and monitoring of the 190ha initial area of project during the past years, including forest maintenance, sample monitoring, biodiversity survey and community education which has been verified by site visit and interview with the representatives from Climate Bridge^{/11/} and Shanghai Roots & Shoots^{/14/}.</p> <p>Climate Bridge (Shanghai) Ltd.</p> <p>Climate Bridge (Shanghai) Ltd. is project developer who is authorized by village committees represent all the villagers as confirmed in the Certification of land ownership and carbon credit endorsement^{/CLO/}. Climate Bridge (Shanghai) Ltd. is the largest developer and dealer of VER projects in China who is confirmed with the good experience of forest project development and carbon trading.</p> <p>Via site inspection of the project implementation^{/PHT/} and interview with the representatives from project developer^{/11/}, it is confirmed that the project developer is Shanghai Roots & Shoots (listed in initial certification) and Climate Bridge (Shanghai) Ltd (for both initial and new areas) thus the change of this part is verified as in line with the GS A/R requirements^{/ARR/}.</p> <p>However, some information is missing, NIR 03, NIR 04 and CAR 03 were raised and closed. Refer to Appendix 4 of this report for detail assessment.</p>	
<p>2.1.1 I Communities involved in the project</p>	<p>Via the on-site investigation^{/PHT/} and cross-check the map of project area^{/MAP/}, it is confirmed Communities involved in the project is Zhaogensumogacha and Nugusitaigacha, Horqin Left Back Banner, Tongliao Municipality, Inner Mongolia, China.</p>	<p>CAR-04 OK</p>

	<p>Via site inspection of the project implementation^{/PHT/} and interview with the representatives from Village Committee^{/B/}, it is confirmed that the name of the communities involved in the project is updated since the new areas added, thus the change of this part is verified as in line with the GS A/R requirements^{/ARR/}.</p> <p>However, there is no clear definition of which communities are involved in the project, CAR 04 was raised and closed. Refer to Appendix 4 of this report for detail assessment.</p>	
<p>2.1.1 (d) Location of the project area and the planting area</p>	<p>The project is located in Zhaogensumogacha and Nugusitaigacha, Horqin Left Back Banner, Tongliao Municipality, Inner Mongolia, China.</p> <p>The geographical coordinates of the initial project area (Zhaogensumogacha) are between 122°7.78' and 122°11.64' east longitude and between 43°11.80' and 43°12.75' north latitude. The geographical coordinates of the new project area (Nugusitaigacha) are between 122°20.51' and 122°24.75' east longitude and between 43°23.46' and 43°27.70' north latitude.</p> <p>Via site inspection and measuring location with the GPS devices by audit team comparing with the map of project area^{/MAP/}, it is confirmed that the location of project area is actual and the project area and planting area were updated since the new areas were added after initial certification, thus the change of this part is verified as in line with the GS A/R requirements^{/ARR/}.</p> <p>However, the definition of project is not accurate and geographical coordinates for location is missing. CAR 05 was raised and closed. Refer to Appendix 4 of this report for detail assessment.</p>	<p>CAR-05 OK</p>
<p>2.1.1 (e) Size of the project area and the planting area</p>	<p>The size of the project area is 1,370.96 ha The size of the planting area is 1,370.96 ha</p> <p>the project area mainly including two part, part 1 is located in Zhaogensumogacha with a size of 190 hectares planted in 2014 which has been verified by initial certification and part 2 is the new added area located in Nugusitaigacha with a size of 1,180.96 hectares planted in 2016 which has been verified by checking the Planting Design Report of the new area^{/PDR/} and the approval of Planting Design Report^{/APDR/}.</p> <p>Via site inspection and cross-check the map of project area and planting area^{/MAP/}, it is confirmed that the size of areas are actual and the size of both project area and planting area is updated since the new areas were added after initial certification, thus the change of this part is verified as in line with the GS A/R requirements^{/ARR/}.</p>	<p>OK</p>
<p>2.1.1 (f) Risk of change to the project area (during the crediting period)</p>	<p>Via site inspection and based on the expertises of the audit team, it is confirmed that there were some risks that may change the project area existed to the afforestation project. Due to there are new areas added, it is a change to the project area comparing with initial certification, so the related information need to be clarified. And there is no such description updated in the section 2.1.1 (f) relevant to this performance period.</p>	<p>NIR-05 OK</p>

	NIR 05 was raised and closed. Refer to Appendix 4 of this report for detail assessment.	
2.1.1 (g) Risk of change to the project activities (during the <u>crediting period</u>)	Due to there are new areas added, it is a change to the project area comparing with initial certification, so the related information need to be clarified. And there is no such description updated in the section 2.1.1 (g) relevant to this performance period. NIR 06 was raised and closed. Refer to Appendix 4 of this report for detail assessment.	NIR 06 OK
2.1.1 (h) Timeframe for the <u>project activities</u>	Via checking the key project information during the initial certification ^{/KPHC/} , it is confirmed that the project start date and crediting period for the project are not changed. However, the start date of new area is not provided and the performance period is missing, and how the performance period determined in line with the GS requirement is not clarified. CAR 06 was raised and closed. Refer to Appendix 4 of this report for detail assessment.	CAR 06 OK
2.1.1 (i) Number of (predicted) <u>CO2-certificates</u>	Total predicted CO ₂ -certificates value is not consistent with the key project information during the initial certification ^{/KPHC/} . Initial certified areas and new areas need to be splitted, CAR 07 was raised and closed. Refer to Appendix 4 of this report for detail assessment.	CAR 07 OK
2.1.1 (j) Land-use history and current situation of the <u>project area</u>	Via checking the key project information during the initial certification ^{/KPHC/} , it is confirmed that the land use history of initial areas is not changed which is verified as correct. For the new areas, the land use history has been verified by checking the Planting Design Report of the new area ^{/PDR/} and the approval of Planting Design Report ^{/APDR/} . The total area was severely degraded with some semi-fixed and fixed sand dunes which is same to the certified initial areas. Via site inspection of the project implementation ^{/PHT/} and interview with the representatives from project developer ^{/1/} including local villagers ^{/3/} and local officers ^{/2/} , it is confirmed that there is no change to the land-use, including the project area and tree species. However, the current situation of the project area is not provided for this performance period. CAR 08 was raised and closed. Refer to Appendix 4 of this report for detail assessment.	CAR 08 OK
2.1.1 (k) Socio-economic history and current situation	Via checking the key project information during the initial certification ^{/KPHC/} , it is confirmed that the Socio-economic history is updated due to the new areas added which is verified as correct by checking the public information of the Horqin Left Back Banner ^{/pik/} . The current socio-economic situation relevant to the project location within this performance period is also provided which is also verified as correct by checking the public information of the Horqin Left Back Banner ^{/pik/} .	OK

<p>2.1.1 (l) Forest management applied (past and future)</p>	<p>Via checking the key project information during the initial certification^{/KPHC/} and checking the Planting Design Report of the new area^{/PDR/} and the approval of Planting Design Report^{/APDR/}, it is confirmed that there was no forest management applied in the past for both initial and new areas which is verified as correct.</p> <p>However, the current situation of forest management relevant to the project activity during this performance period is not provided.</p> <p>CAR 09 was raised and closed. Refer to Appendix 4 of this report for detail assessment.</p>	<p>CAR 09 OK</p>
<p>2.1.1 (m) Forest characteristics (including main tree species planted)</p>	<p>The monitoring survey record^{/MSR/} of this performance period has been checked, and according to the key project information during the initial certification^{/KPI-IC/} and checking the Planting Design Report of the new area^{/PDR/} and the approval of Planting Design Report^{/APDR/}, the species that have been planted in the initial area are <i>Poplar</i>, and new areas are <i>Pinus Sylvestris</i> and <i>Poplar</i> species and following the inspection of the project area, the audit team is able to confirm that information provided by the project developer for this performance period on forest characteristics is accurate. Also via site inspection, it is verified that bushes have also been planted to stabilize the sands, fences and sand/grass grids to help control desertification and sand dune mobility.</p> <p>However, initial and new areas need to be provided respectively and planting year need to be clarified clearly.</p> <p>NIR 07 was raised and closed. Refer to Appendix 4 of this report for detail assessment.</p>	<p>NIR 07 OK</p>
<p>2.1.1 (n) Main social impacts (risks and benefits)</p>	<p>Via checking the key project information during the initial certification^{/KPHC/}, it is confirmed that the risks and benefits of social impacts is updated with actual situation and also new areas added, the social impacts relevant to the project activity during this performance period is not provided. Also the information of new area planting is missing.</p> <p>NIR 08 was raised and closed. Refer to Appendix 4 of this report for detail assessment.</p>	<p>NIR 08 OK</p>
<p>2.1.1 (o) Main environmental impacts (risks and benefits)</p>	<p>Via checking the key project information during the initial certification^{/KPHC/}, it is confirmed that the risks and benefits of environmental impacts is updated with actual situation and also new areas added, the environmental impacts relevant to the project activity during this performance period is not provided. Also the information of new area planting is missing.</p> <p>NIR 09 was raised and closed. Refer to Appendix 4 of this report for detail assessment.</p>	<p>NIR 09 OK</p>
<p>2.1.1 (p) Financial structure</p>	<p>Via checking the key project information during the initial certification^{/KPHC/}, it is confirmed that Shanghai Roots & Shoots have financed the initial area implementation of the project.</p> <p>Due to the new areas added, the funds of the afforestation project have been provided by Shanghai Roots & Shoots and</p>	<p>NIR 10 OK</p>

	<p>Horqin Left Back Banner Forestry Bureau in long term. And via on-site interview with representative from Shanghai Roots & Shoots^{/4/} and confirmed with the representative from Forestry Bureau^{/2/}, it is verified that the project has been invested by Shanghai Roots & Shoots in tree planting, irrigation system construction, forest management, local villagers training and project monitoring activities.</p> <p>The income from the sales of CO₂-certificates will finance the planned forest management activities over the remaining crediting period.</p> <p>Via interview with the project developer^{/11/}, it is confirmed that the financial structure is actual and updated since the Initial Certification based on the actual situation of investment and considering the new areas added, thus the change of this part is verified as in line with the GS A/R requirements^{/ARR/}.</p> <p>However, the evidence for actual investment need to be described in the footnote and need to be provided.</p> <p>NIR 10 was raised and closed. Refer to Appendix 4 of this report for detail assessment.</p>	
<p>2.1.2 Shapefiles</p>		
(a) Project area	<p>All files related to a shape have been provided to view the shapefiles^{/SF/}, the project area includes two separate parts, Part 1 is located in Zhaogensumogacha with a size of 190 hectares and part 2 is the new added area located in Nugusitaigacha with a size of 1180.96 hectares^{/SF/}.</p>	OK
(b) Planting areas	<p>All files related to a shape have been provided to view the shapefiles^{/SF/}, the project area includes two separate parts. The planting areas is the same as the project area and Parts 1 and 2 are divided by 3 shapefiles, named under MU1 to MU3 of which MU2 and MU3 are the new added areas^{/SF/}. The total size of the planting areas is 1,370.96 hectares which has been verified by checking the initial certification report^{/CR/} and checking the Planting Design Report of the new area^{/PDR/} and the approval of Planting Design Report^{/APDR/}.</p>	OK
(c) Eligible planting area	<p>All files related to a shape have been provided to view the shapefiles^{/SF/}, the project area includes two separate parts. The planting areas is the same as the project area and Parts 1 and 2 are divided by 3 shapefiles, named under MU1 to MU3 of which MU2 and MU3 are the new added areas^{/SF/}. The eligible planting areas is the same as the planting area and Parts 1 and 2 are divided by 3 shapefiles, named under MU1 to MU3^{/SF/}.</p> <p>Furthermore, VVB has assessed if the planting area in this project is eligible as per the methodology and the assessment was conducted according to Annex C of LUF Activity Requirements^{/ANC/}.</p> <p>As per the applied methodology, the eligible planting area is the land that does not meet the definition of a forest at planting start, as per the definition of FAO^{/FAO/}, Forest is defined as land with tree crown cover (or equivalent stocking level) of more than 10 percent and area of more</p>	OK

	<p>than 0.5 ha., and the trees should be able to reach a minimum height of 5 m at maturity in situ.</p> <p>Hence PD has provided the remote sensing data and satellite shapefiles in 2003, 2005, 2013 and 2015 which was prior to the start date and at the start date of MU1, MU 2 and MU3 in the key project information file, via checking all the figures provided in the file, it is verified that all the project area are eligible planting area as all the planting area prior to the project start date were non-forested areas as per the definition in FAO^{/FAO/}, and the spatial forest/non-forest assessment has been conducted in compliance with Annex C of LUF Activity Requirements^{/ANC/}.</p>	
(d) Modelling Units	There are 3 modelling units, named under MU1 to MU3 ^{/SF/} .	OK
(e) Infrastructure (roads, houses, etc.)	There are two roads inside the project area MU1, four roads in MU2 and MU3 which have been shown in shapefiles ^{/SF/} .	OK
(f) Water bodies	Via checking the shapefiles of planting areas ^{/SF/} and site inspection, it is confirmed that there is one water body located inside the project area which is a small lake in the southeast of the new area (Nugusitaigacha project area) with a buffer zone of about 95 meters and there are Native tree species such as Pinus sylvestris planted in the buffer zone.	OK
(g) Sites with special significance for indigenous people and local communities- resulting from the LSC	Via checking the LSC report for initial certification ^{/LSC/} and the LSC report for new area certification ^{/LSCN/} , it is confirmed that there are no sites with special significance for indigenous people and local communities.	OK
(h) Where indigenous people and local communities are situated	Via checking the LSC report for initial certification ^{/LSC/} and the LSC report for new area certification ^{/LSCN/} , it is confirmed that there are no sites with special significance for indigenous people and local communities.	OK
(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 for initial certification ^{/LSC/} and the LSC report for new area certification ^{/LSCN/} , it is confirmed that there are no sites with special significance for indigenous people and local communities.	OK
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 project boundary ^{/SF/} . The project boundary including the planting area is the same as the project area including two parts and Parts 1 and 2 are divided by 3 shapefiles, named under MU1 to MU3 of which MU2 and MU3 are the new added areas ^{/SF/} .	OK

	Besides, via site inspection of the project area ^{/PHT/} , it is verified that there are fences built around the planting areas to protect the trees.	
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3.1 Do-no-harm Assessment		Assessment	Conclusion
Performance Certification and New Area Certification			
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.	<p>Via checking the information provided in the Do-No-Harm Assessment during the initial certification^{/DNH-IC/} and on-site interview with the local officers^{/I2/} and local villagers^{/I3/}, it is confirmed that the sites with legal and customary rights were well identified which has been verified by checking the Certification of land ownership and carbon credit endorsement^{/CLO/}, it is verified that the village collectives own the land and trees, the local villagers from collectives have been planting trees themselves. No extra workers are hired for tree planting or maintenance which has been confirmed by interview with local villagers^{/I3/} and local officers^{/I2/}.</p> <p>However, the evidence of trees' ownership is not provided, and if local villagers own the land and trees or Zhaogensumogacha collective and Nugusitaigacha collective own the land and trees is not clarified clearly.</p> <p>CAR 10 was raised and closed. Refer to Appendix 4 of this report for detail assessment.</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>	CAR 10 OK
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.	<p>Via checking the information provided in the Do-No-Harm Assessment during the initial certification^{/DNH-IC/} and on-site interview with the local officers^{/I2/} and local villagers^{/I3/}, it is confirmed that the local villagers have been planting trees themselves. No extra workers are hired for tree planting or maintenance which has been confirmed by interview with local villagers^{/I3/} and local officers^{/I2/}. Thus, there is no change to this risk.</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>	OK
3. The transfer of control of any activities from indigenous people and local communities to the project owner shall be documented.	<p>Via checking the Certification of land ownership and carbon credit endorsement^{/CLO/}, it is confirmed that the all the project land belongs to the village collectives, of which the initial project land planted in 2014 belongs to Zhaogensumogacha, and the new project land planted in 2016 belongs to Nugsitaigacha. And village committees</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>	NIR 11 OK

	<p>represent all the local villagers transferred the control of the forest land right to project developer.</p> <p>However, the actual status of transfer of control of any activities from indigenous people and local communities to the project developer for both initial and new areas in this performance period are not provided</p> <p>NIR 11 was raised and closed. Refer to Appendix 4 of this report for detail assessment.</p>		
4. The project shall not involve and shall not be complicit in the involuntary relocation of people.	<p>Via checking the Certification of land ownership and carbon credit endorsement/^{CLO/}, it is confirmed that no resettlement has occurred as a consequence of the project activity. All the project lands for both initial areas and new areas are used in the past barren land. Via on-site interview with the local officers/^{12/} and local villagers/^{13/}, it is confirmed that there is no change to this risk.</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>	OK
5. On sites with significant disputes, all operations should be stopped until the disputes are resolved.	<p>Via checking the Certification of land ownership and carbon credit endorsement/^{CLO/} and checking the LSC report for initial certification/^{LSC/} and the LSC report for new area certification/^{LSCN/}, it is confirmed that no dispute occurred during the performance period which is also verified by on-site interview with the local officers/^{12/} and local villagers/^{13/}.</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>	N/A
Working Conditions			
6. Workers shall be able to establish and join labour organisations	<p>Via checking the Certification of land ownership and carbon credit endorsement/^{CLO/}, it is confirmed that the land owners planting trees themselves and there is no any restriction for workers to establish and join labour organisations, and via site interview with the local villafers/^{13/}, it is confirmed that workers are free to establish and join any labour organisations as they wish, it is confirmed that there is no change to this risk.</p> <p>However, the actual situation for this performance period is missing.</p> <p>CAR 11 was raised and closed. Refer to Appendix 4 of this report for detail assessment.</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>	CAR 11 OK
7. Workers and labour organisations shall be generally satisfied with their working agreements	<p>Via checking the working agreements signed between all individual workers and project developer/^{WA/}, it is confirmed that the contracts are legal and via site interview with the local villagers/^{13/}, it is confirmed that workers are satisfied with their working</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>	OK

	agreements, it is confirmed that there is no change to this risk.	<input type="checkbox"/> not applicable, as not relevant	
8. Working agreements with all individual workers shall be documented and implemented.	<p>Via checking the working agreements signed between workers and project developer^{/WA/} and on-site interview with local villagers^{/I3/}, it is confirmed that all individual workers have signed the working agreement, and agreement is in line with the national labor laws^{/LL/} and thus has been implemented accordingly.</p> <p>However, How the Working agreements with all individual workers implemented during this performance period is not clarified.</p> <p>NIR 12 was raised and closed. Refer to Appendix 4 of this report for detail assessment.</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	NIR 12 OK
9. There shall not be forced labour, as defined by the ILO Forced Labour Convention.	<p>Via checking the working agreements signed between workers and project developer^{/WA/} and on-site interview with local villagers^{/I3/}, it is confirmed that all individual workers have signed the working agreement voluntarily. The local villagers 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>It is confirmed that there is no change to this risk.</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
10. There shall not be child labour, as defined by the ILO Minimum Age Convention	<p>Via checking the working agreements signed between workers and project developer^{/WA/} and on-site interview with local villagers^{/I3/}, it is confirmed that all individual workers are beyond 18 years old, no child labour observed.</p> <p>The local villagers will be under the protection of Labor Law of the People's Republic of China^{/LL/} and no child labour is allowed.</p> <p>It is confirmed that there is no change to this risk.</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 ILO Fundamental Conventions, the project owner 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 ILO Fundamental	Via checking the working agreements signed between workers and project developer ^{/WA/}	Future risk of non-compliance:	OK

<p><i>Conventions shall be available for workers.</i></p>	<p>and on-site interview with local villagers^{/13/}, it is confirmed that 8 ILO Fundamental Conventions are available for workers.</p> <p>It is confirmed that there is no change to this risk.</p>	<p><input checked="" type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High <input type="checkbox"/> not applicable, as not relevant</p>	
No Discrimination			
<p>13. The <u>project owner</u> shall not be involved, and shall not be complicit, in any form of: (a) sexual harassment, AND</p>	<p>Via on-site interview with the PP representative from project developer^{/11/} and interview with the staffs and females^{/13/}, it is confirmed that the project developer is a legal 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>It is confirmed that there is no change to this risk.</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>	OK
<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 developer^{/11/} and interview with the staffs and females^{/13/}, it is confirmed that the project developer is a legal organization with its own moral code in line with China's legal regulations on discrimination. Any improper behaviors, such as sexual harassment and discrimination are forbidden.</p> <p>It is confirmed that there is no change to this risk.</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>	OK
Anti-Corruption			
<p>14. The <u>project owner</u> shall not be involved and shall not be complicit in corruption. The <u>project owner</u> shall publicise a commitment not to offer or receive bribes in money or any other form of corruption. The <u>project owner</u> shall comply with anti-corruption legislation where this exists.</p>	<p>Via checking the information provided in the Do-No-Harm Assessment during the initial certification^{/DNH-IC/} and on-site interview with the local officers^{/12/} and local villagers^{/13/}, also checking the annual audit listed in the Business License conducted by the government to project developer^{/BL/}, it is confirmed that the project developer operates with full compliance with China law and regulations, thus there is no change to this risk.</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>	OK
Occupational Health & Safety			
<p>15. There shall be a 'Health & Safety Policy' that is documented, implemented and regularly updated. This</p>	<p>Via on-site investigation and interview with the local villagers (workers)^{/13/}, it is confirmed that PP has referenced Health & Safety Policy and adapted it to meet the National laws to ensure workers' health and safety. PP has provided a first aid kit for local</p>	<p>Future risk of non-compliance: <input checked="" type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High</p>	OK

