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# SFI 2015–2019 STANDARDS AND RULES

Standards, Rules for Label Use, Procedures and Guidance





# SFI 2015–2019 STANDARDS AND RULES

STANDARDS, RULES FOR  
LABEL USE, PROCEDURES  
AND GUIDANCE





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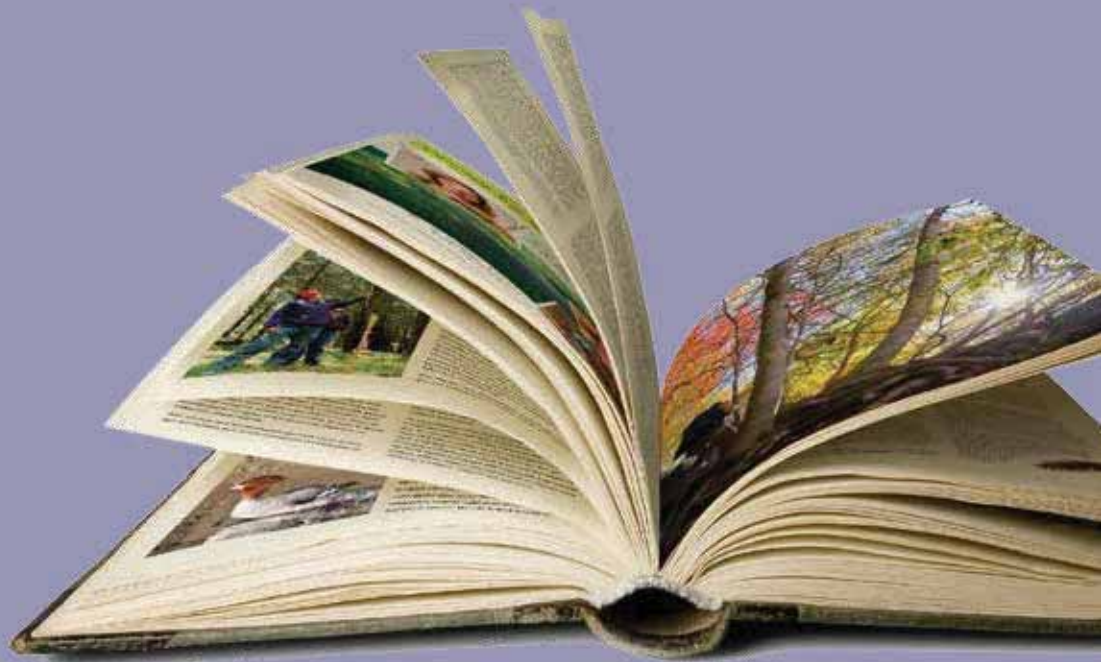






# SECTION 1

## INTRODUCTION



JANUARY 2015



SUSTAINABLE  
FORESTRY  
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# INTRODUCTION

## SFI® — ONE PROGRAM, THREE STANDARDS<sup>1</sup>

The Sustainable Forestry Initiative® Inc. (SFI)<sup>2</sup> is an independent, non-profit organization dedicated to promoting sustainable forest management. SFI Inc. is governed by a three-chamber Board of Directors representing environmental, social and economic sectors equally. The SFI Board sets SFI's strategic direction and is ultimately responsible for maintaining, overseeing and improving the internationally recognized SFI program. Forests certified to the SFI Standard cover a quarter-billion acres, stretching from Canada's boreal forest to the U.S. South, and the SFI Fiber Sourcing and Chain-of-Custody Standards extend their reach further across North America and globally. Endorsement by the Programme for the Endorsement of Forest Certification (PEFC) increases SFI's international recognition and enhances marketing opportunities for SFI Program Participants around the world.

SFI Standards are revised every five years following an inclusive, public review process, which includes recommendations from multi-stakeholder committees. SFI also holds standard revision workshops in cities across North America. The process includes an initial 60-day open public comment period, a second 60-day open public comment period and a final draft review period of at least 45 days by the SFI Board. As part of the standard revision process, the SFI External Review Panel provides external independent oversight to ensure the standard revision process is objective and credible and that all comments are treated equally and fairly.

The SFI External Review Panel is an independent body of experts that provides diverse perspectives and expertise to the SFI program while contributing to quality assurance and continual improvement. This volunteer panel is made up of 15 to 18 external experts representing conservation, environmental, forestry, academic, public and government organizations.

Sustainably managed forests make a vital contribution to society by providing economic, environmental and social benefits indispensable to our quality of life. SFI Program Participants make a commitment to sustainable forest management that encompasses a variety of responsibilities including maintaining forest productivity and health and protecting water quality, biological diversity and special sites. This commitment also involves providing employee, contractor and harvesting professionals with training and education, supporting research, and broadening the practice of sustainable forestry through landowner outreach and community involvement.

## SFI SPANS THE SUPPLY CHAIN: FOREST MANAGEMENT, FIBER SOURCING, CHAIN OF CUSTODY AND ON-PRODUCT LABELS

SFI Standards are based on principles that promote continual improvement in sustainable forest management practices. SFI sets

standards for forest management and fiber sourcing, as well as chain-of-custody practices — all of which are third-party audited by accredited certification bodies. The SFI program has on-product labels to help buyers and consumer interact with the forestry supply chain by supporting responsible forestry by choosing products with the SFI label. The three SFI standards are:

- SFI 2015-2019 Forest Management Standard
- SFI 2015-2019 Fiber Sourcing Standard
- SFI 2015-2019 Chain-of-Custody Standard

### SFI PRINCIPLES

The following SFI Principles apply to the SFI 2015-2019 Forest Management Standard and SFI 2015-2019 Fiber Sourcing Standard. These SFI Principles are supported by additional mandatory requirements including more specific objectives, performance measures and indicators.

#### 1. Sustainable Forestry

To practice sustainable forestry to meet the needs of the present without compromising the ability of future generations to meet their own needs by practicing a land stewardship ethic that integrates reforestation and the managing, growing, nurturing and harvesting of trees for useful products and ecosystem services such as the conservation of soil, air and water quality, carbon, biological diversity, wildlife and aquatic habitats, recreation and aesthetics.

#### 2. Forest Productivity and Health

To provide for regeneration after harvest and maintain the productive capacity of the forest land base, and to protect and maintain long-term forest and soil productivity. In addition, to protect forests from economically or environmentally undesirable levels of wildfire, pests, diseases, invasive exotic plants and animals, and other damaging agents and thus maintain and improve long-term forest health and productivity.

#### 3. Protection of Water Resources

To protect water bodies and riparian areas, and to conform with forestry best management practices to protect water quality.

#### 4. Protection of Biological Diversity

To manage forests in ways that protect and promote biological diversity, including animal and plant species, wildlife habitats, and ecological or natural community types.

#### 5. Aesthetics and Recreation

To manage the visual impacts of forest operations, and to provide recreational opportunities for the public.

#### 6. Protection of Special Sites

To manage lands that are ecologically, geologically or culturally important in a manner that takes into account their unique qualities.

<sup>1</sup> This introduction is informative, and as such, is not an auditable element.

<sup>2</sup> Words in italics throughout the SFI 2015-2019 Standards and Rules are listed in Section 13 - SFI Definitions.

## 7. Responsible *Fiber Sourcing* Practices in North America

To use and promote among other forest landowners *sustainable forestry* practices that are both scientifically credible and economically, environmentally and socially responsible.

## 8. Legal Compliance

To comply with applicable federal, provincial, state, and local *forestry* and related environmental laws, statutes, and regulations.

## 9. Research

To support advances in sustainable forest management through *forestry* research, science and technology.

## 10. Training and Education

To improve the practice of *sustainable forestry* through training and education *programs*.

## 11. Community Involvement and Social Responsibility

To broaden the practice of *sustainable forestry* on all lands through community involvement, socially responsible practices, and through recognition and respect of *Indigenous Peoples'* rights and *traditional forest-related knowledge*.

## 12. Transparency

To broaden the understanding of forest certification to the *SFI Standards* by documenting certification audits and making the findings publicly available.

## 13. Continual Improvement

To continually improve the practice of forest management, and to monitor, measure and report performance in achieving the commitment to *sustainable forestry*.

## 14. Avoidance of *Controversial Sources* including *Illegal Logging* in Offshore *Fiber Sourcing*\*

\*Applies only to the *SFI 2015-2019 Fiber Sourcing Standard*

To avoid wood fiber from *illegally logged* forests when procuring fiber outside of North America, and to avoid sourcing *fiber from countries without effective social laws*.

## FOREST MANAGEMENT STANDARD

### What the Standard Does

The *SFI 2015-2019 Forest Management Standard* promotes *sustainable forestry* practices based on 13 *Principles*, 15 *Objectives*, 37 *Performance Measures* and 101 *Indicators*. These requirements include measures to protect water quality, *biodiversity*, *wildlife habitat*, species at risk and *Forests with Exceptional Conservation Value*.

### What the Standard Covers

The *SFI 2015-2019 Forest Management Standard* applies to any organization that owns or has management authority for forestlands.

### Geographic Application

The *SFI 2015-2019 Forest Management Standard* applies to organizations in the United States and Canada.

## FIBER SOURCING STANDARD

### What the Standard Does

The *SFI 2015-2019 Fiber Sourcing Standard* promotes responsible *forestry* practices based on 14 *Principles*, 13 *Objectives*, 21 *Performance Measures* and 55 *Indicators*. These *fiber sourcing* requirements include measures to broaden the practice of *biodiversity*, use *forestry best management practices* to protect water quality, provide outreach to landowners, and utilize the services of forest management and harvesting professionals.

### What the Standard Covers

The *SFI 2015-2019 Fiber Sourcing Standard* applies to any organization with a *fiber sourcing program* that acquires roundwood and field-manufactured or primary-mill residual chips, pulp and veneer to support a forest products facility. Appendix 1 applies to any *primary producer* or *secondary producer* who uses the *SFI Certified Sourcing* on-product label or claim.

### Geographic Application

The *SFI 2015-2019 Fiber Sourcing Standard* applies to organizations in the United States and Canada that procure wood domestically or globally. *Secondary producers* who utilize Appendix 1 can apply to any organization globally.

## CHAIN-OF-CUSTODY STANDARD

### What the Standard Does

The *SFI 2015-2019 Chain-of-Custody Standard* is an accounting system that tracks forest fiber content through production and manufacturing to the end product. Companies can use chain-of-custody certification to track and communicate how much of their product comes from certified lands, *fiber sourcing*, *recycled content* or non-certified forest content.

### What the Standard Covers

The *SFI 2015-2019 Chain-of-Custody Standard* applies to any organization that sources, processes, manufactures, handles, trades, converts or prints forest-based products.

### Geographic Application

The *SFI 2015-2019 Chain-of-Custody Standard* applies to any organization globally.

## ON-PRODUCT CHAIN-OF-CUSTODY LABELS

### What the Labels Do

The *SFI program* has on-product labels to help buyers and consumer interact with the *forestry* supply chain by supporting responsible *forestry* by choosing products with the *SFI* label.

### What the *SFI* Certified Chain-of-Custody Labels Cover

The *SFI* Certified Chain-of-Custody labels communicate the use of fiber from certified forests or *certified sourcing* or *recycled content*. These products do not contain *controversial sources* and



the content is calculated using one of three optional approaches for chain of custody: physical separation, average percentage and the volume credit method.



#### What the SFI Certified Sourcing Label Covers

The SFI Certified Sourcing label does not make claims about *certified forest content*. It tells buyers and consumers that fiber in a product comes from legal and responsible sources. These sources are from a company that conforms to the *SFI 2015-2019 Fiber Sourcing Standard*, or comes from *pre- or post-consumer recycled content*, or from a certified forest and does not contain *controversial sources*.



#### SFI Office of Label Use and Licensing

The SFI Office of Label Use and Licensing is a centralized body that reviews and approves all label use requests from qualified organizations using the SFI label with a valid certificate issued by an accredited *certification body*. Prior to gaining access to the SFI labels, an organization must conform with Section 5 - Rules for Use of SFI On-Product Labels and Off-Product Marks, which includes requirements for green marketing claims and eco-labels.

#### Geographic Application

SFI Certified Chain-of-Custody labels apply to any organization globally.

## THIRD-PARTY INDEPENDENT CERTIFICATION

The *SFI 2015-2019 Standards and Rules* requires third-party independent certification audits by competent and accredited *certification bodies* for all three certifications — forest management certification, *fiber sourcing* certification and chain-of-custody certification. All *certification bodies* must be accredited by a member of the International Accreditation Forum (i.e., ANSI-ASQ National Accreditation Board (ANAB), American National Standards Institute (ANSI) or the Standards Council of Canada (SCC)). For more details, refer to auditor procedures in Section 9 of the *SFI 2015-2019 Standards and Rules*.

### CERTIFICATION BODIES

The following *certification bodies* have completed an accreditation program and are approved to perform certification audits to SFI Standards.

Accredited certification body qualified to conduct audits to SFI Standards	SFI Forest Management	SFI Fiber Sourcing	SFI Chain of Custody
<b>FOREST MANAGEMENT, FIBER SOURCING, AND CHAIN OF CUSTODY</b>			
Bureau de normalisation du Québec - Enregistrement de système (BNQ)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Bureau Veritas Certification	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
KPMG Performance Registrar Inc.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
NSF International Strategic Registrations	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
PricewaterhouseCoopers LLP	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
SAI Global	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Timber Products Inspection, Inc.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>SFI CHAIN OF CUSTODY</b>			
BM TRADA Certification North America, Inc.			<input type="checkbox"/>
Det Norske Veritas Certification, Inc.			<input type="checkbox"/>
Orion Registrar, Inc.			<input type="checkbox"/>
SGS North America Inc.			<input type="checkbox"/>

## GLOBAL RECOGNITION OF THE SFI STANDARD

PEFC's endorsement of *SFI* adds international value to *SFI*'s position as a highly respected, *third-party certification program* in North America. PEFC sets minimum benchmarks that national forest certification programs must meet or exceed to be endorsed. PEFC endorsement increases international recognition and enhances marketing opportunities for *SFI Program Participants* around the world. PEFC benchmarks cover a wide variety of requirements, including but not limited to:

- Standard setting requirements that conform with ISO/IEC Guide 59.
- *Principles, criteria and indicators* for sustainable forest management established through intergovernmental processes — including the Ministerial Conference on the Protection of Forests in Europe (MCPFE), the Montréal Process and a variety of intergovernmental processes related to Africa, Asia and South America.
- Requirements for *third-party certification bodies* to be accredited by national members of the International Accreditation Forum — including ANSI, ANAB and SCC.

## A GLOBAL VISION OF SUSTAINABLE DEVELOPMENT

*SFI* officially came into being in 1995 as one of the forest sector's contributions to the vision of sustainable development established by the 1992 United Nations Conference on Environment and Development (UNCED). Following UNCED, many nations began to consider how they would measure and track their progress toward the goal of sustainability. This conference led to the Montréal Process.

By endorsing and working with the Montréal Process criteria and *indicators*, participating countries have made a national commitment to work toward the sustainable management of their forests. Montréal Process criteria and *indicators* are intended to track progress at a national level and provide an international reference for policy-makers. Many can be reinforced and supported at a local level and are, therefore, reflected in the *SFI 2015-2019 Forest Management* and *SFI 2015-2019 Fiber Sourcing Standards*.

The *SFI 2015-2019 Forest Management Standard* also recognizes and adopts the principles outlined in the United Nations Declaration for the *Rights of Indigenous Peoples* (UNDRIP).<sup>3</sup> The Declaration says that consideration should be given to *Indigenous Peoples'* rights to maintain and strengthen their distinct spiritual relationship with their traditionally owned or otherwise used lands and territories.<sup>4</sup> In adopting the UNDRIP articles, *SFI Program Participants* are encouraged to communicate and collaborate with local *Indigenous Peoples* in order to better understand their traditional practices and experiences with respect to forest management.

## BROADENING GLOBAL MARKET LEADERSHIP

The *SFI* community is building credible, responsible market leadership. We understand that the buying decisions of consumers, corporate leaders and governments prove how much they care about using natural resources sustainably. That's why encouraging responsible purchasing is an *SFI* priority. *SFI* encourages private and public sector leaders to include *SFI* in their *policies* as part of responsible wood, paper and packaging purchasing.

## SFI IS RECOGNIZED BY MARKET LEADERS

The trend toward recognizing all forest certification standards is on the rise. GreenBlue, the World Business Council for Sustainable Development (WBCSD), The Sustainability Consortium and the National Association of State Foresters have made statements supporting an inclusive approach to recognizing certification.

- GreenBlue, a non-profit that equips business with the science and resources to make products more sustainable, recognizes *SFI* for supporting environmental quality throughout the paper supply chain.
- The Sustainability Consortium, which works to improve consumer product sustainability, recognizes the value of *SFI certification* standards in its key performance *indicators*.
- The National Association of State Foresters, a non-profit comprising the directors of state *forestry* agencies, renewed a resolution recognizing *SFI* as a credible standard.
- The World Business Council for Sustainable Development is the leading platform for strategic collaboration for the global *forestry* industry and its value-chain partners. WBCSD's Forest Solutions Group recognizes and supports *SFI*.

## SFI KEY DIFFERENTIATORS

### SFI GRASSROOTS INVOLVEMENT

The work of *SFI* starts with a standard but *SFI* is much more — it's a community that stands for the future of forests. Our grassroots infrastructure of 34 *SFI Implementation Committees* across North America fosters community engagement through landowner outreach, *wood producer* training, Habitat for Humanity builds, and working with youth in community and *conservation* projects to foster an appreciation of *conservation* and forest management. This grassroots network involves private landowners, independent loggers, *forestry* professionals, local government agencies, academics, scientists and conservationists.

<sup>3</sup> Both Canada and the United States officially endorsed UNDRIP in 2010.

<sup>4</sup> Article 25 of UNDRIP states that, "*Indigenous peoples* have the right to maintain and strengthen their distinctive spiritual relationship with their traditionally owned or otherwise occupied and used lands, territories, waters and coastal seas and other resources and to uphold their responsibilities to future generations in this regard."



### SFI FOREST PARTNERS® PROGRAM

SFI is expanding the SFI Forest Partners® Program to encourage more organizations to engage in responsible sourcing. Time Inc., the National Geographic Society, Macmillan Publishers and Pearson are founding partners of the SFI Forest Partners® Program. They are investing in our forests by making five-year commitments to increase the source of certified forest products. The program is also supported by Hearst Enterprises and is open to other businesses in the supply chain that want to support the growth of certification

### SFI'S COMMITMENT TO CONSERVATION RESEARCH

SFI's commitment to research is also evidence that SFI is more than just a standard. In fact, the *SFI 2015-2019 Forest Management* and *SFI 2015-2019 Fiber Sourcing Standards* are the only forestry standards in the world that requires participants to support forestry research. These activities include improving *forest health*, *productivity* and *sustainability*, enhancing *wildlife* and fish *habitats*, improving *landscape* and ecosystem management, fostering *biodiversity* and improving water quality. Better management of forest resources and enhancing the environmental benefits and performance of forest products are also central to the SFI research mission. Since 1995, *SFI Program Participants* have invested \$1.4 billion in research to promote *sustainable forestry*.

The quarter of a billion acres of forestland certified to SFI is a living laboratory that shows how environmental, economic and social interests can coexist. Supporting research is a central tenet of the *SFI program*. We see it as a way to further the *conservation* value of SFI-certified forests and to SFI's *fiber sourcing* requirements.

SFI is also committed to building grassroots support for *sustainable forestry*. The SFI Conservation and Community Partnerships Grant Program fosters partnerships between organizations interested in improving forest management in the United States and Canada, and responsible procurement globally.

### SFI STANDS FOR FUTURE FORESTS

SFI stands at the intersection of sustainable forests and sustainable communities. *SFI Program Participants* are the foundation of this success, *SFI Implementation Committees* are the grassroots network that broadens the reach, and customers and buyers can support the growth of certified forests, research and *conservation* by recognizing SFI in the marketplace.

SFI is committed to promoting sustainable forest management in North America and responsible procurement of forest products globally. The future of forests will be secured when products, services and values derived from well-managed forests are valued in the marketplace. We stand for future forests.

INTRODUCTION



# SECTION 2

## SFI 2015-2019 FOREST MANAGEMENT STANDARD

JANUARY 2015

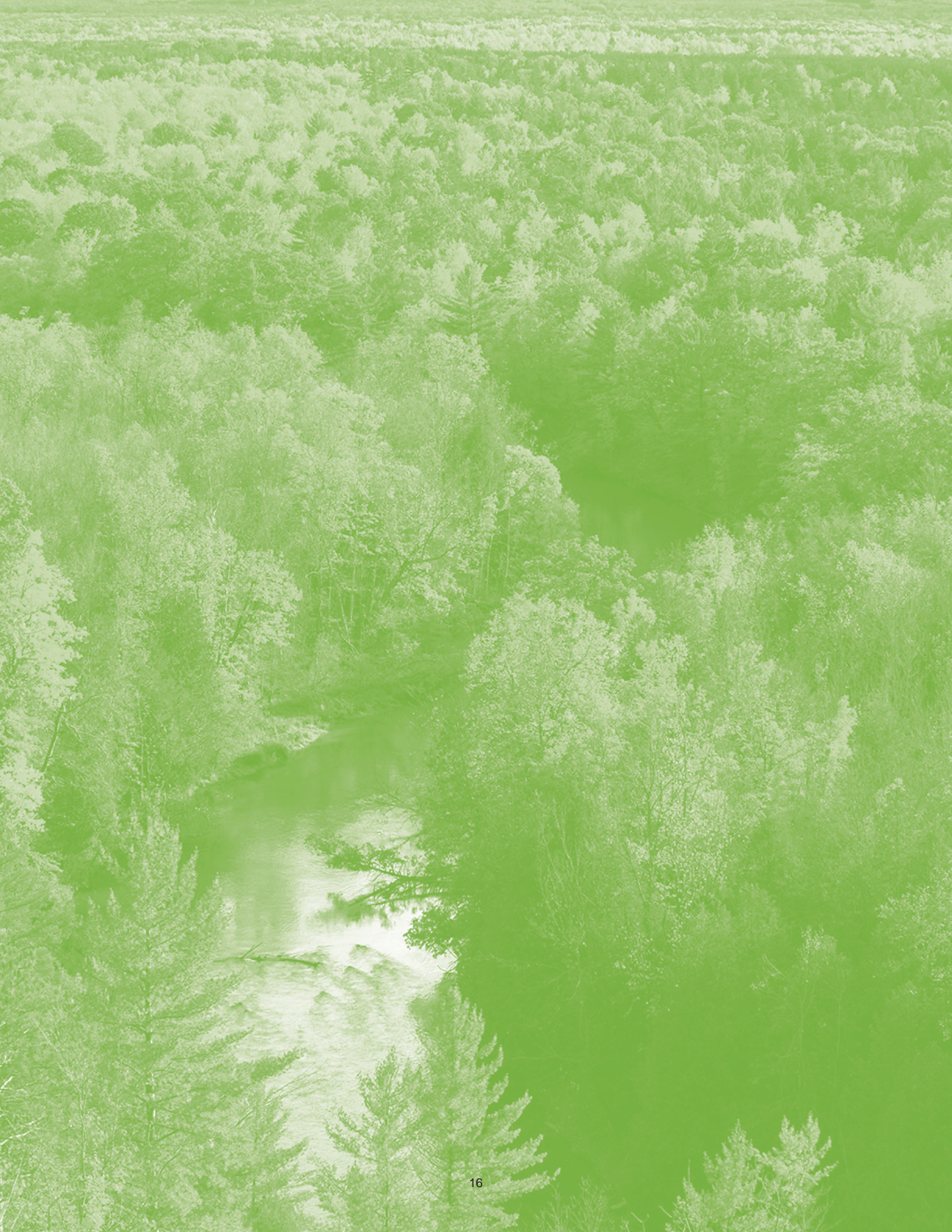


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# SFI 2015-2019 FOREST MANAGEMENT STANDARD

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## 1. GENERAL

### 1.1 Scope

#### What the Forest Management Standard Does

The *SFI 2015-2019 Forest Management Standard* promotes *sustainable forestry* practices based on 13 *Principles*, 15 *Objectives*, 37 *Performance Measures* and 101 *Indicators*. These requirements include measures to protect water quality, *biodiversity*, *wildlife habitat*, species at risk and *Forests with Exceptional Conservation Value*.

#### What the Forest Management Standard Covers

The *SFI 2015-2019 Forest Management Standard* applies to any organization that owns or has management authority for forestlands.

#### Geographic Application of the Forest Management Standard

The *SFI 2015-2019 Forest Management Standard* applies to organizations in the United States and Canada.

### 1.2 Additional Requirements

*SFI Program Participants* with *fiber sourcing programs* (acquisition of roundwood and field-manufactured or primary-mill residual chips, pulp and veneer to support a forest products facility) must also conform to the *SFI 2015-2019 Fiber Sourcing Standard*.

Use of the *SFI* on-product labels and claims shall follow Section 5 - Rules for Use of *SFI* On-Product Labels and Off-Product Marks as well as ISO 14020:2000.

### 1.3 References

This standard incorporates, by dated or undated reference, provisions from other publications. These normative and informative references are cited at the appropriate places in the text and the publications are listed hereafter. For dated and undated references, the latest edition of the publication applies.

#### Normative References

- i. ISO/IEC 17021:2011 - Conformity Assessment - Requirements for bodies providing audit and certification of management systems
- ii. ISO/IEC Guide 2:2004 Standardization and related activities - General vocabulary
- iii. Section 7 - *SFI* Policies
- iv. Section 9 - *SFI* 2015-2019 Audit Procedures and Auditor Qualifications and Accreditation
- v. Section 10 - Communications and Public Reporting
- vi. Section 13 - *SFI* Definitions
- vii. Interpretations for the Requirements for the *SFI* 2015-2019 Program

For the purposes of this standard, the relevant definitions given in ISO/IEC Guide 2:2004 apply, together with the definitions in the *SFI* Definitions (Section 13).

#### Informative References

- i. ISO 14001:2004 Environmental Management Systems - Specification with guidance for use
- ii. PEFC ST 1003:2010 Sustainable Forest Management Requirements, November 26, 2010
- iii. PEFC ST 1002:2010 Group Forest Management Certification, November 26, 2010
- iv. Section 6 - Guidance to *SFI* 2015-2019 Standards and Rules
- v. Section 8 - *SFI* Standards Development and Interpretations Process
- vi. Section 11 - Public Inquiries and Official Complaints

### 1.4 SFI 2015-2019 Forest Management Standard Principles

*SFI Program Participants* believe forest landowners have an important stewardship responsibility and a commitment to society, and they recognize the importance of maintaining viable commercial, family forest and *conservation* forestland bases. They support *sustainable forestry* practices on forestland they manage, and promote them on other lands. They support efforts to protect private property rights, and to help all private landowners manage their forestland sustainably. In keeping with this responsibility, *SFI Program Participants* shall have a written *policy* (or *policies*) to implement and achieve the following *principles*:

#### 1. Sustainable Forestry

To practice *sustainable forestry* to meet the needs of the present without compromising the ability of future generations to meet their own needs by practicing a land stewardship ethic that integrates *reforestation* and the managing, growing, nurturing and harvesting of trees for useful products and *ecosystem services* such as the *conservation* of soil, air and water quality, carbon, *biological diversity*, *wildlife* and *aquatic habitats*, recreation and aesthetics.

#### 2. Forest Productivity and Health

To provide for regeneration after harvest and maintain the productive capacity of the forestland base, and to protect and maintain *long-term* forest and soil *productivity*. In addition, to protect forests from economically or environmentally undesirable levels of wildfire, pests, diseases, *invasive exotic plants and animals*, and other damaging agents and thus maintain and improve *long-term forest health* and *productivity*.

#### 3. Protection of Water Resources

To protect water bodies and *riparian areas*, and to conform with forestry *best management practices* to protect water quality.

#### 4. Protection of Biological Diversity

To manage forests in ways that protect and promote *biological diversity*, including animal and plant species, *wildlife habitats*, and ecological or natural community types.



## 5. Aesthetics and Recreation

To manage the visual impacts of forest operations, and to provide recreational opportunities for the public.

## 6. Protection of Special Sites

To manage lands that are ecologically, geologically or *culturally important* in a manner that takes into account their unique qualities.

## 7. Responsible Fiber Sourcing Practices in North America

To use and promote among other forest landowners *sustainable forestry* practices that are both scientifically credible and economically, environmentally and socially responsible.

## 8. Legal Compliance

To comply with applicable federal, provincial, state and local *forestry* and related environmental laws, statutes and regulations.

## 9. Research

To support advances in sustainable forest management through *forestry* research, science and technology.

## 10. Training and Education

To improve the practice of *sustainable forestry* through training and education *programs*.

## 11. Community Involvement and Social Responsibility

To broaden the practice of *sustainable forestry* on all lands through community involvement, socially responsible practices, and through recognition and respect of *Indigenous Peoples'* rights and *traditional forest-related knowledge*.

## 12. Transparency

To broaden the understanding of forest certification to the *SFI 2015-2019 Forest Management Standard* by documenting certification audits and making the findings publicly available.

## 13. Continual Improvement

To continually improve the practice of forest management, and to monitor, measure and report performance in achieving the commitment to *sustainable forestry*.

### 1.5 SFI 2015-2019 Forest Management Standard Objectives

A Summary of the *SFI 2015-2019 Forest Management Standard Objectives* follows:

#### Objective 1. Forest Management Planning

To ensure forest management plans include *long-term* sustainable harvest levels and measures to avoid forest conversion.

#### Objective 2. Forest Health and Productivity

To ensure *long-term* forest *productivity*, carbon storage and *conservation* of forest resources through prompt *reforestation*, *afforestation*, *minimized* chemical use, *soil conservation*, and protecting forests from damaging agents.

#### Objective 3. Protection and Maintenance of Water Resources

To protect the water quality of rivers, streams, lakes, *wetlands* and other water bodies through meeting or exceeding *best management practices*.

#### Objective 4. Conservation of Biological Diversity

To manage the quality and distribution of *wildlife habitats* and contribute to the *conservation* of *biological diversity* by developing and implementing *stand-* and *landscape-level* measures that promote a diversity of types of *habitat* and successional stages, and the *conservation* of forest plants and animals, including *aquatic species*, *as well as threatened and endangered species*, *Forests with Exceptional Conservation Value*, *old-growth forests* and ecologically important sites.

#### Objective 5. Management of Visual Quality and Recreational Benefits

To manage the visual impact of forest operations and provide recreational opportunities for the public.

#### Objective 6. Protection of Special Sites

To manage lands that are geologically or *culturally important* in a manner that takes into account their unique qualities.

#### Objective 7. Efficient Use of Fiber Resources

To *minimize* waste and ensure the efficient use of fiber resources.

#### Objective 8. Recognize and Respect Indigenous Peoples' Rights

To recognize and respect *Indigenous Peoples'* rights and traditional knowledge.

#### Objective 9. Legal and Regulatory Compliance

To comply with applicable federal, provincial, state, and local laws and regulations.

#### Objective 10. Forestry Research, Science and Technology

To invest in *forestry* research, science and technology, upon which sustainable forest management decisions are based and broaden the awareness of *climate change* impacts on forests, *wildlife* and *biological diversity*.

#### Objective 11. Training and Education

To improve the implementation of *sustainable forestry* practices through appropriate training and education *programs*.

#### Objective 12. Community Involvement and Landowner Outreach

To broaden the practice of *sustainable forestry* through public outreach, education, and involvement, and to support the efforts of *SFI Implementation Committees*.

#### Objective 13. Public Land Management Responsibilities

To participate and implement sustainable forest management on *public lands*.

#### Objective 14. Communications and Public Reporting

To increase transparency and to annually report progress on conformance with the *SFI Forest Management Standard*.

#### Objective 15. Management Review and Continual Improvement

To promote continual improvement in the practice of *sustainable forestry* by conducting a management review and monitoring performance.

#### 1.6 SFI 2015-2019 Forest Management Standard Requirements

##### Objective 1. Forest Management Planning

To ensure forest management plans include *long-term* sustainable harvest levels and measures to avoid forest conversion.

**Performance Measure 1.1.** *Program Participants* shall ensure that forest management plans include *long-term* harvest levels that are sustainable and consistent with appropriate *growth-and-yield models*.

Indicators:

1. Forest management planning at a level appropriate to the size and scale of the operation, including:
  - a. a *long-term* resources analysis;
  - b. a periodic or ongoing *forest inventory*;
  - c. a *land classification* system;
  - d. *biodiversity* at *landscape* scales;
  - e. soils inventory and maps, where available;
  - f. access to *growth-and-yield modeling* capabilities;
  - g. up-to-date maps or a *geographic information system (GIS)*;
  - h. recommended sustainable harvest levels for areas available for harvest; and
  - i. a review of non-timber issues (e.g., recreation, tourism, pilot projects and economic incentive *programs* to promote water *protection*, carbon storage, *bioenergy feedstock* production, or *biological diversity conservation*, or to address climate-induced ecosystem change).
2. Documented current harvest trends fall within *long-term* sustainable levels identified in the forest management plan.
3. A *forest inventory* system and a method to calculate growth and yield.
4. Periodic updates of *forest inventory* and recalculation of planned harvests to account for changes in growth due to *productivity* increases or decreases, including but not limited to improved data, *long-term* drought, fertilization, *climate change*, changes in forestland ownership and tenure, or *forest health*.
5. Documentation of forest practices (e.g., *planting*, fertilization and thinning) consistent with assumptions in harvest plans.