<p>policy shall include at a minimum:</p> <p>(a) provisions for first aid,</p>	<p>villagers(workers) which is confirmed by means of site inspection.</p> <p>It is confirmed that there is no change to this risk.</p>	<p><input type="checkbox"/> not applicable, as not relevant</p>	
<p>(b) provisions for the safe transport of workers,</p>	<p>Via on-site investigation and interview with the local villagers (workers)^{/13/}, it is confirmed that PP has referenced Health & Safety Policy and adapted it to meet the National laws to ensure workers' health and safety. The policy including the item of safe transport, and the item is implemented by PP which is confirmed by means of interview with the local villagers(workers)^{/13/}.</p> <p>It is confirmed that there is no change to this risk.</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>(c) provisions for timely evacuation of workers to an adequately equipped medical facility in case of serious accident</p>	<p>Via on-site investigation and interview with the local villagers (workers)^{/13/}, it is confirmed that PP has referenced Health & Safety Policy and adapted it to meet the National laws to ensure workers' health and safety. The policy including the item of timely emergency processing, and the item is implemented by the PP which is confirmed by means of interview with the the local villagers (workers)^{/13/}.</p> <p>It is confirmed that there is no change to this risk.</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>Via on-site investigation and interview with the local villagers (workers)^{/13/}, it is confirmed that PP has referenced Health & Safety Policy and adapted it to meet the National laws to ensure workers' health and safety. The policy including the item of health insurance scheme, and the item is implemented by the PP which is confirmed by means of interview with the local villagers (workers)^{/13/}.</p> <p>It is confirmed that there is no change to this risk.</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 <u>workers</u> stay in camps for a longer period of time, measures shall to provided to ensure that conditions for accommodation and nutrition comply at least with those specified in the <i>ILO Code of Practice on Safety</i></p>	<p>Via on-site investigation and interview with the local villagers (workers)^{/13/}, it is confirmed that PP has referenced Health & Safety Policy and adapted it to meet the National laws to ensure workers' health and safety. The policy including the measures for workers to stay in camps for a longer period of time, and the measure is implemented by the PP which is confirmed by means of interview with the the local villagers (workers)^{/13/}.</p> <p>It is confirmed that there is no change to this risk.</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 style="text-align: center;">& Health in Forestry</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 PP representative^{/11/}, it is confirmed that village head is appointed as the one to have overall responsibility for 'Health & Safety' at the worksite.</p> <p>It is confirmed that there is no change to this risk.</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 <u>project</u>.</p>	<p>Via checking the training records^{/TTR/} and on-site interview with the workers^{/11/}, it is confirmed that PP provides instructions and training that the workers need.</p> <p>It is confirmed that there is no change to this risk.</p> <p>However, the training details conducted during this performance period is not clarified.</p> <p>NIR 13 was raised and closed. Refer to Appendix 4 of this report for detail assessment.</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>NIR 13 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^{/13/}, it is confirmed that PP provides safe protective equipment, tools and machinery to the workers if they need.</p> <p>It is confirmed that there is no change to this risk.</p> <p>However, the actual status during this performance period is not clarified.</p> <p>NIR 14 was raised and closed. Refer to Appendix 4 of this report for detail assessment.</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>NIR 14 OK</p>
<p>Environmental</p>			
<p>Tree Species</p>			
<p>19. The genotypes of the <u>tree</u> species planted shall be well-adapted to the site.</p>	<p>The main tree species planted by the project are <i>Pinus Sylvestris</i> and <i>Poplar</i> which has been verified by site inspection. It is confirmed that <i>Pinus Sylvestris</i> and <i>Poplar</i> are the best tree species for afforestation and reforestation in this area and well-adapted to the site which has been confirmed by checking the report of "Populus simonii in North China"^{/RP/} and "Afforestation technology and economic benefit analysis of Pinus sylvestris commercial timber forest in Horqin sandy land"^{/RPS/}.</p> <p>It is confirmed that there is no change to this risk.</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>NIR 15 OK</p>

	<p>However, the report study the tree species did not include the pinus sylvestris involved for new areas.</p> <p>NIR 15 was raised and closed. Refer to Appendix 4 of this report for detail assessment.</p>		
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 by site inspection and Sapling Purchase Contract ^{/SPC/} , it is confirmed that no <i>Exotic tree species</i> used in this project.	<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
Habitat connectivity			
21. Through a smart mosaic of the planting areas, buffer zones and infrastructure habitat connectivity for flora and fauna should be enhanced	Via checking the shapefiles ^{/SF/} and on-site inspection, it is confirmed that buffer zones have been defined in both initial areas and new areas, habitat connectivity for flora and fauna enhanced through the planting areas and buffer zones which has been clearly shown in the pictures as listed in the 3.1 file. It is confirmed that there is no change to this risk.	<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
GMOs			
22. <i>Genetically Modified Organisms (GMOs)</i> as defined by FSC shall not be used	Via checking the project implementation by site inspection and Sapling Purchase Contract ^{/SPC/} , it is confirmed that all tree planted are native species and no GMOs used.	<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
Biodiversity			
23. Minimum 10% of the project area shall be identified and managed to protect or enhance the biological diversity of native ecosystems. For this, the HCV approach should be followed.	<p>Via checking the shapefiles^{/SF/} and on-site inspection, it is confirmed that all the project area was planted with poplar and pinus sylvestris and 100% of the planting area has been managed to enhance the bio-diversity of the native eco-systems, thus no less than 10% of the project area has been managed to protect or enhance the biological diversity of native ecosystems according to the HCV approach. It is confirmed that there is no change to this risk.</p> <p>However, how about the actual percentage during this performance period and how to calculate this value and HCV approach is not clarified.</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	NIR 16 OK

	NIR 16 was raised and closed. Refer to Appendix 4 of this report for detail assessment.		
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>	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. It is confirmed that there is no change to this risk.	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) habitats of endangered species shall always be <i>identified</i> and <i>managed</i> to protect or enhance the <i>biological diversity</i>	Via on-site investigation, it is confirmed that no endangered species found in the project area. Also via checking the forest management manual ^{/FMM/} , it is verified that the native trees are protected. It is confirmed that there is no change to this risk.	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
Erosion			
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	Via on-site inspection and checking the baseline survey report for both initial areas and new areas ^{/BSR/} , it is confirmed that the soil type is aeolian sandy soil. Through the project, it cannot be turned into healthy soil completely, but has been improved which has been confirmed by site visit. It is confirmed that there is no change to this risk.	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) biota	Via site inspection and checking the document of Desertification and Ecological Restoration of Horqin Sandy Land ^{/DERK/} , the common biota such as flora, fauna and other vegetation are identified. Via on-site interview with the workers ^{/13/} , it is confirmed that the soil will be refilled after planting to recover the soil structure, thus disturbance to the environment is very small. It is confirmed that there is no change to this risk.	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) erosion	Via site inspection, the formation of forest is identified which contributes to reduce soil and water erosion phenomenon based on the expertise from audit team. Also the fences have been built around the planting area and bushes have been planted to slow down the wind speed on the surface of the earth. Via on-site interview with the workers ^{/13/} , it is confirmed that the disturbance to the environment is very small, and 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

	It is confirmed that there is no change to this risk.		
(d) compaction	Via site inspection, the formation of forest is identified which increase the soil organic matter, but does not obviously influence on soil compaction based on the expertise from audit team. Via on-site interview with the workers ^{/13/} , it is confirmed that there's not a high possibility of compaction. It is confirmed that there is no change to this risk.	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 of the trees, it is confirmed that all planting hole were digged along the contour and there is no ploughing on slopes with a gradient greater than 10% (5°). It is confirmed that there is no change to this risk.	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 manual issued by PP/ ^{FMM/} and on-site interview with the workers ^{/13/} , it is confirmed that no fertilizers used for trees during the forest management period. It is confirmed that there is no change to this risk. However, the actual situation of this performance period is not provided. NIR 17 was raised and closed. Refer to Appendix 4 of this report for detail assessment.	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	NIR 17 OK
28. If the aerial application of fertilizer is used, then measures shall be put in place to prevent drift	Via checking the Forest management manual issued by PP/ ^{FMM/} and on-site interview with the workers ^{/13/} , it is confirmed that no fertilizers used for trees during the forest management period.	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	Via checking the Forest management manual issued by PP/ ^{FMM/} and Chemical pesticides use agreement signed between the project developer and the village committee/ ^{CPUA/} and on-site interview with the workers ^{/13/} , it is confirmed that no chemical pesticides used for trees during this forest management period. It is confirmed that there is no change to this risk.	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

<p>30. Chemical pesticides shall be used in accordance with the <i>FSC Pesticides Policy</i></p>	<p>Via interview with the project developer and workers^{/13/} and checking the Forest management manual issued by PP^{/FMM/} and Chemical pesticides use agreement signed between the project developer and the village committee^{/CPUA/}, it is confirmed that Chemical pesticides would be used in accordance with the FSC Pesticides Policy^{/FPP/} if the chemical pesticides need to be used.</p> <p>And there is no chemical pesticides used during this performance period which has been confirmed by interview with the local officers^{/12/} and workers^{/13/}.</p> <p>It is confirmed that there is no change to this risk.</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>31. There shall be a 'FSC Pesticides Policy' that is documented, implemented and regularly updated.</p> <p>This policy shall include at a minimum:</p> <p>(a) provisions for safe transport, storage, handling and application</p>	<p>Via interview with the project developer and workers^{/13/}, it is confirmed that Chemical pesticides would be used in accordance with the FSC Pesticides Policy^{/FPP/} if the chemical pesticides need to be used. And there is no chemical pesticides used during this performance period which has been confirmed by interview with the local officers^{/12/} and workers^{/13/}.</p> <p>The policy includes the provisions for safe transport, storage, handling and application and the provisions for emergency situations^{/FPP/}.</p> <p>It is confirmed that there is no change to this risk.</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>(b) provisions for emergency situations</p>	<p>Via interview with the project developer and workers^{/13/}, it is confirmed that Chemical pesticides would be used in accordance with the FSC Pesticides Policy^{/FPP/} if the chemical pesticides need to be used.</p> <p>The policy includes the provisions for safe transport, storage, handling and application and the provisions for emergency situations^{/FPP/}. And there is no chemical pesticides used during this performance period which has been confirmed by interview with the local officers^{/12/} and workers^{/13/}.</p> <p>It is confirmed that there is no change to this risk.</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>32. In the case that chemical pesticides are used and two or more different chemical pesticides are equally effective,</p>	<p>Via interview with the project developer and workers^{/13/}, it is confirmed that Chemical pesticides would be used in accordance with the FSC Pesticides Policy^{/FPP/} if the chemical pesticides need to be used.</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>OK</p>

<p>the least hazardous chemical pesticide shall be used</p>	<p>And there is no chemical pesticides used during this performance period which has been confirmed by interview with the local officers^{/12/} and workers^{/13/}.</p> <p>It is confirmed that there is no change to this risk.</p>	<p><input type="checkbox"/> not applicable, as not relevant</p>	
<p>Biological control agents</p>			
<p>33. <i>Biological control agents</i> shall be avoided, or their use shall be minimised and justified.</p>	<p>Via site inspection and interview with the project developer and workers^{/13/}, it is confirmed that no biological control agents have been used in this performance period.</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>Water resources</p>			
<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 shapefiles^{/SF/}, it is confirmed that there is a small lake in the southeast of the new added area with a buffer zone of about 95 meters. Native tree species such as <i>Pinus sylvestris</i> are planted in the buffer zone.</p> <p>It is confirmed that the changes since the initial certification related to this risk has been updated due to the new areas were added since 2016.</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>(b) <i>invasive species</i> shall be removed</p>	<p>Via on-site investigation and checking the shapefiles^{/SF/}, it is confirmed that there are no <i>invasive species</i> in the buffer zone.</p> <p>It is confirmed that the changes since the initial certification related to this risk has been updated due to the new areas were added since 2016.</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>(c) all existing <i>vegetation</i> shall be kept</p>	<p>Via on-site investigation and checking the shapefiles^{/SF/}, it is confirmed that all existing <i>vegetation</i> in the buffer zone is kept</p> <p>It is confirmed that the changes since the initial certification related to this risk has been updated due to the new areas were added since 2016.</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>(d) no <i>timber harvesting activities</i> shall take place</p>	<p>Via on-site investigation and checking the shapefiles^{/SF/}, it is confirmed that <i>timber harvesting</i> is prohibited in the project area and buffer zone.</p> <p>It is confirmed that the changes since the initial certification related to this risk has</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>OK</p>

	been updated due to the new areas were added since 2016.	<input type="checkbox"/> not applicable, as not relevant	
(e) no use of fertilizer or chemical pesticides	Via on-site investigation and checking the shapefiles ^{/5F/} , it is confirmed that no fertilizer is applied to the project area and the buffer area during this performance period. It is confirmed that the changes since the initial certification related to this risk has been updated due to the new areas were added since 2016.	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
35. The flows of <i>water bodies</i> shall not be blocked	Via on-site investigation and checking the shapefiles ^{/5F/} , it is confirmed that the flow of water body is not blocked. It is confirmed that the changes since the initial certification related to this risk has been updated due to the new areas were added since 2016.	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
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 interview with the local officer ^{/12/} and workers ^{/13/} , it is confirmed that there is no fertilizer used which may affect the groundwater used during tree planting and the formation of forest can contribute signification to forest soil and water reservation thus no groundwater in and around the planting area negatively affected by the project during this performance period. It is confirmed that there is no change to this risk.	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 audit team, it is confirmed that no chemical wastes were generated during this performance period. It is confirmed that there is no change to this risk. However, the actual status during this performance period is not clarified. NIR 18 was raised and closed. Refer to Appendix 4 of this report for detail assessment.	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	NIR 18 OK
(b) containers	Via on-site investigation, it is observed that containers are cleaned from the forest. And via interview with the project developer ^{/11/} and local villagers ^{/13/} , it is confirmed that they have cleared off the containers of all kinds regularly as they managed the forest and All the recyclables have been collected by the farmers for proper recycling.	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	NIR 18 OK

	<p>It is confirmed that there is no change to this risk.</p> <p>However, the actual status during this performance period is not clarified.</p> <p>NIR 18 was raised and closed. Refer to Appendix 4 of this report for detail assessment.</p>		
(c) fuels and oils	<p>Via on-site investigation, it is observed that some fuel or oil was spill out in the forest. There is some fuel or oil used due to the driving, the amount is so small and insignificant that was volatilized soon.</p> <p>It is confirmed that there is no change to this risk.</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
(d) human waste	<p>Via on-site investigation, it is observed that no toilet within the project area, hence there was only small amount of human waste left in the forest. However, the amount is quite small due to only people who are mananging the forest will visit regularly.</p> <p>It is confirmed that there is no change to this risk.</p> <p>However, the actual status during this performance period is not clarified.</p> <p>NIR 18 was raised and closed. Refer to Appendix 4 of this report for detail assessment.</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>	NIR 18 OK
(e) rubbish (including metals, plastics, organic and paper products)	<p>Via on-site investigation, it is observed that the rubbish are cleaned from the forest. And via interview with the workers^{/13/}, it is confirmed that they have cleared off the rubbish of all kinds regularly as they managed the forest.</p> <p>It is confirmed that there is no change to this risk.</p> <p>However, the actual status during this performance period is not clarified.</p> <p>NIR 18 was raised and closed. Refer to Appendix 4 of this report for detail assessment.</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>	NIR 18 OK
(f) abandoned buildings, machinery or equipment	<p>Via on-site investigation, it is observed that no abandoned buildings, machinery or equipment exist in the project areas. And via interview with the workers^{/13/}, it is confirmed that they have cleared off the rubbish of all kinds regularly as they managed the forest.</p> <p>It is confirmed that there is no change to this risk.</p> <p>However, the actual status during this performance period is not clarified.</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>	NIR 18 OK

	NIR 18 was raised and closed. Refer to Appendix 4 of this report for detail assessment.		
38. Measures for waste products and their spillage shall be put in place for safe and environmentally appropriate: (a) collection	<p>Via interview with the workers^{/13/}, it is confirmed that they collected all waste products found from the project area as they managed the forest and the waste products have been well packed without any spillage.</p> <p>It is confirmed that there is no change to this risk.</p> <p>However, the actual status during this performance period is not clarified.</p> <p>NIR 19 was raised and closed. Refer to Appendix 4 of this report for detail assessment.</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>	NIR 19 OK
(b) transport	<p>Via interview with the workers^{/13/}, it is confirmed that they have transported the well packed waste products found from the project area to their villages, leaving no spillage.</p> <p>It is confirmed that there is no change to this risk.</p> <p>However, the actual status during this performance period is not clarified.</p> <p>NIR 19 was raised and closed. Refer to Appendix 4 of this report for detail assessment.</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>	NIR 19 OK
(c) storage	<p>Via on-site investigation and interview with the workers^{/13/}, it is confirmed that the waste products collected from the project area have been transported to the designated collection area for centralized disposal.</p> <p>It is confirmed that there is no change to this risk.</p> <p>However, the actual status during this performance period is not clarified.</p> <p>NIR 19 was raised and closed. Refer to Appendix 4 of this report for detail assessment.</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>	NIR 19 OK
(d) handling	<p>Via on-site investigation and interview with the workers^{/13/}, it is confirmed that no small biogas power plant for the whole village was set up for handling the waste.</p> <p>It is confirmed that there is no change to this risk.</p> <p>However, the actual status during this performance period is not clarified.</p> <p>NIR 19 was raised and closed. Refer to Appendix 4 of this report for detail assessment.</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>	NIR 19 OK

(e) disposal	<p>Via on-site investigation and interview with the local officer^{12/}, it is confirmed that waste degraded naturally, for those that cannot degrade naturally, their disposal will be handled by professional companies. And there was no burning garbage permitted and occurred for forest management.</p> <p>It is confirmed that there is no change to this risk.</p> <p>However, the actual status during this performance period is not clarified.</p> <p>NIR 19 was raised and closed. Refer to Appendix 4 of this report for detail assessment.</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>NIR 19 OK</p>
Mangroves			
1. 90% of the planting area shall be planted with mangrove species	<p>No mangrove species involved in the project.</p> <p>It is confirmed that there is no change to this risk.</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>	N/A

3.2. Local Stakeholder Consultation		Conclusion
Process for Performance Certification		
<p>For the Performance Certification chapter '3.2 Local Stakeholder Consultation' does not apply.</p> <p>The continuous dialogue is ensured through the requirements of chapter '3.3 Input & Grievance Mechanism' and the yearly reporting and regular certifications that include feedback from The Gold Standard NGO Supporters.</p>	<p>There is no template of Local Stakeholder Consultation requested for the Performance Certification.</p> <p>As per the Afforestation/Reforestation (A/R) Requirements v0.9/ARR/, the continuous dialogue is ensured through the requirements of chapter '3.3 Input & Grievance Mechanism' and the yearly reporting.</p>	N/A
Process for New Area Certification		
<p>For the New Area Certification the project owner shall identify the stakeholders that are <i>new</i> to the projects due to its expansion.</p> <p>With these <i>new</i> stakeholders a LSC shall</p>	<p>As per the Afforestation/Reforestation (A/R) Requirements v0.9/ARR/, for the New Area Certification the project developer shall identify the stakeholders that are <i>new</i> to the projects due to its expansion.</p> <p>With these <i>new</i> stakeholders a LSC shall be conducted.</p> <p>For the documentation, the project developer shall use an empty template 'Local Stakeholder Consultation'.</p> <p>The PP has carried out a LSC to new stakeholders due to the adding</p>	OK

be conducted. For the documentation, the project owner shall use an empty template 'Local Stakeholder Consultation'.	of new areas and a new template of 'Local Stakeholder Consultation' related to the new areas and new stakeholders was provided to VVB. Refer to below for detail assessment of the LSC for New Area Certification.	
Design of physical meeting(s)		
Agenda	As per the template of Local Stakeholder Consultation (LSC), the following points are covered during the new area LSC process, which is in line with the requirements. - Opening of the meeting - Explanation of the new area of project; based on the content of the 'Key Project Information' - Discussion of continuous input and grievance mechanism - Questions for clarification about the new area of 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 ^{/E1/} and interview with the local officers ^{/12/} and local villagers ^{/13/} , it is confirmed that all the name of the invitee are invited to the LSC. And some of the invitee confirmed via Oral or Telephone.	OK
Describe your selection	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. 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. However, the related information of the new area LSC is not clarified. NIR 20 was raised and closed. Refer to Appendix 4 of this report for detail assessment.	NIR 20 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	Via checking the attendance list ^{/LSCN/} , it is confirmed that the original participants' list is attached in Annex I. Total 14 stakeholders attended the meeting, 7 females.	OK
Participants list	Date, time, location are in line with the original participants' list ^{/LSC/} , and the stakeholders are classified by 4 categories. Villager, Local officer, Shanghai Roots & Shoots and Project developer.	OK
Evaluation forms		
Reference ID to the original 'evaluation forms'	Via checking the evaluation forms ^{/LSCN/} , it is confirmed that the original participants' list is attached in Annex II. Total 14 stakeholders attended the meeting (7 females), 12 filled out the forms.	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' /LSCN/.	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 tepephone interview with Mr. Li Yunxiang of Tongliao Forestry Bureau, it is confirmed that his suggestions and comments were collected by a small meeting with project developer. He supported the project and his suggestions were considered by the project developer.	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 Indicators	5 indicators are assessed before take the results from the stakeholders. Indicator score of Soil condition and Biodiversity is defined as +1. So Category score is +1.	OK
Social Development Indicators	4 indicators are assessed before take the results from the stakeholders. Indicator score of Human and institutional capacity is defined as +1. So Category score is +1.	OK
Economic & Technical Development Indicators	3 indicators are assessed before take the results from the stakeholders. All the Indicator score is defined as 0. So 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 audit 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 audit 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 audit team ^{/RETDI/} . It is	OK

	concluded that the justification was conducted based on the relevant references.	
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 ^{/LSCN/} , it is confirmed the indicator score of Air quality, Soil condition and Biodiversity is defined as +1. So Category score is +1.	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. So 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. So Category score is 0.	OK
Comments accompanying the BLIND exercise	Based on the Sustainable Development Assessment of the stakeholders ^{/LSCN/} , 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, water quality and quantity and ecosystem.	OK
Main differences		
Main differences	The differences between the Assessment of the project owner and BLIND exercise from the stakeholders have been compared. Via on-site investigation, it is confirmed that the planting area is mostly sandy and degraded grassland and the local air quality is quite bad during the windy season, however it is not easy to measure and monitor the air impact and soil condition. Based on this, the indicator scores of air quality and soil condition were changed from +1 to 0.	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 audit 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 audit 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 audit team as reasonable and correct.	OK
Sustainability Monitoring Plan		
Discussion on Sustainability Monitoring Plan	Via on-site interview with the local villagers ^{/13/} , it is confirmed that they would like to participate in monitoring of the SD indicators. Gathered the suggestions from the stakeholders for the SD indicators, it is concluded that as follow:	OK

	<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> <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 villagers^{/13/}, it is confirmed that they will write their comments or suggestions in the book anytime. Two languages of the book is provided. The project developer will check the book regularly and collect all the comments received. The contact of responsible person is checked as provided in the book.</p> <p>Besides, the telephone and internet/email access approaches have been listed, however, the GS contact internet and mail access is missing.</p> <p>CAR 12 was raised and closed. Refer to Appendix 4 of this report for detail assessment.</p>	CAR 12 OK
Stakeholder feedback round		
Description of the design of the stakeholder feedback round	<p>The description of the stakeholder feedback round is listed.</p> <p>Via on-site interview with staffs from Shanghai Roots & Shoots^{/14/} and Climate Bridge (Shanghai) Ltd. ^{/11/}, it is confirmed that they monitored the project every year, including project area coverage, tree preservation rate, tree height and diameter at breast height, and biodiversity. At the same time, the staff learned about the opinions of local residents on the project through questionnaire surveys and face-to-face communication. And Via checking the questionnaires^{/QUE/} filled during the surveys, it is confirmed that no comments were received during this performance period.</p> <p>However, the VVB site visit information is not clarified.</p> <p>NIR 21 was raised and closed. Refer to Appendix 4 of this report for detail assessment.</p>	NIR 21 OK

3.3. Input & Grievance Mechanism		Conclusion
Process for Performance Certification		
The 'List of Inputs & Grievances' is part of the annual reporting (see chapter '7.2 Reporting'), thus for the Performance Certification all of the annually prepared lists for any inputs and grievances since the last certification shall be provided.	<p>As per the Afforestation/Reforestation (A/R) Requirements v0.9^{/ARR/}, the 'List of Inputs & Grievances' is part of the annual reporting (see chapter '7.2 Reporting'), thus for the Performance Certification, all of the annually prepared lists for any inputs and grievances since the last certification shall be provided.</p> <p>However, the Filled-in template 'List of Input & Grievances' was not submitted together with annual report.</p> <p>OFI 01 was raised and closed. Refer to Appendix 4 of this report for detail assessment</p>	OFI 01 OK

3.4. Sustainability Monitoring Plan		Conclusion
<p>For the Performance Certification the project owner shall use an empty template 'Sustainability Monitoring Plan'. To complete the template, copy <i>remaining</i> parameters that have not yet reached their target and add <i>new</i> parameters from the update of the chapter '3.1 Do---No---Harm Assessment' or '3.3 Input & Grievance Mechanism'.</p>		
<p>Sustainability Monitoring ID 1 –Biodiversity</p>	<p>The chosen parameter is numbers of flora and fauna. This parameter represents the improvement of biodiversity in the environment, which is monitored by the project developer once a year.</p> <p>According to the Sustainability Monitoring Plan during initial certification^{/SMP-IC/}, the baseline situation of this parameter is estimated as very few.</p> <p>As confirmed through checking the questionnaires^{/QUE/} filled during the surveys and the photos caught by the cameras installed in the project area by local forest and grass bureau^{/PC/}, it is confirmed that the numbers of flora and fauna has been observed during this performance period, thus the biodiversity in the environment is improved significantly. Via interview with the project developer^{/11/} and local villagers^{/13/}, it is confirmed that questionnaires survey have been conducted annually since 2016 to 2020 during this performance period which is in line with the monitoring frequency requested in the plan.</p> <p>In conclusion, the numbers of flora and fauna has been observed during this performance period, this parameter can represent the biodiversity in the environment improved significantly.</p> <p>Thus, it is confirmed that the “Biodiversity” is positively improved compared to the baseline.</p> <p>However, how the actual monitoring activity is in line with the frequency requested in monitoring plan is not provided.</p> <p>CAR 13 was raised and closed. Refer to Appendix 4 of this report for detail assessment.</p>	<p>CAR 13 OK</p>
<p>Sustainability Monitoring ID 2 –Human and institutional capacity</p>	<p>The chosen parameter is change in decision-making structures at local village. This parameter represents the normal people, especially the Chinese Mongolian minority of local village can be involved in the decision-making thus beneficial to social development, which is monitored by the project developer once a year.</p> <p>According to the Sustainability Monitoring Plan during initial certification^{/SMP-IC/}, the baseline situation of this parameter is estimated as normal people barely involved.</p> <p>As confirmed through checking the questionnaires^{/QUE/} filled during the surveys and the record of meetings and activities organized for local residents related to the planting project^{/RMA/}, it is confirmed that the people, especially the Chinese Mongolian minority of local village have been involved in the decision-making during this performance period, thus decision-making structures at local village is changed. Via interview with the project developer^{/11/} and local villagers^{/13/}, it is confirmed that meetings and questionnaires survey have been conducted annually since 2016 to 2020 during this performance period which is in line with the monitoring frequency requested in the plan.</p>	<p>CAR 14 OK</p>

	<p>Furthermore, via checking the technical training records^{/TTR/}, it is confirmed that villagers were provided with three trainings on planting, forest management and fire prevention in 2014, 2017 and 2019 during this performance period.</p> <p>In conclusion, the people, especially the Chinese Mongolian minority of local village have been involved in the decision-making during this performance period, this parameter can represent the social development improved.</p> <p>Thus, it is confirmed that the “Human and institutional capacity” is positively improved compared to the baseline.</p> <p>However, how the actual monitoring activity is in line with the frequency requested in monitoring plan is not provided.</p> <p>CAR 14 was raised and closed. Refer to Appendix 4 of this report for detail assessment.</p>	
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3.6. Risk Register		Score	Conclusion
Risk Topics			
Management qualifications in forestry, operations, finance, legal	<p>Via checking the business licence of the project developer^{/BL/}, the project developer is confirmed as a legal business entity fully with the forest management experience. Via on-site investigation and interview with the representative of the project developer^{/11/}, 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 and they provided regular assessments during the performance period so there was very little risk on the management qualifications.</p> <p>It is confirmed that there is no change to this risk.</p>	-	N/A
Workers qualifications in the technical implementation	<p>Via checking the technical training record^{/TTR/} and the forest management manual^{/FMM/}, it is confirmed that all the workers are adequately trained and implemented the project according to the manual during this performance period, hence there will be little risk on workers qualifications.</p> <p>It is confirmed that there is no change to this risk.</p>	-	N/A
Technical equipment	<p>Via site inspection and checking the forest management manual^{/FMM/}, it is confirmed that corresponding production, transportation and safety equipment have been provided by PP, hence there was little risk on workers qualifications.</p> <p>It is confirmed that there is no change to this risk.</p>	-	N/A
Financial means: complete and realistic income streams (investment, funding, co-funding, sales, etc.) and expenditure (administration, infrastructure, machines, labour, audits, unexpected expenditures, etc.)	<p>As confirmed through checking the initial certification report^{/ICR/}, it is verified that Shanghai Roots & Shoots were responsible for fund raising of initial afforestation in Zhaogensumogacha, and by checking the approval of Planting Design Report^{/APDR/}, it is confirmed that Local Forestry Bureau was responsible for initial fund raising for the new area in Nugusitaigacha.</p> <p>Via site inspection and interview with representatives from Shanghai Roots & Shoots^{/14/} and local forest</p>	-	N/A

	<p>bureau^{/I2/}, it is confirmed that all of the investment for planting and early phase forest maintenance have been successfully funded and the project has been well implemented during this performance period from 11/04/2014 to 31/12/2020.</p> <p>Furthermore, based on the Certification of land ownership and carbon credit endorsement^{/CLO/}, it is confirmed that the following maintenance cost of the project will be covered by the revenue of carbon credits.</p> <p>Via checking the business licence of the project developer^{/BL/}, it is confirmed that the company operated normally, no financial risk observed in this performance period. Via interview with the representatives of local officers^{/I2/}, it is confirmed that status of company is correct for this performance period.</p> <p>It is confirmed that there is no change to this risk.</p>		
Water: drought, flood, hail, snow, heavy rains	<p>Via checking the shapefiles of planting areas^{/SF/}, it is confirmed that there is only one water body located inside the project area. Due to the local weather condition, there could be drought among the planting area, but the planted trees have been watered regularly to make sure their growth, and the tree species are well adapt to the dry weather. Besides, 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 records during this performance period^{/FMR/}, it is confirmed that no drought, flood, hail, snow happened and the establish of forest can reduce water loss and soil erosion.</p> <p>It is confirmed that there is no change to this risk.</p>	-	N/A
Wind: heavy wind, hurricanes	<p>Via checking the shapefiles^{/SF/} and by site inspection, it is confirmed that the project is located in mainland, thus there should be no big risk of hurricanes and heavy wind.</p> <p>It is confirmed that there is no change to this risk.</p>	-	N/A
Animals: domestic, wild	<p>During on-site investigation, it is confirmed that the barriers had been set up around the planting area to prevent domestic animals from treading and eating. Wild animals like deers are not that numerous to be a risk to the project, even though their occurrence has been improved.</p> <p>It is confirmed that there is no change to this risk.</p>	0	N/A
Fire: natural fires, fire management	<p>During on-site investigation, it is confirmed that with the trees grows, the risk of fire is raise.</p> <p>Via on-site interview, it is confirmed that the project developer adopted many necessary measures for fire preventing as requested in the initial certification.</p> <p>Furthermore, the local government has set the fireproofing period when using fire is forbidden in the open air according to the Forest Conservation Act of China^{/FCA/}. And if a fire disaster occurs, the local</p>	0	CAR 15 OK

	<p>government should be responsible for relevant rescuing immediately.</p> <p>Via checking the forest management records during this performance period^{/FMR/} and interview with the local officer^{/I2/} and local villagers^{/I3/}, it is concluded that there was no significant fire disaster occurred within the project area during this performance period.</p> <p>However, the actual situation of the fire risk during this performance period is not provided.</p> <p>CAR 15 was raised and closed. Refer to Appendix 4 of this report for detail assessment.</p>		
Diseases: insects, bacteria, viruses	<p>Through checking the forest management records during this performance period^{/FMR/} and interview with the local officer^{/I2/} and local villagers^{/I3/}, it is confirmed that the diseases from insects did not happen within the project area during this performance period.</p> <p>However, the actual situation of the diseases risk during this performance period is not provided.</p> <p>CAR 16 was raised and closed. Refer to Appendix 4 of this report for detail assessment.</p>	0	CAR 16 OK
Temperatures: frost, heat	<p>Via site inspection, it is confirmed that frost damage on trees was not common in the project area. Further through interview with the workers^{/I3/}, it is verified that the warming measures have been adopted to keep the survival rate during winter time, thus no risk of frost and heat occurred within the project area during this performance period.</p> <p>However, the actual situation of the temperatures risk during this performance period is not provided.</p> <p>CAR 17 was raised and closed. Refer to Appendix 4 of this report for detail assessment.</p>	0	CAR 17 OK
Irregular resettlement or illicit crop production	<p>Via checking the initial certification report^{/ICR/}, it is confirmed that there is no resettlement involved in this project.</p> <p>It is confirmed that there is no change to this risk.</p>	-	N/A
Exploitation of underground resources: mining, water, etc.	<p>Via checking the initial certification report^{/ICR/}, it is confirmed that the irrigation water for trees is from underground.</p> <p>However via on-site investigation and interview with the local villagers^{/I3/} 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 trees were taller and vegetation coverage increases during this performance period, they have reserved more rainfall into underground. This has impacted the ground water level in a positive way.</p> <p>It is confirmed that there is no change to this risk.</p>	-	N/A

4.1. Additionality	Conclusion
As per the Gold Standard: Afforestation/Reforestation (A/R) Requirements v0.9 ^{/ARR/} , Process for New Area Certification	NIR 22 OK
For the New Area Certification the project owner can select between the following options:	

<p>a) Identify <i>key elements</i> of the project's existing additionally test and provide evidence that these <i>key elements</i> are not changed due to the <i>new areas</i>. <i>Key elements</i> shall include barriers (in case of the barrier analysis), the economic assumptions (in case of the investment analysis), or elements of 'Option 2 --- Positive List' (in case this was selected). The most recent version of the 'Additionality--- New areas' template shall be used.</p> <p>b) Repeat the process for the Initial Certification, but only with regard to the <i>new areas</i>, not the entire project. The most recent version of the 'Additionality' template shall be used.</p>		
Option of Additionality		
<input checked="" type="checkbox"/> Option 2 – Positive List was chosen by the PP for additionality demonstration.		
Part I		
1. The <u>project</u> 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 <u>project</u> 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 0.761 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/} , it is confirmed that project has no intention of creating a forest for the commercial use of the timber or non-timber forest products, only pruning and small cuttings are anticipated to improve tree growth where necessary.	OK
(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.	Via on-site inspection and checking the Planting Design Report of the new area ^{/PDR/} and the approval of Planting Design Report ^{/APDR/} , and interview with the local officer ^{/I2/} , it is confirmed that the new areas of project activity is a voluntary programme, not mandatory by any law or regulation.	OK
Part II		
2. The <u>project</u> 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.		
(d) The project area is located in a region with a mean annual precipitation of less than 600 mm.	Via checking the report of Analysis on the Causes of Forest Dryness in Tongliao City ^{/RAT/} and cross-check the Tongliao Governmental website ^{/tg/} , it is confirmed that the mean annual precipitation of Tongliao City is 373.6mm, less than 600mm.	OK
(e) The soil pH of the planting area is less than 4.0.	N/A	N/A
(f) The planting area is planted with minimum 5 different native tree species in mixed stands, covering at minimum 50% of the planting area.	N/A	N/A

<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) 	N/A	N/A
Retroactive submission		
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		
(a) the revenues from CO ₂ -certificates were seriously considered in the decision to implement the project, AND	N/A, for the initial certification ^{/ICR/} , the submission to the PFA was confirmed before the planting start. The new area is not applicable to this definition.	OK
(b) there was continuous interest in CO ₂ -certificates for the project in parallel with its implementation	N/A, for the initial certification ^{/ICR/} , the submission to the PFA was confirmed before the planting start. The new area is not applicable to this definition.	OK
No deforestation		
<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</p> <p>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>For the initial areas, via checking the initial certification report^{/ICR/} and comparing with the related satellite images taken by Google Earth in 2004 and 2014^{/SI/}, it is confirmed that the initial <u>planting area</u> have not been forest for at least 10 years prior to the initial areas planting start in 2014.</p> <p>Furthermore, via checking the baseline survey report^{/BSR/} for the new area and on-site interview with the local villagers^{/13/} and local officer^{/12/}, and by comparing with the related satellite images taken by Google Earth in 2006 and 2016^{/SI/}, it is confirmed that the new added planting areas have not been forest for at least 10 years prior to the new areas planting start in 2016.</p>	OK

5.1. Applicability		Conclusion
<p>Process for New Area Certification</p> <p>For the New Area Certification the project owner shall update the existing filled ---in template 'Applicability' with the information from the <i>new areas</i> added.</p> <p>The new information shall be clearly distinguishable by the use of a different colour. The existing version of the template shall be used.</p>		
Applicability		
1. Areas shall not be on wetlands	Via checking the baseline survey report ^{/BSR/} for the new area and on-site interview with the local villagers ^{/13/} and local officer ^{/12/} , it is confirmed that the new project areas are almost on sandy land, not on wetlands.	NIR-23 OK

	<p>However, the new information is not clearly distinguished by the use of a different colour.</p> <p>NIR 23 was raised and closed. Refer to Appendix 4 of this report for detail assessment.</p>	
<p>2. Areas with <i>organic soils</i> shall not be drained or irrigated (except for irrigation for planting).</p>	<p>Via checking the baseline survey report^{/BSR/} for the new area and on-site interview with the local villagers^{/13/} and local officer^{/12/}, it is confirmed that the project areas are mostly sandy land, and no organic soils are involved in the project area.</p> <p>However, the new information is not clearly distinguished by the use of a different colour.</p> <p>NIR 23 was raised and closed. Refer to Appendix 4 of this report for detail assessment.</p>	<p>NIR 23 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 project area).</p>	<p>Via checking the baseline survey report^{/BSR/} for the new area and on-site interview with the local villagers^{/13/} and local officer^{/12/}, it is confirmed that the project areas are mostly sandy land, and no organic soils are involved in the project area.</p> <p>However, the new information is not clearly distinguished by the use of a different colour.</p> <p>NIR 23 was raised and closed. Refer to Appendix 4 of this report for detail assessment.</p>	<p>NIR 23 OK</p>
<p>4. The most likely scenario without the project (baseline scenario) shall be defined for the project area. This scenario shall not show any <i>significant</i> increase of the Baseline biomass ('tree' and 'non-tree').</p>	<p>Via checking the baseline survey report^{/BSR/} for the new area and on-site interview with the local villagers^{/13/} and local officer^{/12/}, 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 which is verified by comparing the satellite images between 2006 and 2016^{/51/}.</p> <p>However, the new information is not clearly distinguished by the use of a different colour.</p> <p>NIR 23 was raised and closed. Refer to Appendix 4 of this report for detail assessment.</p>	<p>NIR 23 OK</p>

5.3. Calculation of CO ₂ -certificates		Conclusion
Process for Performance Certification and New Area Certification		
<p>Process for Performance Certification For the Performance Certification the project owner shall meet the requirements by updating the numbers from the chapters '5.4 Other Emissions' and '5.7 CO₂-Fixation' and in its <i>ClimateProjects</i> account. The system will create a 'MU Report' that the project owner shall submit to The Gold Standard Registry.</p> <p>Process for New Area Certification See Initial Certification. To enter</p>	<p>The project developer did not provide the 'MU Report' created in the system by updating the numbers from the chapters '5.4 Other Emissions' and '5.7 CO₂-Fixation' and in its <i>ClimateProjects</i> account, but the project developer submit its 'MU Report-CO₂-Fixation Calculation'^{/CFCS/} by creating a spreadsheet with the calculations instead of using the <i>ClimateProjects</i> software.</p> <p>The CO₂-Fixation Calculation sheet^{/CFCS/} has been checked, it is confirmed that the project developer has created new MU clusters for the new area and the CO₂-Fixation has been calculated together with the initial certification areas.</p> <p>Furthermore, the carbon sinks and removal values in CO₂-Fixation Calculation sheet^{/CFCS/} have been re-produced by verifiers and it is confirmed that the calculations are correct and conservative and in compliance with the calculation</p>	<p>OK</p>

<p>the numbers of the <i>new areas</i> into the <i>ClimateProjects</i> system the project owner has to create a new 'Modelling Units Cluster'.</p> <p>For all types of certification the project owner can also submit its 'MU Report' by creating a spreadsheet with the calculations instead of using the <i>ClimateProjects</i> software.</p>	<p>process in Initial Certification templates, and the correct data have been applied.</p>	
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5.4. Other Emissions		Conclusion
Process for Performance Certification and New Area Certification		
<p>No monitoring for requirement 1.</p> <p>Where existing 'tree' and 'non-tree' biomass of the <u>Baseline</u> is burned for the purpose of land preparation, an additional 10% of the <u>Baseline</u> shall be deducted. This is to account for the non-CO₂ green-house-gas emissions (N₂O and CH₄) that are released during the burning process.</p>	<p>Via checking the baseline survey report^{/BSR/} for the new area and on-site interview with the local villagers^{/13/} and local officer^{/12/}, it is confirmed that the no existing 'tree' or 'non-tree' biomass of the Baseline is burned for the purpose of land preparation for both initial certification areas and new areas scenarios.</p>	OK
<p>For requirement 2 the project owner shall update the amount of fertilizer used - in accordance with the figures submitted in its 'Annual Reports'.</p>	N/A	N/A

5.5. Baseline		Conclusion
<p>Process for New Area Certification</p> <p>For the New Area Certification the project owner shall update the existing filled---in template 'Baseline' with the information from the <i>new areas</i> added.</p> <p>The new information shall be clearly distinguishable by the use of a different colour.</p> <p>The existing version of the template shall be used.</p> <p>The resulting figures of this documentation shall be submitted to the projects <i>ClimateProjects</i> account.</p>		
1. To determine the Baseline of the eligible planting area the land shall be		
<p>(a) stratified according to its vegetation types (grassland, bushland, etc.)</p>	<p>Via checking the initial certification report^{/ICR/} and baseline survey report^{/BSR/} for the new area, 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 1,370.96 ha.</p>	OK
2. To determine the Baseline of the eligible planting area the land shall be		

<p>(b) for each of these strata, scientifically based <i>local</i>, regional or national <i>default values</i> shall be found which state the biomass of these vegetation types.</p>	Via checking the baseline survey report ^{/BSR/} , it is confirmed that baseline is determined as below:		OK																								
		<table border="1"> <thead> <tr> <th>Stratum ID</th> <th>Baseline_{tree biomass}</th> <th>Baseline_{non-tree biomass}</th> </tr> </thead> <tbody> <tr> <td>Stratum</td> <td>477.77 tCO₂</td> <td>8.97 tCO₂</td> </tr> <tr> <td></td> <td>2,969.64 tCO₂</td> <td>55.77 tCO₂</td> </tr> <tr> <td>Total</td> <td>3,447.42 tCO₂</td> <td>64.75 tCO₂</td> </tr> <tr> <td></td> <td colspan="2">Eligible planting area</td> </tr> <tr> <td></td> <td colspan="2">1,370.96 ha</td> </tr> <tr> <td></td> <td colspan="2">Baseline</td> </tr> <tr> <td></td> <td colspan="2">2.56 tCO₂/ha</td> </tr> </tbody> </table>		Stratum ID	Baseline _{tree biomass}	Baseline _{non-tree biomass}	Stratum	477.77 tCO ₂	8.97 tCO ₂		2,969.64 tCO ₂	55.77 tCO ₂	Total	3,447.42 tCO₂	64.75 tCO₂		Eligible planting area			1,370.96 ha			Baseline			2.56 tCO₂/ha	
	Stratum ID	Baseline _{tree biomass}		Baseline _{non-tree biomass}																							
	Stratum	477.77 tCO ₂		8.97 tCO ₂																							
		2,969.64 tCO ₂		55.77 tCO ₂																							
	Total	3,447.42 tCO₂		64.75 tCO₂																							
	Eligible planting area																										
	1,370.96 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 Value and Energy of the Psamophyte Communities during Desertification. Arid Zone Research, 2005, 22 (3) ^{/RBV/} .	OK																									
Baseline _{tree biomass} (tCO ₂ /ha)	2.51 tCO ₂ /ha	OK																									
Area	190 ha (initial area) 1180.96 ha (the new area) 1370.96 ha (total area)	OK																									
Baseline _{tree biomass} (tCO ₂)	477.77 tCO ₂ (initial area) 2,969.64 tCO ₂ (the new area) 3,447.42 tCO 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 (initial area) 1180.96 ha (the new area) 1370.96 ha (total area)	OK																									
Baseline _{non-tree biomass} (tCO ₂)	8.97 tCO ₂ (initial area) 55.77 tCO ₂ (the new area) 64.75 tCO ₂ (total area)	OK																									

5.6. Leakage		Conclusion
<p>Process for New Area Certification</p> <p>For the New Area Certification the project owner shall update the existing filled---in template 'Leakage' with the information from the <i>new areas</i> added.</p> <p>The new information shall be clearly distinguishable by the use of a different colour.</p> <p>The existing version of the template shall be used.</p> <p>The resulting figures of this documentation shall be submitted to the projects <i>ClimateProjects</i> account.</p>		
Describe the selection of your categories.		
(a) collection of wood (for firewood, charcoal, etc.)	<p>Not selected.</p> <p>Via on-site investigation and checking the initial certification report^{/ICR/} and baseline survey report^{/BSR/} for the new area, it is confirmed that both the initial and new added 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.</p> <p>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.</p>	OK
(b) timber harvesting	<p>Not selected.</p> <p>Via on-site investigation and checking the initial certification report^{/ICR/} and baseline survey report^{/BSR/} for the new area, it is confirmed that both the initial and new added 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.</p> <p>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.</p>	OK
(c) agriculture (crop cultivation, shrimp cultivation, etc.)	<p>Not selected.</p> <p>Via on-site investigation and checking the initial certification report^{/ICR/} and baseline survey report^{/BSR/} for the new area, it is confirmed that both the initial and new added planting areas are mostly sandy land in the baseline scenario, then during the baseline scenario, there was no agriculture (crop cultivation, shrimp cultivation, etc.) inside the project area.</p> <p>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.</p>	OK
(d) livestock	<p>Not selected.</p> <p>Via on-site investigation and checking the initial certification report^{/ICR/} and baseline survey report^{/BSR/} for the new area, it is confirmed that there is livestock around the project area, however, both the initial and new added planting areas are mostly sandy land in the baseline scenario, then during the baseline scenario, there was no graze inside the project area.</p> <p>Hence, during the project scenario, there was no leakage caused by graze outside the boundary which is attributable to the A/R project activity.</p>	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.