**Performance Measure 1.2.** *Program Participants* shall not convert one *forest cover type* to another *forest cover type*, unless in justified circumstances.

Indicators:

1. *Program Participants* shall not convert one *forest cover type* to another *forest cover type*, unless the conversion:
  - a. Is in compliance with relevant national and regional *policy* and legislation related to land use and forest management; and
  - b. Would not convert *native* forest types that are rare and ecologically significant at the *landscape* level or put any *native* forest types at risk of becoming rare; and
  - c. Does not create significant *long-term* adverse impacts on *Forests with Exceptional Conservation Value*, *old-growth forests*, forests critical to *threatened and endangered* species, and *special sites*.
2. Where a *Program Participant* intends to convert to another *forest cover type*, an assessment considers:
  - a. *Productivity* and *stand* quality conditions and impacts which may include social and economic values;
  - b. Specific ecosystem issues related to the site such as invasive species, insect or disease issues, riparian *protection* needs and others as appropriate to the site including regeneration challenges; and
  - c. Ecological impacts of the conversion including a review at the site and *landscape* scale as well as consideration for any appropriate mitigation measures.

**Performance Measure 1.3.** *Program Participants* shall not have within the scope of their certification to this *SFI 2015-2019 Forest Management Standard*, forestlands that have been converted to non-forestland use.

Indicator:

1. Forestlands converted to other land uses shall not be certified to this *SFI 2015-2019 Forest Management Standard*. This does not apply to forestlands used for forest and *wildlife* management such as *wildlife* food plots or infrastructure such as forest roads, log processing areas, trails etc.

##### Objective 2. Forest Health and Productivity

To ensure *long-term* forest *productivity*, carbon storage and *conservation* of forest resources through prompt *reforestation*, *afforestation*, *minimized* chemical use, soil *conservation*, and protecting forests from damaging agents.

**Performance Measure 2.1.** *Program Participants* shall promptly reforest after final harvest.

Indicators:

1. Documented *reforestation* plans, including designation of all harvest areas for either natural, planted or direct seeded regeneration and prompt *reforestation*, unless delayed for site-specific environmental or *forest health* considerations or legal requirements, through *planting* within two years or two *planting* seasons, or by planned *natural regeneration* methods within five years.

2. Clear criteria to judge adequate regeneration and appropriate actions to correct understocked areas and achieve acceptable species composition and stocking rates for *planting, direct seeding* and *natural regeneration*.
3. *Plantings of exotic tree species* should *minimize* risk to *native* ecosystems.
4. *Protection* of desirable or planned advanced *natural regeneration* during harvest.
5. *Afforestation programs* that consider potential ecological impacts of the selection and *planting* of tree species in non-forested *landscapes*.

**Performance Measure 2.2.** *Program Participants* shall *minimize* chemical use required to achieve management *objectives* while protecting employees, neighbors, the public and the environment, including *wildlife* and *aquatic habitats*.

Indicators:

1. *Minimized* chemical use required to achieve management *objectives*.
2. Use of *least-toxic and narrowest-spectrum pesticides* necessary to achieve management *objectives*.
3. Use of pesticides registered for the intended use and applied in accordance with label requirements.
4. The World Health Organization (WHO) type 1A and 1B pesticides shall be prohibited, except where no other viable alternative is available.
5. Use of pesticides banned under the Stockholm Convention on Persistent Organic Pollutants (2001) shall be prohibited.
6. Use of *integrated pest management* where feasible.
7. Supervision of forest chemical applications by state- or provincial-trained or certified applicators.
8. Use of management practices appropriate to the situation, for example:
  - a. notification of adjoining landowners or nearby residents concerning applications and chemicals used;
  - b. appropriate multilingual signs or oral warnings;
  - c. control of public road access during and immediately after applications;
  - d. designation of streamside and other needed buffer strips;
  - e. use of positive shutoff and minimal-drift spray valves;
  - f. aerial application of forest chemicals parallel to buffer zones to *minimize* drift;
  - g. monitoring of water quality or safeguards to ensure proper equipment use and *protection* of streams, lakes and other water bodies;
  - h. appropriate transportation and storage of chemicals;
  - i. filing of required state or provincial reports; and/or
  - j. use of methods to ensure *protection* of *threatened and endangered* species.

**Performance Measure 2.3.** *Program Participants* shall implement forest management practices to protect and maintain forest and soil *productivity*.

Indicators:

1. Process to identify soils vulnerable to compaction, and use of appropriate methods, including the use of soil maps where available, to avoid excessive soil disturbance.
2. Use of erosion control measures to *minimize* the loss of soil and site *productivity*.
3. Post-harvest conditions conducive to maintaining site *productivity* (e.g., limited rutting, retained down woody debris, *minimized skid trails*).
4. Retention of vigorous trees during partial harvesting, consistent with scientific silvicultural standards for the area.
5. Criteria that address harvesting and site preparation to protect soil *productivity*.
6. Road construction and skidding layout to *minimize* impacts to soil *productivity*.

**Performance Measure 2.4.** *Program Participants* shall manage so as to protect forests from damaging agents, such as environmentally or economically undesirable wildfire, pests, diseases, and *invasive exotic plants and animals*, to maintain and improve *long-term forest health, productivity* and *economic viability*.

Indicators:

1. *Program* to protect forests from damaging agents.
2. Management to promote healthy and productive forest conditions to *minimize* susceptibility to damaging agents.
3. Participation in, and support of, fire and pest prevention and control *programs*.

**Performance Measure 2.5.** *Program Participants* that deploy *improved planting stock*, including *varietal seedlings*, shall use best scientific methods.

Indicator:

1. *Program* for appropriate research, testing, evaluation and deployment of *improved planting stock*, including *varietal seedlings*.

**Objective 3. Protection and Maintenance of Water Resources**  
To protect the water quality of rivers, streams, lakes, *wetlands* and other water bodies through meeting or exceeding *best management practices*.

**Performance Measure 3.1.** *Program Participants* shall meet or exceed all applicable federal, provincial, state and local water quality laws, and meet or exceed *best management practices* developed under Canadian or U.S. Environmental Protection Agency–approved water quality *programs*.



Indicators:

1. *Program* to implement federal, state or provincial water quality *best management practices* during all phases of management activities.
2. Contract provisions that specify conformance to *best management practices*.
3. Monitoring of overall *best management practices* implementation.

**Performance Measure 3.2.** *Program Participants* shall implement water, *wetland* and *riparian protection* measures based on soil type, terrain, vegetation, ecological function, harvesting system, state *best management practices (BMPs)*, provincial guidelines and other applicable factors.

Indicators:

1. *Program* addressing management and *protection* of rivers, streams, lakes, *wetlands*, other water bodies and *riparian areas* during all phases of management, including the layout and construction of roads and *skid trails* to maintain water reach, flow and quality.
2. Mapping of rivers, streams, lakes, *wetlands* and other water bodies as specified in state or provincial *best management practices* and, where appropriate, identification on the ground.
3. Documentation and implementation of plans to manage and protect rivers, streams, lakes, *wetlands*, other water bodies and *riparian areas*.
4. Plans that address wet-weather events in order to maintain water quality (e.g., *forest inventory* systems, wet-weather tracts, definitions of acceptable operating conditions).

#### Objective 4. Conservation of Biological Diversity

To manage the quality and distribution of *wildlife habitats* and contribute to the *conservation of biological diversity* by developing and implementing *stand-* and *landscape-level* measures that promote a diversity of types of *habitat* and successional stages, and the *conservation* of forest plants and animals, including *aquatic species*, as well as *threatened and endangered species*, *Forests with Exceptional Conservation Value*, *old-growth forests* and ecologically important sites.

**Performance Measure 4.1.** *Program Participants* shall conserve *biological diversity*.

Indicators:

1. *Program* to incorporate the *conservation of native biological diversity*, including species, *wildlife habitats* and ecological community types at *stand* and *landscape* levels.
2. Development of criteria and implementation of practices, as guided by regionally based *best scientific information*, to retain *stand-level wildlife habitat* elements such as snags, stumps, mast trees, down woody debris, den trees and nest trees.
3. Document diversity of *forest cover types* and age or size classes at the individual ownership or forest tenure level, and where credible data are available, at the *landscape* scale. Working individually

or collaboratively to support diversity of *native forest cover types* and age or size classes that enhance *biological diversity* at the *landscape* scale.

4. *Program Participants* shall participate in or incorporate the results of state, provincial, or regional *conservation* planning and priority-setting efforts to conserve biological diversity and consider these efforts in forest management planning. Examples of credible priority-setting efforts include state *wildlife* action plans, state forest action plans, relevant *habitat conservation* plans or provincial *wildlife* recovery plans.
5. *Program* to address *conservation* of known sites with viable occurrences of significant species of concern.
6. Identification and *protection* of *non-forested wetlands*, including bogs, fens and marshes, and *vernal pools* of ecological significance.
7. Participation in *programs* and demonstration of activities as appropriate to limit the introduction, spread and impact of *invasive exotic plants and animals* that directly threaten or are likely to threaten *native* plant and animal communities.
8. Consider the role of natural disturbances, including the use of prescribed or natural fire where appropriate, and *forest health* threats in relation to *biological diversity* when developing forest management plans.

**Performance Measure 4.2.** *Program Participants* shall protect *threatened and endangered species*, *Forests with Exceptional Conservation Values (FECV)* and *old-growth forests*.

Indicators:

1. *Program* to protect *threatened and endangered species*.
2. *Program* to locate and protect known sites of flora and fauna associated with viable occurrences of *critically imperiled* and *imperiled* species and communities also known as *Forests with Exceptional Conservation Value*. Plans for *protection* may be developed independently or collaboratively, and may include *Program Participant* management, cooperation with other stakeholders, or use of easements, *conservation* land sales, exchanges, or other *conservation* strategies.
3. Support of and participation in plans or *programs* for the *conservation* of *old-growth forests* in the region of ownership or forest tenure.

**Performance Measure 4.3.** *Program Participants* shall manage ecologically important sites in a manner that takes into account their unique qualities.

Indicators:

1. Use of information such as existing natural heritage data or expert advice in identifying or selecting ecologically important sites for *protection*.
2. Appropriate mapping, cataloging and management of identified ecologically important sites.

**Performance Measure 4.4.** *Program Participants* shall apply knowledge gained through research, science, technology and field experience to manage *wildlife habitat* and contribute to the *conservation of biological diversity*.

Indicators:

1. Collection of information on *Forests with Exceptional Conservation Value* and other *biodiversity*-related data through *forest inventory* processes, mapping or participation in external *programs*, such as NatureServe, state or provincial heritage *programs*, or other credible systems. Such participation may include providing non-proprietary scientific information, time and assistance by staff, or in-kind or direct financial support.
2. A methodology to incorporate research results and field applications of *biodiversity* and ecosystem research into forest management decisions.

### **Objective 5. Management of Visual Quality and Recreational Benefits**

To manage the visual impact of forest operations and provide recreational opportunities for the public.

**Performance Measure 5.1.** *Program Participants* shall manage the impact of harvesting on *visual quality*.

Indicators:

1. *Program* to address *visual quality management*.
2. Incorporation of aesthetic considerations in harvesting, road, landing design and management, and other management activities where visual impacts are a concern.

**Performance Measure 5.2.** *Program Participants* shall manage the size, shape and placement of clearcut harvests.

Indicators:

1. Average size of clearcut harvest areas does not exceed 120 acres (50 hectares), except when necessary to meet regulatory requirements, achieve ecological *objectives*, or respond to *forest health* emergencies or other natural catastrophes.
2. Documentation through internal records of clearcut size and the process for calculating average size.

**Performance Measure 5.3.** *Program Participants* shall adopt a *green-up requirement* or alternative methods that provide for *visual quality*.

Indicators:

1. *Program* implementing the *green-up requirement* or alternative methods.
2. Harvest area tracking system to demonstrate conformance with the *green-up requirement* or alternative methods.

3. Trees in clearcut harvest areas are at least 3 years old or 5 feet (1.5 meters) high at the desired level of stocking before adjacent areas are clearcut, or as appropriate to address operational and economic considerations, alternative methods to reach the *performance measure* are utilized by the *Program Participant*.

**Performance Measure 5.4.** *Program Participants* shall support and promote recreational opportunities for the public.

Indicator:

1. Provide recreational opportunities for the public, where consistent with forest management *objectives*.

### **Objective 6. Protection of Special Sites**

To manage lands that are geologically or *culturally important* in a manner that takes into account their unique qualities.

**Performance Measure 6.1.** *Program Participants* shall identify *special sites* and manage them in a manner appropriate for their unique features.

Indicators:

1. Use of information such as existing natural heritage data, expert advice or stakeholder consultation in identifying or selecting *special sites* for *protection*.
2. Appropriate mapping, cataloging and management of identified *special sites*.

### **Objective 7. Efficient Use of Fiber Resources**

To *minimize* waste and ensure the efficient use of fiber resources.

**Performance Measure 7.1.** *Program Participants* shall employ appropriate forest harvesting technology and in-woods manufacturing processes and practices to *minimize* waste and ensure efficient utilization of harvested trees, where consistent with other *SFI 2015-2019 Forest Management Standard Objectives*.

Indicator:

1. *Program* or monitoring system to ensure efficient utilization, which may include provisions to ensure:
  - a. management of harvest residue (e.g., slash, limbs, tops) considers economic, social and environmental factors (e.g., organic and nutrient value to future forests and the potential of increased fuels build-up) and other utilization needs;
  - b. training or incentives to encourage *qualified logging professionals* to enhance utilization;
  - c. exploration of markets for underutilized species and low-grade wood and alternative markets (e.g., bioenergy markets); or
  - d. periodic inspections and reports noting utilization and product separation.

## Objective 8. Recognize and Respect *Indigenous Peoples'* Rights

To recognize and respect *Indigenous Peoples'* rights and traditional knowledge.

**Performance Measure 8.1.** *Program Participants* shall recognize and respect *Indigenous Peoples'* rights.

Indicator:

1. *Program Participants* will provide a written *policy* acknowledging a commitment to recognize and respect the rights of *Indigenous Peoples*.

**Performance Measure 8.2.** *Program Participants* with forest management responsibilities on public lands shall confer with affected *Indigenous Peoples* with respect to sustainable forest management practices.

Indicator:

1. *Program* that includes communicating with affected *Indigenous Peoples* to enable *Program Participants* to:
  - a. understand and respect *traditional forest-related knowledge*;
  - b. identify and protect spiritually, historically, or culturally important sites;
  - c. address the use of *non-timber forest products* of value to *Indigenous Peoples* in areas where *Program Participants* have management responsibilities on public lands; and
  - d. respond to *Indigenous Peoples'* inquiries and concerns received.

**Performance Measure 8.3.** *Program Participants* are encouraged to communicate with and shall respond to local *Indigenous Peoples* with respect to sustainable forest management practices on their private lands.

Indicators:

1. *Program Participants* are aware of *traditional forest-related knowledge*, such as known cultural heritage sites, the use of wood in traditional buildings and crafts, and flora that may be used in cultural practices for food, ceremonies or medicine.
2. Respond to *Indigenous Peoples'* inquiries and concerns received.

## Objective 9. Legal and Regulatory Compliance

To comply with applicable federal, provincial, state, and local laws and regulations.

**Performance Measure 9.1.** *Program Participants* shall comply with applicable federal, provincial, state and local *forestry* and related social and environmental laws and regulations.

Indicators:

1. Access to relevant laws and regulations in appropriate locations.
2. System to achieve compliance with applicable federal, provincial, state, or local laws and regulations.
3. Demonstration of commitment to legal compliance through available *regulatory action information*.

**Performance Measure 9.2.** *Program Participants* shall take appropriate steps to comply with all applicable social laws at the federal, provincial, state and local levels in the country in which the *Program Participant* operates.

Indicators:

1. Written *policy* demonstrating commitment to comply with social laws, such as those covering civil rights, equal employment opportunities, anti-discrimination and anti-harassment measures, workers' compensation, *Indigenous Peoples'* rights, workers' and communities' right to know, prevailing wages, workers' right to organize, and occupational health and safety.
2. *Forestry enterprises* will respect the rights of workers and labor representatives in a manner that encompasses the intent of the International Labor Organization (ILO) core conventions.

## Objective 10. Forestry Research, Science and Technology

To invest in *forestry* research, science and technology, upon which sustainable forest management decisions are based and broaden the awareness of climate change impacts on forests, *wildlife* and *biological diversity*.

**Performance Measure 10.1.** *Program Participants* shall individually and/or through cooperative efforts involving *SFI Implementation Committees*, associations or other partners provide in-kind support or funding for forest research to improve *forest health*, *productivity* and sustainable management of forest resources, and the environmental benefits and performance of forest products.

Indicators:

1. Financial or in-kind support of research to address questions of relevance in the region of operations. Examples could include, but are not limited to, areas of forest *productivity*, water quality, *biodiversity*, community issues-or similar areas that build broader understanding of the benefits and impacts of forest management.
2. Research on genetically engineered trees via *forest tree biotechnology* shall adhere to all applicable federal, state, and provincial regulations and international protocols ratified by the United States and/or Canada depending on jurisdiction of management.

**Performance Measure 10.2.** *Program Participants* shall — individually and/or through cooperative efforts involving *SFI Implementation Committees*, associations or other partners — develop or use state, provincial or regional analyses in support of their *sustainable forestry programs*.

Indicator:

1. Participation — individually and/or through cooperative efforts involving *SFI Implementation Committees* and/or associations at the national, state, provincial or regional level, in the development or use of some of the following:
  - a. regeneration assessments;
  - b. *growth and drain* assessments;
  - c. *best management practices* implementation and conformance;
  - d. *biodiversity conservation* information for family forest owners; and
  - e. social, cultural or economic benefit assessments.

**Performance Measure 10.3.** *Program Participants* shall —individually and/or through cooperative efforts involving *SFI Implementation Committees*, associations or other partners— broaden the awareness of *climate change* impacts on forests, *wildlife* and *biological diversity*.

Indicators:

1. Where available, monitor information generated from regional climate models on *long-term forest health, productivity* and *economic viability*.
2. *Program Participants* are knowledgeable about *climate change* impacts on *wildlife, wildlife habitats* and *conservation of biological diversity* through international, national, regional or local *programs*.

## Objective 11. Training and Education

To improve the implementation of *sustainable forestry* practices through appropriate training and education *programs*.

**Performance Measure 11.1.** *Program Participants* shall require appropriate training of personnel and contractors so that they are competent to fulfill their responsibilities under the *SFI 2015-2019 Forest Management Standard*.

Indicators:

1. Written statement of commitment to the *SFI 2015-2019 Forest Management Standard* communicated throughout the organization, particularly to facility and woodland managers, and field foresters.
2. Assignment and understanding of roles and responsibilities for achieving *SFI 2015-2019 Forest Management Standard objectives*.
3. Staff education and training sufficient to their roles and responsibilities.
4. Contractor education and training sufficient to their roles and responsibilities.

5. *Program Participants* shall have written agreements for the use of *qualified logging professionals* and/or *certified logging professionals* (where available) and/or *wood producers* that have completed training *programs* and are recognized as *qualified logging professionals*.

**Performance Measure 11.2.** *Program Participants* shall work — individually and/or with *SFI Implementation Committees*, logging or *forestry* associations, or appropriate agencies or others in the *forestry* community — to foster improvement in the professionalism of *wood producers*.

Indicators:

1. Participation in or support of *SFI Implementation Committees* to establish criteria and identify delivery mechanisms for *wood producer* training courses and periodic continuing education that address:
  - a. awareness of *sustainable forestry principles* and the *SFI program*;
  - b. *best management practices*, including streamside management and road construction, maintenance and retirement;
  - c. *reforestation, invasive exotic plants and animals*, forest resource *conservation*, aesthetics and *special sites*;
  - d. awareness of responsibilities under the U.S. Endangered Species Act, the Canadian Species at Risk Act, and other measures to protect *wildlife habitat* (e.g., *Forests with Exceptional Conservation Value*);
  - e. awareness of rare forested natural communities as identified by provincial or state agencies, or by credible organizations such as NatureServe and The Nature Conservancy;
  - f. logging safety;
  - g. U.S. Occupational Safety and Health Administration (OSHA) and Canadian Centre for Occupational Health and Safety (CCOHS) regulations, wage and hour rules, and other provincial, state and local employment laws;
  - h. transportation issues;
  - i. business management;
  - j. *public policy* and outreach; and
  - k. awareness of emerging technologies.
2. The *SFI Implementation Committee*-approved *wood producer* training *programs* shall have a continuing education component with coursework that supports the current training *programs*, safety and the *principles of sustainable forestry*.
3. Participation in or support of *SFI Implementation Committees* to establish criteria for recognition of logger certification *programs*, where they exist, that include:
  - a. completion of *SFI Implementation Committee* recognized *wood producer* training *programs* and meeting continuing education requirements of the training *program*;
  - b. independent in-the-forest verification of conformance with the logger certification *program* standards;



- c. compliance with all applicable laws and regulations including responsibilities under the U.S. Endangered Species Act, the Canadian Species at Risk Act and other measures to protect *wildlife habitat*;
- d. use of *best management practices* to protect water quality;
- e. logging safety;
- f. compliance with acceptable *silviculture* and utilization standards;
- g. aesthetic management techniques employed where applicable; and
- h. adherence to a management or harvest plan that is site specific and agreed to by the forest landowner.

## Objective 12. Community Involvement and Landowner Outreach

To broaden the practice of *sustainable forestry* through public outreach, education, and involvement, and to support the efforts of *SFI Implementation Committees*.

**Performance Measure 12.1.** *Program Participants* shall support and promote efforts by consulting foresters, state, provincial and federal agencies, state or local groups, professional societies, *conservation organizations*, *Indigenous Peoples* and governments, community groups, sporting organizations, labor, universities, extension agencies, the *American Tree Farm System®* and/or other landowner cooperative *programs* to apply *principles* of sustainable forest management.

Indicators:

1. Support, including financial, for efforts of *SFI Implementation Committees*.
2. Support, individually or collaboratively, education and outreach to forest landowners describing the importance of and providing implementation guidance on:
  - a. *best management practices*;
  - b. *reforestation and afforestation*;
  - c. *visual quality management*;
  - d. *conservation objectives*, such as critical *wildlife habitat* elements, *biodiversity*, *threatened and endangered species*, and *Forests with Exceptional Conservation Value*;
  - e. management of harvest residue (e.g., slash, limbs, tops) that considers economic, social and environmental factors (e.g., organic and nutrient value to future forests) and other utilization needs;
  - f. control of *invasive exotic plants and animals*;
  - g. characteristics of *special sites*; and
  - h. reduction of wildfire risk.
3. Participation in efforts to support or promote *conservation* of managed forests through voluntary market-based incentive *programs* such as current-use taxation *programs*, *Forest Legacy Program* or *conservation easements*.

**Performance Measure 12.2.** *Program Participants* shall support and promote, at the state, provincial or other appropriate levels, mechanisms for public outreach, education and involvement related to sustainable forest management.

Indicator:

1. Periodic educational opportunities promoting *sustainable forestry*, such as:
  - a. field tours, seminars, websites, webinars or workshops;
  - b. educational trips;
  - c. self-guided forest management trails;
  - d. publication of articles, educational pamphlets or newsletters; or
  - e. support for state, provincial, and local forestry organizations and soil and water *conservation* districts.

**Performance Measure 12.3.** *Program Participants* shall establish, at the state, provincial or other appropriate levels, procedures to address concerns raised by loggers, consulting foresters, employees, unions, the public or other *Program Participants* regarding practices that appear inconsistent with the *SFI 2015-2019 Forest Management Standard principles and objectives*.

Indicators:

1. Support for *SFI Implementation Committees* (e.g., toll-free numbers and other efforts) to address concerns about apparent nonconforming practices.
2. Process to receive and respond to public inquiries. *SFI Implementation Committees* shall submit data annually to *SFI Inc.* regarding concerns received and responses.

## Objective 13. Public Land Management Responsibilities

To participate and implement sustainable forest management on *public lands*.

**Performance Measure 13.1.** *Program Participants* with forest management responsibilities on *public lands* shall participate in the development of *public land* planning and management processes.

Indicators:

1. Involvement in *public land* planning and management activities with appropriate governmental entities and the public.
2. Appropriate contact with local stakeholders over forest management issues through state, provincial, federal or independent collaboration.

## Objective 14. Communications and Public Reporting

To increase transparency and to annually report progress on conformance with the *SFI 2015-2019 Forest Management Standard*.

**Performance Measure 14.1.** A *Program Participant* shall provide a summary audit report, prepared by the *certification body*, to *SFI Inc.* after the successful completion of a certification, recertification or surveillance audit to the *SFI 2015-2019 Forest Management Standard*.

Indicator:

1. The summary audit report submitted by the *Program Participant* (one copy must be in English), shall include, at a minimum,
  - a. a description of the audit process, *objectives* and scope;
  - b. a description of substitute *indicators*, if any, used in the audit and a rationale for each;
  - c. the name of the *Program Participant* that was audited, including its *SFI* representative;
  - d. a general description of the *Program Participant's* forestland included in the audit;
  - e. the name of the *certification body* and *lead auditor* (names of the *audit team* members, including *technical experts*, may be included at the discretion of the *audit team* and *Program Participant*);
  - f. the dates the audit was conducted and completed;
  - g. a summary of the findings, including general descriptions of evidence of conformity and any nonconformities and corrective action plans to address them, opportunities for improvement, and exceptional practices; and
  - h. the certification decision.

The summary audit report will be posted on the *SFI Inc.* website ([www.sfiprogram.org](http://www.sfiprogram.org)) for public review.

**Performance Measure 14.2.** *Program Participants* shall report annually to *SFI Inc.* on their conformance with the *SFI 2015-2019 Forest Management Standard*.

Indicators:

1. Prompt response to the *SFI* annual progress report survey.
2. Record keeping for all the categories of information needed for *SFI* annual progress report surveys.
3. Maintenance of copies of past survey reports to document progress and improvements to demonstrate conformance to the *SFI 2015-2019 Forest Management Standard*.

## Objective 15. Management Review and Continual Improvement

To promote continual improvement in the practice of *sustainable forestry* by conducting a management review and monitoring performance.

**Performance Measure 15.1.** *Program Participants* shall establish a management review system to examine findings and progress in implementing the *SFI 2015-2019 Forest Management Standard*, to make appropriate improvements in *programs*, and to inform their employees of changes.

Indicators:

1. System to review commitments, *programs* and procedures to evaluate effectiveness.
2. System for collecting, reviewing, and reporting information to management regarding progress in achieving *SFI 2015-2019 Forest Management Standard objectives* and *performance measures*.
3. Annual review of progress by management and determination of changes and improvements necessary to continually improve conformance to the *SFI 2015-2019 Forest Management Standard*.

DEFINITION



# SECTION 3

## SFI 2015-2019 FIBER SOURCING STANDARD

JANUARY 2015

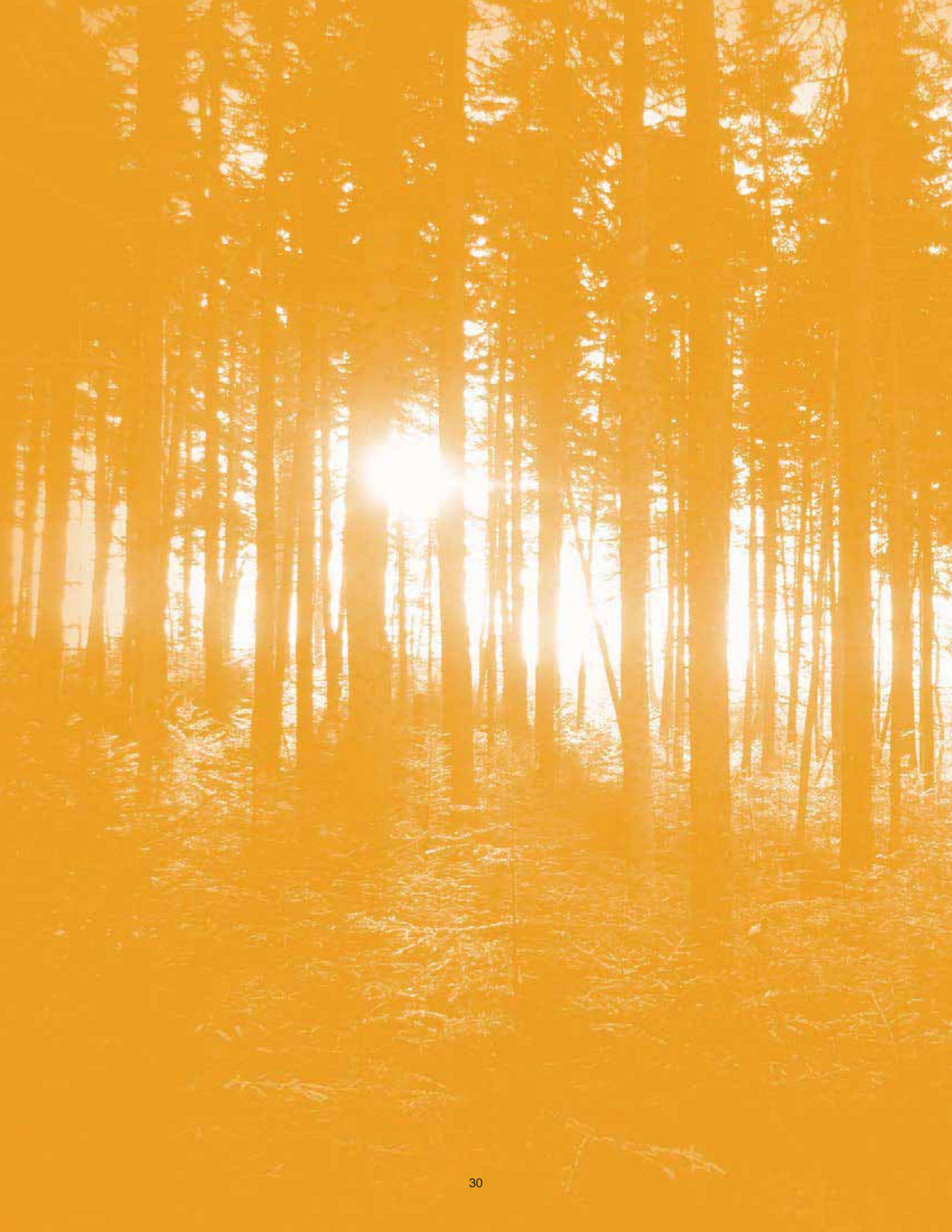


SUSTAINABLE  
FORESTRY  
INITIATIVE

SFI-00001







# SFI 2015-2019 FIBER SOURCING STANDARD

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## 1. GENERAL

### 1.1 Scope

#### What the *Fiber Sourcing Standard* Does

The *SFI 2015-2019 Fiber Sourcing Standard* promotes responsible forestry practices based on 14 *Principles*, 13 *Objectives*, 21 *Performance Measures* and 55 *Indicators*. These *fiber sourcing* requirements include measures to broaden the practice of *biodiversity*, use forestry *best management practices* to protect water quality, provide outreach to landowners, and utilize the services of forest management and harvesting professionals.

#### What the *Fiber Sourcing Standard* Covers

The *SFI 2015-2019 Fiber Sourcing Standard* applies to any organization with a *fiber sourcing* program that acquires roundwood and field-manufactured or primary-mill residual chips, pulp and veneer to support a forest products facility. Appendix 1 applies to any *primary producer* or *secondary producer* who uses the *SFI Certified Sourcing* on-product label or claim.

#### Geographic Application of the *Fiber Sourcing Standard*

The *SFI 2015-2019 Fiber Sourcing Standard* applies to organizations in the United States and Canada that procure wood domestically or globally. *Secondary producers* who utilize Appendix 1 can apply it to any organization globally.

### 1.2 Additional Requirements

*SFI Program Participants* that own or have management authority for forestlands must also conform to the *SFI 2015-2019 Forest Management Standard*.

Use of the *SFI* on-product labels and claims shall follow Section 5 - Rules for Use of *SFI* On-Product Labels and Off-Product Marks as well as ISO 14020:2000.

### 1.3 References

This standard incorporates, by dated or undated reference, provisions from other publications. These normative and informative references are cited at the appropriate places in the text and the publications are listed hereafter. For dated and undated references, the latest edition of the publication applies.