Leakage	Based on the above assessment, Leakage is 0.	OK
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5.7. CO₂-Fixation		Conclusion
Process for Performance Certification		
For the Performance Certification the project owner shall <i>update the existing filled-in template 'CO₂-Fixation' based on the information of the 'Forest Inventory'</i> . The most recent version of the template shall be used. The resulting figures of this documentation shall be used to update the projects <i>ClimateProjects</i> account.	The project developer has updated the existing filled-in template 'CO ₂ -Fixation' for this performance period. Also the project developer submit its 'MU Report-CO ₂ -Fixation Calculation' ^{/CFCS/} by creating a spreadsheet with the calculations instead of using the <i>ClimateProjects</i> software.	OK
Process for New Area Certification		
For the New Area Certification the project owner shall update the existing filled-in template 'CO ₂ -Fixation' with the information from the <i>new areas</i> added. The new information shall be clearly distinguishable by the use of a different colour. The existing version of the template shall be used. The resulting figures of this documentation shall be submitted to the projects <i>ClimateProjects</i> account.	The project developer has updated the existing filled-in template 'CO ₂ -Fixation' with the information from the <i>new areas</i> added and calculate the total CO ₂ -Fixation for both initial areas and new areas for this performance period. Also the project developer submit its 'MU Report-CO ₂ -Fixation Calculation' ^{/CFCS/} by creating a spreadsheet with the calculations instead of using the <i>ClimateProjects</i> software.	OK
Long - term CO₂-Fixation		Conclusion
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.	Firstly, via checking the "5.7 - Tongliao_CO ₂ -Fixation Calculation-PD-clean", it is confirmed that the survival-rate was used in the ex-ante estimations of carbon sinks by using the rowth-model and via cross-checking the Inspection and Acceptance Report ^{/IAR/} , it is verified that the survival-rate used is realistic. Secondly, for the actual CO ₂ -Fixation Calculation during this performance period, to conduct the carbon sink measurement, the number of surviving trees is actually measured, it means that the survival rate has been considered for calculation of final carbon sinks. PP calculated carbon sink based on the actual measured biomass per unit area only considering the surviving trees which has been reflected in the 'MU Report-CO ₂ -Fixation Calculation' ^{/CFCS/} . In conclusion, via checking the monitoring	OK

	survey records ^{/MSR/} and based on the local expertise of the audit team, it is confirmed that the actual survival-rate has been reflected in the ER calculation which is verified as correct and reasonable.	
Long-term CO₂-Fixation tree biomass		
Growth-model ID	Poplar	OK
Applied for Mus	This growth-model applied to planting area of MU1	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 Regional value, which is confirmed via checking the reference of Growth Law of Volume of Different Poplar Varieties ^{/RGL/} .	OK
BEF	Value is determined as 1.1. The value is a gold standard default value via checking the GS A/R Requirement ^{/ARR/} .	OK
Wood density	Value is determined as 0.3. The value is a gold standard default value via checking the GS A/R Requirement ^{/ARR/} .	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 ^{/ARR/} .	OK
Long-term CO ₂ -Fixation tree biomass (tCO ₂ /ha)	563.64 tCO ₂ /ha	OK
Long-term CO₂-Fixation tree biomass		
Growth-model ID	Pinus sylvestris	OK
Applied for Mus	This growth-model applied to planting area of M2.	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 196.10 m ³ /ha. The value is a regional value, which is confirmed via checking the reference of Study on growth regularity of Pinus sylvestris Var. mongolica in Saihanba area ^{/RGP/} .	OK
BEF	Value is determined as 1.1. The value is a gold standard default value via checking the GS A/R Requirement.	OK
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 tree biomass (tCO ₂ /ha)	142.37 tCO ₂ /ha	OK
Long-term CO₂-Fixation tree biomass		
Growth-model ID	Poplar	OK
Applied for Mus	This growth-model applied to planting area of MU3	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 714.97 m ³ /ha. The value is a Regional value, which is confirmed via checking the reference of Growth Law of Volume of Different Poplar Varieties ^{/RGL/} .	OK
BEF	Value is determined as 1.1. The value is a gold standard default value via checking the GS A/R Requirement ^{/ARR/} .	OK
Wood density	Value is determined as 0.3. The value is a gold standard default value via checking the GS A/R Requirement ^{/ARR/} .	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 ^{/ARR/} .	OK
Long-term CO ₂ -Fixation ^{tree biomass} (tCO ₂ /ha)	519.07 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 ±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.	<p>A total of 13 sample plots were set up in the project, with an error of 9.63%. And there are 4, 4 and 5 sample plots in MU1, MU2 and MU3 respectively which is calculated in line with the tool of "Calculation of the number of sample plots for measurements within A/R CDM project Activities" (Version 02.1.0)".</p> <p>Via checking the 'MU Report-CO₂-Fixation Calculation' ^{/CFCS/} by creating a spreadsheet with the calculations, it is verified that the sample size and CO₂-fixation values' calculation is correct and in line with the applied tool and initial certified calculation method.</p> <p>However, How to calculate the No. of sample plots and how to calculate the error is not clarified.</p> <p>NIR 24 was raised and closed. Refer to Appendix 4 of this report for detail assessment.</p>	<p>NIR 24</p> <p>OK</p>
Present CO₂-Fixation		Conclusion
Summary of a forest inventory		
Forest inventory ID	Poplar 2014	OK
This inventory is for the Modelling Unit (MU)	MU1	OK
Size of the MU	190 ha	OK
Date of inventory	December 2020	OK
Shape of sample plots	Rectangular	OK
Size of sample plots	400 m ²	OK
Number of sample plots	4	OK
Precision level	9.34%	CAR 18 OK
Sample plots with slopes >10%	No	OK
Name of reference document	Estimation of carbon stocks and change in carbon stocks of trees and shrubs in A/R CDM project activities (Version 04.2)	OK
Result of the inventory	4.24 t dm per ha	OK
Inventory was executed in order to adapt the growth-model	$W=0.045*(DBH^2H)^{0.906}$ W = Aboveground biomass in sample plot, t d.m.;	OK

	<p>DBH = Diameter at breast height of tree in sample plot, cm;</p> <p>H = Height of tree in sample plot, m.</p> <p>The data source is confirmed as Beijing University, Beijing Shanshui Natural Protection Center, Qinghai Forest Investigation Institute. Research on the Assessment of Qinghai Forest Carbon Sink and Development Planning of Priority Region. December 2013^{/RAF/} which has been verified by VVB as applicable to the project.</p>	
How does the inventory adapt / confirm the growth-model	<p>This inventory leads to a adaptation of the existing growth-model</p> <p>Via checking the data source^{/RAF/}, it is confirmed that based on the monitored the DBH (diameter at breast height) and height of the trees in the sample plot, and calculated the biomass of the sample plot through the growth model .</p>	OK
Present CO ₂ -fixation	<p>2014: 0.00 tCO₂/ha</p> <p>2015: 0.49 tCO₂/ha</p> <p>2016: 1.46 tCO₂/ha</p> <p>2017: 3.33 tCO₂/ha</p> <p>2018: 6.75 tCO₂/ha</p> <p>2019: 11.49 tCO₂/ha</p> <p>2020: 19.86 tCO₂/ha</p>	OK
Forest inventory ID	Pinus sylvestris 2016	OK
This inventory is for the Modelling Unit (MU)	MU2	OK
Size of the MU	708.44 ha	OK
Date of inventory	December 2020	OK
Shape of sample plots	Rectangular	OK
Size of sample plots	400 m ²	OK
Number of sample plots	5	OK
Precision level	13.62%	CAR 18 OK
Sample plots with slopes >10%	No	OK
Name of reference document	Estimation of carbon stocks and change in carbon stocks of trees and shrubs in A/R CDM project activities (Version 04.2)	OK
Result of the inventory	1.72 m ³ stem volume per ha	OK
Inventory was executed in order to adapt the growth-model	<p>V=0.00001235D3.017</p> <p>V = Stem volume of tree in sample plot, m³;</p> <p>D = Ground diameter of the tree in sample plot, cm;</p> <p>The data source is confirmed as Xu Qing, Li Xiaosha, Xu Zhongqi, et al. Study on the Volume Table of Scotch Pine in Saihanba Aera[J]. Forest Resources Management, 2017, 000(001):57-62^{/RVP/} which has been verified by VVB as applicable to the project.</p>	OK

How does the inventory adapt / confirm the growth-model	This inventory leads to a adaptation of the existing growth-model Via checking the data source ^{/RVP/} , it is confirmed that based on the monitored ground diameter of the trees and height of the trees in the sample plot, and calculated the biomass of the sample plot through the growth model .	OK
Present CO ₂ -fixation	2016: 0.02 tCO ₂ /ha 2017: 0.07 tCO ₂ /ha 2018: 0.21 tCO ₂ /ha 2019: 0.55 tCO ₂ /ha 2020: 1.56 tCO ₂ /ha	OK
Forest inventory ID	Poplar 2016	OK
This inventory is for the Modelling Unit (MU)	MU3	OK
Size of the MU	472.52 ha	OK
Date of inventory	December 2020	OK
Shape of sample plots	Rectangular	OK
Size of sample plots	400 m ²	OK
Number of sample plots	5	OK
Precision level	12.35%	CAR 18 OK
Sample plots with slopes >10%	No	OK
Name of reference document	Estimation of carbon stocks and change in carbon stocks of trees and shrubs in A/R CDM project activities (Version 04.2)	OK
Result of the inventory	5.09 t dm per ha	OK
Inventory was executed in order to adapt the growth-model	$W=0.045*(DBH^2H)^{0.906}$ W = Aboveground biomass in sample plot, t d.m.; DBH = Diameter at breast height of tree in sample plot, cm; H = Height of tree in sample plot, m. The data source is confirmed as Beijing University, Beijing Shanshui Natural Protection Center, Qinghai Forest Investigation Institute. Research on the Assessment of Qinghai Forest Carbon Sink and Development Planning of Priority Region. December 2013 ^{/RAF/} which has been verified by VVB as applicable to the project.	OK
How does the inventory adapt / confirm the growth-model	This inventory leads to a adaptation of the existing growth-model Via checking the data source ^{/RAF/} , it is confirmed that based on the monitored the DBH (diameter at breast height) and height of the trees in the sample plot, and calculated the biomass of the sample plot through the growth model .	OK
Present CO ₂ -fixation	2016: 0.00 tCO ₂ /ha 2017: 1.12 tCO ₂ /ha 2018: 3.84 tCO ₂ /ha 2019: 10.19 tCO ₂ /ha	OK

	2020: 21.63 tCO ₂ /ha	
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6.1. Carbon Performance		Conclusion
Process for Performance Certification		
For the Performance Certification the project owner shall provide documentation using the template 'Carbon Performance'. The most recent version of the template shall be used.	The project developer did not provide documentation using the template 'Carbon Performance', the actual situation related to the project implementation is not provided. OFI 02 was raised and closed. Refer to Appendix 4 of this report for detail assessment.	OFI02 OK
Describe the shortfalls of the project	Via on-site inspection, interview with PD and local officers, also through checking the Inspection and Acceptance Report ^{IAR/} , it is verified that during the project planting and implementation period, if any trees were not growing successfully, the replantings have been conducted to make sure the actual survival rate is same to the ex-ante estimated value and the replantings with same type of tree species have been inspected and the survival rate is accepted. So based on the initial certification result and considering the actual status of new areas, it is confirmed that no re-stratification was necessary due to the homogenous stratas have been defined and no gaps are found as all non-grown trees were replanted. The project developer did not provide documentation using the template 'Carbon Performance', the actual situation related to the project implementation is not provided. OFI 02 was raised and closed. Refer to Appendix 4 of this report for detail assessment.	OFI02 OK
Describe how you propose to make the project compliant again, latest in 5 years	The project developer did not provide documentation using the template 'Carbon Performance', the actual situation related to the project implementation is not provided. OFI 02 was raised and closed. Refer to Appendix 4 of this report for detail assessment.	OFI02 OK

7. Annual Report – year 2016~2020 ⁴		Conclusion
Process for Performance Certification		
The 'Annual Report' shall focus on information since the last 'Annual Report'	2016 is confirmed as the first year since the initial certification was approved.	OK

⁴ As per the Gold Standard A/R Requirements v0.9^{/ARR/}, the annual report shall take place on an annual basis, after the initial certification was completed. The initial project has been registered as a GS A/R project (GS3101) in November 2015, so 2016 is confirmed as the started year. Due to the PP did not report for the last five years from 2016 to 2020, so PP has consulted SustainCert about this issue, and via the approval from GS^{/SCAAR/}, it is confirmed that PP can report once and report the activities/information for the five years in Annual Report for this performance certification. So only one annual report provided by PP is confirmed as reasonable.

<p>(a) a summary (in English and local language) of the recent <u>projects</u> activities</p>	<p>In the initial certification^{/ICR/}, it is confirmed that the project was implemented since 2014 by planting native species with mainly Poplar on the degraded lands of 190 ha in Zhaogensumogacha Village, Tongliao City, Inner Mongolia, China.</p> <p>After initial certification approved by GS, another 1,180.96 hectares of native tree species (pinus sylvestris and poplar) were planted in 2016 which is added into the project by using the new areas certification process together with the performance certification of initial approved project with GS Ref No. GS3031.</p> <p>Hence, the project area has reached 1,370.96 hectares since 2016. There are 3 modelling units, named under MU1 to MU3^{/SF/}. The planting and maintenance work were implemented by the local villagers under the supervision of Shanghai Roots & Shoots and Climate Bridge (Shanghai) Ltd.</p> <p>For year 2016, via checking the ecological survey data sheet^{/ESDS/}, it is confirmed that the ecological survey was conducted from July 16 to August 26, 2016 there are 22 species of plants in the project area. And via interview with the staff from monitoring team, it is confirmed that Shanghai Roots & Shoots and Climate Bridge (Shanghai) Ltd. employed local farmers to investigate the biodiversity, vegetation coverage and tree growth in the project area.</p> <p>For year 2017, via checking the ecological survey data sheet^{/ESDS/}, it is confirmed that the ecological survey was conducted from July 18 to August 26, 2017 there are 22 species of plants in the project area. And via interview with the staff from monitoring team, it is confirmed that Shanghai Roots & Shoots and Climate Bridge (Shanghai) Ltd. employed local farmers to investigate the biodiversity, vegetation coverage and tree growth in the project area.</p> <p>For year 2018, via checking the ecological survey data sheet^{/ESDS/}, it is confirmed that the ecological survey was conducted from July 18 to August 20, 2018 there are 30 species of plants in the project area. And via interview with the staff from monitoring team, it is confirmed that Shanghai Roots & Shoots and Climate Bridge (Shanghai) Ltd. employed local farmers to investigate the biodiversity, vegetation coverage and tree growth in the project area.</p> <p>For year 2019, via checking the ecological survey data sheet^{/ESDS/}, it is confirmed that the ecological survey was conducted from July 21 to August 26, 2019 there are 26 species of plants in the project area. And via interview with the staff from monitoring team, it is confirmed that Shanghai Roots & Shoots and Climate Bridge (Shanghai) Ltd. employed local farmers to investigate the biodiversity, vegetation coverage and tree growth in the project area.</p>	<p>CAR 19 OK</p>
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	<p>For year 2020, via checking the ecological survey data sheet^{/ESDS/}, it is confirmed that the ecological survey was conducted from July 20 to August 25, 2020 there are 25 species of plants in the project area. And via interview with the staff from monitoring team, it is confirmed that Shanghai Roots & Shoots and Climate Bridge (Shanghai) Ltd. employed local farmers to investigate the biodiversity, vegetation coverage and tree growth in the project area.</p> <p>In addition, via checking the carbon sink monitoring survey records^{/MSR/}, it is confirmed that the carbon sink survey was conducted from December 20 to December 31, 2020. And via interview with the staffs from monitoring team, it is confirmed that project monitoring team employed local farmers to monitor the number, height, ground diameter and diameter at breast height of trees in 13 sample plots in the project area. The monitoring team paid local farmers 150 RMB every day which is verified by interview with local farmers.</p> <p>Thus it is concluded that the project generates ecological and social benefits to the local villagers so that achieve the sustainable development to the local area.</p> <p>However, the local language description is missing.</p> <p>CAR 19 was raised and closed. Refer to Appendix 4 of this report for detail assessment.</p>	
<p>(b) a clear statement (in English and local language) on how stakeholders can provide inputs/grievances</p>	<p>Via the LSC record^{/LSC/}, it is confirmed that a physical meeting has been held in 2015 to collect the comments from local stakeholders, and it is confirmed that all the stakeholders agreed to implement the project, and hope to join the Afforestation Project in Tongliao, Inner Mongolia (GS3031) as a new area.</p> <p>For this performance period, via site interview with the local villagers^{/13/} and local officers^{/12/}, it is confirmed that the statement (in English and local language) on how stakeholders can provide inputs/grievances were published through villager assembly, and in charged persons' contact number was also announced for stakeholders' access in case of any grievances.</p> <p>In addition, during the local stakeholders' consultation during the year from 2016 to 2020, the monitoring team collected the suggestions of local farmers on the project through face-to-face communication, and via checking the questionnaires^{/QUE/} filled during the surveys, it is verified that all local villagers believed that the project had improved the local ecological environment and no comments and grievances created during this performance period.</p> <p>Finally, during the VVB site verification, the verifiers hold a interview meeting by face to face to get the comments from local stakeholders, based on the results, it is verified that the stakeholders thought the project was quite successful, the local environment was significantly improved since the degenerated desert land turned into forest, and the project provided them with many job</p>	<p>CAR 19 OK</p>

	<p>opportunities. In addition, the stakeholders hope to obtain carbon revenue as soon as possible and used to manage the project.</p> <p>In conclusion, a clear statement on how stakeholders can provide inputs/grievances has been provided and verified as actual and reasonable.</p> <p>However, the local language description is missing.</p> <p>CAR 19 was raised and closed. Refer to Appendix 4 of this report for detail assessment.</p>	
<p>Submit the following documents together with this 'Annual report'</p>		
(c) Filled-in template 'List of Input & Grievances', listing the input and grievances since the last 'Annual Report'	<p>The Filled-in template 'List of Input & Grievances' was not submitted together with annual report.</p> <p>OFI01 was raised and closed. Refer to Appendix 4 of this report for detail assessment.</p>	<p>OFI01</p> <p>OK</p>
(d) Updated 'Key Project Information'	<p>The project information has been updated in the 'Key Project Information' which provided by project developer. Refer to above sections of the detail assessment.</p>	<p>OK</p>
(e) List of stakeholders who will receive the 'Annual Report'	<p>The local stakeholders have been defined in the initial certification report^{/ICR/} whom including Local farmers from Zhaogensumogacha and Nugusitaigacha, village collectives, Horqin Left Back Banner forestry and grassland bureau, local forestry station, Shanghai Roots & Shoots and Climate Bridge (Shanghai) Ltd., so all the identified stakeholders are confirmed as can receive the 'Annual Report'.</p> <p>Due to this is the first time PP created the annual report, project developer has promised to distribute this version of 'Annual Report' after the performance certification and provide the 'Annual Report' annually since 2021.</p>	<p>OK</p>
(f) Most recent 'Certification Report'	<p>This is the first performance certification, so the most recent 'Certification Report' was the initial verification report^{/ICR/} which was published on 23/11/2015.</p>	<p>OK</p>
(g) Updated 'Project Participants & Secured Titles' (in case of any changes)	<p>Due to this performance certification includes new areas certification, so the informatin of Project Participants & Secured Titles for the new areas are provided.</p> <p>For the initial project area in Zhaogensumogacha, Zhaogensumogacha Collective have authorized Roots & Shoots the right to deal with anything regarding carbon credit rights of this project. And Roots & and Shoots has signed the carbon credit purchase agreement with Climate Bridge to authorize whom the user rights of the carbon credits generated from the initial afforestation project in Zhaogensumogacha during the crediting period which has been verified in the initial verification report^{/ICR/} and this part was not changed.</p> <p>While for the new added areas, via checking the Certification of land ownership and carbon credit endorsement^{/CLO/}, it is confirmed village committees represent all the villagers have signed a document to authorize Climate Bridge (Shanghai) Ltd. as the project</p>	<p>OK</p>

	<p>developer to deal with anything regarding carbon credit rights of this project which has been addressed in all the related files.</p> <p>Furthermore, the updated 'Cover Letter'^{/CL/} and 'Terms & Conditions'^{/TC/} has been submitted with signatures to reflect the changes due to the new areas.</p>	
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SECTION E. Internal quality control

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

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

After the successful technical review an overall (esp. procedural) assessment of the complete verification has been carried out by a senior assessor located in the accredited premises of TÜV NORD.

After this step the submission for requesting for issuance is conducted.

SECTION F. Verification opinion

Climate Bridge (Shanghai) Ltd. has commissioned the TÜV NORD JI/CDM Certification Program to carry out the Gold Standard (GS) 1st periodic performance certification and the New Area Certification of the project “Afforestation Project in Tongliao, Inner Mongolia”, with regard to the relevant GS Afforestation/Reforestation (A/R) Requirements for GS project activities. The project created carbon sinks by afforestation of barren or degraded lands, which would continue to remain barren or degraded in the absence of the project activity, by direct planting native trees (China fir, Masson pine and Pinus yunnanensis) in planting areas of 1,370.96 ha. The project not only sequester carbon through biomass growth but also provide native habitat for native species and provide employment for local workers in the adjoining forest management activities. This performance certification covers the period from 11/04/2014 to 31/12/2020 (Including both days).

As a result of this verification, the verifier confirms that:

- the initial planting area of the project has been implemented and operated as per the validated files;
- the new areas are certified as eligible to be added into the original certified project;
- the monitoring records and other supporting documents provided are complete and verifiable and in accordance with the applicable GS Afforestation/Reforestation (A/R) Requirements;
- the monitoring is in place as per the applied GS Afforestation/Reforestation (A/R) Requirements;
- the monitoring of SD parameters is transparent and adequate.
- the project did not result in negative social, environmental and/or economic impacts.
- the project contributed to Sustainable Development

TÜV NORD JI/CDM CP further confirms that the project has achieved GHG removal and carbon sinks in the above mentioned reporting period as follows:

Performance Period: 11/04/2014 to 31/12/2020

CO₂-Fixdations	11,587 tCO₂e
Gold Standard Compliance Buffer	2,318 tCO₂e
Issued CO₂-certificates (GS VERs)	9,269 tCO₂e

Among this performance period, the vintage GS VERs as follows:

Year	CO ₂ -Fixdations (tCO ₂ e)	Gold Standard Compliance Buffer(tCO ₂ e)	GS VERs(tCO ₂ e)
11/04/2014-25/08/2015	-394	0	0
26/08/2015-25/08/2016	-2,828	0	0
26/08/2016-25/08/2017	916 ⁵	0	0
26/08/2017-25/08/2018	2,039	0	0
26/08/2018-25/08/2019	4,485	844	3,374
26/08/2019-31/12/2020	7,368	1,474	5,894

⁵ Due to the Baseline Removal Value is 3,512 tCO₂e, so since the year 2019, the project can generate Net Positive GHG removals, hence, until year 2018, both the buffer and GS VER values are 0.

SECTION G. Certification statement

As a duly accredited VVB, TÜV NORD CERT confirms that the project

“Afforestation Project in Tongliao, Inner Mongolia”

registered under

GS-No. : 3031

has achieved GHG removal and carbon sinks in accordance with all applicable GS Afforestation/Reforestation (A/R) Requirements for registered GS project activities during the current performance period

MP-No.: 1st
 from: 11/04/2014
 to: 31/12/2020

(including both days) as follows:

CO₂-Fixdations	11,587 tCO₂e
Gold Standard Compliance Buffer	2,318 tCO₂e
Issued CO₂-certificates (GS VERs)	9,269 tCO₂e

Among this performance period, the vintage GS VERs as follows:

Year	CO ₂ -Fixdations (tCO ₂ e)	Gold Standard Compliance Buffer(tCO ₂ e)	GS VERs(tCO ₂ e)
11/04/2014-25/08/2015	-394	0	0
26/08/2015-25/08/2016	-2,828	0	0
26/08/2016-25/08/2017	916 ⁶	0	0
26/08/2017-25/08/2018	2,039	0	0
26/08/2018-25/08/2019	4,485	844	3,374
26/08/2019-31/12/2020	7,368	1,474	5,894

Beijing, 2021-06-25

Hannover, 2021-06-25



Zhao Xuejiao
 TÜV NORD JI/CDMCP
 Validation Team Leader



Alexandra Nuske
 TÜV NORD JI/CDMCP
 Final Approval

⁶ Due to the Baseline Removal Value is 3,512 tCO₂e, so since the year 2019, the project can generate Net Positive GHG removals, hence, until year 2018, both the buffer and GS VER values are 0.

Appendix 1. Abbreviations

Abbreviations	Full texts
ARR	GS Afforestation/Reforestation (A/R) Requirement
CA	Corrective Action / Clarification Action
CAR	Corrective Action Request
CDM	Clean Development Mechanism
CO ₂	Carbon dioxide
CO _{2eq}	Carbon dioxide equivalent
DverR	Draft Verification Report
EIA	Environment Impact Assessment
ER	Emission Reduction
FAR	Forward Action Request
GHG	Greenhouse gas(es)
GS	Gold Standard
IGM	Input & Grievance Mechanism
ILO	International Labor Organization
ISO	International Standardization Organization
MP	Monitoring Plan
MR	Monitoring Report
NIR	New Information Request
OFI	Opportunity for Improvement
PA	Project Activity
PDD	Project Design Document
PDR	Preliminary Design Report
PP	Project Participant
QA/QC	Quality Assurance / Quality Control
SD	Sustainability Development
SDI	Sustainability Development Indicator
SDM	SD Matrix
UNDP	United Nations Development Programme
UNFCCC	United Nations Framework Convention on Climate Change
VER	Voluntary Emission Reduction
VVB	Validation and Verification Body

Appendix 3. Documents reviewed or referenced

No.	Author	Title	References to the document	Provider
1.	GS	Annex C ^{/ANC/}	Annex C of LUF Activity Requirements	GS
2.	Horqin Zuoyihouqi Development and Reform Commission	Approval of PDR ^{/APDR/}	Approval of Planting Design Report dated on 04/03/2016	Project developer
3.	Local Forest and Grass Bureau and Million Tree Project Program investigation team	Baseline survey reports ^{/BSR/}	Baseline survey reports for new areas issued by Local Forest and Grass Bureau dated in Dec 2015. Baseline survey report for initial areas issued by Million Tree Project Program investigation team dated in Sep. 2013.	Project developer
4.	Shanghai Market Supervision Administration	Business License ^{/BL/}	Business License of Climate Bridge (Shanghai) Ltd.	Project developer
5.	Project developer	CO ₂ -Fixation Calculation Sheet ^{/CFCS/}	CO ₂ -Fixation Calculation Sheet for this performance period including both initial and new areas	Project developer
6.	Project developer	'Cover Letter' ^{/CL/}	Signed 'Cover Letter' dated 25/02/2021	Project developer
7.	Project developer	Certification of land ownership ^{/CLO/}	Certification of land ownership and carbon credit endorsement	Project developer
8.	Project developer	Chemical pesticides use agreement ^{/CPUA/}	Chemical pesticides use agreement	Project developer
9.	Shanghai Market Supervision Administration	Certificate of registration ^{/CR/}	Certificate of registration of Shanghai Roots & Shoots	Project developer
10.	Project developer	Estimated CO ₂ -Fixation Calculation Sheet ^{/ECFCS/}	Estimated CO ₂ -Fixation Calculation Sheet for the crediting period including both initial and new areas	Project developer
11.	Project developer	Emails of invitation ^{/EI/}	Emails of invitation for LSC process	Project developer
12.	Monitoring team and local forest and grass bureau	Ecological survey data sheet ^{/ESDS/}	Annual Ecological survey data sheet since 2016 to 2020	Project developer
13.	SustainCert	Emails of approval of same VVB ^{/ESV/}	Pre-approved for same VVB and verifier by checking the email negotiation between the PP and SustainCert dated on 24/02/2021	Project developer
14.	Food and Agriculture Organization	FAO ^{/FAO/}	Forest definition issued by FAO http://www.fao.org/3/x6896e/x6896e0e.htm	Public website
15.	Project developer and local forest and grass bureau	Forest management manual ^{/FMM/}	Forest management manual for project	Project developer
16.	Forest rangers	Forest Patrolling Log ^{/FPL/}	Daily Forest Patrolling Log issued by forest rangers	Project developer

No.	Author	Title	References to the document	Provider
17.	Forest Stewardship Council (FSC)	FSC Pesticides Policy ^{/FPP/}	FSC Pesticides Policy	Project developer
18.	China Economic International Engineering Consulting Group Co., Ltd.	Inspection and acceptance report ^{/IAR/}	Inspection and acceptance report for the new area's planting	Project developer
19.	Project developer	LSC record ^{/LSC/}	LSC record for initial certification of previous areas including: 1. The copy of LSC attendance's list with signature; 2. The copy of all filled evaluation forms by attendance in LSC 3. The pictures from physical meeting 4. Questionnaire of Sustainable Development Assessment of the stakeholders	Project developer
20.	Project developer	LSC record for New areas ^{/LSC/}	LSC record for new areas certification including: 1. The copy of LSC attendance's list with signature; 2. The copy of all filled evaluation forms by 10 attendances in LSC 3. The pictures from physical meeting 4. Questionnaire of Sustainable Development Assessment of the stakeholders	Project developer
21.	Project developer	Map of project area ^{/MAP/}	Map of project area	Project developer
22.	Monitoring team and project developer	Monitoring survey records ^{/MSR/}	Sampling plots inventory issued by monitoring team conducted the survey in Dec 2020	Project developer
23.	Project developer, local afforestation company and local villagers	Planting agreement ^{/PA/}	Planting agreement signed between the project developer, local afforestation company and local villagers	Project developer
24.	Local Forest and Grass Bureau	Photos caught ^{/PC/}	Photos caught by the cameras installed in the project area	Project developer
25.	Horqin Zuoyihou Banner Forestry Investigation, Planning and Design Team	Planting Design Report of the new area ^{/PDR/}	Planting Design Report of the new area dated in October 2015	Project developer
26.	Project developer	Questionnaires ^{/QUE/}	Questionnaires during monitoring survey	Project developer
27.	Project developer	Record of meetings and activities ^{/RMA/}	Record of meetings and activities organized for local residents related to the planting project	Project developer
28.	Google Earth	Satellite images ^{/SI/}	Satellite images taken by Google Earth in 2004, 2006, 2014 and 2016	Project developer
29.	Project developer	Shapefiles ^{/SF/}	Shapefiles of project area and planting area for MU1, MU2 and MU3 and project boundary MU 1.cpg	Project developer

No.	Author	Title	References to the document	Provider
			MU 1.dbf MU 1.prj MU 1.qpj MU 1.shp MU 1.shx MU 2.cpg MU 2.dbf MU 2.prj MU 2.qpj MU 2.shp MU 2.shx MU 3.cpg MU 3.dbf MU 3.prj MU 3.qpj MU 3.shp MU 3.shx Project Boundary.cpg Project Boundary.dbf Project Boundary.prj Project Boundary.qpj Project Boundary.shp Project Boundary.shx	
30.	Project developer and local Nursery Stock Professional Cooperative	Sapling Purchase Contract ^{/SPC/}	Sapling Purchase Contract for tree species in both initial areas and new areas	Project developer
31.	Project developer	'Terms & Conditions' ^{/TC/}	Signed 'Terms & Conditions' dated 28/03/2021	Project developer
32.	Project developer and Local Forest and Grass Bureau	Technical Training Record ^{/TTR/}	Technical Training Record during this performance period	Project developer
33.	Project developer	Working agreements ^{/WA/}	Working agreements signed between all individual workers and project developer	Project developer
34.	GS	Gold Standard ARR ^{/ARR/}	Gold Standard A/R Requirements v0.9	GS Website
35.	TÜV NORD JI / CDM Certification Program	CP Manual ^{/CPM/}	TÜV NORD JI / CDM CP Manual (incl. CP procedures and forms)	TÜV NORD JI / CDM Certification Program
36.	Chinese Journal of Ecology – Jiang Deming etc.	Desertification and Ecological Restoration ^{/DERK/}	Desertification and Ecological Restoration of Horqin Sandy Land	Public website
37.	PP	Do-No-Harm Assessment-Initial ^{/DNH-IC/}	Do-No-Harm Assessment during the initial certification ^{/DNH-IC/}	GS website
38.	National Government of China	Forest Conservation Act ^{/FCA/}	Forest Conservation Act of China http://www.gov.cn/ziliao/flfg/2005-09/27/content_70626.htm	Public website
39.	Gold Standard	Guidelines for IGM ^{/GIGM/}	Gold Standard A/R Guidelines for Input & Grievance Mechanism	GS website

No.	Author	Title	References to the document	Provider
40.	Gold Standard	Guidelines for LSC ^{/GLSC/}	Gold Standard A/R Guidelines for Local Stakeholder Consultation (LSC)	GS website
41.	Gold Standard	Gold Standard Principles ^{/GSP/}	Gold Standard Principles	GS website
42.	TÜV NORD	Initial certification report ^{/ICR/}	Initial certification report for the Project "Afforestation Project in Tongliao, Inner Mongolia", version 2 dated 23/11/2015	GS website
43.	SustainCert	Deviation Request form ^{/DRF/}	'Deviation Request form' approved by SustainCert on 30/09/2020 for extension the submission deadline	Project developer
44.	ILO	ILO ^{/ILO/}	ILO Forced Labour Convention	Public website
45.	Intergovernmental Panel on Climate Change	IPCC Guidelines ^{/IPCC/}	<ul style="list-style-type: none"> • 1996 IPCC Guidelines for National Greenhouse Gas Inventories: work book • 2006 IPCC Guidelines for National Greenhouse Gas Inventories: work book 	www.ipcc-nggip.iges.or.jp
46.	ISO	ISO 14064-3 ^{/ISO/}	Greenhouse gases -- Part 3: Specification with guidance for the validation and verification of greenhouse gas assertions as of May 2012	Public website
47.	UNFCCC	Kyoto Protocol ^{/KP/}	Kyoto Protocol (1997)	UNFCCC
48.	PP	Key project information-Initial ^{/KPI-IC/}	Key project information during the initial certification	GS website
49.	Gold Standard	Land Use & Forests Framework ^{/LUFF/}	Gold Standard Foundation Land Use & Forests Framework, version 1.0	GS website
50.	China National Government	Labor laws ^{/LL/}	Labor Law of the People's Republic of China	Public website
51.	UNFCCC	Marrakesh – Accords ^{/MA/}	Decision 3/CMP. 1 (Marrakesh – Accords)	UNFCCC
52.	On-site Verification Team	Photographs of Project Site ^{/PHT/}	Photographs of project areas, plantings areas, fences installed, tree species in sample plots, etc.	On-site Verification Team
53.	Beijing University, Beijing Shanshui Natural Protection Center, Qinghai Forest Investigation Institute	Research on the Assessment of Qinghai Forest ^{/RAF/}	Research on the Assessment of Qinghai Forest Carbon Sink and Development Planning of Priority Region. December 2013.	Public website
54.	JOURNAL OF DESERT RESEARCH	Report of Analysis ^{/RAT/}	Report of Analysis on the Causes of Forest Dryness in Tongliao City	Public website
55.	Li Yu-qiang, etc	Report of Biomass, Calorific Value ^{/RBV/}	Study on the Dynamics of Biomass, Calorific Value and Energy of the Psamophyte Communities during Desertification. Arid Zone Research, 2005, 22 (3)	Public website
56.	Journals	References of Environmental Indicator ^{/REI/}	References of Environmental Indicator Justification	Public website

No.	Author	Title	References to the document	Provider
			<ol style="list-style-type: none"> 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. 	
57.	World Bank	References of Economic & Technical Development Indicator ^{/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.	Public website
58.	Chinese Agricultural Science Bulletin	Report of Growth Law ^{/RGL/}	Zhou Zhongcheng, Wang Ruiwen, Zhang Xinghu, et al. The Growth Law of Volume of Different Poplar Varieties [J]. Chinese Agricultural Science Bulletin, 2018, 34(33):61-66.	Public website
59.	Forestry and Ecological Sciences	Report of growth regularity of Pinus ^{/RGP/}	Zhang Jiandong, Jiang Lingling, Xu Zhongqi, et al. Study on growth regularity of Pinus sylvestris Var. mongolica in Saihanba area [J].	Public website

No.	Author	Title	References to the document	Provider
			Forestry and Ecological Sciences, 2019,34(2):135-140.	
60.	FAO	Report of Populus ^{/RP/}	Report of Populus simonii in North China is a work from FAO's GCP/CPR/009/BEL project which was conducted in the same city of this project	Public website
61.	Inner Mongolia Forestry Investigation and Design	Report of Pinus sylvestris ^{/RPS/}	Zhao yue, Li aiguo, Yang xingmin, etal. Afforestation technology and economic benefit analysis of Pinus sylvestris commercial timber forest in Horqin sandy land [J]. Inner Mongolia Forestry Investigation and Design, 2015, 038(003):59-61.	Public website
62.	Forest Resources Management	Report of Volume Table of Scotch Pine ^{/RVP/}	Xu Qing, Li Xiaosha, Xu Zhongqi, et al. Study on the Volume Table of Scotch Pine in Saihanba Aera[J]. Forest Resources Management, 2017, 000(001):57-62	Public website
63.	Journals and Studies	References of Social Development Indicator ^{/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. Issue3, 2010. 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. Issue2, 2012 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. Issue8, 2005. 4. LIANG Chuan. <i>The Relationship between Villagers' self-organized Committee and Forest Restoration and Protection</i> . [J] Forestry and Society, Issue13, 2005.	Public website
64.	SustainCert	SustainCert approved Annual Report ^{/SCAAR/}	Email of SustainCert approved Annual Report once for last 5 years from 2016 to 2020.	Project developer
65.	PP	Sustainability Monitoring Plan -initial ^{/SMP-IC/}	Sustainability Monitoring Plan during initial certification	GS website

No.	Author	Title	References to the document	Provider
66.	GS website	Templates ^{/TEM/}	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 – CO ₂ -Fixation 6.1 – Template – Carbon Performance 7.2 - Template - Annual Report	GS website
67.	TUV NORD	Validation Report ^{/VAL/}	Validation Report for GS project “Afforestation Project in Tongliao, Inner Mongolia” Rev No. 2, 23/11/2015	Gold Standard
68.	Gold Standard Organization	Gold Standard ^{/gs/}	http://www.goldstandard.org/	Website
69.	IPCC	IPCC publications ^{/ipcc/}	www.ipcc-nggip.iges.or.jp	Website
70.	State Administration of Market Supervision and Administration	National Enterprise Credit Information Publicity System ^{/neci/}	http://www.gsxt.gov.cn/	Website
71.	Horqin Left Back Banner Government	Public information of the Horqin Left Back Banner ^{/pik/}	http://www.houqi.gov.cn/	Website
72.	Tongliao Government	Tongliao Governmental website ^{/tg/}	http://www.tongliao.gov.cn/	Website
73.	UNDP	UNDP website ^{/undp/}	https://www.undp.org/	Website
74.	UNFCCC	UNFCCC ^{/unfccc/}	http://cdm.unfccc.int	Website

No.	Author	Title	References to the document	Provider
75.	VCS	VCS/vcs/	http://www.v-c-s.org/	Website

Appendix 4. New Information Requests, corrective action requests, Opportunity for Improvements and forward action requests

Table 1. Remaining FAR from Initial Certification

FAR ID	N/A	Section no.	-	Date:
Description of FAR				
Project participant response (1st round)				Date:
Documentation provided by project participant (1st round)				
<input type="checkbox"/>	Changes in the template	Section(s):	New version No.:	
<input type="checkbox"/>	Changes in ER sheet	Worksheet(s):	New version No.:	
<input type="checkbox"/>	Other:			
VVB assessment (1st round)				Date:
Conclusion <i>Tick the appropriate checkbox</i>		<input type="checkbox"/> Additional action should be taken (finding remains open) <input type="checkbox"/> The finding is closed		

Table 2. NIR from this Performance Certification and New Area Certification

NIR ID	01	Section no.	2.1 – 1. (a)	Date: 09/04/2021
Description of NIR				
In section 1 (a) of 2.1 Key Project Information,				
1. if any changes to the Initial certification part or if the registered project was implemented as per the initial design is not clarified.				
2. why the new area can be added into the registered project is not clarified, and related evidence need to be provided and described.				
Project participant response (1st round)				Date: 06/05/2021
The information has been updated in section 1 (a) of 2.1 Key Project Information and related evidence has been provided.				
1. According to field visit, the 190 hectares of the initial forest area have been implemented as planned and there is no change compared with the initial design.				
2. In 2016, 1,180.96 hectares of native tree species (<i>pinus sylvestris</i> and poplar) were planted in Nugusitaigacha, Horqin Left Rear Banner of Tongliao City, and Nugusitaigacha collective has signed a document to authorize Climate Bridge (Shanghai) Ltd. as the project owner to deal with anything regarding carbon credit rights of this project. According to Afforestation/Reforestation Requirements (Version 0.9), new areas can be added to an existing project area after its initial certification.				
Documentation provided by project participant (1st round)				
<input checked="" type="checkbox"/>	Changes in the template	Section(s): 2.1 – 1. (a)	New version No.: -	
<input type="checkbox"/>	Changes in ER sheet	Worksheet(s):	New version No.:	
<input type="checkbox"/>	Other:			
VVB assessment (1st round)				Date: 13/05/2021
1. The revised file is checked, it is confirmed that in the initial certification/ ^{ICR} , the project was implemented since 2014 by planting native species with mainly <i>Poplar</i> on the degraded lands of 190 ha in Zhaogensumogacha Village, Tongliao City, Inner Mongolia, China. And via site inspection, it is verified that the 190 hectares of the initial forest area have been implemented as planned and there is no change compared with the initial design for 190 ha.				
2. The revised file is checked, it is confirmed that after initial certification approved by GS, another 1,180.96 hectares of native tree species (<i>pinus sylvestris</i> and <i>poplar</i>) were planted in 2016 which is added into the project by using the new areas certification process together with the performance certification of initial				

<p>approved project. In line with the Afforestation/Reforestation Requirements (Version 0.9)^{/ARR/}, it is confirmed that new areas can be added into an existing project area after its initial certification, and via checking the Certification of land ownership and carbon credit endorsement^{/CLO/}, it is confirmed village committees represent all the villagers have signed a document to authorize Climate Bridge (Shanghai) Ltd. as the project developer to deal with anything regarding carbon credit rights of this project, thus due to the initial certification was also developed by Climate Bridge (Shanghai) Ltd., thus the new areas are added into the initial certified project and during this performance period from 11/04/2014-31/12/2020, the project area has reached 1,370.96 hectares since 2016 which is verified as in line with the Afforestation/Reforestation Requirements (Version 0.9)^{/ARR/}.</p>	
<p>Conclusion Tick the appropriate checkbox</p>	<p><input type="checkbox"/> Additional actions should be taken (finding remains open) <input checked="" type="checkbox"/> The finding is closed</p>

NIR ID	02	Section no.	2.1 – 1. (a)	Date: 09/04/2021
Description of NIR				
In section 1. (a) of Key Project Information, the actual status of the project's impact during this monitoring period need to be clarified.				
Project participant response (1st round)				Date: 06/05/2021
The actual status of the project's impact during this monitoring period has been updated in section 1. (a) of Key Project Information. According to field visit, during this monitoring period, the forest coverage, carbon sink and biodiversity in the project area increased significantly, and the sand dunes around the project area were stabilized. Also, the project provided training on land preparation, tree planting and forest management for local villagers, and provided them with job opportunities.				
Documentation provided by project participant (1st round)				
<input checked="" type="checkbox"/>	Changes in the template	Section(s):	2.1 – 1. (a)	New version No.: -
<input type="checkbox"/>	Changes in ER sheet	Worksheet(s):		New version No.:
<input type="checkbox"/>	Other:			
VVB assessment (1st round)				Date: 13/05/2021
The revised file has been checked, it is confirmed that the actual status of the project's impact during this monitoring period has been updated in section 1. (a) of Key Project Information. Via site inspection of the project implementation ^{/PHT/} , it is confirmed that the description of project activity is actual and the area size is changed since the Initial Certification due to new areas added, thus this part is updated and verified as in line with the GS A/R requirements ^{/ARR/} .				
<p>Conclusion Tick the appropriate checkbox</p>	<p><input type="checkbox"/> Additional actions should be taken (finding remains open) <input checked="" type="checkbox"/> The finding is closed</p>			

NIR ID	03	Section no.	2.1-1.(b)	Date: 09/04/2021
Description of NIR				
In section 1. (b) of Key Project Information, the land ownership and project ownership for both old and new areas are not clarified clearly.				
Project participant response (1st round)				Date: 06/05/2021
The land ownership and project ownership in section 1. (b) of Key Project Information have been updated. The initial project area in Zhaogensumogacha belongs to Zhaogensumogacha Collective and the new area in Nugusitaigacha belongs to Nugusitaigacha Collective.				
Documentation provided by project participant (1st round)				
<input checked="" type="checkbox"/>	Changes in the template	Section(s):	2.1-1.(b)	New version No.: -
<input type="checkbox"/>	Changes in ER sheet	Worksheet(s):		New version No.:
<input type="checkbox"/>	Other:		/CLO/	
VVB assessment (1st round)				Date: 13/05/2021
The revised file has been checked, it is confirmed that the actual status of the project's impact during this monitoring period has been updated in section 1. (b) of Key Project Information. Via checking the Initial Certification Report ^{/ICR/} and Certification of land ownership and carbon credit endorsement ^{/CLO/} , it is confirmed that the all the project land belongs to the local communities, while the initial				

project area in Zhaogensumogacha belongs to Zhaogensumogacha Collective and the new area in Nugasitaigacha belongs to Nugasitaigacha Collective.