#### Normative References

- i. ISO/IEC 17021:2011 - Conformity Assessment - Requirements for bodies providing audit and certification of management systems
- ii. ISO/IEC Guide 2:2004 Standardization and related activities - General vocabulary
- iii. Section 7 - *SFI* Policies
- iv. Section 9 - *SFI 2015-2019 Audit Procedures and Auditor Qualifications and Accreditation*
- v. Section 10 - Communications and Public Reporting
- vi. Section 13 - *SFI* Definitions
- vii. Interpretations for the Requirements for the *SFI* 2015-2019 Program

For the purposes of this standard, the relevant definitions given in ISO/IEC Guide 2:2004 apply, together with the definitions in the *SFI* Definitions (Section 13).

#### Informative References

- i. ISO 14001:2004 Environmental Management Systems - Specification with guidance for use
- ii. PEFC ST 1003:2010 Sustainable Forest Management Requirements, November 26, 2010
- iii. Section 6 - Guidance to *SFI* 2015-2019 Standards
- iv. Section 8 - *SFI* Standards Development and Interpretations Process
- v. Section 11 - Public Inquiries and Official Complaints
- vi. Section 12 - Optional Modules

### 1.4 *SFI 2015-2019 Fiber Sourcing Standard Principles*

*SFI Program Participants* believe forest landowners have an important stewardship responsibility and a commitment to society, and they recognize the importance of maintaining viable commercial, family forest, and *conservation* forest land bases. They support *sustainable forestry* practices on forestland they manage, and promote it on other lands. They support efforts to protect private property rights, and to help all private landowners manage their forestland sustainably. In keeping with this responsibility, *SFI Program Participants* shall have a written *policy* (or *policies*) to implement and achieve the following *principles*:

#### 1. Sustainable Forestry

To practice *sustainable forestry* to meet the needs of the present without compromising the ability of future generations to meet their own needs by practicing a land stewardship ethic that integrates *reforestation* and the managing, growing, nurturing and harvesting of trees for useful products and *ecosystem services* such as the *conservation* of soil, air and water quality, carbon, *biological diversity*, *wildlife* and *aquatic habitats*, recreation and aesthetics.

#### 2. Forest Productivity and Health

To provide for regeneration after harvest and maintain the productive capacity of the forest land base, and to protect and maintain *long-term* forest and soil *productivity*. In addition, to protect forests from economically or environmentally undesirable levels of wildfire, pests, diseases, *invasive exotic plants and animals*, and other damaging agents and thus maintain and improve *long-term forest health* and *productivity*.

#### 3. Protection of Water Resources

To protect water bodies and *riparian areas* and to conform with forestry *best management practices* to protect water quality.

#### 4. Protection of Biological Diversity

To manage forests in ways that protect and promote *biological diversity*, including animal and plant species, *wildlife habitats*, and ecological or natural community types.



## 5. Aesthetics and Recreation

To manage the visual impacts of forest operations, and to provide recreational opportunities for the public.

## 6. Protection of Special Sites

To manage lands that are ecologically, geologically or *culturally important* in a manner that takes into account their unique qualities.

## 7. Responsible Fiber Sourcing Practices in North America

To use and promote among other forest landowners *sustainable forestry* practices that are both scientifically credible and economically, environmentally and socially responsible.

## 8. Legal Compliance

To comply with applicable federal, provincial, state, and local *forestry* and related environmental laws, statutes, and regulations.

## 9. Research

To support advances in sustainable forest management through *forestry* research, science and technology.

## 10. Training and Education

To improve the practice of *sustainable forestry* through training and education *programs*.

## 11. Community Involvement and Social Responsibility

To broaden the practice of *sustainable forestry* on all lands through community involvement, socially responsible practices, and through recognition and respect of *Indigenous Peoples'* rights and *traditional forest-related knowledge*.

## 12. Transparency

To broaden the understanding of forest certification to the *SFI 2015-2019 Fiber Sourcing Standard* by documenting certification audits and making the findings publicly available.

## 13. Continual Improvement

To continually improve the practice of forest management, and to monitor, measure and report performance in achieving the commitment to *sustainable forestry*.

## 14. Avoidance of Controversial Sources including Illegal Logging in Offshore Fiber Sourcing

To avoid wood fiber from *illegally logged* forests when procuring fiber outside of North America, and to avoid sourcing fiber from countries without effective social laws.

## 1.5 SFI 2015-2019 Fiber Sourcing Standard Objectives

A summary of the *SFI 2015-2019 Fiber Sourcing Standard Objectives* follows:

### Objective 1. Biodiversity in Fiber Sourcing

To address the practice of *sustainable forestry* by conserving *biological diversity*.

### Objective 2. Adherence to Best Management Practices

To broaden the practice of *sustainable forestry* through the use of *best management practices* to protect water quality.

### Objective 3. Use of Qualified Resource and Qualified Logging Professionals

To encourage forest landowners to utilize the services of *qualified logging professionals*, *certified logging professionals* (where available) and *qualified resource professionals*.

### Objective 4. Legal and Regulatory Compliance

To comply with applicable federal, provincial, state and local laws and regulations.

### Objective 5. Forestry Research, Science and Technology

To invest in *forestry* research, science and technology, upon which sustainable forest management decisions are based and broaden the awareness of *climate change* impacts on forests, *wildlife* and *biological diversity*.

### Objective 6. Training and Education

To improve the implementation of *sustainable forestry* practices through appropriate training and education *programs*.

### Objective 7. Community Involvement and Landowner Outreach

To broaden the practice of *sustainable forestry* through public outreach, education, and involvement and to support the efforts of *SFI Implementation Committees*.

### Objective 8. Public Land Management Responsibilities

To participate and implement sustainable forest management on *public lands*.

### Objective 9. Communications and Public Reporting

To increase transparency and to annually report progress on conformance with the *SFI 2015-2019 Fiber Sourcing Standard*.

### Objective 10. Management Review and Continual Improvement

To promote continual improvement in the practice of *sustainable forestry* by conducting a management review and monitoring performance.

### Objective 11. Promote Conservation of Biological Diversity, Biodiversity Hotspots and High-Biodiversity Wilderness Areas

To promote the *conservation of biological diversity*, *biodiversity hotspots* and *high-biodiversity wilderness areas* in fiber sourcing programs.

**Objective 12. Avoidance of *Controversial Sources* including *Illegal Logging***

To avoid *illegal logging* in *fiber sourcing* programs.

**Objective 13. Avoidance of *Controversial Sources* including *Fiber Sourced from Areas without Effective Social Laws***

To avoid *controversial sources* in *fiber sourcing* programs.

**1.6 SFI 2015-2019 Fiber Sourcing Standard Requirements**

*Fiber sourcing* within the United States and Canada (Objectives 1-10 apply).

**Objective 1. *Biodiversity in Fiber Sourcing***

To address the practice of *sustainable forestry* by conserving *biological diversity*.

**Performance Measure 1.1.** Promotion and *conservation of biological diversity*.

Indicators:

1. *Program Participants* shall address *conservation of biodiversity*, individually or collaboratively, through a *program* which includes one or more of the following:
  - a. promotion of *biological diversity* utilizing information from organizations such as World Resources Institute, The Nature Conservancy, NatureServe, Conservation International, State Wildlife Action Plans, State Forest Action Plans and assessments;
  - b. conducting local and regional level *landscape* assessments;
  - c. involvement with local or regional *conservation* efforts;
  - d. use of relevant information on *biological diversity* from credible sources (such as those noted above) in approved training and education programs; or
  - e. other credible approaches.
2. *Program* to address *Forests with Exceptional Conservation Value* in harvests of *purchased stumpage*.

**Objective 2. Adherence to *Best Management Practices***

To broaden the practice of *sustainable forestry* through the use of *best management practices* to *protect* water quality.

**Performance Measure 2.1.** *Program Participants* shall clearly define and implement *policies* to ensure that facility inventories and *fiber sourcing* activities do not compromise adherence to the *principles of sustainable forestry*.

Indicators:

1. *Program* to require that harvests of *purchased stumpage* comply with *best management practices*.
2. Use of written agreements for the purchase of raw material sourced directly from the forest is required and must include provisions requiring the use of *best management practices*.

3. *Program* to address adverse weather conditions.

4. *Program Participants* shall clearly define their *fiber sourcing policies* in writing and make them available to *wood producers*.

**Performance Measure 2.2.** *Program Participants* shall monitor the use of *best management practices*.

Indicators:

1. A *verifiable monitoring* system to:
  - a. monitor the use of *best management practices* by *wood producers* supplying the *Program Participant*; and
  - b. evaluate use of *best management practices* across the *wood and fiber supply area*.
2. Use of information from the *verifiable monitoring* system to maintain rates of conformance to *best management practices* and to identify areas for improved performance.

**Objective 3. Use of *Qualified Resource* and *Qualified Logging Professionals***

To encourage forest landowners to utilize the services of *qualified logging professionals*, *certified logging professionals* (where available) and *qualified resource professionals*.

**Performance Measure 3.1.** *Program Participants* shall encourage landowners to utilize the services of *qualified logging professionals*, *certified logging professionals* (where available), *qualified resource professionals* and to apply *principles of sustainable forest management* on their lands.

Indicators:

1. *Program* to promote the use of *qualified logging professionals*, *certified logging professionals* (where available), and *qualified resource professionals*.
2. List of *qualified logging professionals*, *certified logging professionals* and *qualified resource professionals* maintained by a *Program Participant*, state or provincial agency, loggers' association or other organization.

**Objective 4. Legal and Regulatory Compliance**

To comply with applicable federal, provincial, state and local laws and regulations.

**Performance Measure 4.1.** *Program Participants* shall comply with applicable federal, provincial, state and local *forestry* and related social and environmental laws and regulations and take steps to avoid *illegal logging*.

Indicators:

1. Access to relevant laws and regulations in appropriate locations.
2. System to achieve compliance with applicable federal, provincial, state or local laws and regulations.
3. Demonstration of commitment to legal compliance through *available regulatory action information*.

4. *Program* to assess the risk that the *Program Participant's* fiber sourcing program could acquire material from *illegal logging* by considering some of the following:
  - a. communications with suppliers;
  - b. independent research;
  - c. contract documentation; and
  - d. maintaining records.
5. *Program* to address any significant risk identified under 4.1.4.

**Performance Measure 4.2.** *Program Participants* shall take appropriate steps to comply with all applicable social laws at the federal, provincial, state and local levels in the country in which the *Program Participant* operates.

Indicator:

1. Written *policy* demonstrating commitment to comply with social laws, such as those covering civil rights, equal employment opportunities, anti-discrimination and anti-harassment measures, workers' compensation, *Indigenous Peoples'* rights, workers' and communities' right to know, prevailing wages, workers' right to organize, and occupational health and safety.

## Objective 5. Forestry Research, Science and Technology

To invest in *forestry* research, science and technology, upon which sustainable forest management decisions are based and broaden the awareness of *climate change* impacts on forests, *wildlife* and *biological diversity*.

**Performance Measure 5.1.** *Program Participants* shall — individually and/or through cooperative efforts involving *SFI Implementation Committees*, associations or other partners — provide in-kind support or funding for forest research to improve *forest health*, *productivity*, and sustainable management of forest resources, and the environmental benefits and performance of forest products.

Indicators:

1. Financial or in-kind support of research to address questions of relevance in the region of operations. Examples could include, but are not limited to, areas of forest *productivity*, water quality, *biodiversity*, community issues, or similar areas that build broader understanding of the benefits and impacts of forest management.
2. Research on genetically engineered trees via *forest tree biotechnology* shall adhere to all applicable federal, state, and provincial regulations and international protocols ratified by the U.S. or Canada depending on jurisdiction of management.

**Performance Measure 5.2.** *Program Participants* shall individually and/or through cooperative efforts involving *SFI Implementation Committees*, associations or other partners develop or use state, provincial or regional analyses in support of their *sustainable forestry programs*.

Indicator:

1. Participation, individually and/or through cooperative efforts involving *SFI Implementation Committees* and/or associations at the national, state, provincial or regional level, in the development or use of some of the following:
  - a. regeneration assessments;
  - b. *growth and drain* assessments;
  - c. *best management practices* implementation and conformance;
  - d. *biodiversity* conservation information for family forest owners; and
  - e. social, cultural or economic benefit assessments.

**Performance Measure 5.3.** *Program Participants* shall individually and/or through cooperative efforts involving *SFI Implementation Committees*, associations or other partners broaden the awareness of *climate change* impacts on forests, *wildlife* and *biological diversity*.

Indicators:

1. Where available, monitor information generated from regional climate models on *long-term forest health*, *productivity* and *economic viability*.
2. *Program Participants* are knowledgeable about *climate change* impacts on *wildlife*, *wildlife habitats* and *conservation of biological diversity* through international, national, regional or local *programs*.

## Objective 6. Training and Education

To improve the implementation of *sustainable forestry* practices through appropriate training and education *programs*.

**Performance Measure 6.1.** *Program Participants* shall require appropriate training of personnel and contractors so that they are competent to fulfill their responsibilities under the *SFI 2015-2019 Fiber Sourcing Standard*.

Indicators:

1. Written statement of commitment to the *SFI 2015-2019 Fiber Sourcing Standard* communicated throughout the organization, particularly to facility and woodland managers, *fiber sourcing* staff and field foresters.
2. Assignment and understanding of roles and responsibilities for achieving *SFI 2015-2019 Fiber Sourcing Standard Objectives*.
3. Staff education and training sufficient to their roles and responsibilities.
4. Contractor education and training sufficient to their roles and responsibilities.
5. *Program Participants* shall have written agreements for the use of *qualified logging professionals* and/or *certified logging professionals* (where available) and/or *wood producers* that have completed training *programs* and are recognized as *qualified logging professionals*.

**Performance Measure 6.2.** *Program Participants* shall work individually and/or with *SFI Implementation Committees*, logging or *forestry* associations, or appropriate agencies or others in the *forestry* community to foster improvement in the professionalism of *wood producers*.

Indicators:

1. Participation in or support of *SFI Implementation Committees* to establish criteria and identify delivery mechanisms for *wood producer* training courses and periodic continuing education that address:
  - a. awareness of *sustainable forestry* principles and the *SFI Program*;
  - b. *best management practices*, including streamside management and road construction, maintenance and retirement;
  - c. *reforestation*, *invasive exotic plants and animals*, forest resource *conservation*, aesthetics and *special sites*;
  - d. awareness of responsibilities under the U.S. Endangered Species Act, the Canadian Species at Risk Act, and other measures to protect *wildlife habitat* (e.g., *Forests with Exceptional Conservation Value*);
  - e. awareness of rare forested natural communities as identified by provincial or state agencies, or by credible organizations such as NatureServe and The Nature Conservancy;
  - f. logging safety;
  - g. U.S. Occupational Safety and Health Administration (OSHA) and Canadian Centre for Occupational Health and Safety (CCOHS) regulations, wage and hour rules, and other provincial, state and local employment laws;
  - h. transportation issues;
  - i. business management;
  - j. public *policy* and outreach; and
  - k. awareness of emerging technologies.
2. The *SFI Implementation Committee*-approved *wood producer* training programs shall have a continuing education component with coursework that supports the current training programs, safety and the *principles of sustainable forestry*.
3. Participation in or support of *SFI Implementation Committees* to establish criteria for recognition of logger certification *programs*, where they exist, that include:
  - a. completion of *SFI Implementation Committee* recognized *wood producer* training *programs* and meeting continuing education requirements of the training *program*;
  - b. independent in-the-forest verification of conformance with the logger certification *program* standards;
  - c. compliance with all applicable laws and regulations including responsibilities under the U.S. Endangered Species Act, the Canadian Species at Risk Act and other measures to protect *wildlife habitat*;
  - d. use of *best management practices* to protect water quality;
  - e. logging safety;

- f. compliance with acceptable *silviculture* and utilization standards;
- g. aesthetic management techniques employed where applicable; and
- h. adherence to a management or harvest plan that is site specific and agreed to by the forest landowner.

## Objective 7. Community Involvement and Landowner Outreach

To broaden the practice of *sustainable forestry* through public outreach, education, and involvement and to support the efforts of *SFI Implementation Committees*.

**Performance Measure 7.1.** *Program Participants* shall support and promote efforts by consulting foresters, state, provincial and federal agencies, state or local groups, professional societies, *conservation* organizations, *Indigenous Peoples* and governments, community groups, sporting organizations, labor, universities, extension agencies, the *American Tree Farm System*® and/or other landowner cooperative *programs* to apply *principles* of sustainable forest management.

Indicators:

1. Support, including financial, for efforts of *SFI Implementation Committees*.
2. Support, individually or collaboratively, education and outreach to forest landowners describing the importance of and providing implementation guidance on:
  - a. *best management practices*;
  - b. *reforestation* and *afforestation*;
  - c. *visual quality management*;
  - d. *conservation objectives*, such as of critical *wildlife habitat* elements, biodiversity, *threatened and endangered* species, and *Forests with Exceptional Conservation Value*;
  - e. management of harvest residue (e.g., slash, limbs, tops) considers economic, social, environmental factors (e.g., organic and nutrient value to future forests) and other utilization needs;
  - f. control of *invasive exotic plants and animals*;
  - g. characteristics of *special sites*; and
  - h. reduction of wildfire risk.
3. Participation in efforts to support or promote *conservation* of managed forests through voluntary market-based incentive *programs* such as current-use taxation *programs*, *Forest Legacy Program* or *conservation* easements.
4. *Program Participants* are knowledgeable about credible regional *conservation* planning and priority-setting efforts that include a broad range of stakeholders and have a *program* to take into account the results of these efforts in planning.
5. *Program Participants* with *fiber sourcing programs*, either individually or collaboratively with *SFI Implementation Committees*, encourage forest landowners to participate in forest management certification *programs*.



**Performance Measure 7.2.** *Program Participants* shall support and promote, at the state, provincial or other appropriate levels, mechanisms for public outreach, education and involvement related to sustainable forest management.

Indicator:

1. Periodic educational opportunities promoting *sustainable forestry*, such as:
  - a. field tours, seminars, websites, webinars or workshops;
  - b. educational trips;
  - c. self-guided forest management trails;
  - d. publication of articles, educational pamphlets or newsletters; or
  - e. support for state, provincial, and local *forestry* organizations and soil and water *conservation* districts.

**Performance Measure 7.3.** *Program Participants* shall establish, at the state, provincial, or other appropriate levels, procedures to address concerns raised by loggers, consulting foresters, employees, unions, the public or other *Program Participants* regarding practices that appear inconsistent with the *SFI 2015-2019 Fiber Sourcing Standard principles and objectives*.

Indicators:

1. Support for *SFI Implementation Committees* (e.g., toll-free numbers and other efforts) to address concerns about apparent nonconforming practices.
2. Process to receive and respond to public inquiries. *SFI Implementation Committees* shall submit data annually to *SFI Inc.* regarding concerns received and responses.

## Objective 8. Public Land Management Responsibilities

To participate and implement sustainable forest management on *public lands*.

**Performance Measure 8.1.** *Program Participants* with *forest management responsibilities on public lands* shall participate in the development of *public land* planning and management processes.

Indicators:

1. Involvement in *public land* planning and management activities with appropriate governmental entities and the public.
2. Appropriate contact with local stakeholders over forest management issues through state, provincial, federal or independent collaboration.

## Objective 9. Communications and Public Reporting

To increase transparency and to annually report progress on conformance with the *SFI 2015-2019 Fiber Sourcing Standard*.

**Performance Measure 9.1.** A *Program Participant* shall provide a summary audit report, prepared by the *certification body*, to *SFI Inc.* after the successful completion of a certification, recertification or surveillance audit to the *SFI 2015-2019 Fiber Sourcing Standard*.

Indicator:

1. The summary audit report submitted by the *Program Participant* (one copy must be in English), shall include, at a minimum:
  - a. a description of the audit process, *objectives* and scope;
  - b. a description of substitute *indicators*, if any, used in the audit and a rationale for each;
  - c. the name of the *Program Participant* that was audited, including its *SFI* representative;
  - d. a general description of the *Program Participant's* forestland, fiber procurement and/or manufacturing operations included in the audit;
  - e. the name of the *certification body* and *lead auditor* (names of the *audit team* members, including *technical experts* may be included at the discretion of the *audit team* and *Program Participant*);
  - f. the dates the audit was conducted and completed;
  - g. a summary of the findings, including general descriptions of evidence of conformity and any nonconformities and corrective action plans to address them, opportunities for improvement, and exceptional practices; and
  - h. the certification decision.

The summary audit report will be posted on the *SFI Inc.* website ([www.sfiprogram.org](http://www.sfiprogram.org)) for public review.

**Performance Measure 9.2.** *Program Participants* shall report annually to *SFI Inc.* on their conformance with the *SFI 2015-2019 Fiber Sourcing Standard*

Indicators:

1. Prompt response to the *SFI* annual progress report survey.
2. Record keeping for all the categories of information needed for *SFI* annual progress report surveys.
3. Maintenance of copies of past survey reports to document progress and improvements to demonstrate conformance to the *SFI 2015-2019 Fiber Sourcing Standard*.

## Objective 10. Management Review and Continual Improvement

To promote continual improvement in the practice of *sustainable forestry* by conducting a management review and monitoring performance.

**Performance Measure 10.1.** *Program Participants* shall establish a management review system to examine findings and progress in implementing the *SFI 2015-2019 Fiber Sourcing Standard*, to make appropriate improvements in *programs*, and to inform their employees of changes.

Indicators:

1. System to review commitments, *programs* and procedures to evaluate effectiveness.
2. System for collecting, reviewing and reporting information to management regarding progress in achieving *SFI 2015-2019 Fiber Sourcing Standard objectives and performance measures*.
3. Annual review of progress by management and determination of changes and improvements necessary to continually improve conformance to the *SFI 2015-2019 Fiber Sourcing Standard*.

***Fiber sourcing outside the United States and Canada (For fiber sourcing from outside the United States and Canada, Objectives 11-13 also apply.)***

**Objective 11. Promote Conservation of Biological Diversity, Biodiversity Hotspots and High-Biodiversity Wilderness Areas**

To promote the conservation of biological diversity, biodiversity hotspots and high-biodiversity wilderness areas in fiber sourcing programs.

**Performance Measure 11.1.** *Program Participants shall ensure that their fiber sourcing programs support the principles of sustainable forestry, including efforts to promote conservation of biological diversity.*

Indicators:

1. *Fiber sourcing* from areas outside the United States and Canada promotes conservation of biological diversity, utilizing information from the following sources:
  - a. *biodiversity hotspots and high-biodiversity wilderness areas* as identified by Conservation International; and
  - b. *rare species and habitat information derived* from organizations such as the World Resources Institute, the Alliance for Zero Extinction, the World Wildlife Fund, the International Union for Conservation of Nature and NatureServe.
2. *Program with direct suppliers* to promote the principles of sustainable forestry.
3. Documented information that includes knowledge about *direct suppliers' application of the principles of sustainable forestry*.

**Objective 12. Avoidance of Controversial Sources including Illegal Logging**

To avoid illegal logging in fiber sourcing programs.

**Performance Measure 12.1.** *Program Participants shall ensure that their fiber sourcing programs support the principles of sustainable forestry, including efforts to reduce the risk of illegal logging.*

[See Section 7 – SFI Policies.]

Indicators:

1. Process to assess the risk that the *Program Participant's fiber sourcing program* could acquire material from illegal logging such as consulting information from the World Resources Institute Risk Information Tool, the World Bank Legal Rights Index, or Transparency International.
2. *Program* to address any significant risk identified under 12.1.1.
3. *Program with direct suppliers* to promote the principles of sustainable forestry.
4. Documented information that includes knowledge about *direct suppliers' application of the principles of sustainable forestry*.

**Objective 13. Avoidance of Controversial Sources including Fiber Sourced from Areas without Effective Social Laws**

To avoid controversial sources in fiber sourcing programs.

**Performance Measure 13.1.** *Program Participants shall avoid controversial sources and encourage socially sound practices.*

Indicators:

1. Process to assess the risk that the *Program Participant's fiber sourcing* could take place in countries without effective laws addressing the following:
  - a. workers' health and safety;
  - b. fair labor practices;
  - c. *Indigenous Peoples' rights*;
  - d. anti-discrimination and anti-harassment measures;
  - e. prevailing wages; and
  - f. workers' right to organize.
2. *Program* to address any significant risk identified under 13.1.1.

# APPENDIX 1: RULES FOR USE OF SFI CERTIFIED SOURCING LABEL

## PREFACE

*SFI Inc.* is an independent, non-profit, charitable organization dedicated to promoting sustainable forest management in North America and supporting responsible procurement globally. *SFI* governed by a three-chamber Board of Directors representing environmental, social and economic interests equally, and the SFI program addresses local needs through its grassroots network of 34 *SFI Implementation Committees* across North America. *SFI Inc.* directs all elements of the SFI program including the *SFI* forest management, *fiber sourcing* and *chain-of-custody* standards, labeling and marketing.

Consumers in growing numbers want assurance that their buying decisions represent a sound environmental choice. They are asking for proof that wood, paper and packaging products are made with raw materials from *certified forest content* and *certified sourcing*. The Rules for Use of *SFI* On-Product Labels as well as the *SFI Chain-of-Custody Standard* deliver a reliable and credible mechanism so businesses can provide this assurance to their customers.

The SFI program meets guidelines on environmental claims in product advertising and communication issued by the U.S. Federal Trade Commission and guidelines on environmental labeling and advertising issued by the Competition Bureau of Canada.

Studies have shown that consumers appreciate the value of forest certification in helping them identify wood and paper products from legal, responsible sources.

The fact that the SFI program can deliver a steady supply of fiber from well-managed forests is especially important at a time when there is increasing demand for green building and responsible paper purchasing, and only 10 percent of the world's forests are certified.

## PART 1. SCOPE AND PURPOSE

### 1.1 Scope

This section describes the requirements for *Program Participants*, both *primary producers* and *secondary producers*, in the United States or Canada seeking use of the *SFI Certified Sourcing* on-product label. *Primary* or *secondary producers* with operations outside of the United States and Canada should refer to Part 4 of this Appendix.

### 1.2 Purpose

The purpose of this section is to describe the requirements *Program Participants* and *secondary producers* must meet in order to use the *SFI* on-product label or claim.

### 1.3 Label

The following label applies to this section.



## PART 2. NORMATIVE AND INFORMATIVE REFERENCES

### 2.1 Normative

The following normative *SFI 2015-2019 Standards and Rules* Sections are referenced in this document and can be found on the *SFI Inc.* website at [www.sfiprogram.org](http://www.sfiprogram.org):

- i. Sections 2 and 3 - *SFI 2015-2019 Standards and Rules*
- ii. Section 5 - Rules for Use of *SFI* On-Product Labels and Off-Product Marks
- iii. Section 7 - *SFI* Policies
- iv. Section 9 - *Appendix 1: Audits of Multi-Site Organizations*
- v. Section 13 - *SFI* Definitions

### 2.2 Informative

The following informative documents are referenced in this section and can be found on the *SFI Inc.* website at [www.sfiprogram.org](http://www.sfiprogram.org):

- i. Section 4 - *SFI 2015-2019 Chain-of-Custody Standard*
- ii. Section 6 - Guidance to *SFI 2015-2019 Standards*
- iii. Section 9 - *SFI 2015-2019 Audit Procedures and Auditor Qualifications and Accreditation*
- iv. ISO 9001:2008 Quality management systems - Requirements
- v. ISO 14001:2004 Environmental Management Systems - Specification with guidance for use

## PART 3. CERTIFIED SOURCING LABEL

**3.1** *Primary producers* are manufacturing units that produce forest products (wood, paper, pulp, or composite products) and source 50% or more (by weight) of their wood-based raw materials directly from *primary sources*. They must account for 100% of their *primary sources* as coming from *certified sourcing*.

If a *primary producer* sources from company-owned or company-controlled lands enrolled in the *SFI* program, those lands must be third-party certified to the *SFI 2015-2019 Forest Management Standard*.

**3.2** *Secondary producers* are manufacturing units that produce forest products and source 50% or more (by weight) of their wood-based raw materials from *secondary sources*. They must account for at least two-thirds (2/3) (by weight) of the wood or wood fiber in the product(s) or manufacturing unit as coming from *certified sourcing*. The other one-third (1/3) cannot come from *controversial sources*.

**3.3** Calculation of percentage for use of the *Certified Sourcing* Label is as follows:

- 3.3.1 *Primary producers* shall demonstrate conformance with the requirements of 3.1 at all times, which means 100% *certified sourcing* for every *product group*.
  - If less than 5% (by weight) of a manufacturing unit's raw material supply comes from *secondary sources*, these sources are considered de minimis and no certification of this portion is required if all is from U.S. or Canadian sources.
- 3.3.2 *Secondary producers* shall specify how they will meet the requirements of 3.2 to conform to the two-thirds rule. They may base the calculation on a *product group* or time period (which cannot exceed one quarter). The percentage may be calculated as:
  - Rolling Average Percentage – The percentage calculated for wood fiber consumed during, for example, the previous four quarters or 12 months. The period over which the rolling average is calculated shall not exceed one year.
  - Simple Percentage – The percentage calculated for wood fiber consumed in the specific *product group*.
- 3.3.3 In all cases, the organization must demonstrate that the requirements of 3.1 and/or 3.2 are met before the label can be used in relation to a specific *product group* or time period.



3.3.4 A *secondary producer* may use the *Certified Sourcing* Label on products from a single manufacturing unit as long as the specific supply for that product(s) or for that manufacturing unit meets all the content requirements set out in this document.

3.3.5 The sourcing requirement may be met at either the product line or manufacturing unit level.

**3.4 SFI Certified Sourcing Claim:** Fiber that conforms with Objectives 1-13 of Section 3, and/or from *pre-consumer recycled content*, and/or from *post-consumer recycled content*, and/or from an *acceptable forest management standard*.

3.4.1 *Certified sourcing* claim verification can occur by a *primary producer's* Section 3 certificate, an invoice, bill of lading, shipping document, letter, or other forms of communications available to the customer.

## PART 4. ORGANIZATIONS OUTSIDE THE UNITED STATES AND CANADA

**4.1** A *primary producer* or *secondary producer* outside the United States and Canada must successfully complete an annual audit by an accredited *SFI certification body* against the requirements of Appendix 1 of the *SFI 2015-2019 Fiber Sourcing Standard*.

**4.2** A *primary producer* outside the United States and Canada must account for 100% of its *primary sources* as coming from *certified sourcing*.

**4.3** A *secondary producer* outside the United States and Canada must account for at least two-thirds (2/3) (by weight) of the wood or wood fiber in the product(s) or manufacturing unit as coming from *certified sourcing*. The other one-third (1/3) cannot come from *controversial sources*.

## PART 5. CERTIFIED SOURCING DEFINITION

*Certified sourcing* is defined as raw material sourced from the following sources and confirmed by a *certification body*:

**5.1** Fiber that conforms with Objectives 1-13 of Section 3 - *SFI 2015-2019 Fiber Sourcing Standard's* requirements.

**5.2** *Pre-consumer recycled content*: Material diverted from the waste stream during a manufacturing process. It does not include materials such as rework, regrind or scrap generated in a process and capable of being reclaimed within the same process.

Any claims about *pre-consumer recycled content* by *Program Participants* or *label users* shall be accurate and consistent with applicable law. *Program Participants* and *label users* are encouraged to consult the U.S. Federal Trade Commission's guidelines on environmental claims in product advertising and communication and the guidelines on environmental labeling and advertising issued by the Fair Business Practices Branch of Industry Canada's Competition Bureau, as appropriate, and to seek additional information and direction from national accreditation bodies, national standards bodies and national, state and provincial consumer protection and competition laws.

**5.3** *Post-consumer recycled content*: Material generated by households or by commercial, industrial and institutional facilities in their role as end-users of the product, which can no longer be used for its intended purpose.

Any claims about *post-consumer recycled content* by *Program Participants* and *label users* shall be accurate and consistent with applicable law. *Program Participants* and *label users* are encouraged to consult the U.S. Federal Trade Commission's guidelines on environmental claims in product advertising and communication and the guidelines on environmental labeling and advertising issued by the Fair Business Practices Branch of Industry Canada's Competition Bureau, as appropriate, and to seek additional information and direction from national accreditation bodies, national standards bodies, and national, state and provincial consumer protection and competition laws.

**5.4** *Certified forest content*, which includes content from specific forest tracts that are third-party certified to conform with the *SFI 2015-2019 Forest Management Standard's* Objectives 1-15 requirements or other *acceptable forest management standards* (e.g., CAN/CSA Z809, CAN/CSA Z804 and ATFS).

**5.5** *Non-controversial sources*: The organization shall establish adequate measures to ensure that the labeled products do not come from *controversial sources*. See Part 6 on due diligence system to avoid *controversial sources*.