Climate Bridge (Shanghai) Ltd. is project developer who is authorized by village committees represent all the villagers as confirmed in the Certification of land ownership and carbon credit endorsement^{t/CL0/}. Climate Bridge (Shanghai) Ltd. is the largest developer and dealer of VER projects in China who is confirmed with the good experience of forest project development and carbon trading.

Conclusion Tick the appropriate checkbox	<input type="checkbox"/> Additional action should be taken (finding remains open) <input checked="" type="checkbox"/> The finding is closed
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NIR ID	04	Section no.	2.1-1.(b)	Date:	09/04/2021	
Description of NIR						
In section 1. (b) of Key Project Information, the responsibility of Shanghai Roots & Shoot for the initial certified areas is not clarified.						
Project participant response (1st round)					Date:	06/05/2021
The responsibility of Shanghai Roots & Shoot for the initial certified areas have been updated in section 1. (b) of Key Project Information. Roots & Shoots provided planting funds for the initial afforestation activity in Zhaogensumagacha, and authorized Climate Bridge the user rights of the carbon credits generated from the project. Also, Roots & Shoots has been working with Climate Bridge and villagers of Zhaogensumogacha together to support the following implementation and monitoring of the project during the past years, including forest maintenance, sample monitoring, biodiversity survey and community education.						
Documentation provided by project participant (1st round)						
<input checked="" type="checkbox"/>	Changes in the template	Section(s):	2.1-1.(b)	New version No.:	-	
<input type="checkbox"/>	Changes in ER sheet	Worksheet(s):		New version No.:		
<input type="checkbox"/>	Other:					
VVB assessment (1st round)					Date:	13/05/2021
The revised file has been checked, it is confirmed that the actual status of the project's impact during this monitoring period has been updated in section 1. (b) of Key Project Information. Shanghai Roots & Shoots provided planting funds for the initial afforestation activity in Zhaogensumagacha, and authorized Climate Bridge the user rights of the carbon credits generated from the project as verified in the initial certification report ^{t/CR/} . Then the initial project has been registered as a GS A/R project (GS3101) in November 2015, following which, Shanghai Roots & Shoots has been working with Climate Bridge and villagers of Zhaogensumogacha together to support the following implementation and monitoring of the 190ha initial area of project during the past years, including forest maintenance, sample monitoring, biodiversity survey and community education which has been verified by site visit and interview with the representatives from Climate Bridge ^{t/1/} and Shanghai Roots & Shoots ^{t/4/} .						
Conclusion Tick the appropriate checkbox	<input type="checkbox"/> Additional action should be taken (finding remains open) <input checked="" type="checkbox"/> The finding is closed					

NIR ID	05	Section no.	2.1-1.(f)	Date:	09/04/2021	
Description of NIR						
In section 2.1-1.(f) of Key Project Information,						
<ol style="list-style-type: none"> 1. Due to there are new areas added, it is a change to the project area comparing with initial certification, so the related information need to be clarified. 2. There is no any actual description related to this monitoring period. 3. Any other changes created from natural risks like fire, pest, frost etc which may impact the trees are not analyzed. 						
Project participant response (1st round)					Date:	06/05/2021
<ol style="list-style-type: none"> 1. Possible changes of the control and rights over the land will happen if a) the government orders to change the use of land for legitimate reasons; b) the village residents collectively decide to change their minds and dishonor the agreement signed. Such situations are rare and unlikely to happen since the village collectives have signed the agreements to participate the afforestation project and the local government is very supportive of this project. Therefore the potential risk should be very low. 						

<p>2. During this monitoring period, the Nugustaigacha project area (1180.96 hectares) was added to this project (GS ID: GS3031), and no negative impact to the project occurred.</p> <p>3. 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. The chemical pesticides are allowed to be used only if there is a serious pest problem erupted in the project area, and the pesticides will be used in accordance with the National Pesticides Policy. During this monitoring period, no natural risk occurred, such as fire, pest and frost.</p>			
Documentation provided by project participant (1st round)			
<input checked="" type="checkbox"/>	Changes in the template	Section(s): 2.1-1.(f)	New version No.: -
<input type="checkbox"/>	Changes in ER sheet	Worksheet(s):	New version No.:
<input checked="" type="checkbox"/>	Other:	/LSCN/, /FPL/	
VVB assessment (1st round)		Date: 13/05/2021	
<p>The revised file has been checked, it is confirmed that the actual status of the project's impact during this monitoring period has been updated in section 1. (f) of Key Project Information.</p> <p>1. The change to the project area due to new added comparing with initial certification has been provided.</p> <p>2. The actual description related to this monitoring period is added, it is confirmed that no negative impact to the project occurred/LSCN/.</p> <p>3. Other changes created from natural risks like fire, pest, frost etc which may impact the trees have been analyzed. Via checking the forest patrolling log/FPL/, it is verified that there are no natural risk occurred for this performance period.</p>			
Conclusion <i>Tick the appropriate checkbox</i>		<input type="checkbox"/> Additional actions should be taken (finding remains open) <input checked="" type="checkbox"/> The finding is closed	

NIR ID	06	Section no.	2.1-1.(g)	Date: 09/04/2021
Description of NIR				
<p>In section 2.1-1.(g) of Key Project Information,</p> <p>1. Due to there are new areas added, it is a change to the project area comparing with initial certification, so the related information need to be clarified.</p> <p>2. There is no any actual description related to this monitoring period.</p>				
Project participant response (1st round)				Date: 06/05/2021
<p>1. The basic situation of the Nugustaigacha project area (the new area) is the same as that of the Zhaogensumogacha project area, so the risk is very low.</p> <p>2. During this monitoring period, barriers were set up around the planting area to prevent the animals from treading and grazing, and the villagers maintain the barriers regularly, and the preservation rate of trees was good. So, there is no risk of change to the project activities.</p>				
Documentation provided by project participant (1st round)				
<input checked="" type="checkbox"/>	Changes in the template	Section(s): 2.1-1.(g)	New version No.: -	
<input type="checkbox"/>	Changes in ER sheet	Worksheet(s):	New version No.:	
<input type="checkbox"/>	Other:			
VVB assessment (1st round)				Date: 13/05/2021
<p>The revised file has been checked, it is confirmed that the actual status of the project during this monitoring period has been updated in section 1. (g) of Key Project Information.</p> <p>1. The change to the project area due to new added comparing with initial certification has been provided.</p> <p>2. The actual description related to this monitoring period is added, via site inspection with the project site, it is confirmed that the barriers were set up around the planting area to prevent the animals from treading and grazing, there is no risk of change to the project activities.</p>				
Conclusion <i>Tick the appropriate checkbox</i>		<input type="checkbox"/> Additional actions should be taken (finding remains open) <input checked="" type="checkbox"/> The finding is closed		

NIR ID	07	Section no.	2.1-1.(m)	Date: 09/04/2021
Description of NIR				
<p>In section 2.1-1.(m) of Key Project Information, the different areas for different tree species in both old and new need to be clarified respectively.</p>				

Project participant response (1st round)		Date: 06/05/2021	
<p>The different areas for different tree species in both old and new have been updated in section 2.1-1.(m) of Key Project Information.</p> <p>The major tree species are poplar and pinus sylvestris, of which the area of poplar is 662.56 hectares (the initial poplar area is 190 hectares, the new added poplar area is 472.56 hectares), and the area of pinus sylvestris is 708.44 hectares.</p>			
Documentation provided by project participant (1st round)			
<input checked="" type="checkbox"/>	Changes in the template	Section(s): 2.1-1.(m)	New version No.: -
<input type="checkbox"/>	Changes in ER sheet	Worksheet(s):	New version No.:
<input checked="" type="checkbox"/>	Other:	/PDR/, /APDR/	
VVB assessment (1st round)		Date: 13/05/2021	
<p>The revised file has been checked, it is confirmed that the actual status of the different areas for different tree species in both old and new during this monitoring period has been updated in section 1. (m) of Key Project Information.</p> <p>Via checking the initial certification report and Planting Design Report of the new area^{/PDR/} and the approval of Planting Design Report^{/APDR/}, the species that have been planted in the initial area and new area are confirmed as correct and actual.</p>			
Conclusion <i>Tick the appropriate checkbox</i>		<input type="checkbox"/> Additional actions should be taken (finding remains open) <input checked="" type="checkbox"/> The finding is closed	

NIR ID	08	Section no.	2.1-1.(n)	Date:	09/04/2021
Description of NIR					
<p>In section 2.1-1.(n) of Key Project Information,</p> <ol style="list-style-type: none"> the actual risks during this performance period is not clarified. the pictures related to new areas planting is missing. 					
Project participant response (1st round)				Date: 06/05/2021	
<ol style="list-style-type: none"> At the beginning of the project, a few herders grazed in the project area, therefore Roots & Shoots and Climate Bridge has conducted the stakeholder consultation meetings with local communities and local Forest Bureau by emphasizing the importance of the prohibition of herding in early phase of the planting area. Due to long-term publicity and training, almost no herders grazed in the project area since then. During this monitoring period, the tree preservation rate exceeds 85%. Although there was some tree diseases and contagion in part of the planting area, the diseases have been well controlled and no significant loss occurred. Also, the Gap between expected economic income generated from carbon certification and what is actually received is still a potential risk due to the small size of the project, especially for the early phase of the project lifetime when the trees haven't grown big enough. The pictures related to new areas planting has been supplemented. 					
Documentation provided by project participant (1st round)					
<input checked="" type="checkbox"/>	Changes in the template	Section(s): 2.1-1.(n)	New version No.: -		
<input type="checkbox"/>	Changes in ER sheet	Worksheet(s):	New version No.:		
<input type="checkbox"/>	Other:				
VVB assessment (1st round)				Date: 13/05/2021	
<ol style="list-style-type: none"> The revised file is checked, it is confirmed that actual risks during this performance period has been clarified. Via site inspection and interview with local villagers and officers, it is verified that the information of risks is correct and actual. The revised file is checked, it is confirmed that the pictures related to new areas planting is added accordingly. 					
Conclusion <i>Tick the appropriate checkbox</i>		<input type="checkbox"/> Additional actions should be taken (finding remains open) <input checked="" type="checkbox"/> The finding is closed			

NIR ID	09	Section no.	2.1-1.(o)	Date:	09/04/2021
Description of NIR					
<p>In section 2.1-1.(o) of Key Project Information, the actual risks during this MP is not specified.</p>					
Project participant response (1st round)				Date: 06/05/2021	

During this monitoring period, no environmental risk occurred, on the contrary, the water and soil conditions in the project area have been improved.			
Documentation provided by project participant (1st round)			
<input checked="" type="checkbox"/>	Changes in the template	Section(s): 2.1-1.(o)	New version No.: -
<input type="checkbox"/>	Changes in ER sheet	Worksheets:	New version No.:
<input type="checkbox"/>	Other:		
VVB assessment (1st round)			Date: 13/05/2021
The revised file is checked, it is confirmed that actual risks during this performance period has been clarified. Via site inspection and interview with local villagers and officers, it is verified that the no environmental risk occurred, and via site inspection, it is observed that the water and soil conditions in the project area have been improved.			
Conclusion <i>Tick the appropriate checkbox</i>		<input type="checkbox"/> Additional actions should be taken (finding remains open) <input checked="" type="checkbox"/> The finding is closed	

NIR ID	10	Section no.	2.1-1.(p)	Date: 09/04/2021
Description of NIR				
In section 2.1-1.(o) of Key Project Information, the actual financial structure for both initial areas and new areas in this performance period is not provided.				
Project participant response (1st round)				Date: 06/05/2021
For the initial project area in Zhaogensumogacha, Roots & Shoots has provided the fund for planting and forest maintenance. For the new area in Nugusitaigacha, local Forestry Bureau has provided the fund for planting and forest maintenance.				
Documentation provided by project participant (1st round)				
<input checked="" type="checkbox"/>	Changes in the template	Section(s): 2.1-1.(p)	New version No.: -	
<input type="checkbox"/>	Changes in ER sheet	Worksheets:	New version No.:	
<input type="checkbox"/>	Other:			
VVB assessment (1st round)				Date: 13/05/2021
The revised file is checked, it is confirmed that the actual financial structure for both initial areas and new areas in this performance period have been provided. Via checking the key project information during the initial certification ^{/KPI-IC/} , it is confirmed that Shanghai Roots & Shoots have financed the initial area implementation of the project. Due to the new areas added, the funds of the afforestation project have been provided by Shanghai Roots & Shoots and Horqin Left Back Banner Forestry Bureau in long term. And via on-site interview with representative from Shanghai Roots & Shoots ^{/A/} and confirmed with the representative from Forestry Bureau ^{/B/} , it is verified that the project has been invested by Shanghai Roots & Shoots in tree planting irrigation system construction, forest management, local villagers training and project monitoring activities. The income from the sales of CO ₂ -certificates will finance the planned forest management activities over the remaining crediting period. Via interview with the project developer ^{/11/} , it is confirmed that the financial structure is actual and updated since the Initial Certification based on the actual situation of investment and considering the new areas added, thus the change of this part is verified as in line with the GS A/R requirements ^{/ARR/} .				
Conclusion <i>Tick the appropriate checkbox</i>		<input type="checkbox"/> Additional actions should be taken (finding remains open) <input checked="" type="checkbox"/> The finding is closed		

NIR ID	11	Section no.	3.1-3	Date: 09/04/2021
Description of NIR				
In section 3 of Do-No-Harm Assessment, the actual status of transfer of control of any activities from indigenous people and local communities to the project developer for both initial and new areas in this performance period are not provided.				
Project participant response (1st round)				Date: 06/05/2021
For the initial project area in Zhaogensumogacha, the Zhaogensumogacha Collective has authorized Roots & Shoots on behalf of them for the project development, who has signed the carbon credit purchase agreement				

with Climate Bridge to authorize whom the user rights of the carbon credits generated from the initial afforestation project during the crediting period.		
For the new area in Nugusitaigacha, the Nugusitaigacha Collective has authorized Climate Bridge as the Project Developer to apply GS certification deal with anything regarding carbon credit rights of this project during the crediting period.		
Documentation provided by project participant (1st round)		
<input checked="" type="checkbox"/> Changes in the template	Section(s): 3.1-3	New version No.: -
<input type="checkbox"/> Changes in ER sheet	Worksheet(s):	New version No.:
<input checked="" type="checkbox"/> Other:	/CLO/	
VVB assessment (1st round)		Date: 13/05/2021
The revised file is checked, it is confirmed that the actual status of transfer of control of any activities from indigenous people and local communities to the project developer for both initial and new areas in this performance period have been provided.		
Via checking the Certification of land ownership and carbon credit endorsement ^{/CLO/} , it is confirmed that the all the project land belongs to the village collectives, of which the initial project land planted in 2014 belongs to Zhaogensumogacha, and the new project land planted in 2016 belongs to Nugusitaigacha. And village committees represent all the local villagers transferred the control of the forest land right to project developer.		
Conclusion <i>Tick the appropriate checkbox</i>	<input type="checkbox"/> Additional actions should be taken (finding remains open) <input checked="" type="checkbox"/> The finding is closed	

NIR ID	12	Section no.	3.1-8	Date: 09/04/2021
Description of NIR				
In section 8 of Do-No-Harm Assessment, how the working agreements with all individual workers implemented during this performance period is not clarified.				
Project participant response (1st round)				Date: 06/05/2021
During this monitoring period, according to the working agreement, the villagers from Zhaogensumogacha and Nugusitaigacha completed the land preparation, planting and maintenance work well. So, the working agreements with all individual workers were well documented and implemented.				
Documentation provided by project participant (1st round)				
<input checked="" type="checkbox"/> Changes in the template	Section(s): 3.1-8		New version No.: -	
<input type="checkbox"/> Changes in ER sheet	Worksheet(s):		New version No.:	
<input checked="" type="checkbox"/> Other:	/WA/			
VVB assessment (1st round)				Date: 13/05/2021
The revised file is checked, it is confirmed that the working agreements with all individual workers implemented during this performance period has been provided.				
Via checking the signed working agreement with all individual workers ^{/WA/} , it is confirmed that the villagers from Zhaogensumogacha and Nugusitaigacha completed the land preparation, planting and maintenance, and the work has been defined in the working agreement clearly.				
Conclusion <i>Tick the appropriate checkbox</i>	<input type="checkbox"/> Additional actions should be taken (finding remains open) <input checked="" type="checkbox"/> The finding is closed			

NIR ID	13	Section no.	3.1-17	Date: 09/04/2021
Description of NIR				
In section 17 of Do-No-Harm Assessment, actual training provided during this performance period is not clarified.				
Project participant response (1st round)				Date: 06/05/2021
In 2016, Shanghai Roots & Shoots provided training on forest management and protection for 7 villagers. In 2017, Climate Bridge (Shanghai) Ltd. and local forestry and grassland bureau provided training on afforestation techniques for 30 villagers. In 2019, Climate Bridge (Shanghai) Ltd. and local forestry and grassland bureau provided training on forest fire prevention and insect disaster protection for 22 villagers.				
Documentation provided by project participant (1st round)				
<input checked="" type="checkbox"/> Changes in the template	Section(s): 3.1-17		New version No.: -	

<input type="checkbox"/> Changes in ER sheet	Worksheet(s):	New version No.:
<input checked="" type="checkbox"/> Other:	/TTR/	
VVB assessment (1st round)		Date: 13/05/2021
The revised file has been checked, it is confirmed that actual training provided during this performance period has been clarified. Via checking the training record ^{/TTR/} , it is verified that the information is correct.		
Conclusion <i>Tick the appropriate checkbox</i>	<input type="checkbox"/> Additional actions should be taken (finding remains open) <input checked="" type="checkbox"/> The finding is closed	

NIR ID	14	Section no.	3.1-18	Date:	09/04/2021	
Description of NIR						
In section 18 of Do-No-Harm Assessment, actual safe protective equipment provided during this performance period is not clarified.						
Project participant response (1st round)					Date:	06/05/2021
During the planting period of the project, Roots & Shoots and local Forest Bureau provided necessary tools and machinery for the workers, such as transport vehicles and tractors.						
Documentation provided by project participant (1st round)						
<input checked="" type="checkbox"/> Changes in the template	Section(s): 3.1-18		New version No.: -			
<input type="checkbox"/> Changes in ER sheet	Worksheet(s):		New version No.:			
<input type="checkbox"/> Other:						
VVB assessment (1st round)					Date:	13/05/2021
The revised file has been checked, it is confirmed that safe protective equipment provided during this performance period has been clarified. Via on-site inspection, it is verified that the information is correct.						
Conclusion <i>Tick the appropriate checkbox</i>	<input type="checkbox"/> Additional actions should be taken (finding remains open) <input checked="" type="checkbox"/> The finding is closed					

NIR ID	15	Section no.	3.1-19	Date:	09/04/2021	
Description of NIR						
In section 19 of Do-No-Harm Assessment, the tree species of pinus sylvestris is not analyzed to be well-adapted to the site.						
Project participant response (1st round)					Date:	06/05/2021
Related research shows that Pinus sylvestris are well-adapted to the site. Zhao yue, Li aiguo, Yang xingmin, etal. Afforestation technology and economic benefit analysis of Pinus sylvestris commercial timber forest in Horqin sandy land [J]. Inner Mongolia Forestry Investigation and Design, 2015, 038(003):59-61.						
Documentation provided by project participant (1st round)						
<input checked="" type="checkbox"/> Changes in the template	Section(s): 3.1-19		New version No.: -			
<input type="checkbox"/> Changes in ER sheet	Worksheet(s):		New version No.:			
<input checked="" type="checkbox"/> Other:	/RPS/					
VVB assessment (1st round)					Date:	13/05/2021
The revised file has been checked, it is confirmed that tree species of pinus sylvestris has been analyzed to be well-adapted to the site. Via checking the Report of Pinus sylvestris ^{/RPS/} , it is verified that the information is correct.						
Conclusion <i>Tick the appropriate checkbox</i>	<input type="checkbox"/> Additional actions should be taken (finding remains open) <input checked="" type="checkbox"/> The finding is closed					

NIR ID	16	Section no.	3.1-23	Date:	09/04/2021	
Description of NIR						
In section 23 of Do-No-Harm Assessment,						
<ol style="list-style-type: none"> the tree species of pinus sylvestris is not analyzed to be well-adapted to the site. HCV approach followed is not specified. The percentage of project area identified and managed to protect or enhance the biological diversity is not clarified. 						
Project participant response (1st round)					Date:	06/05/2021

<ol style="list-style-type: none"> 1. Zhao Yue's research shows that Pinus sylvestris are well-adapted to the site. 2. Before the implementation of the project, the project area was sandy land with almost no animals and plants, belonging to endangered ecosystems (HCV 3) as per HCV approach. Except for planting trees, bushes and other vegetation are also introduced to reclaim the desertified land. In addition, fences were built around the project area to keep out grazing animals, and special villagers were assigned to manage forests and prevent logging. 3. All the project area (100% of the project area) was planted with poplar and pinus sylvestris and all of the planting area has been managed to enhance the bio-diversity of the native eco-systems. 			
Documentation provided by project participant (1st round)			
<input type="checkbox"/>	Changes in the template	Section(s):	New version No.:
<input type="checkbox"/>	Changes in ER sheet	Worksheets(s):	New version No.:
<input type="checkbox"/>	Other:		
VVB assessment (1st round)		Date: 13/05/2021	
<ol style="list-style-type: none"> 1. The revised file has been checked, it is confirmed that tree species of pinus sylvestris has been analyzed to be well-adapted to the site. Via checking the Report of Pinus sylvestris^{/RPS/}, it is verified that the information is correct. 2. The revised file has been checked, it is confirmed that HCV approach followed has been specified. The baseline scenario is verified as applicable to the endangered ecosystems (HCV 3) as per HCV approach. 3. The revised file has been checked, it is confirmed that percentage of project area identified and managed to protect or enhance the biological diversity has been clarified. Via checking the shapefiles^{/SF/} and on-site inspection, it is confirmed that all the project area was planted with poplar and pinus sylvestris and 100% of the planting area has been managed to enhance the bio-diversity of the native eco-systems, thus no less than 10% of the project area has been managed to protect or enhance the biological diversity of native ecosystems according to the HCV approach. 			
Conclusion <i>Tick the appropriate checkbox</i>		<input type="checkbox"/> Additional actions should be taken (finding remains open) <input checked="" type="checkbox"/> The finding is closed	