## PART 6. DUE DILIGENCE SYSTEM TO AVOID CONTROVERSIAL SOURCES

### 6.1 Definition of *Controversial Sources*

- a. Forest-based products that are not in compliance with applicable state, provincial or federal laws, particularly as they may relate to:
  - *conversion sources*;
  - legally required *protection of threatened and endangered species*;
  - requirements of CITES (The Convention on International Trade in Endangered Species of Wild Fauna and Flora);
  - legally required management of areas with designated high environmental and cultural values;

- labor regulations relating to forest workers; and
  - *Indigenous Peoples'* property, tenure and use rights
- b. Forest-based products from *illegal logging*
- c. Forest-based products from areas without effective social laws

## 6.2 Verification of Purchased Product(s)

To avoid *controversial sources*, the organization shall obtain and verify the scope of an *SFI Section 2 (SFI 2015-2019 Forest Management Standard)*, *Section 3 (SFI 2015-2019 Fiber Sourcing Standard)*, *Section 4 (SFI 2015-2019 Chain-of-Custody Standard)*, or *other credible chain-of-custody standard* certificate. Verification shall ensure that the facility and the purchased product(s) are directly associated with the certification. This can be achieved through the following:

- On a valid *SFI Section 2 (SFI 2015-2019 Forest Management Standard)*, *Section 3 (SFI 2015-2019 Fiber Sourcing Standard)*, *Section 4 (SFI 2015-2019 Chain-of-Custody Standard)*, or *other credible chain-of-custody standard* certificate or appendix to the certificate.
- On a publicly available *product group* listing, or
- By other means of verification.

Where inspection of the certificate and other supporting evidence can demonstrate that the facility and *product groups* are within scope of the certificate, then the organization purchasing that *product group* can credibly conclude that the products being sourced are low risk of coming from *controversial sources*.

## 6.3 Conducting a Risk Assessment

When forest-based products, excluding *recycled content*, are procured without a valid *SFI Section 2 (SFI 2015-2019 Forest Management Standard)*, *Section 3 (SFI 2015-2019 Fiber Sourcing Standard)*, *Section 4 (SFI 2015-2019 Chain-of-Custody Standard)*, or *other credible chain-of-custody standard* certificate, the organization shall collect information on the source of the forest-based product, through a due diligence system to address the likelihood of sourcing from *controversial sources*.

The organization's due diligence system shall:

- 6.3.1 Conduct a risk assessment of sourcing forest-based products that are not in compliance with applicable state, provincial or federal laws, particularly as they may relate to:
  - *conversion source*;;
  - legally required *protection of threatened and endangered species*;
  - requirements of CITES (The Convention on International Trade in Endangered Species of Wild Fauna and Flora);
  - legally required management of areas with designated high environmental and cultural values;
  - labor regulations relating to forest workers; and
  - *Indigenous Peoples'* property, tenure and legally established use rights.

The risk assessment shall be carried out at the national level and where risk is not consistent, at the appropriate regional level.

- 6.3.2 Conduct a risk assessment of sourcing forest-based products from *illegal logging*.
- 6.3.3 Conduct a risk assessment of sourcing forest-based products from areas without effective social laws addressing the following:
  - workers' health and safety;
  - fair labor practices;
  - Indigenous Peoples'* rights;
  - antidiscrimination and anti-harassment measures;
  - prevailing wages; and
  - workers' right to organize.

## 6.4 Implementing Program to Address Risk

Where the risk assessment conducted under 6.3 determines other than low risk, the organization shall implement a *program* to mitigate such risk and require a signed contract and/or self-declaration that the supplied forest-based product does not originate from *controversial sources*.

# PART 7. MINIMUM MANAGEMENT SYSTEM REQUIREMENTS

## 7.1 General Requirements

The organization shall operate a management system in accordance with the following elements of this standard, which ensure correct implementation and maintenance of the *certified sourcing* process. The management system shall be appropriate to the type, range and volume of work performed.

Note: An organization's quality (ISO 9001:2008) or environmental (ISO 14001:2004) management system can be used to meet the minimum requirements for the management system defined in this standard.

## 7.2 Responsibilities and Authorities for Certified Sourcing

- 7.2.1 The organization's top management shall define and document its commitment to implement and maintain the *certified sourcing* requirements, and make this available to its personnel, suppliers, customers, and other interested parties.
- 7.2.2 The organization's top management shall appoint a member of the management who, irrespective of other responsibilities, shall have overall responsibility and authority for the *certified sourcing*.
- 7.2.3 The organization's top management shall carry out a regular periodic review of the *certified sourcing* and its compliance with the requirements of this standard.

- 7.2.4 The organization shall identify personnel performing work affecting the implementation and maintenance of the *certified sourcing*, and establish and set responsibilities and authorities relating to the *certified sourcing* process:
- a. raw material procurement and identification of the *certified sourcing*;
  - b. product sale and labeling;
  - c. record keeping; and
  - d. internal audits and nonconformity control.

Note: The responsibilities and authorities for the *certified sourcing* given above can be cumulated.

### 7.3 Documented Procedures

The organization's procedures for the *certified sourcing* shall be documented, and include at least the following elements:

- a. description of the raw material flow within the production process;
- b. organization structure, responsibilities and authorities relating to chain of custody; and
- c. procedures for the *certified sourcing* process covering all requirements of this standard.

### 7.4 Record Keeping

- 7.4.1 The organization shall establish and maintain records to provide evidence it has conformed to the requirements of this standard and its *certified sourcing* procedures are effective and efficient. The organization shall keep at least the following:
- a. records of all suppliers of *certified sourcing* material, including information to confirm requirements at the supplier level are met;
  - b. records of all purchased *certified sourcing* raw material;
  - c. records of all *certified sourcing* products sold;
  - d. records of internal audits, nonconformities that occurred and corrective actions taken; and
  - e. records of top management's periodic review of compliance with *certified sourcing* requirements.

- 7.4.2 The organization shall maintain the records for a minimum period of three years unless stated otherwise by law.

### 7.5 Resource Management

- 7.5.1 Human Resources/Personnel
- The organization shall ensure that all personnel performing work affecting the implementation and maintenance of the *certified sourcing* shall be competent on the basis of appropriate training, education, skills and experience.

### 7.5.2 Technical Facilities

The organization shall identify, provide and maintain the infrastructure and technical facilities needed for effective implementation and maintenance of the organization's *certified sourcing* to meet the requirements of this standard.

## 7.6 Internal Audit and Management Review

- 7.6.1 The organization shall conduct internal audits at intervals of no more than one year covering all requirements of this standard, and establish corrective and preventive measures if required.

- 7.6.2 The organization shall conduct the internal audit in accordance with the following requirements:
- a. The internal audit shall be undertaken by personnel who have adequate knowledge of the *SFI 2015-2019 Fiber Sourcing Standard*;
  - b. Off-site interviews and desk audits are permissible, appropriate to the scope and scale of the organization;
  - c. If there have been no inputs or outputs for a site or manufacturing facility over the past year, internal audits are not required;
  - d. If a site or manufacturing facility has had no sales of *SFI certified sourcing* products over that past year, internal audits are not required;
  - e. Internal audits are to assess overall organizational conformance and internal audit documentation can consist of one consolidated internal audit checklist and/or report; and
  - f. Where nonconformities are identified during the internal audit process, a corrective action plan shall be developed at the site and/or organizational level.

- 7.6.3 Where the organization has outsourced activities within the scope of its *certified sourcing*, the organization shall develop procedures for the audit of these contractors.

- 7.6.4 The internal audit of outsource contractors may be conducted remotely.

- 7.6.5 Where there are sufficient outsource contractors, the internal audit may use a sampling approach for these contractors.

- 7.6.6 The internal audit of outsource contractors shall:
- a. determine the level of risk associated with the outsourced activities.
  - b. include within the scope of the internal audit those outsourced activities assessed as high risk.

7.6.7 The organization shall have its rationale for remote audits and its sampling procedure audited by its third-party certifier.

7.6.8 The results of internal audits shall be reported to management for review during the annual management review.

## PART 8. APPLICATION REQUIREMENTS

### 8.1 *Primary producers must annually submit to the Office of Label Use and Licensing:*

8.1.1 A copy of their certificate for Section 2 - *SFI 2015-2019 Forest Management Standard* if a *primary producer* sources from company-owned or company-controlled lands enrolled in the *SFI program* and/or a copy of their Section 3 - *SFI 2015-2019 Fiber Sourcing Standard* listing the manufacturing units covered under the scope of the certificate.

8.1.2 A copy of their annual *SFI 2015-2019 Forest Management Standard* and/or *SFI 2015-2019 Fiber Sourcing Standard* audit report issued by an *SFI certification body*.

### 8.2 *Secondary producers must annually submit to the Office of Label Use and Licensing:*

8.2.1 A copy of their *Certified Sourcing* certificate issued to *secondary producers* certified to Section 3 – Appendix 1 - Rules for Use of *SFI Certified Sourcing Label*, issued by an accredited *SFI certification body*.

8.2.2 A list of the manufacturing unit(s) and product(s) for which the *SFI Certified Sourcing Label* use approval is sought.

### 8.3 *Primary or secondary producers outside the United States and Canada must annually submit to the Office of Label Use and Licensing:*

8.3.1 A copy of their *Certified Sourcing* certificate to Section 3 - Appendix 1 - Rules for Use of *SFI Certified Sourcing Label*, issued by an accredited *SFI certification body*.

8.3.2 A list of the manufacturing unit(s) and product(s) for which the *SFI Certified Sourcing Label* use approval is sought.

## PART 9. OFFICE OF LABEL USE AND LICENSING

9.1 The *Office of Label Use and Licensing* shall evaluate and approve applications for use of all *SFI* on-product labels, shall establish label use rules and procedures set out in the Rules for Use of *SFI* On-Product Labels and Off-Product Marks (Section 5 in the *SFI 2015-2019 Standards and Rules*), and shall maintain oversight of use of all *SFI* on-product labels.

9.2 A *label user* may not use the *SFI program* label on any products from manufacturing unit(s) for which it has not obtained approval from the *Office of Label Use and Licensing*.

9.3 Approval for use of any *SFI* on-product labels will become effective upon authorization issued by the *Office of Label Use and Licensing*, and remains in effect for one year, unless terminated pursuant to the terms set out in the *SFI Label Agreement*.

9.4 The *Office of Label Use and Licensing* may periodically announce additional rules and procedures to ensure ownership and use of the *SFI* on-product labels are adequately protected under applicable law, and to ensure proper consumer understanding.

9.5 Applicants must provide specific examples of proposed *SFI* on-product label use and related promotional literature to the *Office of Label Use and Licensing*, in keeping with *Section 5 Rules for Use of SFI On-Product labels and Off-Product Marks*.

9.6 In response to questions and issues raised by *SFI* on-product label users or *certification bodies*, the *Office of Label Use and Licensing* will periodically announce and formally adopt interpretations to *Section 5 Rules for Use of SFI On-Product labels and Off-Product Marks*. All interpretations will be posted at [www.sfiprogram.org](http://www.sfiprogram.org).





# SECTION 4

## SFI 2015-2019 CHAIN-OF-CUSTODY STANDARD



JANUARY 2015

SUSTAINABLE  
FORESTRY  
INITIATIVE

SFI-00001





# SFI 2015-2019 CHAIN-OF-CUSTODY STANDARD

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# SFI 2015-2019 CHAIN-OF-CUSTODY STANDARD

## INTRODUCTION

*SFI Inc.* is an independent, non-profit, charitable organization dedicated to promoting sustainable forest management in North America and supporting responsible procurement globally. The *SFI* Board is a three chamber Board of Directors representing environmental, social and economic interests equally, and the *program* addresses local needs through its grassroots network of 34 *SFI Implementation Committees* across North America. *SFI Inc.* directs all elements of the *SFI program* including the *SFI* forest management, *fiber sourcing*, and *chain-of-custody standards*, labeling and marketing.

Consumers in growing numbers want assurance that their buying decisions represent a sound environmental choice. They are asking for proof that wood, paper and packaging products are made with raw materials from *certified forest content* or *certified sourcing*. The *SFI 2015-2019 Chain-of-Custody Standard* and Associated Labels, implemented together with certification to the *SFI 2015-2019 Forest Management* and *Fiber Sourcing Standards* and the *SFI Rules For Use of On-Product Labels and Off-Product Marks*, delivers a reliable and credible mechanism so businesses can provide this assurance to customers.

Program Participants practice responsible forestry on the lands they manage and, once they are successfully audited by an independent *SFI certification body*, they can make claims about *SFI* forest management certification and access *SFI-certified content* labels. They also need to achieve a separate third-party chain-of-custody certification.

*Chain of custody* is an accounting system process that tracks wood fiber through the different stages of production. Companies can make claims about how much of their product comes from certified lands, how much contains *post-consumer recycled content*, and how much is responsibly sourced fiber through unique *SFI fiber sourcing* certification. These claims can be made based on either the physical separation or percentage-based methods of tracking *certified forest content* and *certified sourcing*.

The *SFI program* addresses the fact that only 10 percent of the world's forests are certified through procurement requirements in the *SFI 2015-2019 Fiber Sourcing Standard* requiring that *Program Participants* establish adequate measures to ensure all the fiber they source is from legal and responsible sources, regardless of whether it is from certified or uncertified forests. The *SFI program* meets guidelines on environmental claims in product advertising and communication issued by the U.S. Federal Trade Commission and guidelines on environmental labeling and advertising issued by the Competition Bureau of Canada.

Studies have shown that consumers appreciate the value of forest certification in helping them identify wood and paper products from legal, responsible sources.

The fact that the *SFI program* can deliver a steady supply of fiber from well-managed forests is especially important at a time when there is increasing demand for green building and responsible paper purchasing, and only 10 percent of the world's forests are certified.

## PART 1. GENERAL

### 1.1 Scope

#### What the Chain-of-Custody Standard Does

The *SFI 2015-2019 Chain-of-Custody Standard* is an accounting system that tracks forest fiber content through production and manufacturing to the end product. Organizations can use chain-of-custody certification to track and communicate how much of their product comes from certified lands, certified *fiber sourcing*, *recycled content* and/or *non-certified forest content*.

#### What the Chain-of-Custody Standard Covers

The *SFI 2015-2019 Chain-of-Custody Standard* applies to any organization that sources, processes, manufactures, handles, trades, converts or prints forest-based products.

#### Geographic Application of the Chain-of-Custody Standard

The *SFI 2015-2019 Chain-of-Custody Standard* applies to any organization globally.

### 1.2 Additional Requirements

*Primary producers* must also conform to the *SFI 2015-2019 Fiber Sourcing Standard*.

Use of the *SFI* on-product labels and claims shall follow Section 5 - Rules for Use of *SFI* On-Product Labels and Off-Product Marks as well as ISO 14020:2000.

### 1.3 References

This standard incorporates, by dated or undated reference, provisions from other publications. These normative and informative references are cited at the appropriate places in the text and the publications are listed hereafter. For dated and undated references, the latest edition of the publication applies.

#### Normative References

- i. ISO/IEC Guide 65:1996 General Requirements for bodies operating product certification systems
- ii. ISO/IEC 17065:2012 - Conformity Assessment - Requirements for bodies certifying product, process and services
- iii. ISO/IEC Guide 2:2004 Standardization and related activities - General vocabulary
- iv. ISO 14020:2000 Environmental labels and declarations - General principles
- v. Section 2 - *SFI 2015-2019 Forest Management Standard*
- vi. Section 3 - *SFI 2015-2019 Fiber Sourcing Standard*
- vii. Section 5 - Rules for Use of *SFI*-On-Product Labels and Off-Product Marks
- viii. Section 7 - *SFI Policies*
- ix. Section 9 - Appendix 1: Audits of Multi-Site Organizations
- x. Section 11 - Public Inquiries and Official Complaints
- xi. Section 13 - *SFI* Definitions

For the purposes of this standard, the relevant definitions given in ISO/IEC Guide 2:2004 and ISO 9000:2005 apply, together with the definitions in the *SFI* Definitions (Section 13).

#### Informative References

- i. ISO 9000:2005 Quality management systems - Fundamentals and vocabulary
- ii. ISO 9001:2008 Quality management systems - Requirements
- iii. ISO 14001:2004 Environmental Management Systems - Specification with guidance for use
- iv. PEFC ST 2002:2013 Chain of Custody of Forest-Based Products - Requirements, May 24 2013
- v. Section 6 - Guidance to *SFI* 2015-2019 Standards
- vi. Section 9 - *SFI 2015-2019 Audit Procedures and Auditor Qualifications and Accreditation*

## PART 2: REQUIREMENTS FOR CHAIN-OF-CUSTODY PROCESS - PHYSICAL SEPARATION METHOD

### 2.1 General Requirements for Physical Separation

- 2.1.1 The organization applying the physical separation method shall ensure that the *certified forest content* is separated or controlled to ensure it is not mixed with or replaced by uncertified content.
- 2.1.2 The organization, whose *certified forest content* and *recycled content* inputs are not mixed with other raw material, should use physical separation as the preferred option.
- 2.1.3 An organization who makes *SFI* claims or uses the *SFI* on-product label in association with *non-timber forest products* shall apply the physical separation method to ensure *non-timber forest products* are sourced from *SFI*-certified lands.

### 2.2 Identification of the *Origin*

#### 2.2.1 Identification at Delivery Level

The organization shall identify and verify the category of the *origin* of all procured raw material. Documents and/or verifiable information associated with the source and/or delivery of raw material shall include at least:

- a. supplier identification;
- b. quantity of delivery;
- c. date of delivery / delivery period / accounting period;
- d. category of *origin*,
  - i. *SFI Certified Forest Content* - Raw material from a forest certified to an *acceptable forest management standard* constitutes a claim of 100 percent *certified forest content*
  - ii. *SFI Certified Sourcing*
  - iii. *Post-Consumer Recycled*
  - iv. *Pre-Consumer Recycled*
  - v. *SFI Recycled Content* and
- e. The supplier's chain-of-custody number, if applicable.

This information can be documented in the form of, but not limited to, an invoice, bill of lading, shipping document, letter, or other forms of communications between the organization and the next entity in the supply chain.

Note 1: The categories of the *origin* of raw material are specified in the *SFI* Definitions (Section 13).

Note 2: An organization (e.g., printer or lumberyard) that uses the physical separation method and sources inputs from a supplier that uses the percentage-based method must know the percentage of *certified content* if it wants to label products or make claims about them.

#### 2.2.2 Identification at Supplier Level

The organization shall obtain or access confirmation documentation for all suppliers of the *certified forest content*, which proves that the criteria set for the supplier have been met.

### 2.3 Separation of the *Certified Content*

- 2.3.1 *Certified content* shall remain clearly identifiable throughout the entire sourcing production, trading and sales process. This shall be achieved by:
- physical separation in terms of production and storage space or
  - physical separation in terms of time or
  - permanent identification of the *certified content*.

- 2.3.2 Verification that *certified content* is controlled during the production, trading, and sales process to ensure it is not replaced by uncertified material.

### 2.4 Sale of *Certified Content* Products

- 2.4.1 At the point of sale or transfer of the certified products to another entity, the organization shall provide the next entity in the chain with written information confirming the supplier's certification status and an official *SFI* claim statement providing a clear indication of input category. This can be in the form of, but is not limited to, an invoice, bill of lading, shipping document, letter or other forms of communications available to the customer at the time of the sale of the product.
- 2.4.2 The organization shall ensure that documentation of the certified products clearly states at least the following information:
- organization's identification;
  - quantity of delivery;
  - date of delivery/delivery period/accounting period;
  - an official *SFI* claim;
    - SFI X% Certified Forest Content
    - SFI X% Recycled Content
    - SFI X% Pre-Consumer Recycled

- SFI X% Post-Consumer Recycled
  - SFI X% Certified Sourcing  
(Note: Percentages of any combination of the above are permissible.)
  - SFI at Least X% Certified Forest Content ; and
- e. the organization's chain-of-custody number.

- 2.4.3 If the organization uses the off-product mark or on-product label, both on-product and off-product usage shall be carried out according to the terms and conditions of the *Office of Label Use and Licensing* and the Rules \ for Use of *SFI* On-Product Labels and Off-Product Marks (Section 5 in the *SFI 2015-2019 Standards and Rules*).

## PART 3: REQUIREMENTS FOR CHAIN-OF-CUSTODY PROCESS – MIXING OF INPUTS – AVERAGE PERCENTAGE METHOD AND VOLUME CREDIT METHOD

### 3.1 General Requirements for Mixing of Inputs

The percentage-based method applies to organizations with facilities where *certified content* is mixed with non-certified forest inputs that cannot be clearly identified in the output products.

### 3.2 Definition of the *Product Group*

- 3.2.1 The organization shall implement the requirements for the chain-of-custody process of this standard for the specific *product group*.
- 3.2.2 The organization shall identify its *product group(s)* based on the following criteria:
- raw material included in the products covered by the *product group*,
  - production site at which the products covered by the *product group* have been produced,
  - time period over which the products covered by the *product group* have been produced or sold/transferred.
- 3.2.3 The *product group* shall be associated with (i) a single product or (ii) a group of products, which consist of the same or similar input raw material based on, for example, species, sort or substitutability within products (e.g., SPF lumber contains multiple tree species but may be treated as a single *product group*).
- 3.2.4 The organization shall identify an entity within the organization for which the *product group* is defined and only products produced or controlled by that entity shall be included within the *product group*.

Note: The entity may be a standalone manufacturing facility, a forest contractor with multiple harvest sites, a trader or distributor with multiple suppliers, a remanufacturing facility supplied by multiple primary manufacturers or a centralized sales department within an organization with responsibility for multiple manufacturing units.



3.2.5 For credibility purposes, the maximum *claim period* is three months.

3.2.6 The organization shall identify all products included in the *product group* covered by the chain-of-custody *claim period* so it is possible to determine the *product group* to which the products belong. The identifier can be a unique number or a name that all products within the *product group* belong to.

Note: Physical on-product identification of the *product group* is not required if the certification percentage is applied to sold or transferred products as the *product group* identification is evident from the sale or delivery documents. However, products that carry the *SFI* on-product label must be accompanied by the associated claim statement.

### 3.3 Identification of the Origin

#### 3.3.1 Identification at Delivery/Receipt Level

The organization shall identify and verify the category of *origin* of all procured raw material that is received. Documents associated with delivery and receipt of raw material shall include at least:

- a. supplier identification,
- b. quantity of delivery,
- c. date of delivery / delivery period / claim accounting period,
- d. category of *origin*,
  - i. *SFI Certified Forest Content* - Raw material from a forest certified to an *acceptable forest management standard* constitutes a claim of 100 percent *certified forest content*
  - ii. *SFI Certified Sourcing*
  - iii. *Post-Consumer Recycled*
  - iv. *Pre-Consumer Recycled*
  - v. *SFI Recycled Content*
- e. the supplier's chain-of-custody number, if applicable.

This information can be documented in the form of, but not limited to, an invoice, bill of lading, shipping document, letter, or other forms of communications between the organization and the customer.

Note: The categories of the *origin* of raw material are specified in the *SFI* Definitions (Section 13).

#### 3.3.2 Identification at Supplier Level

The organization shall verify the validity and scope of the forest management, *fiber sourcing* or chain-of-custody certificate.

### 3.4 Calculation of the Certified Percentage

3.4.1 The organization shall calculate the certification percentage separately for each *claim period* according to the following formula:

$$P_c [\%] = \frac{V_c}{V_c + V_o} \cdot 100$$

<b>P<sub>c</sub></b>	Certification percentage
<b>V<sub>c</sub></b>	<i>Certified content</i>
<b>V<sub>o</sub></b>	Other raw material ( <i>certified sourcing</i> )

Note: When making claims about *pre-* and *post-consumer recycled content*, both can count as *certified content* and the amount must be disclosed to the customer. For organizations choosing not to count *pre-* and *post-consumer recycled content*, the *pre-* and *post-consumer recycled content* is neutral and shall not be included in the calculation of the *certified content* percentages in chain-of-custody tracking.

3.4.2 The organization shall calculate the certification percentage based on a single measurement unit used for all raw material covered by the calculation. The organization shall use only official conversion ratios and methods. If a suitable official conversion ratio does not exist, the organization shall define and use a reasonable and credible internal conversion ratio.

(Note: The Conversion Factor/Ratio is calculated by dividing the output (volume or weight) by the input (volume or weight) and is applied to each individual input component of a *product group*).

3.4.3 If the procured raw material includes only a proportion of *certified content*, then only the quantity corresponding to the actual certification percentage claimed by the supplier can enter the calculation formula as *certified content*. The rest of that raw material shall enter the calculation as other raw material.

3.4.4 The organization shall calculate the certification percentage as either a simple or rolling average percentage. Refer to Appendix 1 of this document for the definitions of simple and rolling average calculations.

3.4.5 The organization applying the simple certification percentage shall base the calculation of *P<sub>c</sub>* [the certification percentage] for each *product group* on the figures for *V<sub>c</sub>* (*certified content*) and *V<sub>o</sub>* (other raw material) for that specific *product group*. As a result, it is necessary for the organization applying this method to know the percentage of *certified content* before any product of the *product group* is sold or transferred.

The *claim period* shall not exceed three months of production.

- 3.4.6 The organization applying the rolling average certification percentage shall base the calculation of Pc (the certification percentage) for each *product group* and *claim period* on the figures for Vc (*certified content*) and Vo (other raw material) for a specified number of prior *claim periods*.

The time period covered by the specified number of prior *claim periods* shall not exceed 12 months.

### 3.5 Average Percentage Method

- 3.5.1 The organization applying the average percentage method can claim all the products covered by the *claim period*, provided that the percentage of *certified content* is clearly communicated. In order to use the *SFI* label, the organization must meet a 70% *certified content* threshold. The following label may be used. If *recycled content* is not used, then the label must just state, "Promoting Sustainable Forestry."



- 3.5.2 If an organization falls below the 70 percent *certified content* threshold, the organization shall be transparent and communicate the actual percentage of *certified content*. The following two labels may be used.



### 3.6 Volume Credit Method

- 3.6.1 The organization shall apply the volume credit method for a single claim. The organization receiving a single delivery of material with more than one claim relating to the category of *origin* shall either use it as a single inseparable claim (e.g. *SFI/PEFC certified content*) or use only one from the received claims (*SFI* or *PEFC* certified) for calculating the volume credits. The volume credit shall be distributed to the output products from the volume credit account in a way that all products sold as certified are sold as 100% certified.

- 3.6.2 The organization shall recognize volume credits in a single measurement unit used for all raw material inputs and shall enter the volume credits into the credit account. The credit account may be established for individual product types of the *product group* or for the whole *product group* where the same measurement unit is applied to all product types.

- 3.6.3 The organization shall calculate the volume credits using either:
- a. certification percentage (clause 3.4) and volume of output products (clause 3.6.4) or
  - b. input material (*certified forest content/pre-consumer recycled/post-consumer recycled*) and input/output ratio (clause 3.6.5).

- 3.6.4 The organization applying the certification percentage shall calculate the volume credits by multiplying the volume of output products of the *product group* by the certified percentage.

- 3.6.5 The organization must demonstrate a verifiable ratio between the input material and output products. The volume credits may be calculated directly from the input certified material by multiplying the volume of the input certified material by the input/output ratio and accounting for manufacturing losses.

- 3.6.6 The labels used for the Volume Credit method shall be as follows:



- 3.6.7 The organization can accumulate the *SFI* Certified Credits or Recycled Credits by creating a volume credit account, which can be used for the next *claim period*.
- 3.6.8 The total quantity of credits cumulated at the credit account cannot exceed the sum of credits entered into the credit account during the last 12 months.

### 3.7 Sale of Products

- 3.7.1 At the point of sale or transfer of the certified products to the next entity in the supply chain, the organization shall provide customers with written information confirming the supplier's certified status and an official *SFI claim* statement. This can be in the form of, but is not limited to, an invoice, bill of lading, shipping document, letter, or other forms of communications available to the customer at the time of the sale of the product.

3.7.2 The organization shall ensure that documentation of the certified products clearly states at least the following information:

- a. organization's identification,
- b. quantity of delivery,
- c. date of delivery / delivery period / *claim period*
- d. an official SFI claim statement:
  - i. Average Percentage Users:
    - X% Certified Forest Content
    - X% Recycled Content
  - ii. Volume Credit Users:
    - SFI Volume Credit or 100% as calculated under the volume credit method
- e. the organization's chain-of-custody number.

3.7.3 If the organization uses the logo, both on-product and off-product usage shall be carried out according to the terms and conditions of the *Office of Label Use and Licensing* and the Section 5 - Rules for Use of SFI On-Product Labels and Off-Product Marks, in the *SFI 2015-2019 Standards and Rules* document.

## PART 4. DUE DILIGENCE SYSTEM TO AVOID CONTROVERSIAL SOURCES

### 4.1 Definition of *Controversial Sources*

- a. Forest-based products that are not in compliance with applicable state, provincial or federal laws, particularly as they may relate to:
  - *conversion sources*,
  - legally required *protection of threatened and endangered species*,
  - requirements of CITES (The Convention on International Trade in Endangered Species of Wild Fauna and Flora),
  - legally required management of areas with designated high environmental and cultural values,
  - labor regulations relating to forest workers,
  - *Indigenous Peoples'* property, tenure and use rights.
- b. Forest-based products from *illegal logging*
- c. Forest-based products from *areas without effective social laws*

### 4.2 Verification of Purchased Product(s)

To avoid *controversial sources*, the organization shall obtain and verify the scope of an SFI Section 2 (*SFI 2015-2019 Forest Management Standard*), Section 3 (*SFI 2015-2019 Fiber Sourcing Standard*), Section 4 (*SFI 2015-2019 Chain-of-Custody Standard*), or *other credible chain-of-custody standard* certificate. Verification shall ensure that the facility and the purchased product(s) are directly associated with the certification. This can be achieved through the following:

- a. On a valid SFI Section 2 (*SFI 2015-2019 Forest Management Standard*), Section 3 (*SFI 2015-2019 Fiber Sourcing Standard*), Section 4 (*SFI 2015-2019 Chain-of-Custody Standard*), or *other credible chain-of-custody standard* certificate or appendix to the certificate.
- b. On a publicly available *product group* listing, or
- c. By other means of verification.

Where inspection of the certificate and other supporting evidence can demonstrate that the facility and *product groups* are within scope of the certificate, then the organization purchasing that *product group* can credibly conclude that the products being sourced are low risk of coming from *controversial sources*.

### 4.3 Conducting a Risk Assessment

When forest-based products, excluding *recycled content*, are procured without a valid SFI Section 2 (*SFI 2015-2019 Forest Management Standard*), Section 3 (*SFI 2015-2019 Fiber Sourcing Standard*), Section 4 (*SFI 2015-2019 Chain-of-Custody Standard*), or *other credible chain-of-custody standard* certificate, the organization shall collect information on the source of the forest-based product, through a due diligence system to address the likelihood of sourcing from *controversial sources*.

The Organization's Due Diligence System shall:

- 4.3.1 Conduct a risk assessment of sourcing forest-based products which are not in compliance with applicable state, provincial or federal laws, particularly as they may relate to:
  - *conversion sources*,
  - legally required *protection of threatened and endangered species*,
  - requirements of CITES (The Convention on International Trade in Endangered Species of Wild Fauna and Flora),
  - legally required management of areas with designated high environmental and cultural values,
  - labor regulations relating to forest workers,
  - *Indigenous Peoples'* property, tenure and legally established use rights.

The risk assessment shall be carried out at the national level and where risk is not consistent, at the appropriate regional level.

- 4.3.2 Conduct a risk assessment of sourcing forest-based products from *illegal logging*
- 4.3.3 Conduct a risk assessment of sourcing forest-based products from *areas without effective social laws* addressing the following:
  - a. workers' health and safety;

- b. fair labor practices;
- c. *Indigenous Peoples'* rights;
- d. anti-discrimination and anti-harassment measures;
- e. prevailing wages; and
- f. workers' right to organize.

#### 4.4 Implementing a *Program* to Address Risk

Where the risk assessment conducted under 4.3 determines other than low risk, the organization shall implement a *program* to mitigate such risk and require a signed contract and/or self-declaration that the supplied forest-based product does not originate from *controversial sources*.

## PART 5: MINIMUM MANAGEMENT SYSTEM REQUIREMENTS

### 5.1 General Requirements

The organization shall operate a management system in accordance with the following elements of the *SFI 2015-2019 Chain-of-Custody Standard*, which ensure correct implementation and maintenance of the chain-of-custody process. The management system shall be appropriate to the type, range and volume of work performed.

Note: An organization's quality (ISO 9001:2008) or environmental (ISO 14001:2004) management system can be used to meet the minimum requirements for the management system defined in this standard.

### 5.2 Responsibilities and Authorities for Chain of Custody

- 5.2.1 The organization's top management shall define and document its commitment to implement and maintain the chain-of-custody requirements, and make this available to its personnel, suppliers, customers and other interested parties.
- 5.2.2 The organization's top management shall appoint a member of the management who, irrespective of other responsibilities, shall have overall responsibility and authority for the chain of custody.
- 5.2.3 The organization's top management shall carry out a regular periodic review of the chain of custody and its compliance with the requirements of this standard.
- 5.2.4 The organization shall identify personnel performing work affecting the implementation and maintenance of the chain of custody, and establish and set responsibilities and authorities relating to the chain-of-custody process:
  - a. raw material procurement and identification of the *origin*;
  - b. product processing covering physical separation or percentage calculation and transfer into output products;
  - c. product sale and labeling;
  - d. record keeping; and
  - e. internal audits and nonconformity control.

Note: The responsibilities and authorities for the chain of custody given above can be cumulated.

### 5.3 Documented Procedures

The organization's procedures for the chain of custody shall be documented, and include at least the following elements:

- a. description of the raw material flow within the production process;
- b. organization structure, responsibilities and authorities relating to chain of custody; and
- c. procedures for the chain-of-custody process covering all requirements of this standard.

### 5.4 Record Keeping

5.4.1 The organization shall establish and maintain records to provide evidence it has conformed to the requirements of this standard and its chain-of-custody procedures are effective and efficient. The organization shall keep at least the following:

- a. records of all suppliers of forest-based raw material, including information to confirm requirements at the supplier level are met;
- b. records of all purchased forest-based raw material, including information on its *origin*;
- c. records that demonstrate how the certification percentage for each *product group* was calculated;
- d. records of all forest-based products sold and their claimed origin. including, as applicable, records of movements in volume credit accounts;
- e. records of internal audits, nonconformities which occurred and corrective actions taken; and
- f. records of top management's periodic review of compliance with chain-of-custody requirements.

5.4.2 The organization shall maintain the records for a minimum period of three years unless stated otherwise by law.

### 5.5 Resource Management

#### 5.5.1 Human Resources/Personnel:

The organization shall ensure that all personnel performing work affecting the implementation and maintenance of the chain of custody shall be competent on the basis of appropriate training, education, skills and experience.

#### 5.5.2 Technical Facilities:

The organization shall identify, provide and maintain the infrastructure and technical facilities needed for effective implementation and maintenance of the organization's chain of custody to meet the requirements of this standard.



## 5.6 Internal Audit and Management Review

- 5.6.1 The organization shall conduct internal audits at intervals of no more than one year covering all requirements of this standard, and establish corrective and preventive measures if required.
- 5.6.2 The organization shall conduct the internal audit in accordance with the following requirements:
- The internal audit shall be undertaken by personnel that have adequate knowledge of the *SFI 2015-2019 Chain-of-Custody Standard*;
  - Off-site interviews and desk audits are permissible, appropriate to the scope and scale of the organization;
  - If there have been no inputs or outputs for a site or manufacturing facility over the past year, internal audits are not required;
  - If a site or manufacturing facility has had no sales of *SFI* certified products over that past year, internal audits are not required;
  - Internal audits are to assess overall organizational conformance and internal audit documentation can consist of one consolidated internal audit checklist and/or report; and
  - Where nonconformities are identified during the internal audit process, a corrective action plan shall be developed at the site and/or organizational level.
- 5.6.3 Where the organization has outsourced activities within the scope of its chain of custody, the organization shall develop procedures for the audit of these contractors.
- 5.6.4 The internal audit of outsource contractors may be conducted remotely.
- 5.6.5 Where there are sufficient outsource contractors, the internal audit may use a sampling approach for these contractors.
- 5.6.6 The internal audit of outsource contractors shall:
- determine the level of risk associated with the outsourced activities as determined by Part 6 – Outsourcing Agreements.
  - include within the scope of the internal audit those outsourced activities assessed as high risk.
- 5.6.7 The organization shall have its rationale for remote audits and its sampling procedure audited by its third-party certifier.
- 5.6.8 The results of internal audits shall be reported to management for review during the annual management review.

## PART 6. OUTSOURCING AGREEMENTS

### 6.1 Outsourcing Agreements

Chain-of-custody certificate holders who outsource processing or manufacturing activities on a flexible basis to any one of a number of potential contractors may apply for inclusion of the outsourced process within the scope of their *SFI 2015-2019 Chain-of-Custody Standard* certificate.

Organizations that wish to include outsourcing within the scope of their *SFI 2015-2019 Chain-of-Custody Standard* certificate shall ensure the following:

- the organization has legal ownership of all input material to be included in outsourced processes;
- the organization does not relinquish legal ownership of the materials during outsourced processing;
- the organization has an agreement or contract covering the outsourced process with each contractor. This agreement or contract shall include a clause reserving the right of the *SFI*-accredited *certification body* to audit the outsource contractor or operation;
- the organization has a documented control system with explicit procedures for the outsourced process, which are shared with the relevant contractor.

The organization shall issue the final claim statement and documentation for the processed or produced *SFI*-certified material following outsourcing. The documentation shall state the certificate holder's *SFI 2015-2019 Chain-of-Custody Standard* certificate number and formal claim statement.

### 6.2 Assessing Risk for Outsource Contractors

As per the requirements of 5.6.6 outsourced activities shall be risk-ranked in accordance with the following criteria:

- 6.2.1 Low Risk: Outsource contractor receives the certified material from the organization and material is physically segregated from other non-certified material and contractor returns the material back to the organization after the outsourced work is completed.
- 6.2.2 High Risk: One or more of the following would indicate high risk scenarios:
- The outsourced contractor lacks the procedures to prevent the mixing of the organization's certified material with that of other companies' materials that are unrelated to the outsourced process.
  - The outsource contractor receives certified material purchased by the organization for the process directly from the supplier on the organization's behalf and ships finished product to the end customer on the organizations' behalf
  - The outsource contractor applies the organization's *SFI* label to the finished product and ships the product direct to the customer.

# APPENDIX 1: CALCULATION OF THE CERTIFICATION PERCENTAGE

(Informative)

## DEFINITION OF THE PRODUCT GROUP

The organization shall identify *product group(s)* for which the certification percentage is calculated. The *product group* shall be identified for specific products or groups of products (e.g., paper). Only products that consist of the same or similar raw material can be included in one *product group*. Other examples are listed in Table 1.

**Table 1: Examples of chain-of-custody product groups**

Output products	Input raw material	Chain-of-custody product group	Units for credit account
Spruce lumber A	Spruce, Pine, Fir (SPF) sawlogs	Spruce, Pine, Fir (SPF) products	Tons of Spruce, Pine, Fir (SPF) sawlogs
Pine lumber B			
Fir lumber C			
Fir/Spruce/Pine (SPF) chips			
Alder lumber A	Alder sawlogs	Alder products	Tons of Alder sawlogs
Alder lumber B			
Alder lumber C			
Alder chips			
Alder/Pine/Spruce sawdust	Alder/Spruce/Pine sawlogs	Residue products	Tons of Alder/Spruce, Pine, Fir (SPF) sawlogs
Alder/Pine/Spruce bark			

## CALCULATION OF THE CERTIFICATION PERCENTAGE

The company can use two methods to calculate the certification percentage (simple percentage or rolling average percentage):

### Simple Percentage

The certification percentage for the specific *product group* is calculated from the material included in that specific *product group*. As a result, the organization applying this method must know the percentage of *certified content* before any product from that *product group* is sold or transferred.

### Rolling Average Percentage

The rolling average percentage is obtained by using the quantity of raw material procured in the specified previous period. As a maximum, the rolling average can be applied over the last 12 months.

## EXAMPLE OF A THREE-MONTH ROLLING AVERAGE

The certification percentage for the *product group* is calculated from volumes of certified and other raw material procured during the previous three-month period (excluding the current *product group*).

Note: When the organization starts the chain of custody and the time period used in rolling average calculation is longer than the time period the chain of custody has been in place, the calculation of the rolling average is carried out from the volumes procured since the chain of custody was established. An example is given in Table 2: The first rolling average (month 1) is calculated only from volumes procured in month 1, the second rolling average (month 2) is calculated only from volumes procured in months 1 and 2.

**Table 2: Example of three-month rolling average**

1	2	3	4	5	6
No. of the 1-month calcul. period	Volume of certified raw material procured (tons)*	Volume of other raw material (tons)*	Sum of volumes of certified raw material for previous 3 months (tons)	Sum of volumes of other raw material for previous 3 months (tons)	3-month rolling average percentage
j=i	V <sub>c</sub>	V <sub>o</sub>	V <sub>v</sub> {3}	V <sub>o</sub> {3}	P <sub>c</sub> {3}
			$V_c\{3\} = \sum_{j=i}^{i-2} V_{c_j}$	$V_o\{3\} = \sum_{j=i}^{i-2} V_{o_j}$	$P_c = \frac{V_c\{3\}}{V_c\{3\} + V_o\{3\}}$
1	11	90	11	90	10.89%
2	12	90	23	180	11.33%
3	13	90	36	270	11.76%
4	14	90	39	270	12.62%
5	15	90	42	270	13.46%
6	16	90	45	270	14.29%
7	17	90	48	270	15.09%
8	18	90	51	270	15.89%
9	19	90	54	270	16.67%
10	20	90	57	270	17.43%
11	21	90	60	270	18.18%
CONTINUES					

\* The volume figures given in the table above are only examples

**Example of calculation given in Table 2:**

- [column 4] Volume of certified raw material is calculated as sum of volumes of certified raw material procured in the previous 3 months.  
 $V_c\{3\}6 = V_{c6} + V_{c5} + V_{c4}$  ;  $V_c\{3\}6 = 16 + 15 + 14 = \mathbf{45}$  [tons]
- [column 5] Volume of other raw material is calculated as sum of volumes of other raw material procured in the previous 3 months.  
 $V_o\{3\}6 = V_{o6} + V_{o5} + V_{o4}$  ;  $V_o\{3\}6 = 90 + 90 + 90 = \mathbf{270}$  [tons]
- [column 6] The rolling average percentage is calculated according to the formula of chapter 3.3.1:  $P_c = V_c / [V_c + V_o]$   
 $P_{c6} = 100 * V_c\{3\}6 / [V_c\{3\}6 + V_o\{3\}6]$ ;  $P_{c6} = 100 * 45 / [45 + 270] = \mathbf{14.29\%}$

Note: The *product group* period does not need to be equal to the calculation period as long as it does not exceed the length of the calculation period.

## VOLUME CREDIT ACCUMULATION

The organization can establish a volume credit account for the input raw material used in the specific *product group* or for specific products of the *product group* if 3.4.2.4 applies.

**Table 3: Example of volume credit accumulation (in tons)**

1	2	3	4	5
Number of 1 month's <i>product group</i>	Credit volume for the <i>product group</i>	Credit account	Maximum credit account	Used credits
i		$= [3]_{i-1} - [5]_{i-1} + [2]_i$ condition: $[3]_i \leq [4]_i$	$\sum_{i=1}^{i-1} [2]_i$	
1	0	0	0	0
2	7.78	7.78	7.78	0
3	8.17	15.95	15.95	0
4	8.56	24.51	24.51	0
5	9.28	33.79	33.79	0
6	9.99	43.78	43.78	0
7	10.70	54.48	54.48	0
8	11.41	65.89	65.89	0
9	12.12	78.01	78.01	0
10	12.83	90.84	90.84	0
11	13.54	104.39	104.39	0
12	14.25	118.64	118.64	0
13	14.96	133.61	133.61	0
14	15.68	141.50	141.50	5
15	16.38	149.72	149.72	10
16	17.09	156.81	158.25	50
17	17.80	124.62	166.78	50
18	18.51	93.13	175.30	100

**Example of calculation given in Table 3 for the product group of month 14:**

- d. [column 2] Includes volume credit calculated for 1 month *product group*. [Values for months 1-11 are taken from Table 2.]
- e. [column 3] Credit account is calculated as a result of the credit account in the previous month [column 3, month 14] minus volume credits used in the previous month [column 5, month 14] plus volume credit calculated for the current month [column 2, month 15].

$$[3]_{14} - [5]_{14} + [2]_{15} = 141.50 - 5 + 16.38 = \mathbf{152.88 \text{ [tons]}}$$

Total quantity accumulated in the credit account cannot exceed volume credits entered into the volume credit in the previous 12 months [column 4 = 149.72] [chapter 3.4.2.4]

152.88  $\rightarrow$  149.72, therefore credit account is **149.72 [tons]**

- f. [column 4] Maximum credit account is calculated as a sum of volume credits entered into the credit account during the last 12 months [column 2, month 4-15].

$$\begin{aligned}
 [4] &= [2]_4 + [2]_5 + [2]_6 + [2]_7 + [2]_8 + [2]_9 + [2]_{10} + [2]_{11} + [2]_{12} + [2]_{13} + [2]_{14} + [2]_{15} = \\
 &= 8.56 + 9.28 + 9.99 + 10.70 + 11.41 + 12.12 + 12.83 + 13.54 + 14.25 + 14.96 + 15.68 + 16.38 = \\
 &= \mathbf{149.72 \text{ [tons]}}
 \end{aligned}$$



### USE OF THE VOLUME CREDIT

The volume credit account shall be drawn down as certified sales are made. The number of volume credits removed from the account shall be based on the ratio of input/output volume for the specific products sold as certified. Table 4 shows an example of the drawdown of the volume credit account for different product sales..

**Table 4: Example of drawdown of the volume credit account for different product sales**

Credit account balance (raw material credits)	Product	Input/output ratio	Volume of certified sales	Reduction to credit account balance
200	A	1/1	20	20
180	B	4/1	40	160
20	C	2/1	10	20
0	–	–	–	–

## APPENDIX 2: SFI CHAIN-OF-CUSTODY CERTIFICATE REQUIREMENTS

(Informative)

**1. Certificate Statement:** The X company or facility has been independently certified by Y, an *SFI certification body* accredited to perform *SFI program* audits that conform to the *SFI 2015-2019 Chain-of-Custody Standard*.

**2. Certificate Meaning:** The certificate holder has been independently certified by an *SFI certification body* accredited to perform audits to the, *SFI 2015-2019 Chain-of-Custody Standard*, and has received a license from the *SFI Office of Label Use and Licensing* authorizing use of the *SFI* service marks.

**2.1 Certificate Content:** All *SFI* chain-of-custody certificates shall have the following information, at a minimum, on the certificate:

- a. Chain-of-custody number: The numbering system will have a three-letter abbreviation of the *SFI certification body's* name, followed by "SFICOC," followed by the audit number. The audit number can be unique to the *SFI certification body*. (Example for *certification body* XYZ completing its 20th chain-of-custody audit: XYZ-SFICOC-0020.)
- b. The *SFI* off-product logo service mark (see below) must be placed on the certificate.



- c. The logo of the accreditation firm (e.g. ANSI or SCC) for the *SFI certification body* conducting the chain-of-custody certification must be placed on the certificate.

**3. Eligible Entities:** Any company or facility that manufactures or distributes forest-based manufactured or printed products and wants to document that the material in the products was manufactured by a company certified to the *SFI 2015-2019 Chain-of-Custody Standard* is eligible to obtain an *SFI 2015-2019 Chain-of-Custody Standard* certificate (except as provided for in the *SFI Policy on Illegal Logging* in Section 7 of the *SFI requirements* document).

**4. Application for SFI Label Use:** The certified company and/or the *SFI certification body* will inform the *Office of Label Use and Licensing* of a successful completion along with a copy of the chain-of-custody certificate

### 5. Issuance of License and Certificate

**5.1. Issuance of License.** The *Office of Label Use and Licensing* shall issue the license to use the *SFI* off-product marks to the applicant upon written confirmation of successful completion of the chain-of-custody audit.

**5.2. Certificate.** The *SFI certification body* provides the written documentation of a successful completion of an audit.

**6. Availability of On-Product Label:** Holders of *SFI 2015-2019 Chain-of-Custody Standard* certificates may also qualify for use of an *SFI* on-product label and may receive authorization from the *SFI Office of Label Use and Licensing*.

# APPENDIX 3: CRITERIA FOR THE EVALUATION OF CHAIN-OF-CUSTODY CERTIFICATION STANDARDS FOR USE IN THE SFI PROGRAM

## OBJECTIVE

This appendix is intended to evaluate whether or not the chain-of-custody standards have credible systems for tracking wood flows from *SFI* certified land bases. The intent is not to recognize or include other provisions on “controlled wood,” “good wood” or any other forest management provisions.

## CRITERIA

1. The standard contains elements that address scope, references and definitions.
2. The standard defines minimum requirements for the management system, including:
  - management and personnel responsibilities;
  - documentation of procedures for the chain-of-custody process covering all requirements of the standard;
  - record keeping; and
  - internal auditing.
3. The standard contains specific requirements for each chain-of-custody method allowed under the standard (physical separation, percentage based, volume credit, batch in/batch out, procurement system), including but not limited to:
  - supplier identification/verification or *origin* of wood flows;
  - inventory control and accounting of wood flows;
  - separation of material (if necessary); and
  - calculation of the certified percentage.
4. The standard is consistent with the requirements of national and international standards and conformity assessment forums such as the International Organization for Standardization (ISO) or the International Accreditation Forum.
5. The standard requires the use of *certification bodies* accredited by ANSI, Standards Council of Canada, or an equivalent body recognized by the International Accreditation Forum to conduct a Chain of Custody (CoC) Conformity Assessment based on ISO/IEC Guide 65:1996 or ISO/IEC 17065:2012.

# SECTION 5

## RULES FOR USE OF SFI ON-PRODUCT LABELS AND OFF-PRODUCT MARKS



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# RULES FOR USE OF SFI ON-PRODUCT LABELS AND OFF-PRODUCT MARKS

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SECTION 5

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# RULES FOR USE OF SFI ON-PRODUCT LABELS AND OFF-PRODUCT MARKS

## INTRODUCTION

*SFI Inc.* is an independent, non-profit, charitable organization dedicated to promoting sustainable forest management in North America and supporting responsible procurement globally. The *SFI* Board is a three chamber Board of Directors representing environmental, social and economic interests equally, and the *program* addresses local needs through its grassroots network of 34 *SFI Implementation Committees* across North America. *SFI Inc.* directs all elements of the *SFI* program including the *SFI* forest management, *fiber sourcing* and chain-of-custody standards, labeling and marketing.

Consumers in growing numbers want assurance that their buying decisions represent a sound environmental choice. They are asking for proof that wood, paper and packaging products are made with raw materials sourced from *certified forest content* and *certified sourcing*. The *SFI 2015-2019 Forest Management Standard*, *SFI 2015-2019 Fiber Sourcing Standard* and *SFI 2015-2019 Chain-of-Custody Standard* can deliver a reliable and credible mechanism so businesses can provide this assurance to their customers. In order to use any of the *SFI* on-product labels or off-product marks, an organization must be third-party certified by an accredited *certification body*.

The *SFI* program meets guidelines on environmental claims in product advertising and communication issued by the U.S. Federal Trade Commission and guidelines on environmental labeling and advertising issued by the Competition Bureau of Canada.

Studies have shown that consumers appreciate the value of forest certification in helping them identify wood and paper products from legal, responsible sources.

The fact that the *SFI* program can deliver a steady supply of fiber from well-managed forests is especially important at a time when there is increasing demand for green building and responsible paper purchasing, and only 10 percent of the world's forests are certified.

## PART 1. RULES FOR USE OF SFI/ON-PRODUCT LABELS

The *SFI program* has three on-product labels: two Chain-of-Custody labels and one *SFI Certified Sourcing* label.

Certified Chain-of-Custody labels track the use of fiber from *certified forests*, *certified sourcing* and *recycled material*.

The *SFI Certified Sourcing* label does not make claims about *certified forest content*. *Certified sourcing* can include fiber sourced from a company that conforms with Section 2 - *SFI 2015-2019 Forest Management Standard*, Section 3 - *SFI 2015-2019 Fiber Sourcing Standard*, from *recycled content*, or from *certified forest content*. Fiber shall never be sourced from a *controversial source*.

*Primary producers* of wood, wood pulp and/or pulp and paper products certified to the PEFC Chain-of-Custody standard can use the *SFI* label as long as the following criteria are met:

- the *primary producer* must be an *SFI Program Participant*;
  - the *primary producer* must be certified to all of the applicable *objectives* in Section 2 - *SFI 2015-2019 Forest Management Standard* and/or Section 3 - *SFI 2015-2019 Fiber Sourcing Standard*.
- An organization that owns or manages forestlands must be certified to Section 2 - *SFI 2015-2019 Forest Management Standard*.
  - An organization that only sources direct from the forest and does not manage the forestlands must be certified to Section 3 - *SFI 2015-2019 Fiber Sourcing Standard*.
  - An organization that owns or manages forestlands and sources direct from the forest must be certified to Section 2 - *SFI 2015-2019 Forest Management Standard* and Section 3 - *SFI 2015-2019 Fiber Sourcing Standard*.

### 1.1 Chain-of-Custody Label for Volume Credit Method Label

The volume credit method allows a company to label only the percentage of output corresponding to the percentage of *certified forest content* and/or *recycled content* used in the manufacturing process. This is always at a 1:1 ratio, so it is considered 100% certified. The following two labels may be used by any chain-of-custody certificate holder that uses the volume credit chain-of-custody method. If the chain-of-custody certificate holder uses *recycled content*, then the label must state, "Promoting Sustainable Forestry and Recycled Content." However, if *recycled content* is not used, then the label must state, "Promoting Sustainable Forestry."



### 1.2 Chain-of-Custody Labels for Average Percentage Method

The average percentage method allows chain-of-custody certificate holders to consistently label all of their products with the average percentage labels. To use the "Promoting Sustainable Forestry and Recycled Content" label with the average percentage method, the chain-of-custody certificate holder must meet a 70% threshold, which can be obtained by *certified forest content* and/or *recycled content*. If recycled content is not used, then the label must state, "Promoting Sustainable Forestry." If the chain-of-custody certificate holder drops below the 70% threshold, they shall be transparent and disclose the actual amount of *certified forest content* and/or *recycled content* on the label. The following two labels may be used by any chain-of-custody certificate holder that drops below a 70% threshold and uses the average percentage chain-of-custody method.



### 1.3 Chain-of-Custody Labels with Mobius Loop

If a chain-of-custody certificate holder uses *recycled content*, they can choose to incorporate a Mobius loop stating the percentage of *recycled content* in the product. Below is an example of the chain-of-custody labels with the Mobius loop.



### 1.4 Certified Sourcing Label

The *SFI Certified Sourcing* label can be used by any organization certified to Section 2 - *SFI 2015-2019 Forest Management Standard* and/or Section 3 - *SFI 2015-2019 Fiber Sourcing Standard*. The *SFI Certified Sourcing* label does not make claims about *certified forest content*. Eligible inputs that count toward the *Certified Sourcing* label includes fiber from Section 2 - *SFI 2015-2019 Forest Management Standard*, fiber from Section 3 - *SFI 2015-2019 Fiber Sourcing Standard*, fiber from *recycled content*, or fiber from *certified forest content*. Fiber shall never be sourced from a *controversial source*.



## PART 2. GENERAL RULES FOR USE OF SFI ON-PRODUCT LABELS

*SFI Inc.* owns the on-product labels shown in Appendix 2. The *SFI* “tree/leaf” design shown below is registered in the United States, Canada, Mexico, European Union, China, Japan and South Korea.

The *SFI* program owns all right, title and interest in the foregoing marks and exercises legitimate control over the use of these on-product labels.

Qualified organizations or those with a valid certificate issued by an accredited *certification body* may use the on-product labels upon receiving authorization from the *SFI Office of Label Use and Licensing*, provided the following conditions and limitations are strictly adhered to:

**2.1** *SFI* marks are registered with both the U.S. Patent and Trademark Office and the Canadian Intellectual Property Office, and each mark must be individually accompanied by an ® to indicate that the on-product label is associated with the *SFI* program.

**2.2** All projects with the *SFI* label must be sent to the *SFI Office of Label Use and Licensing* prior to press. There are no size or color restrictions on the label, but if the certified printer uses the above green/black version, the PMS color is 348.

**2.3** The on-product label may be combined with the Program for the Endorsement of Forest Certification (PEFC) schemes on the product label, assuming the organization has a valid PEFC chain-of-custody certificate and meets all PEFC logo use requirements.

**2.4** The recycled Mobius loop may only be used within the *SFI* label when the organization is certified to Section 4 *SFI 2015-2019 Chain-of-Custody Standard*.

**2.5** The tree/leaf design may not be displayed by itself, and must always be accompanied with either “Sustainable Forestry Initiative” or “SFI,” the claim associated with the label, the *SFI* website ([www.sfiprogram.org](http://www.sfiprogram.org)), and the certified organization’s *SFI* label ID number.

**2.6** The *SFI* label identification number must be added under the *SFI* program website. The numbering system is as follows: SFI-00000. The *label users’* unique label ID number is a license number provided by *SFI Inc.* The label ID number is a different number than the chain-of-custody number provided by the *certification body*.

**2.7** For private branded products where the company has concern disclosing the relationship with the manufacturer, or if there is concern with revealing strategic competitive information about the manufacturer, *SFI Inc.* can issue a second *SFI* label ID number. While the second *SFI* label ID number would be on the product when searched in the *SFI* on-line database, the supplier information will read “Contact SFI Inc. for More Information on this Product [Tel: 202-596-3450].” *SFI* staff can confirm for the

person making the enquiry that the label is legitimate based on information supplied. This second *SFI* label ID number will only be granted for organizations who produce private branded products and request a private number in order to avoid disclosing competitive information. The manufacturer must continue to use their originally assigned *SFI* label ID number for all other products they manufacture and label that do not have competitiveness concerns as described above.

**2.8** The on-product labels can be used in either horizontal or vertical styles.

**2.9** The on-product labels can be used in English, French and Spanish, and translations are available.

**2.10** Any public communication by *Program Participants* and *label users* shall be accurate and consistent with applicable law and requirements for *SFI* logo use. *Program Participants* and *label users* are encouraged to consult the U.S. Federal Trade Commission’s guidelines on environmental claims in product advertising and communication and the guidelines on environmental labeling and advertising issued by the Fair Business Practices Branch of Industry Canada’s Competition Bureau, as appropriate, and to seek additional information and direction from national accreditation bodies, national standards bodies, and national, state and provincial consumer protection and competition laws.

**2.11** The on-product labels may be used on products, including shrink wrap and other product packaging, that have been produced by a primary or secondary producing facility, a publisher, a retailer or a printer that has qualified for use of the appropriate on-product labels.

**2.12** The on-product labels may be used in product/brochures or advertising for products that qualify to use one of the on-product labels subject to the following rules:

- a. When discussing products produced by a qualified facility, the on-product usage is restricted to either, 1) the statement, “Look for this label on (specified product)” or, 2) in a picture of a product with the label on the product.
- b. When promoting the sale of trees or logs grown on certified land by landowners who have the land third-party certified to the *SFI Standard*.
- c. When referencing the products of a company with mills that do not all qualify for the certification mark, this fact must be communicated (e.g., “only some of the mills producing ‘x’ product are qualified to use the *SFI* on-product label”).
- d. If all the products in a product line are not certified, the label must accurately state this (e.g., “this label applies only to the cover of this publication”).

**2.13** When the “At Least X% Certified Forest Content” label is being applied on solid wood products, the claim must read, “Product Line Contains At Least X% Certified Forest Content.” Artwork for this label is available upon request.



**2.14** An *SFI* chain-of-custody certificate holder may make a claim of any percentage of *certified forest content*, but use of the label is contingent on the production batch having at least 10% *certified forest content*, unless the product is 100% *recycled content*.

**2.15** When using the X% Chain-of-Custody label, the claims can be switched in order so “X% Certified Sourcing” or X% Recycled Content” is first. Furthermore, *label users* can add the words, “At Least” in front of the “X% Certified Forest Content” claim.

**2.16** *Label users* can substitute the term “Recycled Content” on the labels and replace it with *pre-consumer recycled* and/or *post-consumer recycled*.

**2.17** Facilities that utilize 100% *recycled content* can use the X% label with the average percentage method. They cannot, however, use the X% *certified forest content* tagline, and must exclude that tagline from the label.

**2.18** Printers that are certified to the *SFI* Chain-of-Custody Standard may use their chain-of-custody procedures to account for product that is approved for the *Certified Sourcing* Label, and label that product with the *Certified Sourcing* Label. These organizations must obtain documentation from their suppliers that the product is approved for the *Certified Sourcing* Label.

**2.19** Publishers can work with a certified printer and do not need a separate chain-of-custody certification unless they are actually printing the publication.

**2.20** Any public communication by *Program Participants* and *label users* shall be accurate and consistent with applicable laws and requirements for *SFI* logo use. *Program Participants* and *label users* are encouraged to consult the U.S. Federal Trade Commission’s guidelines on environmental claims in product advertising and communication and the guidelines on environmental labeling and advertising issued by the Fair Business Practices Branch of Industry Canada’s Competition Bureau, as appropriate, and to seek additional information and direction from national accreditation bodies, national standards bodies and national, state and provincial consumer protection and competition laws. *Label users* should consult with their legal counsel when preparing product advertising that includes an *SFI* on-product label or any other reference to the *SFI* program.

- a. Point of purchase (POP) materials should avoid environmental claims that can be tied to the product. Rather, they should explain the *SFI* Program Participant’s voluntary participation in a program for sustainable forest management. Avoid references or suggestions that the *SFI* program preserves forests.
- b. Avoid promoting any specific attributes of the product(s) bearing the mark when discussing participation in the *SFI* program, other than those related to forest management.
- c. Organizations can make claims about other certified processes (e.g., soy ink or alternate power sources) as long as it is clear that this is not associated with the *SFI* certification.

**2.21** All advertising material must be sent to the *SFI* program’s *Office of Label Use and Licensing* for review and approval. *SFI* staff are available to answer questions about the use of the marks and these rules.

**2.22** The *Office of Label Use and Licensing* reserves the right to request samples of all uses of the *SFI* On-product labels from time to time.

**2.23** If the *Office of Label Use and Licensing* determines that a *label user* is not using the marks as provided in these rules, which may be amended from time to time, or no longer meets the criteria set out in the *SFI* program requirements, it will send a written notice to the *label user* specifying the inappropriate use(s) and allow thirty (30) days in which to make a correction. If the *label user* fails to make the correction, the right to use the marks will be revoked.

**2.24** *Label users* who observe misuse of any of these marks shall report this immediately to the *Office of Label Use and Licensing*.

**2.25** When selling product as *SFI* chain-of-custody certified, the organization shall provide customers with written information confirming the supplier’s certified status, an official *SFI* claim statement and the organization’s chain-of-custody number. This can be in the form of, but is not limited to, an invoice, bill of lading, shipping document, letter, or other forms of communications available to the customer at the time of the sale of the product.

**2.26** When using the *SFI* chain-of-custody X% content labels, the following rules must be taken into consideration:

- a. The X% content label must equal all parts to 100%.
- b. If a specific attribute does not apply (e.g., *post-consumer recycled content*), the company must exclude that tagline from the label.
- c. If a company wishes to make a 100% *certified sourcing* claim, the *certified sourcing* label must be used.
- d. The 100% *certified forest content* claim can be made only when the physical separation method has been used throughout the chain-of-custody process.

**2.27** The organization approved to use the *SFI* on-product label can use either the color, black and white, or reversed style labels. Where one-color print is being used, the *SFI* label may be the same color as the rest of the product.

**2.28** The size of the label can be determined by the certified company approved to use the *SFI* label, if approved by the *SFI* Office of Label Use and Licensing.

**2.29** If the label is being used on a small product (e.g., pencils) and the claim may not be legible, a company may apply to the *SFI* Office of Label Use and Licensing for additional exceptions on applying the *SFI* on-product label.

**2.30** The following taglines can be used in combination with *SFI* on-product labels and with promotional materials that may or may not include the *SFI* label. The *SFI* website ([www.sfiprogram.org](http://www.sfiprogram.org)) can be added to any of these taglines.

- a. Approved claims for use with the Section 2 – *SFI 2015-2019 Forest Management Standard* and certified *primary producers*:
- We are proud to be part of a growing community of landowners, conservation groups and responsible companies all working towards improving forest management.
  - Through our Sustainable Forestry Initiative® certification, we help our customers' source responsible forest products.
  - We are proud to be part of a certification program whose participants have contributed over \$1 billion in research.
  - We are excited to work with the Sustainable Forestry Initiative®, a program supported by conservation groups across North America.
  - We promote responsible forest management and so do our customers.
  - With Sustainable Forestry Initiative® certification, we proudly support North American communities.
  - The Sustainable Forestry Initiative® program promotes sustainable forest management.
  - The Sustainable Forestry Initiative® program integrates the perpetual growing and harvesting of trees with the protection of wildlife, plants, soils and water.
  - The Sustainable Forestry Initiative® program promotes responsible forest management.
  - By supporting the Sustainable Forestry Initiative® program, (*SFI certified organization name*) is helping to strengthen forest practices in North America and promote responsible sourcing globally.
- b. Approved claims for use with Section 4 – *SFI 2015-2019 Chain-of-Custody Standard* certification
- With Sustainable Forestry Initiative® chain-of-custody certification, (*SFI certified organization name*) is meeting the growing demand for forest products from responsible sources.
  - By using the Sustainable Forestry Initiative® label, (*SFI certified organization name*) is telling customers you care about forest management, and are prepared to meet their high standards.
  - The Sustainable Forestry Initiative® program promotes sustainable forest management.
  - The Sustainable Forestry Initiative® program integrates the perpetual growing and harvesting of trees with the protection of wildlife, plants, soils and water.
  - The Sustainable Forestry Initiative® program promotes responsible forest management.
  - By supporting the Sustainable Forestry Initiative® program, (*SFI certified organization name*) is helping to strengthen forest practices in North America and promote responsible sourcing globally.