NIR ID	17	Section no.	3.1-27	Date: 09/04/2021
Description of NIR				
In section 27 of Do-No-Harm Assessment, the actual situation of fertilizer utilization of this performance period is not provided.				
Project participant response (1st round)				Date: 06/05/2021
During this monitoring period, no fertilizers were applied.				
Documentation provided by project participant (1st round)				
<input checked="" type="checkbox"/>	Changes in the template	Section(s): 3.1-27	New version No.: -	
<input type="checkbox"/>	Changes in ER sheet	Worksheets(s):	New version No.:	
<input checked="" type="checkbox"/>	Other:	/FPL/		
VVB assessment (1st round)				Date: 13/05/2021
The revised file has been checked, it is confirmed that the actual situation of fertilizer utilization of this performance period has been provided. Via checking the Daily Forest Patrolling Log issued by forest rangers/FPL/, it is verified that no fertilizers were applied.				
Conclusion <i>Tick the appropriate checkbox</i>		<input type="checkbox"/> Additional actions should be taken (finding remains open) <input checked="" type="checkbox"/> The finding is closed		

NIR ID	18	Section no.	3.1-37	Date: 09/04/2021
Description of NIR				
In section 37 of Do-No-Harm Assessment, the actual situation of waste management of this performance period is not provided.				
Project participant response (1st round)				Date: 06/05/2021
All the recyclables were collected by the farmers for proper recycling during this monitoring period.				
Documentation provided by project participant (1st round)				
<input checked="" type="checkbox"/>	Changes in the template	Section(s): 3.1-37	New version No.: -	
<input type="checkbox"/>	Changes in ER sheet	Worksheets(s):	New version No.:	
<input checked="" type="checkbox"/>	Other:	/FPL/		

VVB assessment (1st round)		Date: 13/05/2021
The revised file has been checked, it is confirmed that the actual situation of waste management of this performance period has been provided. Via checking the Daily Forest Patrolling Log issued by forest rangers/FPL/, it is verified that all the recyclables were collected by the farmers for proper recycling.		
Conclusion <i>Tick the appropriate checkbox</i>	<input type="checkbox"/> Additional action should be taken (finding remains open) <input checked="" type="checkbox"/> The finding is closed	

NIR ID	19	Section no.	3.1-38	Date: 09/04/2021
Description of NIR				
In section 38 of Do-No-Harm Assessment, the actual situation of measures for waste products and their spillage of this performance period is not provided.				
Project participant response (1st round)				Date: 06/05/2021
During this monitoring period, local people collected all waste products found from the project area regularly as they managed the forest.				
Documentation provided by project participant (1st round)				
<input checked="" type="checkbox"/>	Changes in the template	Section(s):	3.1-38	New version No.: -
<input type="checkbox"/>	Changes in ER sheet	Worksheet(s):		New version No.:
<input checked="" type="checkbox"/>	Other:	/FPL/		

VVB assessment (1st round)		Date: 13/05/2021
The revised file has been checked, it is confirmed that the actual situation of waste management of this performance period has been provided. Via checking the Daily Forest Patrolling Log issued by forest rangers/FPL/, it is verified that local people collected all waste products found from the project area regularly.		
Conclusion <i>Tick the appropriate checkbox</i>	<input type="checkbox"/> Additional action should be taken (finding remains open) <input checked="" type="checkbox"/> The finding is closed	

NIR ID	20	Section no.	3.2- Describe your selection	Date: 09/04/2021
Description of NIR				
In section Describe your selection of Local stakeholder consultation, the introduction of why the new areas certification is applicable to the LSC is not clarified and information of new areas is not clarified.				
Project participant response (1st round)				Date: 06/05/2021
According to Afforestation/Reforestation Requirements (Version 0.9), new areas can be added to an existing project area after its initial certification, for the new area certification the project owner shall identify the stakeholders that are new to the projects due to its expansion. With these new stakeholders a LSC shall be conducted.				
Documentation provided by project participant (1st round)				
<input checked="" type="checkbox"/>	Changes in the template	Section(s):	3.2- Describe your selection	New version No.: -
<input type="checkbox"/>	Changes in ER sheet	Worksheet(s):		New version No.:
<input checked="" type="checkbox"/>	Other:	/LSCN/		
VVB assessment (1st round)		Date: 13/05/2021		
The revised file has been checked, it is confirmed that as per the Afforestation/Reforestation (A/R) Requirements v0.9 ^{ARR/} , for the New Area Certification the project developer shall identify the stakeholders that are <i>new</i> to the projects due to its expansion. With these <i>new</i> stakeholders a LSC shall be conducted.				
Hence, PP has carried out a LSC to new stakeholders due to the adding of new areas ^{/LSCN/} which is verified as in compliance with the Afforestation/Reforestation (A/R) Requirements v0.9 ^{ARR/} .				
Conclusion <i>Tick the appropriate checkbox</i>	<input type="checkbox"/> Additional action should be taken (finding remains open) <input checked="" type="checkbox"/> The finding is closed			

NIR ID	21	Section no.	3.2- Description of the design of the stakeholder feedback round	Date: 09/04/2021
Description of NIR				

In section Description of the design of the stakeholder feedback round of Local stakeholder consultation, the details of VVB site visit and consultation meeting by VVB are not clarified as one of stakeholder feedback round.			
Project participant response (1st round)			Date: 06/05/2021
The VVB auditors took a site visit of the project from 23/03/2021 to 26/03/2021, they spent three and a half days to visit the planted area for detailed project information, and took a gathered interview with the representatives during the on-site stakeholder meeting on 23/03/2021 . Through face-to-face interviews with stakeholders, it was confirmed that no comments were received during this monitoring period from 11/04/2014 to 31/12/2020.			
Documentation provided by project participant (1st round)			
<input checked="" type="checkbox"/>	Changes in the template	Section(s): 3.2- Description of the design of the stakeholder feedback round	New version No.: -
<input type="checkbox"/>	Changes in ER sheet	Worksheet(s):	New version No.:
<input checked="" type="checkbox"/>	Other:	/LSCN/	
VVB assessment (1st round)			Date: 13/05/2021
The revised file has been checked, it is confirmed that the information of VVB site visit and interview with local stakeholders has been added and is verified as correct and actual. Based on the stakeholder feedback round ^{LSCN/} as provided in the file, there were no comments received during this performance period.			
Conclusion <i>Tick the appropriate checkbox</i>		<input type="checkbox"/> Additional actions should be taken (finding remains open) <input checked="" type="checkbox"/> The finding is closed	

NIR ID	22	Section no.	4.1- Type of Certification	Date: 09/04/2021
Description of NIR				
In section Type of Certification of Additionality, which choice is selected for new areas for demonstration of additionality is not clarified as per the Gold Standard A/R Requirements v0.9.				
Project participant response (1st round)				Date: 06/05/2021
According to Afforestation/Reforestation (A/R) Requirements (Version 0.9), for new area certification, the option "(b) Repeat the initial certification process, but only with regard to the new areas, not the entire project" is selected to assess the additionality. As per the Initial Certification process, "Option 2 - - Positive List" is used to demonstrate the additionality of the new area (Nugusitaigacha project area).				
Documentation provided by project participant (1st round)				
<input checked="" type="checkbox"/>	Changes in the template	Section(s): 4.1- Type of Certification	New version No.: -	
<input type="checkbox"/>	Changes in ER sheet	Worksheet(s):	New version No.:	
<input type="checkbox"/>	Other:			
VVB assessment (1st round)				Date: 13/05/2021
The revised file has been checked, it is confirmed that the demonstration is choice has been added and in line with the Afforestation/Reforestation (A/R) Requirements (Version 0.9).				
Conclusion <i>Tick the appropriate checkbox</i>		<input type="checkbox"/> Additional actions should be taken (finding remains open) <input checked="" type="checkbox"/> The finding is closed		

NIR ID	23	Section no.	5.1	Date: 09/04/2021
Description of NIR				
In file of Applicability, as per the Gold Standard A/R Requirements v0.9, "for the New Area Certification the project developer shall update the existing filled-in template 'Applicability' with the information from the new areas added. The new information shall be clearly distinguishable by the use of a different colour", however, the applicability is not focus on the information from the new areas added with a different colour, clarification is requested for the whole file of 5.1.				
Project participant response (1st round)				Date: 06/05/2021
According to A/R Requirements v0.9, the information of new area has been updated in template 'Applicability', and clearly distinguishable by the use of a different colour.				
Documentation provided by project participant (1st round)				
<input checked="" type="checkbox"/>	Changes in the template	Section(s): 5.1	New version No.: -	
<input type="checkbox"/>	Changes in ER sheet	Worksheet(s):	New version No.:	

<input type="checkbox"/> Other:	
VVB assessment (1st round)	Date: 13/05/2021
The revised file has been checked, it is confirmed that the information of new area has been updated in template 'Applicability', and clearly distinguishable by the use of a different colour.	
Conclusion <i>Tick the appropriate checkbox</i>	<input type="checkbox"/> Additional actions should be taken (finding remains open) <input checked="" type="checkbox"/> The finding is closed

NIR ID	24	Section no.	5.7-6	Date:	09/04/2021	
Description of NIR						
In section 6 of CO ₂ -Fixation, how to calculate the No. of sample plots and how to calculate the error is not clarified.						
Project participant response (1st round)					Date:	06/05/2021
The number of sample plots and the error are calculated based on "Calculation of the number of sample plots for measurements within A/R CDM project Activities" (Version 02.1.0). Totally 13 sample plots were set up in the project, with an error of 9.63%, and there are 4, 4 and 5 sample plots in MU1, MU2 and MU3 respectively.						
Documentation provided by project participant (1st round)						
<input checked="" type="checkbox"/>	Changes in the template	Section(s):	5.7-6	New version No.:	-	
<input checked="" type="checkbox"/>	Changes in ER sheet	Worksheet(s):		New version No.:		
<input type="checkbox"/>	Other:					
VVB assessment (1st round)					Date:	13/05/2021
The revised file has been checked, it is confirmed that the calculation result has been added. And the calculation process has been added into the 'MU Report-CO ₂ -Fixation Calculation' ^{/CFCS/} .						
A total of 13 sample plots were set up in the project, with an error of 9.63%. And there are 4, 4 and 5 sample plots in MU1, MU2 and MU3 respectively which is calculated in line with the tool of "Calculation of the number of sample plots for measurements within A/R CDM project Activities" (Version 02.1.0)".						
Via checking the 'MU Report-CO ₂ -Fixation Calculation' ^{/CFCS/} by creating a spreadsheet with the calculations, it is verified that the sample size and CO ₂ -fixation values' calculation is correct and in line with the applied tool and initial certified calculation method.						
Conclusion <i>Tick the appropriate checkbox</i>	<input type="checkbox"/> Additional actions should be taken (finding remains open) <input checked="" type="checkbox"/> The finding is closed					

Table 3. CAR from this Performance Certification

CAR ID	01	Section no.	2.1 - title	Date:	09/04/2021	
Description of CAR						
In title of 2.1 Key Project Information, the type of certification is not selected correctly, Initial and Annual are not applicable to the project's actual status.						
Project participant response (1st round)					Date:	06/05/2021
The type of certification has been updated in project title of 2.1 Key Project Information, "Performance Certification" and "New Area Certification" were selected.						
Documentation provided by project participant (1st round)						
<input checked="" type="checkbox"/>	Changes in the template	Section(s):	2.1 - title	New version No.:	-	
<input type="checkbox"/>	Changes in ER sheet	Worksheet(s):		New version No.:		
<input type="checkbox"/>	Other:					
VVB assessment (1st round)					Date:	13/05/2021
The revised file has been checked, it is confirmed that only "Performance Certification" and "New Area Certification" were selected which is verified as correct and actual.						
Conclusion <i>Tick the appropriate checkbox</i>	<input type="checkbox"/> Additional actions should be taken (finding remains open) <input checked="" type="checkbox"/> The finding is closed					

CAR ID	02	Section no.	2.1-1 (a)	Date:	09/04/2021
Description of CAR					
In section 1.(a) of Key Project Information, the project location of the new areas is not provided.					

Project participant response (1st round)		Date: 06/05/2021	
<p>The project location of the new areas have been updated in section 1.(a) of Key Project Information. In 2016, 1,180.96 hectares of native tree species (pinus sylvestris and poplar) were planted in Nugusitaigacha, Horqin Left Rear Banner of Tongliao City.</p>			
Documentation provided by project participant (1st round)			
<input checked="" type="checkbox"/>	Changes in the template	Section(s): 2.1-1 (a)	New version No.: -
<input type="checkbox"/>	Changes in ER sheet	Works heet(s):	New version No.:
<input checked="" type="checkbox"/>	Other:	/MAP/	
VVB assessment (1st round)		Date: 13/05/2021	
<p>The revised file has been checked, it is confirmed that the project location of new areas is provided. The new area of project is located in Nugusitaigacha, Horqin Left Back Banner, Tongliao Municipality, Inner Mongolia, China. geographical coordinates of the new project area (Nugusitaigacha) are between 122°20.51' and 122°24.75' east longitude and between 43°23.46' and 43°27.70' north latitude. Via site inspection and measuring location with the GPS devices by audit team comparing with the map of project area/MAP/, it is confirmed that the location of project new area is actual.</p>			
Conclusion Tick the appropriate checkbox		<input type="checkbox"/> Additional action s should be taken (finding remains open) <input checked="" type="checkbox"/> The finding is closed	

CAR ID	03	Section no.	2.1-1 (b)	Date: 09/04/2021
Description of CAR				
<p>In section 1. (b) of Key Project Information, the responsibility of Climate Bridge (Shanghai) Ltd to this project activity is not provided.</p>				
Project participant response (1st round)				Date: 06/05/2021
<p>The responsibility of Climate Bridge (Shanghai) Ltd. has been updated in section 1. (b) of Key Project Information. For the initial afforestation activity in Zhaogensumogacha, Climate Bridge has signed the carbon credit purchase agreement with Roots & Shoots to sell the credits issued from the project on behalf of them. As the Project Developer, Climate Bridge has also conducted the stakeholder consultation with the villagers of Nugusitaigacha Collective who are willings to be included in the project by inclusion of the new area of the afforestation in Nugusitaigacha planted in April 2016. Climate Bridge is responsible for the GS certification and monitoring activities of the project during the whole crediting period. With the support of Shoots & Roots and local Village Collectives, Climate Bridge has completed the sample monitoring of the forestry inventory, biodiversity survey and the local community survey of the initial project area and the newly included area in December 2020 for the first monitoring period from 11/04/2014 to 31/12/2020.</p>				
Documentation provided by project participant (1st round)				
<input checked="" type="checkbox"/>	Changes in the template	Section(s): 2.1-1 (b)	New version No.: -	
<input type="checkbox"/>	Changes in ER sheet	Works heet(s):	New version No.:	
<input checked="" type="checkbox"/>	Other:	/CLO/		
VVB assessment (1st round)				Date: 13/05/2021
<p>The revised file has been checked, it is confirmed that the responsibility of Climate Bridge (Shanghai) Ltd to this project activity has been provided. Climate Bridge (Shanghai) Ltd. is project developer who is authorized by village committees represent all the villagers as confirmed in the Certification of land ownership and carbon credit endorsement^{/CLO/}. Climate Bridge (Shanghai) Ltd. is the largest developer and dealer of VER projects in China who is confirmed with the good experience of forest project development and carbon trading. Via site inspection of the project implementation^{/PHT/} and interview with the representatives from project developer^{/11/}, it is confirmed that the project developer is Shanghai Roots & Shoots (listed in initial certification) and Climate Bridge (Shanghai) Ltd (for both initial and new areas) thus the change of this part is verified as in line with the GS A/R requirements^{/ARR/}.</p>				
Conclusion Tick the appropriate checkbox		<input type="checkbox"/> Additional action s should be taken (finding remains open) <input checked="" type="checkbox"/> The finding is closed		

CAR ID	04	Section no.	2.1-1.(c)	Date: 09/04/2021
Description of CAR				
In section 1.(c) of Key Project Information, the clear definition of which communities are involved in the project is not provided.				
Project participant response (1st round)				Date: 06/05/2021
Communities involved in the project have been updated in section 1.(c) of Key Project Information. The villagers from Zhaogensumogacha and Nugusitaigacha who owned the use right of the project land were all involved in the project.				
Documentation provided by project participant (1st round)				
<input checked="" type="checkbox"/>	Changes in the template	Section(s):	2.1-1.(c)	New version No.: -
<input type="checkbox"/>	Changes in ER sheet	Worksheet(s):		New version No.:
<input type="checkbox"/>	Other:			
VVB assessment (1st round)				Date: 13/05/2021
The revised file has been checked, it is confirmed that the clear definition of which communities are involved in the project is provided. Climate Bridge (Shanghai) Ltd. is project developer who is authorized by village committees represent all the villagers as confirmed in the Certification of land ownership and carbon credit endorsement ^{/CLO/} , hence the villagers from Zhaogensumogacha and Nugusitaigacha who owned the use right of the project land are confirmed as communities involved in the project is deemed reasonable.				
Conclusion Tick the appropriate checkbox		<input type="checkbox"/> Additional action should be taken (finding remains open) <input checked="" type="checkbox"/> The finding is closed		

CAR ID	05	Section no.	2.1-1.(d)	Date: 09/04/2021
Description of CAR				
In section 1.(d) of Key Project Information,				
<ol style="list-style-type: none"> the definition of project area is not clear. It mentioned that project area are Zhaogensumogacha and Nugusitaigacha, but below mentioned that the planting area almost covers the whole project area, so the definition of project area is not consistent. geographical coordinates for initial and new project and planting areas are missing. 				
Project participant response (1st round)				Date: 06/05/2021
<ol style="list-style-type: none"> The project is located in the south of Zhaogensumogacha and in the north of Nugusitaigacha, Horqin Left Rear Banner. The boundaries of the initial project area in Zhaogensumogacha reach (East) the borders of Xiba Village and Zhaogensumogacha, (West) borders of Zhaogensumogacha and Bianjie Village, (South) herding land owned collectively by village residents, and (North) 30-year contracted farm land of village residents. The boundaries of the newly added area in Nugusitaigacha reach (East) the borders of derisubogacha and Nugusitaigacha, (West) the borders of shibugacha and Nugusitaigacha, (South) the lake of Nugusitaigacha, and (North) the border of guribanemogacha. The geographical coordinates of the initial project area (Zhaogensumogacha) are between 122°7.78' and 122°11.64' east longitude and between 43°11.80' and 43°12.75' north latitude. The geographical coordinates of the new project area (Nugusitaigacha) are between 122°20.51' and 122°24.75' east longitude and between 43°23.46' and 43°27.70' north latitude. 				
Documentation provided by project participant (1st round)				
<input checked="" type="checkbox"/>	Changes in the template	Section(s):	2.1-1.(d)	New version No.: -
<input type="checkbox"/>	Changes in ER sheet	Worksheet(s):		New version No.:
<input checked="" type="checkbox"/>	Other:	/MAP/, /SF/		
VVB assessment (1st round)				Date: 13/05/2021
<ol style="list-style-type: none"> The revised file has been checked, it is confirmed that the project area and planting area have been clearly defined. Via checking the map of project area^{/MAP/} and shapefiles^{/SF/}, it is confirmed that the planting area totally covered the project area. The revised file has been checked, it is confirmed that the geographical coordinates of the initial project area (Zhaogensumogacha) are between 122°7.78' and 122°11.64' east longitude and between 43°11.80' and 43°12.75' north latitude. The geographical coordinates of the new project area (Nugusitaigacha) are between 122°20.51' and 122°24.75' east longitude and between 43°23.46' and 43°27.70' north latitude. Via site inspection and measuring location with the GPS devices by audit team comparing with the map of project area^{/MAP/}, it is confirmed that the location of project area is actual. 				

Conclusion <i>Tick the appropriate checkbox</i>	<input type="checkbox"/> Additional actions should be taken (finding remains open)
	<input checked="" type="checkbox"/> The finding is closed

CAR ID	06	Section no.	2.1-1.(h)	Date: 09/04/2021
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Description of CAR				
<p>In section 1. (h) of Key Project Information,</p> <ol style="list-style-type: none"> the start date of new area is missing. the performance period is missing. according to the Gold Standard A/R Requirements v0.9, regular cycle for the performance certification is at least every 5 years, however, the verification started time is already later than 5 years after the initial certification completed, then why the project is in line with the request of Gold Standard A/R Requirements v0.9 is not specified. 				