- c. Approved claims for use with *SFI Certified Sourcing* [Secondary and Primary Manufacturers] certification [Section 3 – *SFI 2015-2019 Fiber Sourcing Standard*]
- The Sustainable Forestry Initiative® certified sourcing label is proof (*SFI certified organization name*) is using fiber from responsible and legal sources.
  - This demonstrates (*SFI certified organization name*) support for improved forestry practices and strong communities across North America.
- d. Approved claims for all *SFI* certified organizations
- The Sustainable Forestry Initiative® is a comprehensive, independent certification program that works with environmental, social and industry partners to improve forest practices in North America and fiber sourcing worldwide.
  - The Sustainable Forestry Initiative® is based on 14 core principles that promote sustainable forest management, including measures to protect water quality, biodiversity, wildlife habitat, species at risk and Forests with Exceptional Conservation Value.
  - The Sustainable Forestry Initiative® is an independent 501(c)(3) non-profit charitable organization, and is solely responsible for maintaining, overseeing and improving the internationally recognized *SFI*® program.

**2.31** The following geographic taglines can be used in combination with the *SFI* on-product labels and with promotional materials that may or may not include the *SFI* label. A *Program Participant*, *primary* or *secondary producer* can only use these taglines if they successfully demonstrated to the *SFI* certification body conducting the Section 4 – *SFI 2015-2019 Chain of Custody Standard* audit that they have tracked the sources of their supply, and that the wood fiber is sourced in North America in a manner consistent with the geographic tagline suggested. If a company sources any of its raw materials outside of North America, these claims can only be used if physical separation is employed. A 5% de minimis is acceptable.

- This wood is from a responsibly managed [North American/U.S./Canadian] forest.
- The fiber in this paper/package product is from a responsibly managed [North American/U.S./Canadian] forest.
- The fiber in this product meets the requirements of the independent Sustainable Forestry Initiative® program, delivering assurance that it comes from a responsibly managed [North American/U.S./Canadian] forest.

**2.32** Usage of *SFI* labels and claims shall follow ISO 14020:2000.

**2.33** The *Office of Label Use and Licensing* reserves the right to refuse any label use that does not align with *SFI Inc.*'s strategic objective, which is to "ensure the *SFI 2015-2019 Standards and Rules* is strong, grounded in science, progressive and based on integrity and proven through *conservation* collaboration resulting in wide market acceptance."

## PART 3. RULES FOR USE OF SFI OFF-PRODUCT MARKS

In addition to its on-product labels, *SFI Inc.* has off-product marks to show participation in the *program* and to promote the *program* generally. *SFI Inc.* owns all right, title and interest in these off-product marks, and exercises legitimate control over their use.

### SFI Licensed Off-Product Marks



**3.1** Off-product marks may only be used by *Program Participants* in good standing whose operations have been certified by an *SFI certification body* to be in conformance with the *SFI 2015-2019 Forest Management* and *SFI 2015-2019 Fiber Sourcing Standards*, and/or the *SFI 2015-2019 Chain-of-Custody Standard* (for all or a portion of their operations). Any express or implied claim that a *Program Participant* is in conformance with the *SFI Standard(s)* must be substantiated by a current, valid certification by an *SFI accredited certification body*.

**3.2** Off-product marks may be used as described in Part 5 under General Rules for *Program Participants*.

**3.3** The tagline mark (Good for You. Good for our Forests®) may be placed beneath the off-product mark.

**3.4** The *SFI* label identification number must be added under the logo mark. The numbering system is as follows: SFI-00000. The *SFI Program Participants* unique label ID number is provided by *SFI Inc.* The label ID number is a different number than the certification number provided by the *certification body*.

**3.5** *Program Participants* must seek approval from the *SFI Office of Label Use and Licensing* for use of the off-product marks.

## PART 4. RULES FOR USE OF SFI WORD MARKS

*SFI Inc.* owns all right, title and interest in the foregoing word marks and exercises legitimate control over the use of the word marks.

The purpose of these word marks is to show participation in the *SFI® program* and to promote the *SFI program* generally.

- SUSTAINABLE FORESTRY INITIATIVE®
- SFI®

*SFI* Licensed Tagline Mark:

- GOOD FOR YOU, GOOD FOR OUR FORESTS®

**4.1** Use of the word marks may only be used by *Program Participants* in good standing whose operations have been certified by an *SFI certification body* to be in conformance with the *SFI 2015-2019 SFI Forest Management Standard*, *SFI 2015-2019 Fiber Sourcing Standard* and/or the *SFI 2015-2019 Chain-of-Custody Standard* for all or a portion of their operations. Any express or implied claim that a *Program Participant* is in conformance with the *SFI Standard(s)* must be substantiated by a current, valid certification by an *SFI accredited certification body*.

**4.2** The ® only needs to be included the first time the “Sustainable Forestry Initiative” or “SFI” word marks appears in a document, whether it is in a title or in text. If both word marks are used, the correct format is: Sustainable Forestry Initiative® (SFI) program, and then the first use of “SFI” also carries an ®, i.e., SFI®.

**4.3** A word mark must be an adjective, it cannot be a noun, so when it is used in text, the word “program” or “standard” must appear after the mark. The mark should not be plural or possessive.

**4.4** The tagline mark (Good For You, Good For Our Forests®) can be used in association with the word marks.

**4.5** In addition to the uses described below in Part 5, General Rules for off-product marks the word marks may be used as follows, provided the advertisement or brochure refers to the *SFI* website ([www.sfiprogram.org](http://www.sfiprogram.org)) or the *Program Participant's* website with a hotlink to the *SFI* website:

- in advertisements that promote the *Program Participant's* certification to the *SFI Standard(s)*; and
- in sales brochures and other similar product promotional items.

**4.6** *Program Participants* must seek approval from the *SFI Office of Label Use and Licensing* for use of the word marks.

## PART 5. GENERAL RULES – FOR USE OF THE SFI OFF-PRODUCT MARKS AND WORD MARKS

**5.1** The Off-product and word marks may be used, subject to the rules in Parts 3 and 4, and as follows:

- a. In image advertising that focuses on a summary of company accomplishments or values, on company people, on company financial results or stock performance, on company community activities, or any combination of the above. Such advertising must not promote specific products, tout product attributes, or make value propositions, although generic products may be shown.
- b. In communications that explain and/or promote the *Sustainable Forestry Initiative* program's services and a company's participation in the *SFI program*, both to employees and to those outside of the organization.
- c. On business letterhead, business cards, and invoices.
- d. In annual reports, provided there is a reference to the *SFI Inc.* website ([www.sfiprogram.org](http://www.sfiprogram.org)).
- e. On generic business signs (e.g., vehicles, forest stands, office buildings, and mill sites that are owned or held on a *long-term* exclusive lease). Vehicles or facilities must be under the certified company's direct control and must prominently display the company's name. If the vehicle or facility is sold or the lease terminated, the marks must be removed before the title is transferred or the occupancy ends.
- f. On clothing and protective gear (e.g., uniforms, shirts and hard hats), in conjunction with, but not attached to, the company's name or Off-product.
- g. On a company website with a hotlink to the *SFI* website ([www.sfiprogram.org](http://www.sfiprogram.org)).

**5.2** If any of the marks are used in written communications, the following statement must be included in an appropriate location (e.g., bottom of the page or on the back of a brochure), "*SFI* Marks are registered marks owned by *Sustainable Forestry Initiative Inc.*"

**5.3** In addition to the references to the *SFI* website required above, companies should consider including a reference to the *SFI* website in any document where a Off-product or word mark is displayed.

**5.4** Use of the marks must comply with the Art Rules in Appendix 3, which are incorporated herein by reference, and with the following:

- a. A *label user* may use any one color in the presentation of the Logo Marks. If the label user chooses to use green, the PMS color is 348.
- b. The off-product mark font is Vag Rounded Light. The off-product mark may not be recreated using any other fonts or styles of these fonts. The font sizes must remain in the same proportions as the off-product mark provided in camera-ready or electronic file form.
- c. The off-product mark may appear within a photographic image or illustration.

- d. The off-product mark may not be combined with any other logo or image in such a way as to create a third logo or mark.
- e. The tree/leaf portion of the off-product mark may not be displayed by itself, but must always be accompanied with SUSTAINABLE FORESTRY INITIATIVE as set out above.
- f. The off-product mark must always be accompanied by the participant's *SFI* label ID number. The *SFI* label ID number shall be added under the mark.

**5.5** The *SFI* mark is registered with the U.S. Patent and Trademark Office and in Canada, Mexico, the European Union, Japan, China and South Korea, and must be accompanied by an ® to indicate that *SFI Inc.* owns it, unless otherwise authorized in these rules.

**5.6** Any public communication by *Program Participants* or *label users* shall be accurate and consistent with applicable laws and requirements for *SFI* off-product use. *Program Participants* and *label users* are encouraged to consult the U.S. Federal Trade Commission's guidelines on environmental claims in product advertising and communication and the guidelines on environmental labeling and advertising issued by the Fair Business Practices Branch of Industry Canada's Competition Bureau, as appropriate, and to seek additional information and direction from national accreditation bodies, national standards bodies and national, state and provincial consumer protection and competition laws. Legal counsel, as well as with the *SFI Office of Label Use and Licensing*, should be consulted during the preparation of any material that uses the marks and describes or makes claims about the *SFI program* and a company's participation.

**5.7** The *Office of Label Use and Licensing* reserves the right to refuse any label use that does not align with *SFI Inc.*'s strategic objective, which is to "ensure the *SFI Standard* is strong, grounded in science, progressive and based on integrity and proven through *conservation* collaboration resulting in wide market acceptance."

**5.8** If *SFI Inc.* determines marks are not being used as provided in these rules, it will send a written notice specifying the inappropriate use(s) and allow thirty (30) days in which to make a correction. If corrections are not made, the right to use the marks will be revoked.

**5.9** Any observed misuse of any of these marks should be reported immediately to the *SFI Office of Label Use and Licensing*.

**5.10** The *SFI Inc.* has marketing materials available on the members-only section of the *SFI* website ([www.sfiprogram.org](http://www.sfiprogram.org)). Please contact the *SFI Office of Label Use and Licensing* for access to this section.

**5.11** Approval for *SFI* on-product label use and *SFI* marks should be obtained by using the online label approval system ([www.sfidatabase.org](http://www.sfidatabase.org)) monitored by the *SFI Office of Label Use and Licensing*.

# APPENDIX 1: SFI/ PROGRAM CERTIFICATION MARK (ON-PRODUCT) – ART RULES

(Only the Promoting Sustainable Forestry label is depicted below for illustrative purposes.)



**4-Color Mark**  
Use CMYK color palette specs whenever 4-Color printing is available.



4-Color Mark (CMYK)

**2-Color Mark**  
Use PMS 348 CVC and black when PMS color is available.



2-Color Mark (PMS 348)

**1-color Mark**  
Use B&W version of the marks when printing in black and white.



1-color Mark (B&W)

**Web-Safe Mark**  
Use jpeg or tiff for all website applications and PowerPoint presentations.



Web-Safe Mark

**Reverse Mark**  
Use reverse version of the marks when applying them to dark backgrounds or over dark photographic images.



Reverse Mark



## Color Palette

The primary color palette consists of PMS 348 CVC and Black.

Always match print jobs to color swatches to maintain consistency.

Use Web-safe specs for PowerPoint presentations and website graphics.



**SFI Black**  
100% Black



**CMYK**  
C 94.12%  
M 22.74%  
Y 80.78%  
K 8.63%



**PMS**  
348 CVC



**Web-Safe**  
R 12  
G 68  
B 3E

## Area of Isolation

To maintain clean, uncluttered layouts and to maximize the impact and recognition of the marks, always maintain an area of isolation all around the marks as shown.

*Note: marks may appear within a photographic image or illustration given that an area of isolation is maintained as noted.*



## Mark Violations

- To maintain consistency, do not modify or alter marks.
- Do not violate area of isolation with text or other graphics.
- Do not create a pattern with mark graphics.
- Do not alter the positioning of mark graphics or re-position, recrop, break apart or otherwise alter marks in any way. The mark may not be recreated using any fonts or styles other than the Vag Rounded Light or Univers 57 Condensed for the “claim” and website. The font size remains in the same proportions as the mark provided in the electronic file form.
- The tree/leaf design may not be displayed by itself, but must always be accompanied by the words “Sustainable Forestry Initiative” or “SFI”, the “claim” and the website [www.sfiprogram.org](http://www.sfiprogram.org).
- The SFI Label ID



Please consult with legal counsel, as well as the *SFI Office of Label Use and Licensing*, during preparation of all materials that include these marks. All uses of the marks should be sent to *SFI* for review prior to using. In the event a *Label User* should observe misuse of any of these marks, *Label User* shall immediately report such improper use.

# APPENDIX 2: SFI ON-PRODUCT LABELS

## PRODUCT LABELING GUIDE VERTICAL LABEL ARTWORK OPTION #1

FOLDER: <b>SFI_Labels_Vertical</b>									
SUB FOLDER: SFI_Labels_VC (VC: Vertical, Color)									
							SF LCS_A_VC.ai SF LCS_A_VC.tif SF LCS_A_VC.jpg	SF LCOC_A_VC.ai SF LCOC_A_VC.tif SF LCOC_A_VC.jpg	SF LCOCaX_A_VC.ai SF LCOCaX_A_VC.tif SF LCOCaX_A_VC.jpg
SUB FOLDER: SFI_Labels_VBW (VBW: Vertical, Black & White)									
							SF LCS_A_VBW.ai SF LCS_A_VBW.tif SF LCS_A_VBW.jpg	SF LCOC_A_VBW.ai SF LCOC_A_VBW.tif SF LCOC_A_VBW.jpg	SF LCOCaX_A_VBW.ai SF LCOCaX_A_VBW.tif SF LCOCaX_A_VBW.jpg
SUB FOLDER: SFI_Labels_VR (VR: Vertical, Reverse)									
							SF LCS_A_VR.ai SF LCS_A_VR.tif SF LCS_A_VR.jpg	SF LCOC_A_VR.ai SF LCOC_A_VR.tif SF LCOC_A_VR.jpg	SF LCOCaX_A_VR.ai SF LCOCaX_A_VR.tif SF LCOCaX_A_VR.jpg

FOLDER:  
**SFI Labels Horizontal**



**Sustainable Forestry Initiative**  
Certified Sourcing  
www.sfi-program.org  
SFI-XXXXXX



**Sustainable Forestry Initiative**  
**Certified Chain of Custody**  
 Promoting Sustainable Forestry  
[www.sfipprogram.org](http://www.sfipprogram.org)  
 SFI-XXXXXX



**SUSTAINABLE  
FORESTRY  
INITIATIVE**

**Certified Chain of Custody**  
Promoting Sustainable Forestry  
and Recycled Content

[www.sfi-program.org](http://www.sfi-program.org)  
SFI-000000

 **SUSTAINABLE FORESTRY INITIATIVE** **Certified Chain of Custody**  
Promoting Sustainable Forestry and Recycled Content  
[www.sfipprogram.org](http://www.sfipprogram.org)  
SFI-XXXXXX 

 **SUSTAINABLE FORESTRY INITIATIVE** **Certified Chain of Custody**  
At Least XX% Certified Forest Content.  
[www.sfi-program.org](http://www.sfi-program.org)  
SFI-XXXXXX

 **SUSTAINABLE  
FORESTRY  
INITIATIVE**

**Certified Chain of Custody**  
X% Certified Forest Content,  
X% Certified Sourcing, and  
X% Recycled Content

[www.sfi-program.org](http://www.sfi-program.org)  
SFI-000000

 **SUSTAINABLE FORESTRY INITIATIVE** **Certified Chain of Custody**  
X% Certified Forest Content,  
X% Certified Sourcing, and  
X% Recycled Content  
[www.sfi-program.org](http://www.sfi-program.org)  
SFI-XXXXXX 



**Sustainable Forestry Initiative** Certified Sourcing  
www.sfi-program.org  
SFI-C00000



**SUSTAINABLE  
FORESTRY  
INITIATIVE**

**Certified Chain of Custody**  
Promoting Sustainable Forestry

[www.sfipprogram.org](http://www.sfipprogram.org)  
SFI-000000



**SUSTAINABLE  
FORESTRY  
INITIATIVE**

**Certified Chain of Custody**  
Promoting Sustainable Forestry  
and Recycled Content

[www.sfi-program.org](http://www.sfi-program.org)  
SFI-100000

 **SUSTAINABLE FORESTRY INITIATIVE** **Certified Chain of Custody**  
Promoting Sustainable Forestry and Recycled Content  
[www.sfiprogram.org](http://www.sfiprogram.org)  
SFI-X00000 

 **SUSTAINABLE FORESTRY INITIATIVE** **Certified Chain of Custody**  
At Least XX% Certified Forest Content  
[www.sfi-program.org](http://www.sfi-program.org)  
SFI-XXXXXX

 **SUSTAINABLE FORESTRY INITIATIVE**

**Certified Chain of Custody**  
X% Certified Forest Content,  
X% Certified Sourcing, and  
X% Recycled Content

[www.sfi-program.org](http://www.sfi-program.org)  
SFI-XXXXX

 **SUSTAINABLE FORESTRY INITIATIVE** **Certified Chain of Custody**  
X% Certified Forest Content,  
X% Certified Sourcing, and  
X% Recycled Content  
[www.sfipprogram.org](http://www.sfipprogram.org)  
SF-XXXXX



**SUSTAINABLE FORESTRY INITIATIVE** Certified Sourcing  
www.sfiprogram.org  
SFI-XXXXX

 **SUSTAINABLE FORESTRY INITIATIVE** Certified Chain of Custody  
Promoting Sustainable Forestry  
[www.sfiprogram.org](http://www.sfiprogram.org)  
SFI-00000X



**SUSTAINABLE  
FORESTRY  
INITIATIVE**

**Certified Chain of Custody**  
Promoting Sustainable Forestry  
and Recycled Content

[www.sfiprogram.org](http://www.sfiprogram.org)  
SFI-0000X



**Sustainable Forestry Initiative**  
**Certified Chain of Custody**  
 Promoting Sustainable Forestry  
 and Recycled Content  
[www.sfi-program.org](http://www.sfi-program.org)  
 SFI-00000X



**SUSTAINABLE  
FORESTRY  
INITIATIVE**

**Certified Chain of Custody**  
At Least XX% Certified Forest Content

[www.sfprogram.org](http://www.sfprogram.org)  
SFI-XXXXX

 **SUSTAINABLE  
FORESTRY  
INITIATIVE**

**Certified Chain of Custody**  
X% Certified Forest Content,  
X% Certified Sourcing, and  
X% Recycled Content

[www.sfi-program.org](http://www.sfi-program.org)  
sfi-10000x

**SUSTAINABLE FORESTRY INITIATIVE**  
Certified Chain of Custody  
X% Certified Forest Content,  
X% Certified Sourcing, and  
X% Recycled Content  
[www.sfi-program.org](http://www.sfi-program.org)  
SFI-00000X

SFI\_COCX\_B\_HR.ai  
SFI\_COCX\_B\_HR.tif  
SFI\_COCX\_B\_HR.jpg



## PRODUCT LABELING GUIDE VERTICAL LABEL ARTWORK OPTION #2

### FOLDER:

#### SFI2\_Labels\_Vertical

#### SUB FOLDER:

SFI2\_Labels\_VC (VC: Vertical, Color)



SFI2\_CS\_A\_VC.ai  
SFI2\_CS\_A\_VC.tif  
SFI2\_CS\_A\_VC.jpg



SFI2\_COC\_A\_VC.ai  
SFI2\_COC\_A\_VC.tif  
SFI2\_COC\_A\_VC.jpg



SFI2\_COC\_REC\_A\_VC.ai  
SFI2\_COC\_REC\_A\_VC.tif  
SFI2\_COC\_REC\_A\_VC.jpg



SFI2\_COC\_REC\_B\_VC.ai  
SFI2\_COC\_REC\_B\_VC.tif  
SFI2\_COC\_REC\_B\_VC.jpg



SFI2\_COCaX\_A\_VC.ai  
SFI2\_COCaX\_A\_VC.tif  
SFI2\_COCaX\_A\_VC.jpg



SFI2\_COCX\_A\_VC.ai  
SFI2\_COCX\_A\_VC.tif  
SFI2\_COCX\_A\_VC.jpg



SFI2\_COCX\_B\_VC.ai  
SFI2\_COCX\_B\_VC.tif  
SFI2\_COCX\_B\_VC.jpg

#### SUB FOLDER:

SFI2\_Labels\_VBW (VBW: Vertical, Black & White)



SFI2\_CS\_A\_VBW.ai  
SFI2\_CS\_A\_VBW.tif  
SFI2\_CS\_A\_VBW.jpg



SFI2\_COC\_A\_VBW.ai  
SFI2\_COC\_A\_VBW.tif  
SFI2\_COC\_A\_VBW.jpg



SFI2\_COC\_REC\_A\_VBW.ai  
SFI2\_COC\_REC\_A\_VBW.tif  
SFI2\_COC\_REC\_A\_VBW.jpg



SFI2\_COC\_REC\_B\_VBW.ai  
SFI2\_COC\_REC\_B\_VBW.tif  
SFI2\_COC\_REC\_B\_VBW.jpg



SFI2\_COCaX\_A\_VBW.ai  
SFI2\_COCaX\_A\_VBW.tif  
SFI2\_COCaX\_A\_VBW.jpg



SFI2\_COCX\_A\_VBW.ai  
SFI2\_COCX\_A\_VBW.tif  
SFI2\_COCX\_A\_VBW.jpg



SFI2\_COCX\_B\_VBW.ai  
SFI2\_COCX\_B\_VBW.tif  
SFI2\_COCX\_B\_VBW.jpg

#### SUB FOLDER:

SFI2\_Labels\_VR (VR: Vertical, Reverse)



SFI2\_CS\_A\_VR.ai  
SFI2\_CS\_A\_VR.tif  
SFI2\_CS\_A\_VR.jpg



SFI2\_COC\_A\_VR.ai  
SFI2\_COC\_A\_VR.tif  
SFI2\_COC\_A\_VR.jpg



SFI2\_COC\_REC\_A\_VR.ai  
SFI2\_COC\_REC\_A\_VR.tif  
SFI2\_COC\_REC\_A\_VR.jpg



SFI2\_COC\_REC\_B\_VR.ai  
SFI2\_COC\_REC\_B\_VR.tif  
SFI2\_COC\_REC\_B\_VR.jpg



SFI2\_COCaX\_A\_VR.ai  
SFI2\_COCaX\_A\_VR.tif  
SFI2\_COCaX\_A\_VR.jpg



SFI2\_COCX\_A\_VR.ai  
SFI2\_COCX\_A\_VR.tif  
SFI2\_COCX\_A\_VR.jpg



SFI2\_COCX\_B\_VR.ai  
SFI2\_COCX\_B\_VR.tif  
SFI2\_COCX\_B\_VR.jpg

## PRODUCT LABELLING GUIDE HORIZONTAL LABEL ARTWORK OPT #2

FOLDER:

**SFI2\_Labels\_Horizontal**

SUB FOLDER:

SFI2\_Labels\_HC (HC: Horizontal, Color)



SFI2\_CS\_A\_HC.ai  
SFI2\_CS\_A\_HC.tif  
SFI2\_CS\_A\_HC.jpg



SFI2\_COC\_A\_HC.ai  
SFI2\_COC\_A\_HC.tif  
SFI2\_COC\_A\_HC.jpg



SFI2\_COC\_REC\_A\_HC.ai  
SFI2\_COC\_REC\_A\_HC.tif  
SFI2\_COC\_REC\_A\_HC.jpg



SFI2\_COC\_REC\_B\_HC.ai  
SFI2\_COC\_REC\_B\_HC.tif  
SFI2\_COC\_REC\_B\_HC.jpg



SFI2\_COCaIX\_A\_HC.ai  
SFI2\_COCaIX\_A\_HC.tif  
SFI2\_COCaIX\_A\_HC.jpg



SFI2\_COCX\_A\_HC.ai  
SFI2\_COCX\_A\_HC.tif  
SFI2\_COCX\_A\_HC.jpg



SFI2\_COCX\_B\_HC.ai  
SFI2\_COCX\_B\_HC.tif  
SFI2\_COCX\_B\_HC.jpg

SUB FOLDER:

SFI2\_Labels\_HBW (HC: Horizontal, B & W)



SFI2\_CS\_A\_HBW.ai  
SFI2\_CS\_A\_HBW.tif  
SFI2\_CS\_A\_HBW.jpg



SFI2\_COC\_A\_HBW.ai  
SFI2\_COC\_A\_HBW.tif  
SFI2\_COC\_A\_HBW.jpg



SFI2\_COC\_REC\_A\_HBW.ai  
SFI2\_COC\_REC\_A\_HBW.tif  
SFI2\_COC\_REC\_A\_HBW.jpg



SFI2\_COC\_REC\_B\_HBW.ai  
SFI2\_COC\_REC\_B\_HBW.tif  
SFI2\_COC\_REC\_B\_HBW.jpg



SFI2\_COCaIX\_A\_HBW.ai  
SFI2\_COCaIX\_A\_HBW.tif  
SFI2\_COCaIX\_A\_HBW.jpg



SFI2\_COCX\_A\_HBW.ai  
SFI2\_COCX\_A\_HBW.tif  
SFI2\_COCX\_A\_HBW.jpg



SFI2\_COCX\_B\_HBW.ai  
SFI2\_COCX\_B\_HBW.tif  
SFI2\_COCX\_B\_HBW.jpg

SUB FOLDER:

SFI2\_Labels\_HR (HC: Horizontal, Reversed)



SFI2\_CS\_A\_HR.ai  
SFI2\_CS\_A\_HR.tif  
SFI2\_CS\_A\_HR.jpg



SFI2\_COC\_A\_HR.ai  
SFI2\_COC\_A\_HR.tif  
SFI2\_COC\_A\_HR.jpg



SFI2\_COC\_REC\_A\_HR.ai  
SFI2\_COC\_REC\_A\_HR.tif  
SFI2\_COC\_REC\_A\_HR.jpg



SFI2\_COC\_REC\_B\_HR.ai  
SFI2\_COC\_REC\_B\_HR.tif  
SFI2\_COC\_REC\_B\_HR.jpg



SFI2\_COCaIX\_A\_HR.ai  
SFI2\_COCaIX\_A\_HR.tif  
SFI2\_COCaIX\_A\_HR.jpg



SFI2\_COCX\_A\_HR.ai  
SFI2\_COCX\_A\_HR.tif  
SFI2\_COCX\_A\_HR.jpg



SFI2\_COCX\_B\_HR.ai  
SFI2\_COCX\_B\_HR.tif  
SFI2\_COCX\_B\_HR.jpg



APPENDIX 3: SFI OFF-PRODUCT MARK — ART RULES

	Horizontal Mark 1½" minimum width for mark	Stacked Mark ¾" minimum width for mark
<b>4-Color SFI Mark</b> Use CMYK color palette specs whenever fourcolor printing is available. Materials that fall into this category include advertising, collateral and sales materials, POS, and press materials.	SUSTAINABLE FORESTRY INITIATIVE SFI-XXXXX  4-Color Mark (CMYK)	SUSTAINABLE FORESTRY INITIATIVE SFI-XXXXX
<b>2-Color SFI Mark</b> Use PMS 348 CVC and black when PMS color is available for materials such as brochures and catalogs.	SUSTAINABLE FORESTRY INITIATIVE SFI-XXXXX  2-Color Mark (PMS 348)	SUSTAINABLE FORESTRY INITIATIVE SFI-XXXXX
<b>1-Color SFI Mark</b> Use B&W version of the marks when printing in black and white for materials such as laser print documents, and black and white ads.	SUSTAINABLE FORESTRY INITIATIVE SFI-XXXXX  1-Color Mark (B&W)	SUSTAINABLE FORESTRY INITIATIVE SFI-XXXXX
<b>Web-Safe SFI Mark</b> Use jpeg or tiff for all website applications and PowerPoint presentations.	SUSTAINABLE FORESTRY INITIATIVE SFI-XXXXX  Web-Safe Mark	SUSTAINABLE FORESTRY INITIATIVE SFI-XXXXX
<b>Reverse SFI Mark</b> Use reverse version of the marks when applying them to dark backgrounds or over dark photographic images.	SUSTAINABLE FORESTRY INITIATIVE SFI-XXXXX  Reverse Mark	SUSTAINABLE FORESTRY INITIATIVE SFI-XXXXX
<b>Typography</b> The SFI tagline text typeface is Garamond3 LT Italic, and the website text typeface is Universe. To maintain consistency, use only these fonts in all external communications.	<i>Good for you. Good for our forests.®</i> <a href="http://www.sfiprogram.org">www.sfiprogram.org</a>	
<b>Color Palette</b> The primary color palette consists of PMS 348 CVC and Black. Always match print jobs to color swatches to maintain consistency.  Use Web-safe specs for PowerPoint presentations and website graphics.	SFI Black 100% Black  PMS 348 CVC	CMYK C 94.12% M 22.74% Y 80.78% K 8.63%  Web-Safe R 12 G 68 B 3E

**Horizontal Mark**  
1½" minimum width for mark

**Stacked Mark**  
¾" minimum width for mark



### Mark Lock-Ups

These mark lock-ups were created to maintain consistency when using the mark with secondary type information.

Do not alter the spacing or positioning of any items in these lock-ups.



### Area of Isolation

To maintain clean, uncluttered layouts and to maximize the impact and recognition of the marks, always maintain an area of isolation all around the marks as shown.

*Note: marks may appear within a photographic image or illustration given that an area of isolation is maintained as noted.*



### Mark Violations

- Do not use mark graphic by itself or to create a pattern.
- Do not combine with any other logo or image as to create a third logo or mark.
- To maintain consistency, do not modify or alter marks.
- Do not violate area of isolation with text or other graphics.
- Do not alter the positioning of mark graphics or reposition, recrop, break apart or otherwise alter marks in any way.
- The tree/leaf design may not be displayed by itself, but must always be accompanied by the words "Sustainable Forestry Initiative" or "SFI."





# SECTION 6

## GUIDANCE TO SFI 2015-2019 STANDARDS AND RULES









# GUIDANCE TO SFI 2015-2019 STANDARDS AND RULES

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SECTION 6

## 1. INTRODUCTION

*SFI Inc.* completes a review of its standards and supporting documents every five years, which is consistent with international protocols for forest certification standard revision cycles. The fourth public review, conducted in 2013-2014, led to the *SFI 2015-2019 Standards and Rules* and supporting documents.

This guidance document is intended to assist *SFI Program Participants* and certification bodies in interpreting and implementing new and existing provisions in the *SFI 2015-2019 Standards and Rules*.

This document provides additional information that may help *Program Participants* make management decisions to meet *SFI 2015-2019 Standards and Rules* requirements. *SFI Inc.* routinely researches ways to improve the functionality of the *SFI* program; thus this document may be updated over time.

## 2. APPLICATION OF THE SFI 2015-2019 FOREST MANAGEMENT AND SFI 2015-2019 FIBER SOURCING STANDARDS

The *SFI 2015-2019 Forest Management Standard* and *SFI 2015-2019 Fiber Sourcing Standard* apply to management of and sourcing from forests where management intensities are characterized by managed natural forests and plantation forestry, regardless of the forest products derived from management of such forests. The figure (Figure 1) below illustrates the spectrum of forest management systems. The *SFI 2015-2019 Forest Management Standard* and *SFI 2015-2019 Fiber Sourcing Standards* are intended to apply to forest management systems that are classified as natural forest systems, managed natural forests and plantation forests. Management operations that are classified as short rotation woody crops or agro-forestry are not within the scope of the *SFI 2015-2019 Standards and Rules*.