Project participant response (1st round)				Date: 06/05/2021
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<ol style="list-style-type: none"> Planting start date of the new area: 18/04/2016 (Planting contracts of Nugusitaigacha); The performance period: 11/04/2014 to 31/12/2020; Due to COVID-19 outbreak and subsequent travel restrictions, the monitoring activity of the project has to be postponed until December 2020. The Project Developer has requested a 6-month extension of the verification deadline in September 2020 which has been approved by GS Registry, according to which the new deadline for verification completion is May 2021. Please refer to the 'Deviation Request form' approved on 30/09/2020 for details. 				
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Documentation provided by project participant (1st round)				
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<input checked="" type="checkbox"/> Changes in the template	Section(s): 2.1-1.(h)	New version No.:	-	
<input type="checkbox"/> Changes in ER sheet	Worksheet(s):	New version No.:		
<input type="checkbox"/> Other:	/PA/, /DRF/			

VVB assessment (1st round)				Date: 13/05/2021
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<ol style="list-style-type: none"> The revised file has been checked, it is confirmed that the start date of new area is added which is verified as correct by checking the planting agreement of new areas ^{/PA/}. The revised file has been checked, it is confirmed that the performance period: 11/04/2014 to 31/12/2020 has been added as is actual and correct. The 'Deviation Request form' ^{/DRF/} approved by SustainCert on 30/09/2020 has been provided by project developer and checked, it is confirmed that the new deadline for verification completion is May 2021 and the performance certification finished within the new deadline. 				
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Conclusion <i>Tick the appropriate checkbox</i>	<input type="checkbox"/> Additional actions should be taken (finding remains open)
	<input checked="" type="checkbox"/> The finding is closed

CAR ID	07	Section no.	2.1-1.(i)	Date: 09/04/2021
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Description of CAR				
<p>In section 1. (i) of Key Project Information, initial and new number of (predicted) CO₂-certificates are not splitted.</p>				

Project participant response (1st round)				Date: 06/05/2021
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<p>Initial and new number of (predicted) CO₂-certificates have been splitted. Initial project area in Zhaogensumogacha (11/04/2014 to 10/04/2044): 106,604 tCO₂; New included project area in Nugusitaigacha (18/04/2016 to 10/04/2044): 343,102 tCO₂; The whole project area (11/04/2014 to 10/04/2044): 449,706 tCO₂.</p>				
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Documentation provided by project participant (1st round)				
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<input checked="" type="checkbox"/> Changes in the template	Section(s): 2.1-1.(i)	New version No.:	-	
<input checked="" type="checkbox"/> Changes in ER sheet	Worksheet(s): all	New version No.:	-	
<input type="checkbox"/> Other:				

VVB assessment (1st round)				Date: 13/05/2021
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<p>The revised file has been checked, it is confirmed that the initial and new number of (predicted) CO₂-certificates have been splitted. Via checking the 'MU Report-CO₂-Fixation Calculation' ^{/CFCS/} by creating a spreadsheet with the calculations, it is confirmed that the values of CO₂-Fixation are correct.</p>				
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Conclusion <i>Tick the appropriate checkbox</i>	<input type="checkbox"/> Additional actions should be taken (finding remains open)
	<input checked="" type="checkbox"/> The finding is closed

CAR ID	08	Section no.	2.1-1.(j)	Date: 09/04/2021
Description of CAR				
In section 1. (j) of Key Project Information, current situation of the project area is not provided for this performance period.				
Project participant response (1st round)				Date: 06/05/2021
Current situation of the project area for this performance period has been updated in section 1. (j) of Key Project Information. According to field visit, during this monitoring period, 190 hectares of poplars were planted in the Zhaogensumogacha project area, and 1180.96 hectares of poplars and pinus sylvestris were planted in the Nugustaigacha project area (the new area), and the tree preservation rate was good.				
Documentation provided by project participant (1st round)				
<input checked="" type="checkbox"/>	Changes in the template	Section(s):	2.1-1.(j)	New version No.: -
<input type="checkbox"/>	Changes in ER sheet	Works heet(s):		New version No.:
<input checked="" type="checkbox"/>	Other:	/PDR/, /APDR/		
VVB assessment (1st round)				Date: 13/05/2021
The revised file has been checked, it is confirmed that the current situation of the project area has been provided. Via checking the key project information during the initial certification ^{/KPI-IC/} , it is confirmed that the land use history of initial areas is not changed which is verified as correct. For the new areas, the land use history has been verified by checking the Planting Design Report of the new area ^{/PDR/} and the approval of Planting Design Report ^{/APDR/} . The total area was severely degraded with some semi-fixed and fixed sand dunes which is same to the certified initial areas. Via site inspection of the project implementation ^{/PHT/} and interview with the representatives from project developer ^{/11/} including local villagers ^{/13/} and local officers ^{/12/} , it is confirmed that there is no change to the land-use, including the project area and tree species.				
Conclusion Tick the appropriate checkbox		<input type="checkbox"/> Additional actions should be taken (finding remains open) <input checked="" type="checkbox"/> The finding is closed		

CAR ID	09	Section no.	2.1-1.(l)	Date: 09/04/2021
Description of CAR				
In section 1. (l) of Key Project Information, the current situation of forest management relevant to the project activity during this performance period is not provided.				
Project participant response (1st round)				Date: 06/05/2021
The current situation of forest management during this performance period has been updated in section 1. (l) of Key Project Information. During this monitoring period, grass grids and bushes were planted among trees, fences were set around the project area, irrigation systems were built and areas with low survival rates were replanted. In addition, local villagers carried out pest control and fire control work every year under the guidance of forestry station staff, and monitoring team from Shanghai Roots & Shoots and Climate Bridge (Shanghai) Ltd. monitored tree growth and biodiversity.				
Documentation provided by project participant (1st round)				
<input checked="" type="checkbox"/>	Changes in the template	Section(s):	2.1-1.(l)	New version No.: -
<input type="checkbox"/>	Changes in ER sheet	Works heet(s):		New version No.:
<input checked="" type="checkbox"/>	Other:	/PDR/, /APDR/		
VVB assessment (1st round)				Date: 13/05/2021
The revised file has been checked, it is confirmed that the current situation of forest management relevant to the project activity during this performance period has been specified. Via checking the key project information during the initial certification ^{/KPI-IC/} and checking the Planting Design Report of the new area ^{/PDR/} and the approval of Planting Design Report ^{/APDR/} , it is confirmed that there was no forest management applied in the past for both initial and new areas which is verified as correct. And via site inspection, it is confirmed that the grass grids and bushes were planted among trees, fences were set around the project area, irrigation systems were built and areas with low survival rates were replanted and forest management achieved during this performance period				

Conclusion <i>Tick the appropriate checkbox</i>	<input type="checkbox"/> Additional action should be taken (finding remains open) <input checked="" type="checkbox"/> The finding is closed
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CAR ID	10	Section no.	3.1-1,2	Date: 09/04/2021
Description of CAR				
In section 1 and 2 of Do-no-harm Assessment, it stated that the land belongs to local people, however, In file 2.1, it states that all the project land belongs to the Zhaogensumogacha collective and Nugusitaigacha collective, consistency need to be kept.				
Project participant response (1st round)				Date: 06/05/2021
The land ownership of the project has been updated both in section 1 and 2 of Do-no-harm Assessment. According to the agreement between Zhaogensumogacha and Shanghai Roots & Shoots and the agreement between Nugusitaigacha and Climate Bridge (Shanghai) Ltd.				
Documentation provided by project participant (1st round)				
<input checked="" type="checkbox"/>	Changes in the template	Section(s):	3.1-1,2	New version No.: -
<input type="checkbox"/>	Changes in ER sheet	Worksheet(s):		New version No.:
<input type="checkbox"/>	Other:			
VVB assessment (1st round)				Date: 13/05/2021
The revised file has been checked, it is confirmed that the land ownership of the project has been updated both in section 1 and 2 of Do-no-harm Assessment.				
Via checking the information provided in the Do-No-Harm Assessment during the initial certification ^{/DNH-K/} and on-site interview with the local officers ^{/I2/} and local villagers ^{/I3/} , it is confirmed that the sites with legal and customary rights were well identified which has been verified by checking the Certification of land ownership and carbon credit endorsement ^{/CLO/} , it is verified that the village collectives own the lands.				
Conclusion <i>Tick the appropriate checkbox</i>	<input type="checkbox"/> Additional action should be taken (finding remains open) <input checked="" type="checkbox"/> The finding is closed			

CAR ID	11	Section no.	3.1-6	Date: 09/04/2021
Description of CAR				
In section 6 of Do-no-harm Assessment, the actual status of workers established and joined any labour organisations during this performance period is not stated.				
Project participant response (1st round)				Date: 06/05/2021
The actual status of workers established and joined any labour organisations during this performance period has been updated in section 6 of Do-no-harm Assessment. Local people have established the Village Committee in both Zhaogensumogacha and Nugusitaigacha which act as the representative for local villagers regarding all of the working issues related to each villagers during this monitoring report.				
Documentation provided by project participant (1st round)				
<input checked="" type="checkbox"/>	Changes in the template	Section(s):	3.1-6	New version No.: -
<input type="checkbox"/>	Changes in ER sheet	Worksheet(s):		New version No.:
<input type="checkbox"/>	Other:			
VVB assessment (1st round)				Date: 13/05/2021
The revised file has been checked, it is confirmed that the actual status of workers established and joined any labour organisations during this performance period has been specified. Via site visit interview with the workers, it is verified that the land owners planting trees themselves and there is no any restriction for workers to establish and join labour organisations, and via site interview with the local villagers ^{/I3/} , it is confirmed that workers are free to establish and join any labour organisations as they wish.				
Conclusion <i>Tick the appropriate checkbox</i>	<input type="checkbox"/> Additional action should be taken (finding remains open) <input checked="" type="checkbox"/> The finding is closed			

CAR ID	12	Section no.	3.2- Discussion on continuous Input and Grievance Mechanism	Date: 09/04/2021
Description of CAR				

In section Discussion on continuous Input and Grievance Mechanism of Local Stakeholder Consultation, the contact method of GS is missing.		
Project participant response (1st round)		Date: 06/05/2021
The contact method of GS has been provided. Gold Standard: +41 (0) 22 788 7080 info@goldstandard.org		
Documentation provided by project participant (1st round)		
<input checked="" type="checkbox"/> Changes in the template	Section(s): 3.2- Discussion on continuous Input and Grievance Mechanism	New version No.: -
<input type="checkbox"/> Changes in ER sheet	Worksheets(s):	New version No.:
<input type="checkbox"/> Other:		
VVB assessment (1st round)		Date: 13/05/2021
The revised file has been checked, it is confirmed that the contact method of GS has been added and confirmed as correct.		
Conclusion <i>Tick the appropriate checkbox</i>	<input type="checkbox"/> Additional actions should be taken (finding remains open) <input checked="" type="checkbox"/> The finding is closed	

CAR ID	13	Section no.	3.4- Biodiversity	Date: 09/04/2021
Description of CAR				
In Sustainability Monitoring ID- Biodiversity of Sustainability Monitoring Plan, the actual monitoring time is not provided to prove the monitoring frequency is in line with the monitoring plan during initial certification.				
Project participant response (1st round)				Date: 06/05/2021
The actual monitoring time has been provided in Sustainability Monitoring ID- Biodiversity of Sustainability Monitoring Plan. Monitoring time in 2016: From July 16 to August 26, 2016 Monitoring time in 2017: From July 18 to August 26, 2017 Monitoring time in 2018: From July 18 to August 20, 2018 Monitoring time in 2019: From July 21 to August 26, 2019 Monitoring time in 2020: From July 20 to August 25, 2020				
Documentation provided by project participant (1st round)				
<input checked="" type="checkbox"/> Changes in the template	Section(s): 3.4- Biodiversity		New version No.: -	
<input type="checkbox"/> Changes in ER sheet	Worksheets(s):		New version No.:	
<input type="checkbox"/> Other:				
VVB assessment (1st round)				Date: 13/05/2021
The revised file has been checked, it is confirmed that the monitoring period and time has been provided which is verified to be in line with the frequency request in the initial certification.				
Conclusion <i>Tick the appropriate checkbox</i>	<input type="checkbox"/> Additional actions should be taken (finding remains open) <input checked="" type="checkbox"/> The finding is closed			

CAR ID	14	Section no.	3.4- Human and institutional capacity	Date: 09/04/2021
Description of CAR				
In Sustainability Monitoring ID- Human and institutional capacity of Sustainability Monitoring Plan, 1. the current situation of parameter is not provided for this performance period. 2. the actual monitoring time is not provided to prove the monitoring frequency is in line with the monitoring plan during initial certification.				
Project participant response (1st round)				Date: 06/05/2021
1. During this monitoring period, the monitoring team learned the opinions of local residents on the project through questionnaire survey and face-to-face communication. All the villagers thought that the training on forest management provided by the project had improved their ability. 2. The actual monitoring time has been provided.				
Documentation provided by project participant (1st round)				
<input checked="" type="checkbox"/> Changes in the template	Section(s): 3.4- Human and institutional capacity		New version No.: -	

<input type="checkbox"/> Changes in ER sheet	Worksheet(s):	New version No.:
<input type="checkbox"/> Other:		
VVB assessment (1st round)		Date: 13/05/2021
<p>1. The revised file has been checked, it is confirmed that the current situation of parameter has been provided to reflect the situation during this performance period. As confirmed through checking the questionnaires^{/QUE/} filled during the surveys and the record of meetings and activities organized for local residents related to the planting project^{/RMA/}, it is confirmed that the people, especially the Chinese Mongolian minority of local village have been involved in the decision-making during this performance period, thus decision-making structures at local village is changed. Via interview with the project developer^{/11/} and local villagers^{/13/}, it is confirmed that meetings and questionnaires survey have been conducted annually since 2016 to 2020 during this performance period which is in line with the monitoring frequency requested in the plan. Furthermore, via checking the technical training records^{/TTR/}, it is confirmed that villagers were provided with three trainings on planting, forest management and fire prevention in 2014, 2017 and 2019 during this performance period. In conclusion, the people, especially the Chinese Mongolian minority of local village have been involved in the decision-making during this performance period, this parameter can represent the social development improved.</p> <p>2. The revised file has been checked, it is confirmed that the monitoring period and time has been provided which is verified to be in line with the frequency request in the initial certification.</p>		
Conclusion <i>Tick the appropriate checkbox</i>	<input type="checkbox"/> Additional actions should be taken (finding remains open) <input checked="" type="checkbox"/> The finding is closed	

CAR ID	15	Section no.	3.6- Fire	Date: 09/04/2021
Description of CAR				
In Fire risk of Risk Register, the actual fire risk is not provided for this performance period.				
Project participant response (1st round)				Date: 06/05/2021
According to the forest patrol log, during this monitoring period, no fire disaster occurred in the project area.				
Documentation provided by project participant (1st round)				
<input checked="" type="checkbox"/>	Changes in the template	Section(s):	3.6- Fire	New version No.: -
<input type="checkbox"/>	Changes in ER sheet	Worksheet(s):		New version No.:
<input checked="" type="checkbox"/>	Other:	/FPL/,/FMR/		
VVB assessment (1st round)				Date: 13/05/2021
<p>The revised file has been checked, it is confirmed that the actual fire risk has been provided for this performance period. Via on-site interview, it is confirmed that the project developer adopted many necessary measures for fire preventing as requested in the initial certification.</p> <p>Furthermore, the local government has set the fireproofing period when using fire is forbidden in the open air according to the Forest Conservation Act of China^{/FCA/}. And if a fire disaster occurs, the local government should be responsible for relevant rescuing immediately.</p> <p>Via checking the forest patrolling log^{/FPL/}, forest management records during this performance period^{/FMR/} and interview with the local officer^{/12/} and local villagers^{/13/}, it is concluded that there was no significant fire disaster occurred within the project area during this performance period.</p>				
Conclusion <i>Tick the appropriate checkbox</i>	<input type="checkbox"/> Additional actions should be taken (finding remains open) <input checked="" type="checkbox"/> The finding is closed			

CAR ID	16	Section no.	3.6- Diseases	Date: 09/04/2021
Description of CAR				
In Diseases risk of Risk Register, the actual Diseases risk is not provided for this performance period.				
Project participant response (1st round)				Date: 06/05/2021
According to the forest patrol log, during this monitoring period, no large-scale diseases of insects occurred in the project area.				
Documentation provided by project participant (1st round)				
<input checked="" type="checkbox"/>	Changes in the template	Section(s):	3.6- Diseases	New version No.: -
<input type="checkbox"/>	Changes in ER sheet	Worksheet(s):		New version No.:
<input checked="" type="checkbox"/>	Other:	/FPL/,/FMR/		
VVB assessment (1st round)				Date: 13/05/2021

The revised file has been checked, it is confirmed that the actual fire risk has been provided for this performance period. Via on-site interview, it is confirmed that the project developer adopted many necessary measures for diseases preventing as requested in the initial certification.

Via checking the forest patrolling log^{/FPL/}, forest management records during this performance period^{/FMR/} and interview with the local officer^{/I2/} and local villagers^{/I3/}, it is concluded that there was no significant diseases of insects disaster occurred within the project area during this performance period.

Conclusion Tick the appropriate checkbox	<input type="checkbox"/> Additional actions should be taken (finding remains open) <input checked="" type="checkbox"/> The finding is closed
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CAR ID	17	Section no.	3.6- Temperatures	Date: 09/04/2021
Description of CAR				
In Temperatures risk of Risk Register, the actual Temperatures risk is not provided for this performance period.				
Project participant response (1st round)				Date: 06/05/2021
According to the forest patrol log, during this monitoring period, no frost occurred in the project area.				
Documentation provided by project participant (1st round)				
<input checked="" type="checkbox"/>	Changes in the template	Section(s):	3.6- Temperatures	New version No.: -
<input type="checkbox"/>	Changes in ER sheet	Worksheet(s):		New version No.:
<input checked="" type="checkbox"/>	Other:	/FPL/,/FMR/		
VVB assessment (1st round)				Date: 13/05/2021
The revised file has been checked, it is confirmed that the actual temperatures risk has been provided for this performance period. Via on-site interview, it is confirmed that the project developer adopted many necessary measures for temperatures risk preventing as requested in the initial certification.				
Via checking the forest patrolling log ^{/FPL/} , forest management records during this performance period ^{/FMR/} and interview with the local officer ^{/I2/} and local villagers ^{/I3/} , it is concluded that there was no significant temperatures risk like frost occurred within the project area during this performance period.				
Conclusion Tick the appropriate checkbox	<input type="checkbox"/> Additional actions should be taken (finding remains open) <input checked="" type="checkbox"/> The finding is closed			

CAR ID	18	Section no.	5.7- Present CO ₂ -fixation	Date: 09/04/2021
Description of CAR				
In section Present CO ₂ -fixation of CO ₂ -fixation, the precision level for all the forest inventory ID is not provided.				
Project participant response (1st round)				Date: 06/05/2021
The precision level for all the forest inventory ID has been supplemented in section Present CO ₂ -fixation of CO ₂ -fixation. The precision level of MU1, MU2 and MU3 are 9.34%, 13.62% and 12.35% respectively.				
Documentation provided by project participant (1st round)				
<input checked="" type="checkbox"/>	Changes in the template	Section(s):	5.7- Present CO ₂ -fixation	New version No.: -
<input checked="" type="checkbox"/>	Changes in ER sheet	Worksheet(s):	CO ₂ -Certificates	New version No.: -
<input type="checkbox"/>	Other:			
VVB assessment (1st round)				Date: 13/05/2021
The revised file has been checked, it is confirmed that the precision level for all the forest inventory ID have been provided which is same to the values in 'MU Report-CO ₂ -Fixation Calculation' ^{/CFCS/} .				
Conclusion Tick the appropriate checkbox	<input type="checkbox"/> Additional actions should be taken (finding remains open) <input checked="" type="checkbox"/> The finding is closed			

CAR ID	19	Section no.	7.2- 2	Date: 09/04/2021
Description of CAR				
In section 2 of Annual Report, the local language is all missing in the file.				
Project participant response (1st round)				Date: 06/05/2021
The local language has been supplemented in section 2 of Annual Report.				
Documentation provided by project participant (1st round)				
<input checked="" type="checkbox"/>	Changes in the template	Section(s):	7.2- 2	New version No.: -
<input type="checkbox"/>	Changes in ER sheet	Worksheet(s):		New version No.:
<input type="checkbox"/>	Other:			
VVB assessment (1st round)				Date: 13/05/2021

The revised file has been checked, it is confirmed that the descriptions with local language have been provided which is verified as the same meaning with the English contents.

Conclusion <i>Tick the appropriate checkbox</i>	<input type="checkbox"/> Additional action should be taken (finding remains open) <input checked="" type="checkbox"/> The finding is closed
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Table 4. OFI from this Performance Certification

OFI ID	01	Section no.	-	Date: 09/04/2021
Description of OFI				
As per the Afforestation/Reforestation (A/R) Requirements v0.9 ^{/ARR/} , the 'List of Inputs & Grievances' is part of the annual reporting (see chapter '7.2 Reporting'), however, the Filled-in template 'List of Input & Grievances' was not submitted together with annual report.				
Project participant response (1st round)				Date: 06/05/2021
The Filled-in template 'List of Input & Grievances' of this monitoring period has been provided. All villagers think that the project is very successful, and expect to get carbon revenue as soon as possible and use it for project management.				
Documentation provided by project participant (1st round)				
<input checked="" type="checkbox"/>	Changes in the template	Section(s): -	New version No.: -	
<input type="checkbox"/>	Changes in ER sheet	Works heet(s):	New version No.:	
<input type="checkbox"/>	Other:			
VVB assessment (1st round)				Date: 13/05/2021
The filled-in template 'List of Input & Grievances' has been provided, via checking the descriptions listed in the file comparing with the local stakeholders consultation records ^{/LSCN/} and filled questionnaires ^{/QUE/} , it is confirmed that the input and grievances listed in the file is actual and there was no negative comments received from the local stakeholders.				
Conclusion <i>Tick the appropriate checkbox</i>	<input type="checkbox"/> Additional action should be taken (finding remains open) <input checked="" type="checkbox"/> The finding is closed			

OFI ID	02	Section no.	-	Date: 09/04/2021
Description of OFI				
The project developer did not provide documentation using the template 'Carbon Performance', the actual situation related to the project implementation is not provided.				
Project participant response (1st round)				Date: 06/05/2021
The template 'Carbon Performance' with the actual situation related to the project implementation has been provided. During this monitoring period for the Performance Certification, the quantity of the validated and verified CO ₂ -certificates with respect to the project is 11,587 tCO ₂ , which is less than the project's expected carbon stocks of 449,706 tCO ₂ , no shortfalls occurred.				
Documentation provided by project participant (1st round)				
<input checked="" type="checkbox"/>	Changes in the template	Section(s): -	New version No.: -	
<input type="checkbox"/>	Changes in ER sheet	Works heet(s):	New version No.:	
<input type="checkbox"/>	Other:			
VVB assessment (1st round)				Date: 13/05/2021
The filled-in template 'Carbon Performance' has been provided, it is confirmed that the shortfalls of the project have been provided. According to the Afforestation/Reforestation Requirements (Version 0.9), it requestd that at any time during a crediting period, the quantity of the validated and verified CO ₂ -certificates with respect to the project shall be less than or equal to the project's expected carbon stocks (validated CO ₂ -certificates) and actual carbon stocks (verified CO ₂ -certificates). Via checking the 'MU Report-CO ₂ -Fixation Calulation' ^{/CFCS/} , it is confirmed that the quantity of the validated and verified CO ₂ -certificates with respect to the project is 11,587 tCO ₂ , which is far less than the project's expected carbon stocks of 449,706 tCO ₂ ^{/ECFCS/} , no shortfalls occurred. Hence, the information provided in the filled-in template 'Carbon Performance' is verified as reasonable and correct.				

Conclusion <i>Tick the appropriate checkbox</i>	<input type="checkbox"/> Additional actions should be taken (finding remains open) <input checked="" type="checkbox"/> The finding is closed
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Table 5. FAR from this Performance Certification

FAR ID	xx	Section No.	Date: DD/MM/YYYY
Description of FAR			
Project participant response			Date: DD/MM/YYYY
Documentation provided by project participant			
<input type="checkbox"/>	Changes in the PDD	Section(s):	New version No.:
<input type="checkbox"/>	Changes in MR	Section(s):	New version No.:
<input type="checkbox"/>	Changes in XLS	Worksheets:	New version No.:
<input type="checkbox"/>	Other:		
VVB assessment			Date: DD/MM/YYYY
Conclusion <i>Tick the appropriate checkbox</i>	<input type="checkbox"/> To be checked during the next Performance Certification		