## 3. SFI 2015-2019 FOREST MANAGEMENT STANDARD OBJECTIVE 1: LONG-TERM SUSTAINABLE HARVEST LEVELS

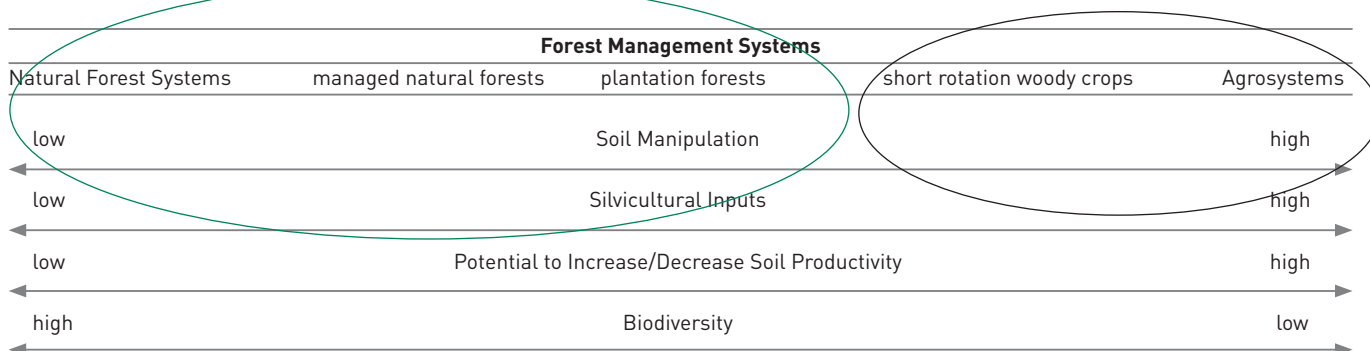
### 3.1 Determining the Most Appropriate Geographic Scale

Objective 1 Performance Measure 1.1 requires *long-term* harvest levels that are sustainable and consistent with appropriate *growth and yield models*. Indicator 1.1.1 lists items required in forest management planning “at a level appropriate to the size and scale of the operation”, with 1.1.1[d] requiring that “*biodiversity* at the *landscape scale*” be factored into forest management planning decision-making. From these requirements it can be inferred that a *Program Participant* must base their *long-term* sustainable harvest level planning at a geographic scale that accurately reflects forest growth and yield and conservation of biodiversity. Likewise, the requirement that forest management planning shall ensure *long-term* (one rotation or greater) sustainable harvest levels requires planning to occur on forest types in similar biological, geological, and climatic areas.

### 3.2 Acquisitions and Sustainable Harvest Planning

An *SFI Program Participant* with a prolonged, accelerated harvest level in one operational region cannot “offset” a *long-term* unsustainable level of harvests through land acquisition. This practice does not meet the spirit and intent of the *SFI* program and to allow this practice could result in an imbalance in forest age classes and species composition in certain portions of the *Program Participant's* lands, which in turn could have significant negative impacts on the conservation of *biological diversity* contrary to Indicator 1.1.1 [d], which requires that forest management planning consider *biodiversity* at the *landscape scale*. Any acquired lands should be integrated into the organization’s forest management planning, and the organization should recalculate appropriate *long-term* harvest levels that are sustainable and consistent with accepted growth and yield models by operational region.

**Figure 1. Spectrum of forest management systems (green circle) that qualify for certification to the SFI 2015-2019 Forest Management Standard and SFI 2015-2019 Fiber Sourcing Standard (Adapted from Burger, 2002<sup>1</sup>).**



<sup>1</sup> Burger, J. A. 2002. Soil and Long-Term Site Productivity Values. In: Richardson, J.; Bjorheden, R.; Hakkila, P.; Lowe, A. T.; and Smith, C. T. *Bioenergy from Sustainable Forestry: Guiding Principles and Practice*. Dordrecht, The Netherlands: Kluwer Academic Publishers: 165-189.

### 3.3 Temporal Scale

It is SFI's expectation that *certification bodies* shall audit sustainable harvest levels based on the criteria specified in Performance Measure 1.1, taking into account the maintenance of *landscape* level *biodiversity*, and confirming that any increases in planned harvest level(s) are consistent with the SFI *Program Participant's* forest management plan. Additionally, sustainable harvest levels or government regulated allowable annual harvest should not be exceeded for extended periods of time unless a substantive ecological rationale is developed to justify the elevation, examples of which could include a response to *forest health* emergencies such as beetle epidemics or sanitation logging of forests impacted by catastrophic wildfire, ice storm or wind damage. In instances where harvest levels are exceeded for extended periods, a documented plan must be in place to demonstrate how harvest planning will achieve a return to the *long-term* sustainable harvest levels over one rotation.

### 3.4 Record Retention

The requirements of Objective 1, Performance Measure 1.1 address the need to have a *long-term* resources analysis, *forest inventory*, *growth-and-yield modeling* capabilities, and recommended sustainable harvest levels for areas available for harvest. Likewise, Indicator 1.1.2 requires that "documented current harvest trends fall within *long-term* sustainable levels identified in the forest management plan" and Indicator 1.1.4 requires "periodic updates of *forest inventory* and recalculation of planned harvests to account for changes in growth due to *productivity* increases or decreases."

Forest management plans by their very nature are adjusted as needed to reflect changes in factors such as inventory, growth and yield modeling capabilities, growing stock, harvest levels and the cyclical nature of the forest products market. To ensure effective decision making regarding *long-term* sustainable harvest levels, an SFI *Program Participant* must be able to assess the accuracy of past planning inputs and decisions made through appropriate document retention. It is expected that an SFI *Program Participant* has the ability to look backwards over a sufficiently long time frame in order to inform its future forest management planning.

## 4. SFI 2015-2019 FOREST MANAGEMENT STANDARD OBJECTIVE 1: CONVERSION

### 4.1 Conversion of One Forest Cover Type to Another Forest Cover Type

The intent of Performance Measure 1.2 is to outline the limitations on conversion and the due diligence process to be followed when converting to a different *forest cover type*. Limitations exist where the conversion is unlawful, threatens rare and ecologically significant *native* forest types, or where *long-term* adverse impacts are expected on species, *habitats* or *special sites* already protected by the SFI 2015-2019 *Forest Management Standard*.

In situations where a *Program Participant* intends to convert from one *forest cover type* to another *forest cover type*, the *Program Participant* is expected to demonstrate proficiency of assessment of the conditions outlined in Indicator 1.2.2.

The formality of the assessment has not been prescribed and therefore, *Program Participants* are able to structure the assessment in accordance with the scope and scale of their organization and scale of the intended conversion.

It is not the intent of Performance Measure 1.2 to limit activities that are of ecological benefit, such as returning a site to a historical *forest cover type*, responding to *forest health* concerns, or mitigating present or future environmental harm (e.g., *climate change*).

### 4.2 Conversion of Forest Land to Another Land Use

The intent of Performance Measure 1.3 is to ensure that forestland that is being converted to non-forestland uses is appropriately "scoped out" of SFI certificates. Two basic tenets establish the rationale for this Performance Measure. First, forestland that is being converted to non-forest land uses would not likely meet any of the SFI 2015-2019 *Forest Management Standard* requirements (prompt *reforestation*, *biodiversity*, etc.) and therefore could not be certified under the SFI 2015-2019 *Forest Management Standard*.

Second, fiber (roundwood and/or chips) from forestland being converted to non-forest land uses cannot be counted as *certified forest content* in any product bearing an SFI *program label* (see definition of *conversion sources*).

#### 4.2.1 Scope of Certification

Notwithstanding the tenets listed in Section 3.2 of this guidance, the issue with conversion to non-forest land use is really a question of which lands are eligible to be within the scope of a *Program Participant's* SFI 2015-2019 *Forest Management Standard* certificate. There is no limit on the percentage of land that can be scoped out of an SFI 2015-2019 *Forest Management Standard* certificate. However, it is important to ensure that forestland within the scope of the *Program Participant's* SFI 2015-2019 *Forest Management Standard* certificate continues to be managed as forestland consistent with the SFI 2015-2019 *Forest Management Standard*. In some circumstances, forestland designated for sale may not sell in the short term nor is there certainty that these forestlands will be converted to another land use by the purchaser. As such, the *Program Participant* should continue to manage these forestlands in conformance with the SFI 2015-2019 *Forest Management Standard* until a sales contract has been executed. Once a sales contract is executed, the *Program Participant* should scope out the lands that will be sold.

*Program Participants* are not restricted in their decision making regarding the purchase of or sale of forestland or the movement of forestland (or the quantity) in or out of the scope of an SFI 2015-2019 *Forest Management Standard* certificate. *Certification bodies* must ensure that lands

within the scope of an *SFI 2015-2019 Forest Management Standard* audit are being managed in conformance with the *SFI 2015-2019 Forest Management Standard* to protect the integrity of the *SFI 2015-2019 Standards and Rules*. Furthermore, *certification bodies* and *Program Participants* must ensure that there is absolute clarity on which forest lands — whether owned, managed or controlled (see 3.2.2 below) — are included in the scope of the *SFI 2015-2019 Forest Management Standard* certificate.

#### 4.2.2 Control of Decision Making

The issue of control of decision making by the *Program Participant* is the central factor when determining which forestland should be scoped out of an *SFI 2015-2019 Forest Management Standard* certificate. When a *Program Participant* knowingly intends to convert forestland to a non-forest land use and has control over the process, then the forestlands should be scoped out of the certificate when the decision is made to convert.

The example above where forestland is being sold or purposefully converted to non-forest land use is relatively straight-forward when it comes to identifying who has control of decision making. However, there are other examples where control of management practices is less clearly defined or where control over decisions regarding forestland use shifts to a different party after a fixed period of time. Examples of these more ambiguous circumstances include *long-term* leases and timber deeds.

Like in the forestland sale example, the decision whether to scope forestland in or out of an *SFI 2015-2019 Forest Management Standard* certificate still rests with the organization that has control over decisions related to management of the forestland in conformance with the *SFI 2015-2019 Forest Management Standard*. More specifically, if a *Program Participant* has forest management authority over Objective 1 of the *SFI 2015-2019 Forest Management Standard*, then such lands can remain within the scope of the *SFI 2015-2019 Forest Management Standard* certificate until such time as control of forest management decisions is relinquished. Likewise, in the case of *long-term* leases or timber deeds; if a *Program Participant* has a reasonable expectation the lands will remain in a forested condition after their lease or deed expires, then such lands can remain within the scope of the *SFI 2015-2019 Forest Management Standard* certificate until such time as control of forest management decisions is relinquished.

Mining and drilling activities are other examples of where *Program Participants* may have control over forest management, but may not have control over the ultimate fate of the land use. In this example, so long as the *Program Participant* is not the party deciding to mine or drill or has not engaged into a contractual relationship with a third-party to do so, then lands being managed in accordance with the *SFI 2015-2019 Forest Management Standard* may remain within the scope of an *SFI 2015-2019 Forest Management Standard* certificate until such time as forest management control is relinquished.

#### 4.2.3 Accounting for Non-Certified Forest Content

Despite efforts to scope out forestlands intended to be converted to non-forest land uses, small parcels of land intended for conversion may remain in the scope of an *SFI 2015-2019 Forest Management Standard* certificate (e.g., utility right-of-way, well drilling pad). Accounting for the *conversion sources* from such small “inclusions” within a larger *SFI* certified forest may be impracticable. In order to meet the spirit and intent of Performance Measure 1.3, *Program Participants* should make reasonable efforts to separate *conversion sources* from *certified forest content* where the volume of *conversion sources* is more than a minimal amount (e.g., 1 percent of the harvested volume).

## 5. SFI 2015-2019 FOREST MANAGEMENT STANDARD OBJECTIVE 2: PROHIBITED CHEMICALS

The intent of Performance Measure 2.2 is to *minimize* the chemical use required to achieve management *objectives* while ensuring the protection of employees, the public and the environment, including *wildlife* and *aquatic habitats*. To ensure these results are achieved, the use of forest management pesticides must follow federal, state and local laws; follow the label instructions, and be implemented with proper equipment and training. Furthermore, pesticides, such as chlorinated hydrocarbons whose derivatives remain biologically active beyond their intended use, as well as pesticides banned by international agreement, are prohibited for use by *Program Participants*. This last requirement is addressed by Indicators 2.2.4 and 2.2.5.

#### Indicator 2.2.4:

The World Health Organization (WHO) type 1A and 1B pesticides shall be prohibited, except where no other viable alternative is available.

It is the responsibility of the *Program Participant* to ensure that any chemical use in forest management avoids the use of chemicals on the WHO type 1A and 1B list of prohibited chemicals. In the rare exception where a *Program Participant* believes a variance on the prohibition on the use of a WHO type 1A and 1B chemical is warranted, the *Program Participant* will submit their rationale to their *certification body* for approval. The *certification body* will then monitor the chemical usage approved under this variance, should this variance be approved.

The WHO type 1A and 1B list of prohibited chemicals is at: [http://www.who.int/ipcs/publications/pesticides\\_hazard\\_2009.pdf](http://www.who.int/ipcs/publications/pesticides_hazard_2009.pdf).

Indicator 2.2.5:

Use of pesticides banned under the Stockholm Convention on Persistent Organic Pollutants (2001) shall be prohibited.

It is the responsibility of the *Program Participant* to ensure that any chemical use in forest management complies with the ban on the use of chemicals under the Stockholm Convention on Persistent Organic Pollutants (2001). There is no option of a variance for the use of chemicals banned under the Stockholm Convention (2001).

The list of chemicals banned under the Stockholm Convention on Persistent Organic Pollutants is at: <http://chm.pops.int/TheConvention/ThePOPs/tabid/673/Default.aspx>.

## 6. SFI 2015-2019 FOREST MANAGEMENT STANDARD

### OBJECTIVE 4: CONSERVATION OF BIOLOGICAL DIVERSITY

#### 6.1 Forests with Exceptional Conservation Value

Objective 4 of the *SFI 2015-2019 Forest Management Standard* extends the *biodiversity* requirements to *Forests with Exceptional Conservation Value* (FECV).

Indicator 4.2.2:

*Program* to locate and protect known sites of flora and fauna associated with viable occurrences of *critically imperiled* and *imperiled* species and communities also known as *Forests with Exceptional Conservation Value*. Plans for *protection* may be developed independently or collaboratively, and may include *Program Participant* management, cooperation with other stakeholders, or use of easements, *conservation* land sales, exchanges, or other *conservation* strategies.

Definition of *Forests with Exceptional Conservation Value*: *critically imperiled* (G1) and *imperiled* (G2) species and ecological communities.

**Critically imperiled:** A plant or animal or community, often referred to as G1, that is globally extremely rare or, because of some factor(s), especially vulnerable to extinction. Typically, five or fewer occurrences or populations remain, or very few individuals (<1,000), acres (<2,000 acres or 809 hectares), or linear miles (<10 miles or 16 kilometers) exist.

**Imperiled:** A plant or animal or community, often referred to as G2, that is globally rare or, because of some factor(s), is very vulnerable to extinction or elimination. Typically, six to 20 occurrences, or few remaining individuals (1,000 to 3,000), or acres (2,000 to 10,000 acres or 809 to 4047 hectares), or linear miles (10 to 50 miles or 16 to 80.5 kilometers) exist.

In the United States and Canada, *SFI Program Participants* can use the NatureServe database to identify species and communities for *protection*. Learn more about NatureServe *Conservation Status Assessments* at <http://www.natureserve.org/biodiversity-science/publications>.

#### 6.1.1 NatureServe Resources for Global and Occurrence Ranks

Identification and *protection* of *critically imperiled* and *imperiled* species and communities is a step-wise process. First, NatureServe determines the global rank, which reflects the rarity/imperilment of the species or community. Then it assesses the estimated viability, or probability of persistence, of particular occurrences of *critically imperiled* and *imperiled* species and communities. A viable species or community is one that is of sufficient quality to likely survive *long term*. Clearly, little conservation benefit is gained unless protected occurrences have a good likelihood of *long-term* survival. NatureServe inventory and *conservation* activities focus on locating, maintaining records on, and working with partners to conserve viable occurrences of *conservation* elements. NatureServe/Natural Heritage Programs rank viability of element occurrences (community or species) using standard methodologies to yield an element occurrence ranking. A standard set of Element Occurrence Rank Specifications is developed and maintained for each element, and then applied against individual occurrences of the element.

The basic element occurrence ranks are:

A:	Excellent estimated viability
B:	Good estimated viability
C:	Fair estimated viability
D:	Poor estimated viability
E:	Verified extant (viability not assessed)
H:	Historical
F:	Failed to find
X:	Extirpated

The *SFI 2015-2019 Forest Management Standard* requires that *Program Participants* have “plans to locate and protect known sites associated with viable occurrences of *critically imperiled* and *imperiled* species and communities.”

Under the *SFI 2015-2019 Forest Management Standard*, occurrences of *critically imperiled* and *imperiled* species and communities ranked as A and B are to be protected. C-ranked occurrences should be reviewed and addressed on a case-by-case basis. If they have greater potential to be viable (C+), they should be protected. If there is less potential for viability (C-), they are to be managed at the *Program Participant's* discretion.



Element occurrences with poor estimated viability (D) would not be protected under the *SFI 2015-2019 Forest Management Standard*. A D rank might result because the acreage of a community or the population of a species is too small, the quality is very low, and/or the ecological processes required to maintain the occurrence are fundamentally altered and un-restorable. E-ranked occurrences (viability not assessed) should be presumed viable and protected until assessed and determined to be of C- or D quality. Occurrences ranked F are not covered under the *SFI 2015-2019 Forest Management Standard* since only known occurrences are included. Historical (H) and extirpated (X) occurrences are clearly nonviable, and no protection activity is warranted.

In determining the viability and potential to protect occurrences, *Program Participants* are encouraged to seek additional information on occurrence ranking from NatureServe ([www.natureserve.org/biodiversity-science/publications](http://www.natureserve.org/biodiversity-science/publications)) and/or to collaborate with qualified *conservation* experts.

## 6.2 Occurrence Quality

The following material provides additional information on the standards and methodologies employed by NatureServe in determining the quality or viability of occurrences.

For an ecological assessment, scientists and managers want to know if each occurrence is of sufficient quality, or feasibly restorable, before including it in management planning. With adequate information, ecologists evaluate and rate the quality of element occurrences using criteria grouped into three categories: size, condition, and *landscape* context.

Characterizing the quality of an occurrence provides the basis for assessing stresses — the degradation or impairment — of element occurrences at a given site. To assess the quality of element occurrences, ecologists must identify the key ecological factors (ecological processes, population abundance, disturbance regimes, composition and structure, etc.) that support them. Once these are identified, it is possible to describe their expected ranges of variation and assess whether the on-site factors are within those ranges or requires significant effort to be maintained or restored to its desired status.

Key ecological factors vary by element type, but all are grouped into three categories of size, condition and *landscape* context. Each of these three categories is reviewed and ranked for each occurrence as A (excellent), B (good), C (fair) and D (poor). The break between C and D establishes a minimum quality threshold for occurrences. Occurrences ranked D are typically presumed to be beyond practical consideration for ecological restoration. In subsequent management planning, these ranks and underlying criteria aid in focusing *conservation* activities and measure progress toward local *conservation* objectives.

Definitions of these categories are:

**Size** is a measure of the area or abundance of the *conservation* element's occurrence. It may simply be a measure of the occurrence's patch size or geographic coverage, and it may also include an estimate of sub-population size or density. Minimum dynamic area, one aspect of size, is the area needed to ensure survival or re-establishment of a population or community after natural disturbance.

**Condition** is an integrated measure of the composition, structure and biotic interactions that characterize the occurrence. This includes factors such as reproduction, age structure, biological composition (e.g., presence of *native* versus *invasive exotic plants and animals*; presence of characteristic patch types), physical and spatial structure (e.g., canopy, understory and groundcover; spatial distribution and juxtaposition of patch types or seral stages in an ecological system), and biotic interactions that directly involve the element (e.g., competition and disease).

**Landscape context** measures two factors: the dominant environmental regimes and processes that establish and maintain the element occurrence, and connectivity. Dominant environmental regimes include hydrologic and water chemistry regimes (surface and groundwater), geomorphic processes, climatic regimes (temperature and precipitation), fire regimes, and natural disturbances. Connectivity includes such factors as species elements having access to *habitats* and resources needed for lifecycle completion, fragmentation of ecological communities and systems, and the ability of any element to respond to environmental change through dispersal, migration, or re-colonization. Criteria for ranking ecological communities vary by type. In many instances, criteria are developed for ecological systems, then modified (mostly with size attributes) for application to occurrences of individual rare plant associations that may occur among the more broadly defined ecological system.

## 6.3 Guidance on Incorporation of Ecosystems in the *SFI 2015-2019 Forest Management Standard*

In the *SFI 2015-2019 Forest Management Standard*, the term "ecosystem" or "ecosystems" is referenced in several different *objectives* and *indicators*, yet guidance on how the concept of ecosystems should be integrated into *sustainable forestry* is lacking. Ecosystems represent the integration of biotic (e.g., plants, animals) and abiotic (e.g., soils, water) elements of the environment. In the context of *sustainable forestry* key components of ecosystems include: 1) forest composition; 2) forest structure; 3) connectivity across *landscapes*; and 4) how ecological processes like competition, nutrient cycling, or herbivory influence the sustainability of forest ecosystems.

*Sustainable forestry* is based on applying management at multiple scales with most *SFI Program Participants* operating at *stand* to *landscape* scales. The guidance provided is not a template for

ecosystem management. Rather, currently accepted *SFI* definitions and approved elements of the *SFI 2015-2019 Forest Management Standard* are relied on to demonstrate how ecosystems are an integral component of sustainable forest management. The guidance is consistent with the four aforementioned components of ecosystems: 1) forest composition, 2) forest structure, 3) connectivity, and 4) ecological processes.

### **Integrating the Biotic and Abiotic Elements of the Environment**

The combination of *forest cover type* and soils maps, supplemented by non-timber information like *non-forested wetlands* and *Forests with Exception Conservation Values (FECV)*, provide the foundation for *landscape* scale mapping and planning that incorporates ecosystems into sustainable forest management for *Program Participants*. *Program Participants* are required to have a *land classification* system (Indicator 1.1.1c), soils inventory and maps, where available (Indicator 1.1.1e, Performance Measure 2.3), up-to-date maps or a *geographic information system* (Indicator 1.1.1g), and information on non-timber resources (Indicators 1.1.1i, 3.2.2, 3.2.3, 4.1.6, 4.2.2, 4.2.3) as part of their forest planning processes. *Program Participants* also are required to integrate biotic and abiotic elements in forest conversion decisions (Indicator 1.2.2b), forest regeneration (Performance Measure 2.1), and during implementation of forest *protection* activities (Performance Measure 2.4). Additionally, the *conservation of biological diversity* inherently integrates the biotic and abiotic elements of the environment through the accounting of *wildlife habitats* (Indicators 4.1.1, 4.1.2, 4.1.5), ecological community types (Indicators 4.1.1, 4.2.2, Performance Measure 4.3), *native biological diversity* (Indicator 4.1.1), and *Forests with Exceptional Conservation Value* (Indicator 4.2.2, Performance Measure 4.4).

### **Forest Composition**

Forest composition is closely linked to abiotic factors like soil, microclimate, and moisture availability. Forest managers tend to think of composition at three levels: 1) *forest health and productivity* (e.g., high growth rates, drought resistant, disease resistance) of planting or regeneration stock (the “genetic” level”); 2) *stand* level considerations including tree species composition, management of competing vegetation, and structural retention practices (Indicator 4.1.2); and 3) *landscape* scale considerations (across ownerships or across multiple ownerships — Indicators 4.1.3, 4.1.4) in terms of *forest cover types* or other land cover classes.

### **Forest Structure**

Within forest *stands*, structure refers to a number of characteristics, including the physical arrangement of trees, snags, and down woody debris. Within a *stand* and depending on the situation, *Program Participants* have criteria for the desired forest composition (Performance Measure 2.1), tree stocking (Indicator 2.1.2), size distributions (Indicator 1.1.1a, 1.1.1h), retention of *habitat* elements (Indicator 4.1.2), and *protection of special sites* (Indicators 4.1.5, 4.1.6, Performance Measure 4.3, Objective 6). At larger scales, like

multiple forest *stands*, forest structure is often based on differences in size/density or stand age (in even-aged management systems), as portrayed by a *land classification* system (Indicator 4.1.3). This *land classification* system often includes information on *riparian zones* and the locations of *special sites* and *wetlands* (Indicators 3.2.2, 3.2.3). At even larger scales (e.g., *landscapes*), forest managers tend to portray the diversity of size, density, or age classes in management blocks, across entire ownerships, or in some instances across multiple ownerships (Indicator 4.1.3).

### **Connectivity**

Integration of connectivity into sustainable forest management occurs through protection of *riparian zones* (Performance Measure 3.2), provision of diverse *forest cover types* and structures (Indicators 4.1.2, 4.1.3), and *protection* of other ecologically important sites (Indicators 4.1.5, 4.1.6; Performance Measure 4.3; Objective 6). Connectivity can be assessed at multiple scales and can be thought of as structural or functional. As the labels imply, structural connectivity refers to *forest cover types* or habitats physically touching, providing the ability of genes and species to move through the managed forest *landscape*. Functional connectivity refers to *forest cover types* or *habitats* that are not physically touching but are arranged in a *landscape* such that genes and species can move. The *SFI 2015-2019 Forest Management Standard* contains *indicators* that both directly and indirectly influence connectivity via requirements for prompt forest *reforestation* (Performance Measure 2.1), limitations on clearcut harvest area sizes (Indicator 5.2.1), limitations on forest *conversion* (Performance Measures 1.2, 1.3), the *protection of riparian zones* (Performance Measure 3.2), non-forested areas, and other ecological sites (Indicators 4.1.5; 4.1.6; Performance Measure 4.3), and through aesthetic considerations (Objective 5). In certain situations, some *Program Participants* may explicitly identify species of *conservation* concern that warrant direct assessments of connectivity (Performance Measure 4.2).

### **Ecological Processes**

Ecological processes help sustain forest composition, structure, and connectivity. The *SFI 2015-2019 Forest Management Standard* explicitly recognizes numerous ecological processes that are important to *sustainable forestry*, including forest *reforestation* (Performance Measure 2.1), *forest health* (Performance Measure 2.4), hydrological function (Objective 3), and consideration of the role of natural disturbances (Indicator 4.1.8). In many certified forest *landscapes*, the ecological processes that sustain composition and structure are influenced by active or passive management activities including harvesting, *reforestation*, and maintenance or enhancement of *biological diversity* and *wildlife habitat*.

## 7. SFI 2015-2019 FOREST MANAGEMENT STANDARD – OBJECTIVE 4: WILDLIFE HABITAT DIVERSITY, SIGNIFICANT SPECIES OF CONCERN, AND INVASIVE EXOTIC PLANTS AND ANIMALS

Objective 4 in the *SFI 2015-2019 Forest Management Standard* includes performance measures and indicators for conservation of biological diversity. Additional information is provided here for wildlife habitat diversity, significant species of concern and invasive exotic plants and animals.

### 7.1 Wildlife Habitat Diversity

Performance Measure 4.1 in the *SFI 2015-2019 Forest Management Standard* includes programs to incorporate conservation of biological diversity and to recognize the value of a diversity of habitats to support fish and wildlife habitats. Early successional forest stages, for example, are particularly lacking in certain regions of the U.S. and Canada, and managing for them can aid in preventing the decline of species dependent on them (e.g., ruffed grouse). Historically, fires and other natural disturbances created forest openings and the types of habitat needed by these early succession forest dependent species. As forests across the landscape mature, this type of habitat declines in abundance. However, it can easily be created by proper selection of harvesting methods including clearcutting and the use of prescribed fire.

### 7.2 Significant Species of Concern

Indicator 4.1.5 requires a program to address conservation of known sites with viable occurrences of significant species of concern.

The intent of Indicator 4.1.5 is for Program Participants to [1] evaluate conservation of species or communities that are not state, provincially or federally threatened or endangered or ranked G1 or G2; [2] select appropriate species of concern that are significant; and [3] incorporate conservation actions for the selected species into management.

It is recognized that lists of “special concern species,” “rare species,” “species of greatest conservation need,” or similarly described lists have been published by state/provincial or federal agencies or others. It is not the intent of this indicator to imply that any particular species on such lists become a requirement under this indicator, rather that such lists may serve as a source of information on potential significant species of concern.

When determining whether or not a species is significant, a Program Participant may consider rarity, regional importance, and sensitivity to, or reliance upon, forest management activities. Resources for determining rarity may include NatureServe G or S ranks, International Union for Conservation of Nature Red List and federal, provincial or state lists. Resources for determining regional importance may include The Nature Conservancy Eco-regional Plans, State Wildlife Action Plans or other credible conservation plans.

The intent is for conservation to occur on Program Participants’ lands. Program Participants are not required to survey to determine known sites. Occurrence information can be drawn from NatureServe, state/provincial natural resource agencies, Conservation Data Centre and other eco-regional mapping efforts.

### 7.3 Invasive Exotic Plants and Animals

Indicator 4.1.7 addresses *invasive exotic plants and animals*.

According to the U.S. Department of Agriculture Animal and Plant Health Inspection Service, *invasive exotic plants and animals* are “any species, including its seeds, eggs, spores, or other biological material capable of propagating that species, that is not native to that ecosystem, whose introduction does or is likely to cause economic or environmental harm or harm to human health.” Examples would include the gypsy moth and kudzu, but not the barred owl.

*SFI Program Participants* should become knowledgeable about *invasive exotic plants and animals* within their area of operation. The expectation is that they will participate in cooperative efforts by others (e.g., government agencies or non-government environmental organizations) and work proactively within their own programs (e.g., erosion control or seed selection for wildlife plots) to limit the introduction, impact, and spread of *invasive exotic plants and animals*. Indicator 4.1.7 does not require *SFI Program Participants* to eliminate *invasive exotic plants and animals* on their land. In some places *invasive exotic plants and animals* are well established and eradication by the *SFI Program Participants* is unrealistic.

Experts in this area believe the most effective means of addressing *invasive exotic plants and animals* include:

- awareness building;
- monitoring;
- preventing new introductions; and
- eliminating new occurrences.

*SFI Program Participants* should emphasize these as priorities in their programs. Forest practices that reduce the abundance of *invasive exotic plants and animals* are preferred if they can be addressed within the context of the *SFI Program Participant’s* overall management objectives.

## 8. SFI 2015-2019 FOREST MANAGEMENT STANDARD – OBJECTIVE 8: INDIGENOUS PEOPLES’ RIGHTS

### 8.1 Aboriginal Title

*SFI 2015-2019 Forest Management Standard* Performance Measure 8.1 requires that Program Participants recognize and respect Indigenous Peoples’ rights. Additionally, Objective 9 requires Program Participants to comply with all applicable federal, provincial/state laws and regulations.

On June 26, 2014 the Supreme Court of Canada provided a significant ruling on the occurrence of Aboriginal title in Canada (Tsilhqot’in Nation v. British Columbia, 2014 SCC 44). The Tsilhqot’in decision is significant as it recognizes “Aboriginal title” over 1,900 km<sup>2</sup> of Tsilhqot’in territory establishing what is a new form of land tenure in Canada. This decision will have implications for Canadian Program Participants as First Nations legally establish “Aboriginal title” on territories that are currently non-treaty lands.

With this legal precedent in place, *Program Participants* must ensure they are in compliance with all applicable laws including recent court decisions that bear on forest management and land tenure. Certified *Program Participants* operating in non-treaty areas of Canada over which “Aboriginal title” claims are made should be aware of the recent Supreme Court of Canada decision [*Tsilhqot’in Nation v. British Columbia*, 2014 SCC 44] and the tests for and content of “Aboriginal title” to land.

## 9. SFI 2015-2019 FIBER SOURCING STANDARD - OBJECTIVE 2: BEST MANAGEMENT PRACTICES

Objective 2 of the *SFI 2015-2019 Fiber Sourcing Standard* calls for adherence to *best management practices*: “To monitor the use of *best management practices* to protect water quality.”

The use of *best management practices* to protect water quality is a critical component of sustainable forest management and is emphasized in the *SFI 2015-2019 Fiber Sourcing Standard* with requirements for on-the-ground management, monitoring, training and research. The *SFI 2015-2019 Fiber Sourcing Standard* strengthened requirements for *best management practices* application with a new indicator:

“2.1.2 Use of written agreements for the purchase of raw material sourced directly from the forest is required and must include provisions requiring the use of *best management practices*.”

While it is not practical to have auditing requirements that go beyond reviewing *Program Participants*’ contracts for purchasing raw material from their suppliers to ensure they do require the use of *best management practices*, this new indicator will further highlight the importance of *best management practices* and their use by all suppliers throughout the supply stream.

## 10. SFI 2015-2019 FIBER SOURCING STANDARD - OBJECTIVE 11: BIODIVERSITY HOTSPOTS AND HIGH-BIODIVERSITY WILDERNESS AREAS

Objective 11 of the *SFI 2015-2019 Fiber Sourcing Standard* calls for *fiber sourcing policies* that promote *conservation* of forests and *biodiversity* in areas outside of the United States and Canada identified as *biodiversity hotspots* and *high-biodiversity wilderness areas*.

**Objective 11.** To promote the *conservation* of *biological diversity*, *biodiversity hotspots* and *high-biodiversity wilderness areas* in *fiber sourcing programs*.

**Performance Measure 11.1.** *Program Participants* shall ensure that their *fiber sourcing programs* support the *principles* of *sustainable forestry*, including efforts to promote *conservation* of *biological diversity*.

Indicator:

1. *Fiber sourcing* from areas outside the United States and Canada promotes *conservation* of *biological diversity*, utilizing information from the following sources:
  - a. *biodiversity hotspots* and *high-biodiversity wilderness areas* as identified by Conservation International; and
  - b. rare species and *habitat* information derived from organizations such as the World Resources Institute, *Alliance*

for *Zero Extinction*, World Wildlife Fund, International Union for Conservation of Nature, and NatureServe.

This document provides additional information drawn from the World Resources Institute, Conservation International, *Alliance for Zero Extinction*, World Wildlife Fund, International Union for Conservation of Nature and NatureServe to aid *SFI Program Participants* in implementing these requirements.

Areas identified by any of these organizations may be wholly or partially within the United States and Canada. For the purposes of the *SFI 2015-2019 Forest Management Standard*, these areas are addressed by NatureServe or equivalent processes to identify *critically imperiled* and *imperiled* species and communities in North America [see earlier section regarding Objective 4 in the *SFI 2015-2019 Forest Management Standard: Conservation of Biological Diversity*].

Compliance with the *SFI 2015-2019 Fiber Sourcing Standard* does not mean that that *Program Participants* must cease all raw material or procurement activities from all forests within these areas. Rather, the emphasis is on seeking assurance that fiber and logs are secured from areas harvested legally, and avoiding actions that serve to cause or encourage further destruction of remaining original primary vegetation. To this end, *Program Participants* procuring fiber from within identified areas of high *biodiversity* should be aware of the designation and work to avoid actions that may detrimentally affect those *habitats*. Working to increasingly meet fiber and wood production needs from plantations and managed forests enhances efforts to protect remaining biologically diverse *habitats*. *Program Participants* can work with *conservation* organizations, government entities and others to provide additional guidance on aligning business and *conservation* objectives within these regions.

### 10.1 Biodiversity Hotspots and High-Biodiversity Wilderness Areas

Since 2002, the *SFI program* has relied on Conservation International’s definitions of *biodiversity hotspots* and *high-biodiversity wilderness areas* (formerly major tropical wilderness areas) to identify areas of potential concern for *Program Participants* who source fiber from overseas. Conservation International ([www.conservation.org](http://www.conservation.org)) seeks to empower societies to responsibly and sustainably care for nature for the well-being of humanity through a strong foundation of science, partnership and field demonstration. Conservation International maintains a list of global priority areas with exceptional biological value, and works to protect them.

#### 10.1.1 Biodiversity Hotspots

The *biodiversity hotspots* hold especially high numbers of endemic species, yet their combined area of remaining *habitat* covers only 2.3 percent of the Earth’s land surface.

Each hotspot faces extreme threats and has already lost at least 70 percent of its original natural vegetation. Over 50 percent of the world's plant species and 42 percent of all terrestrial vertebrate species are endemic to the 34 *biodiversity hotspots*.

## **Africa and Madagascar**

### **CAPE FLORISTIC REGION**

Evergreen fire-dependent shrublands characterize the *landscape* of the Cape Floristic Region.

### **COASTAL FORESTS OF EASTERN AFRICA**

Though tiny and fragmented, the forest remnants that make up the Coastal Forests of Eastern Africa contain remarkable levels of *biodiversity*.

### **EASTERN AFROMONTANE**

The mountains of the Eastern Afromontane hotspot are scattered along the eastern edge of Africa, from Saudi Arabia in the north to Zimbabwe in the south.

### **GUINEAN FORESTS OF WESTERN AFRICA**

The lowland forests of West Africa are home to more than a quarter of Africa's mammals, including more than 20 species of primates.

### **HORN OF AFRICA**

The arid Horn of Africa has been a renowned source of biological resources for thousands of years.

### **MADAGASCAR & THE INDIAN OCEAN ISLANDS**

Madagascar and its neighboring island groups have an astounding total of eight plant families, four bird families, and five primate families that live nowhere else on Earth.

### **MAPUTALAND-PONDOLAND-ALBANY**

Maputaland-Pondoland-Albany, which stretches along the east coast of southern Africa below the Great Escarpment, is an important center of plant endemism.

### **SUCCULENT KAROO**

The Succulent Karoo of South Africa and Namibia boasts the richest succulent flora on earth, as well as remarkable endemism in plants.

## **Asia-Pacific**

### **EAST MELANESIAN ISLANDS**

Once largely intact, the 1,600 East Melanesian Islands are now a hotspot due, sadly, to accelerating levels of *habitat* loss.

### **HIMALAYA**

The Himalaya Hotspot is home to the world's highest mountains, including Mount Everest.

## **INDO-BURMA**

Encompassing more than two million square kilometers of tropical Asia, Indo-Burma is still revealing its biological treasures.

## **JAPAN**

The islands that make up the Japanese Archipelago stretch from the humid subtropics in the south to the boreal zone in the north, resulting in a wide variety of climates and ecosystems.

## **MOUNTAINS OF SOUTHWEST CHINA**

With dramatic variations in climate and topography, the Mountains of Southwest China support a wide array of *habitats* including the most endemic-rich temperate flora in the world.

## **NEW CALEDONIA**

An island the size of New Jersey in the South Pacific Ocean, New Caledonia is the home of no less than five endemic plant families.

## **NEW ZEALAND**

A mountainous archipelago once dominated by temperate rainforests, New Zealand harbors extraordinary levels of endemic species.

## **PHILIPPINES**

More than 7,100 islands fall within the borders of the Philippines hotspot, identified as one of the world's biologically richest countries.

## **POLYNESIA-MICRONESIA**

Comprising 4,500 islands stretched across the southern Pacific Ocean, the Polynesia-Micronesia hotspot is the epicenter of the current global extinction crisis.

## **SOUTHWEST AUSTRALIA**

The forest, woodlands, shrublands and heath of Southwest Australia are characterized by high endemism among plants and reptiles.

## **SUNDALAND**

The spectacular flora and fauna of the Sundaland Hotspot are succumbing to the explosive growth of industrial *forestry* in these islands.

## **WALLACEA**

The flora and fauna of Wallacea are so varied that every island in this hotspot needs secure protected areas to preserve the region's *biodiversity*.

## **WESTERN GHATS & SRI LANKA**

Faced with tremendous population pressure, the forests of the Western Ghats and Sri Lanka have been dramatically impacted by the demands for timber and agricultural land.



## Europe and Central Asia

### CAUCASUS

The deserts, savannas, arid woodlands and forests that comprise the Caucasus hotspot contain a large number of endemic plant species.

### IRANO-ANATOLIAN

Forming a natural barrier between the Mediterranean Basin and the dry plateaus of Western Asia, the mountains and basins that make up the Irano-Anatolian Hotspot contain many centers of local endemism.

### MEDITERRANEAN BASIN

The flora of the Mediterranean Basin is dramatic. Its 22,500 endemic vascular plant species are more than four times the number found in all the rest of Europe.

### MOUNTAINS OF CENTRAL ASIA

Comprising two of Asia's major mountain ranges, the Mountains of Central Asia were known to early Persians as the "roof of the world."

## North and Central America

### CALIFORNIA FLORISTIC PROVINCE

The California Floristic Province is a zone of Mediterranean-type climate and has the high levels of plant endemism characteristic of these regions.

### CARIBBEAN ISLANDS

The Caribbean Islands support exceptionally diverse ecosystems, ranging from montane cloud forests to cactus scrublands, which have been devastated by deforestation and encroachment.

### MADREAN PINE-OAK WOODLANDS

Encompassing Mexico's main mountain chains, and isolated mountaintop islands in Baja California and the southern United States, the Madrean Pine-Oak Woodlands is an area of rugged mountainous terrain, high relief and deep canyons.

### MESOAMERICA

The Mesoamerican forests are the third largest among the world's hotspots. Their spectacular endemic species include quetzals, howler monkeys and 17,000 plant species.

## South America

### ATLANTIC FOREST

The Atlantic Forest of tropical South America boasts 20,000 plant species, 40 percent of which are endemic.

### CERRADO

The Cerrado region of Brazil, comprising 21 percent of the country, is the most extensive woodland-savanna in South America.

## CHILEAN WINTER RAINFALL-VALDIVIAN FOREST

A virtual continental island bounded by the Pacific Ocean, the Andes Mountains and the Atacama Desert, the Chilean Winter Rainfall-Valdivian Forest harbors richly endemic flora and fauna.

## TROPICAL ANDES

The richest and most diverse region on Earth, the Tropical Andes region contains about a sixth of all plant life in less than one percent of the world's land area.

## TUMBES-CHOCÓ-MAGDALENA

Tumbes-Chocó-Magdalena is bordered by two other hotspots: Mesoamerica to the north and the Tropical Andes to the east.

### 10.1.2 High-Biodiversity Wilderness Areas

High-biodiversity wilderness areas are areas where the vegetation is still over 70 percent intact.

## Amazonia

Spanning nine South American countries, the Amazonia wilderness is unlike any other, supporting more than 40,000 species of plants, with three-quarters of them found nowhere else.

## Congo Basin

Seven African nations share the second-largest expanse of tropical wilderness in the world. Unlike other *landscapes* in the region, a great portion of the remote Congo Basin forests have remained intact.

## New Guinea

The world's biggest tropical island and its outlying islands contain the largest remaining wilderness in the entire Asia-Pacific. New Guinea and its neighbors are home to thousands of species known to science, and possibly many yet to be discovered.

## North American Deserts

This arid, mostly desert region covering northern Mexico and the southwestern United States contains more unique species than any other desert on the planet, including the majority of all known cactus species.

## Miombo-Mopane Woodlands and Savannas of Southern Africa

Quite possibly the single largest block of dry woodlands in the world, this wilderness region stretches across 10 countries, supporting large numbers of *wildlife* and people who depend on its natural resources.

### 10.2 Resources for the Conservation of Biological Diversity

The following table provides information on each organization referenced in Indicator 11.1.1.b in the *SFI 2015-2019 Fiber Sourcing Standard*. This information is intended to provide background information on each resource and internet links are provided for further details.

The following table provides information on each organization referenced in Indicator 11.1.1.b in the *SFI 2015-2019 Fiber Sourcing Standard*. This information is intended to provide background information on each resource and internet links are provided for further details.

Organization and website	Overview of organization and goals	How sites are classified	For more information
<p><i>Alliance for Zero Extinction (AZE)</i> (<a href="http://www.zeroextinction.org">http://www.zeroextinction.org</a>)</p>	<p>AZE is a joint global initiative of 52 <i>biodiversity conservation</i> organizations, aimed to prevent extinctions by identifying and safeguarding key sites where species are in imminent danger of disappearing. Its goal is to create a front line of defense against extinction by eliminating threats and restoring <i>habitat</i> to allow species populations to rebound. The purpose of the Alliance is to identify sites in most urgent need of <i>conservation</i>, and to act together to prevent species extinctions.</p>	<p>AZE has identified the last remaining sites for the world's most highly threatened species, 93 percent of which are threatened primarily by <i>habitat</i> destruction.</p> <p>The data gathering process was performed over a period of many months with input from regional experts, as well as experts in the five AZE taxa (mammals, birds, reptiles, amphibians and conifers) from around the world. The data was verified using existing databases such as the IUCN Red List, BirdLife International's global database, and the Global Amphibian Assessment. AZE scientists, working in collaboration with an international network of experts, have so far identified 595 such sites that must be effectively protected to prevent the extinction of 794 of the world's most threatened species including mammals, birds, some reptiles (crocodilians, iguanas, turtles and tortoises), amphibians and conifers (many sites have more than one AZE "trigger species" confined to them). Additionally, AZE uses the following criteria to identify priority sites (a site must meet all three to qualify): Endangerment, Irreplaceability, and Discreteness.</p>	<p>The <i>Alliance for Zero Extinction</i> has released an updated set of sites, coinciding with the 2010 meeting of the parties on the Convention on Biological Diversity in Nagoya, Japan</p>

Organization and website	Overview of organization and goals	How sites are classified	For more information
<p><b>International Union for the Conservation of Biodiversity (IUCN)</b></p> <p>(<a href="http://www.iucn.org/what/biodiversity/">http://www.iucn.org/what/biodiversity/</a>)</p>	<p>IUCN's work on <i>biodiversity</i> includes comprehensive research on the status of <i>biodiversity</i> and thousands of individual animal and plant species; action to protect specific species; managing and restoring natural areas, national parks and other protected areas; and promoting the sustainable use of natural resources. IUCN also provides the knowledge, standards and tools for <i>biodiversity conservation</i> for governments, community organizations, the United Nations and business. The IUCN Species Programme, working with the IUCN Species Survival Commission, has for more than four decades been assessing the <i>conservation</i> status of species, subspecies, varieties and even selected subpopulations on a global scale in order to highlight taxa threatened with extinction, and therefore promote their <i>conservation</i>.</p>	<p>The IUCN Red List of Threatened Species™ provides taxonomic, <i>conservation</i> status and distribution information on plants and animals that have been globally evaluated using the IUCN Red List Categories and Criteria. The main purpose of the IUCN Red List is to catalog and highlight those plants and animals that are facing a higher risk of global extinction (i.e., those listed as Critically Endangered, Endangered and Vulnerable). The IUCN Red List also includes information on plants and animals that are categorized as Extinct or Extinct in the Wild; on taxa that cannot be evaluated because of insufficient information (i.e., are Data Deficient); and on plants and animals that are either close to meeting the threatened thresholds or that would be threatened were it not for an ongoing taxon-specific <i>conservation</i> programme (i.e., are Near Threatened).</p>	<p>Access the <i>conservation</i> status of species here:</p> <p><a href="http://www.iucnredlist.org/">http://www.iucnredlist.org/</a></p> <p>A how-to guide to the IUCN Red List:</p> <p><a href="http://www.iucnredlist.org/documents/redlist_website_users_guide.pdf">http://www.iucnredlist.org/documents/redlist_website_users_guide.pdf</a></p>

Organization and website	Overview of organization and goals	How sites are classified	For more information
<p><b>NatureServe</b> (<a href="http://www.natureserve.org">http://www.natureserve.org</a>)</p>	<p>NatureServe is a non-profit conservation organization whose mission is to provide the scientific basis for effective conservation action. NatureServe and its network of natural heritage programs and conservation data centers are the leading source for information about rare and endangered species and threatened ecosystems.</p> <p>2012-2016 Goals</p> <p>Biodiversity conservation is guided by increasingly high-quality and up-to-date scientific knowledge.</p> <p>Network effectiveness for building biodiversity knowledge is enhanced.</p> <p>NatureServe analyses and syntheses inform key societal challenges.</p> <p>Clients use NatureServe data, tools, and expertise to address their specific needs.</p>	<p>The data centers that make up the NatureServe network utilize the core methodology to answer three key questions: What species and ecosystems exist in a region? How are they doing (their condition and status), and which are priorities for conservation? Where precisely are they found? These questions are answered through a sequence of iterative steps:</p> <ul style="list-style-type: none"> <li>• Develop a list of the elements of biodiversity in a given jurisdiction, focusing on macroscopic species groups and ecological communities.</li> <li>• Assess the relative risk of extirpation or extinction of the elements to determine conservation status and set initial priorities for detailed inventory and protection.</li> <li>• Gather information from all available sources on priority elements and their known and possible locations, ecology, and management requirements.</li> <li>• Conduct field inventories for these elements and collect data about their location, condition, and conservation needs.</li> <li>• Process and manage the data collected, making use of standardized procedures.</li> <li>• Analyze the data with a view toward refining previous conclusions about element abundance or rarity, location, management needs, and other issues.</li> <li>• Provide information to interested parties so that it can be used to guide conservation, management planning, and other environmental decision-making.</li> </ul>	<p>Nature Serve Explorer Tool</p> <p><a href="http://www.natureserve.org/conservation-tools/data-maps-tools/natureserve-explorer">http://www.natureserve.org/conservation-tools/data-maps-tools/natureserve-explorer</a></p> <p>Nature Serve Methodology</p> <p><a href="http://www.natureserve.org/conservation-tools/standards-methods/natureserve-core-methodology">http://www.natureserve.org/conservation-tools/standards-methods/natureserve-core-methodology</a></p>

Organization and website	Overview of organization and goals	How sites are classified	For more information
<p><b>World Resources Institute (WRI) Intact Forest Landscapes</b></p> <p>(<a href="http://www.intactforests.org/">http://www.intactforests.org/</a>)</p>	<p>An Intact Forest Landscape (IFL) is an unbroken expanse of natural ecosystems within the zone of current forest extent, showing no signs of significant human activity, and large enough that all <i>native biodiversity</i>, including viable populations of wide-ranging species, could be maintained. The IFL concept and its technical definition were introduced to help create, implement and monitor <i>policies</i> concerning the human impact on forest <i>landscapes</i> at the regional or country levels. The essence of the approach is to use high spatial resolution satellite information to establish the boundaries of large undeveloped forest areas, and use these boundaries as a baseline for monitoring. Developed by a group of non-governmental environmental organizations (Greenpeace, World Resources Institute, Global Forest Watch, Biodiversity Conservation Center, International Socio-Ecological Union, and Transparent World), the IFL concept, mapping and monitoring algorithms have been used both in regional and global forest monitoring projects and in scientific research.</p>	<p>An IFL is an unbroken expanse of natural ecosystems within the zone of current forest extent, showing no signs of significant human activity and large enough that all <i>native biodiversity</i>, including viable populations of wide-ranging species, could be maintained. Although all IFL are within the forest zone, some may contain extensive naturally treeless areas, including grasslands, <i>wetlands</i>, lakes, alpine areas and ice. This definition builds on the definition of Frontier Forest developed by WRI (Bryant et al., 1997).</p> <p>Technically, an IFL is defined as a territory within today's global extent of forest cover which contains forest and non-forest ecosystems minimally influenced by human economic activity, with an area of at least 500 km<sup>2</sup> (50,000 ha) and a minimal width of 10 km (measured as the diameter of a circle that is entirely inscribed within the boundaries of the territory).</p> <p>Areas with evidence of certain types of human influence are considered disturbed, and consequently not eligible for inclusion, e.g., settlements, transportation infrastructure such as roads, railways, pipeline and power transmission lines; agriculture and timber production; industrial activities during the last 30 to 70 years, such as logging, mining, oil and gas exploration and extraction and peat extraction.</p>	<p>The global IFL map can be found here:</p> <p><a href="http://www.intactforests.org/world.map.html">http://www.intactforests.org/world.map.html</a></p>



Organization and website	Overview of organization and goals	How sites are classified	For more information
<p><b>World Wildlife Fund (WWF)</b></p> <p>(<a href="http://www.worldwildlife.org/science/ecoregions/global200.html">http://www.worldwildlife.org/science/ecoregions/global200.html</a>)</p>	<p>WWF uses the best available scientific knowledge to preserve the diversity and abundance of life on Earth and the health of ecological systems, by:</p> <ul style="list-style-type: none"> <li>• protecting natural areas and wild populations of plants and animals, including endangered species;</li> <li>• promoting sustainable approaches to the use of renewable natural resources; and</li> <li>• promoting more efficient use of resources and energy and the maximum reduction of pollution</li> </ul> <p>WWF's Global 200 attempts to identify a set of ecoregions whose <i>conservation</i> would achieve the goal of saving a broad diversity of the Earth's ecosystems.</p> <p>These ecoregions include those with exceptional levels of <i>biodiversity</i>, such as high species richness or endemism, or those with unusual ecological or evolutionary phenomena.</p> <p>WWF, in collaboration with the National Geographic Society developed an interactive map and descriptions of the Global 200 available through a Wild World website.</p>	<p>WWF researchers analyzed global patterns of <i>biodiversity</i> to identify a set of the Earth's terrestrial, freshwater and marine ecoregions that harbor exceptional <i>biodiversity</i> and are representative of its ecosystems. They placed each of the Earth's ecoregions within a system of 30 biomes and biogeographic realms to facilitate a representation analysis.</p> <p><i>Biodiversity</i> features were compared among ecoregions to assess their irreplaceability or distinctiveness. These features included species richness, endemic species, unusual higher taxa, unusual ecological or evolutionary phenomena, and the global rarity of <i>habitats</i>. This process yielded 238 ecoregions – the Global 200 – comprising 142 terrestrial, 53 freshwater and 43 marine priority ecoregions. Ecoregions were also assigned a <i>conservation</i> status, with those most at-risk assigned "critical" or "endangered."</p>	<p>Global 200 maps can be found at</p> <p>(<a href="http://www.nationalgeographic.com/wildworld/">http://www.nationalgeographic.com/wildworld/</a>)</p> <p>Descriptions of each Global 200 ecoregion:</p> <p><a href="http://www.nationalgeographic.com/wildworld/profiles/g200_index.html">http://www.nationalgeographic.com/wildworld/profiles/g200_index.html</a></p> <p>WWF Wildfinder Tool:</p> <p><a href="http://worldwildlife.org/science/wildfinder/">http://worldwildlife.org/science/wildfinder/</a></p>

## 11. USE OF QUALIFIED LOGGING PROFESSIONALS AND CERTIFIED LOGGING PROFESSIONALS

### 11.1 Use of Qualified Logging Professionals

Logger training is a very effective tool in promoting sustainable forest management, and has been a key component of the *SFI program* since its inception. The *SFI 2015-2019 Forest Management Standard* strengthens requirements for logger training with revisions to *Indicators*, 11.1.5, 11.2.1 and 11.2.2 and the *SFI 2015-2019 Fiber Sourcing Standard* does the same with *Indicators* 3.1.1, 6.1.5, 6.2.1 and 6.2.2.

*“SFI 2015-2019 Fiber Sourcing Standard indicator 3.1.1. Program to promote the use of qualified logging professionals, certified logging professionals [where available] and qualified resource professionals.”*

*“SFI 2015-2019 Forest Management Standard indicator 11.1.5 and SFI 2015-2019 Fiber Sourcing Standard indicator 6.1.5 - Program Participants shall have written agreements for the use of qualified logging professionals and/or certified logging professionals [where available] and/or wood producers that have completed training programs and are recognized as qualified logging professionals.”*

*“SFI 2015-2019 Forest Management Standard indicator 11.2.1 and SFI 2015-2019 Fiber Sourcing Standard indicator 6.2.1 - Participation in or support of SFI Implementation Committees to establish criteria and identify delivery mechanisms for wood producer training courses and periodic continuing education that address:*

- a. awareness of sustainable forestry principles and the *SFI program*;
- b. best management practices, including streamside management and road construction, maintenance and retirement;
- c. reforestation, invasive exotic plants and animals, forest resource conservation, aesthetics and special sites;
- d. awareness of responsibilities under the U.S. Endangered Species Act, the Canadian Species at Risk Act, and other measures to protect wildlife habitat (e.g., *Forests with Exceptional Conservation Value*);
- e. awareness of rare forested natural communities as identified by provincial or state agencies, or by credible organizations such as NatureServe, The Nature Conservancy, etc.
- f. logging safety;
- g. U.S. Occupational Safety and Health Administration (OSHA) and Canadian Centre for Occupational Health and Safety (CCOHS) regulations, wage and hour rules, and other provincial, state and local employment laws;
- h. transportation issues;
- i. business management;
- j. public policy and outreach; and
- k. awareness of emerging technologies.

*“SFI 2015-2019 Forest Management Standard indicator 11.2.2 and SFI 2015-2019 Fiber Sourcing Standard indicator 6.2.2 - The SIC-approved wood producers training programs shall have a continuing education component with coursework that supports the current logger training programs, safety and the principles of sustainable forestry.”*

*Program* is defined in the *SFI 2015-2019 Standards and Rules* as an organized system, process or set of activities to achieve an objective or performance measure.

*SFI 2015-2019 Forest Management Standard Indicator 11.1.5 and SFI 2015-2019 Fiber Sourcing Standard Indicators 3.1.1 require Program Participants to develop a program for the purchase of their raw material from logging professionals who have completed training programs. The SFI 2015-2019 Fiber Sourcing Standard indicator 6.1.5 says that Program Participants will use written agreements requiring the use of qualified logging professionals. They should strive to achieve 100 percent of their raw material deliveries from qualified logging professionals, or loggers in the process of completing a SIC-approved logger training program, with allowances for turnover in the logging workforce, availability, timing and length of training programs, other wood suppliers [defined as a person who or organization that infrequently supplies wood fiber on a small scale, such as farmers and small-scale land-clearing operators], and availability of qualified logging professionals locally. This goal for deliveries by qualified logging professionals also needs to recognize that catastrophic events (e.g., severe storms, wildfire, beetle epidemics) can result in large-scale salvage efforts over comparatively short periods of time, which can result in increased deliveries by untrained loggers. Where the Program Participant identifies a region where the availability of qualified logging professionals is not sufficient to meet the expectations of SFI 2015-2019 Forest Management Standard indicator 11.1.5 and SFI 2015-2019 Fiber Sourcing Standard indicator 6.1.5, the Program Participant will develop a program, individually or collaboratively, to address this shortage.*

### 11.2 Certified Logging Professionals

*SFI Inc. recognizes the potential and value in promoting the use of certified logging professionals, and the SFI 2015-2019 Forest Management Standard Performance Measure 11.1 and the SFI 2015-2019 Fiber Sourcing Standard Performance Measures 3.1 and 6.1 encourages their use*

*“SFI 2015-2019 Fiber Sourcing Standard indicator 6.1.2 - List of qualified logging professionals and certified logging professionals and maintained by Program Participant, state or provincial agency, loggers’ association or other organization.”*

*“SFI 2015-2019 Forest Management Standard indicator 11.1.5 and SFI 2015-2019 Fiber Sourcing Standard Indicator 3.1.1 require Program Participants to develop a program for the purchase of their raw material from logging professionals who have completed training programs. The SFI 2015-2019 Fiber Sourcing Standard indicator 6.1.5 says that Program Participants will use written agreements requiring the use of qualified logging professionals.”*

*Certified logging professional programs are not in widespread use. The SFI 2015-2019 Standards and Rules recognizes these limitations while encouraging their use by Program Participants where they are available and after consideration of other factors involved in developing contractual relationships. Certified logging professionals are those professionals who have completed SFI Implementation Committee approved training programs and who have also successfully completed and are members in good standing of a credible certified logging professional program recognized by the SFI Implementation Committee.*

*SFI Implementation Committees* will review, when requested, *certified logging professional programs* to determine if they meet the criteria in *SFI 2015-2019 Forest Management Standard* indicator 11.2.3 and *SFI 2015-2019 Fiber Sourcing Standard* indicator 6.2.3. This process is identical to the one currently in use by *SFI Implementation Committees* for evaluating credible logger training *programs*.

Indicator 11.2.3 and Indicator 6.2.3. Participation in or support of *SFI Implementation Committees* to establish criteria for recognition of logger certification *programs*, where they exist, that include:

- a. completion of *SFI Implementation Committee* recognized logger training *programs* and meeting continuing education requirements of the training *program*;
- b. independent in-the-forest verification of conformance with the logger certification *program* standards;
- c. compliance with all applicable laws and regulations including responsibilities under the U.S. Endangered Species Act, the Canadian Species at Risk Act and other measures to protect *wildlife habitat*;
- d. use of *best management practices* to protect of water quality;
- e. logging safety;
- f. compliance with acceptable *silviculture* and utilization standards;
- g. aesthetic management techniques employed where applicable; and
- h. adherence to a management or harvest plan that is site specific and agreed to by the forest landowner.

## 12. ILLEGAL LOGGING

The *SFI program* has strong existing measures in the *SFI 2015-2019 Standards and Rules* to avoid sourcing fiber from *illegal logging*. These measures are reinforced by the *SFI Policy on Illegal Logging* (September 2008). These measures address the issue of *illegal logging* from sources within the United States and Canada and off-shore.

The United States Lacey Act, as amended May 22, 2008, makes it unlawful to import, export, transport, sell, receive, acquire, or purchase in interstate or foreign commerce any plant, with some limited exceptions, taken, possessed, transported or sold in violation of the laws of the United States, a State, an Indian tribe, or any foreign law that protects plants from removal or that regulates the removal of plants and products made from illegally removed plants. The European Union Timber Regulation (EUTR), applied since March 3, 2013, prohibits illegally harvested timber, or products derived from such timber, to be brought into the EU and creates due diligence obligations for operators who place timber and timber products on the EU market.

*SFI 2015-2019 Fiber Sourcing Standard* Objective 12 has the requirements for avoidance of *controversial sources* including *Illegal Logging* when sourcing from regions outside of the United States and Canada.

**Performance Measure 12.1.** *Program Participants* shall ensure that their *fiber sourcing programs* support the *principles of sustainable forestry*, including efforts to reduce the risk of *illegal logging*.

**Indicator 12.1.1.** Process to assess the risk that the *Program Participant's fiber sourcing program* could acquire material from *illegal logging* such as consulting information from the World Resources Institute Forest Legality Risk Tool, the World Bank Legal Rights Index, or Transparency International.

*SFI 2015-2019 Forest Management Standard* Objective 9 and *SFI 2015-2019 Fiber Sourcing Standard* Objective 4 requires legal and regulatory compliance with applicable federal, provincial, state and local laws and regulations.

*SFI 2015-2019 Forest Management Standard* **Performance Measure 9.1** and *SFI 2015-2019 Fiber Sourcing Standard* **Performance Measure 4.1.**

*Program Participants* shall comply with applicable federal, provincial, state and local *forestry* and related social and environmental laws and regulations and take appropriate steps to avoid *illegal logging*.

***SFI 2015-2019 Fiber Sourcing Standard* Indicator 4.1.4:** *Program* to assess the risk that the *Program Participants fiber sourcing program* could acquire material from *illegal logging* by considering some of the following:

- a. communications with suppliers;
- b. independent research;
- c. contract documentation; and
- d. maintain records.

The definition of *illegal logging* is intended to cover intentional violations, such as timber theft from areas that are precluded from logging, falsification of official documents, avoidance of harvest payments and duties, and deliberate removal of trees from the land without the legal right to do so. The definition is not intended to cover isolated occurrences of legal infractions such as unintentional trespass over a property line (for private ownership) or unit boundaries (for public ownership), violation of roadway laws, or minor contract disputes. As stated in *SFI 2015-2019 Forest Management Standard* Objective 9 and *SFI 2015-2019 Fiber Sourcing Standard* Objective 4, *Program Participants* are required to comply with applicable federal, provincial, state and local laws and regulations.

## 13. ILO CORE CONVENTIONS

*SFI 2015-2019 Forest Management Standard* Performance Measure 9.2 and *SFI 2015-2019 Fiber Sourcing Standard* Performance Measure 4.2 addresses differences in U.S. labor law and the ILO core conventions. Additional guidance is provided here for application of 9.2 and 4.2 for independent contractors and for *Program Participants*.

Application of *SFI 2015-2019 Forest Management Standard* Performance Measure 9.2 and *SFI 2015-2019 Fiber Sourcing Standard* Performance Measure 4.2 for independent contractors operating on lands owned or controlled by *Program Participants*:

- *Certification bodies* at the time of the audit will collect and review information the *Program Participant* has received from outside stakeholders with regards to concerns or conformance pertaining to independent contractor actions related to ILO Core Conventions 87, 98 and 111.
- Any information collected by the *certification bodies* during normal auditing times will be promptly submitted without contractor identifying information to the *Program Participant*, *SFI Inc.* and the *SFI ILO* Task Force. Information received will be reviewed every six months by the *SFI ILO* Task Force, which will develop recommendations to the *SFI Inc.* Board of Directors for resolution of any significant problems identified.
- *Indicators* 9.2 and 4.2 shall only apply to the core conventions not fully covered by existing U.S. or Canadian law.
  - Right to Organise [No. 87]
  - Right to Organise and Collective Bargaining [No. 98]
  - Discrimination [111].
- In addition, any ILO related issue that is being addressed through a formal grievance process or before any of the agencies established by the U.S. National Labor Relations Act (NLRA), the appropriate provincial labour code or act, or the courts until those processes are completed, will not be subject to review, consideration or recommendations by the *SFI ILO* Task Force nor by the *SFI Inc.* Board of Directors.

Application of *SFI 2015-2019 Forest Management Standard* Performance Measure 9.2 for *Program Participants* with respect to their employees operating on lands owned or controlled by *Program Participants*:

- *Certification bodies* at the time of the audit will collect and review information the *Program Participant* has received from outside stakeholders with regards to concerns or conformance pertaining to their employee relations with regards to ILO Core conventions 87, 98 and 111.
- Stakeholders may raise issues regarding conformance to indicator 9.2.2 through the inconsistent practices procedures outlined in the *SFI* Public Inquiries and Official Complaints (Section 11) requirements, part 3.
- All information collected through the inconsistent practices process will be reviewed every six months by the *SFI ILO* Task Force, which will develop recommendations to the *SFI Inc.* Board of Directors for resolution of any significant problems identified.
- Indicator 9.2.2 shall only apply to the core conventions not fully covered by existing U.S. or Canadian law.
  - Right to Organise [No. 87]
  - Right to Organise and Collective Bargaining [No. 98]
  - Discrimination [111].
- In addition, any ILO related issue that is being addressed through a formal grievance process or before any of the agencies established by the U.S. National Labor Relations Act

(NLRA), the appropriate provincial labour code or act, or the courts until those processes are completed, will not be subject to review, consideration or recommendations by the *SFI ILO* Task Force nor by the *SFI Inc.* Board of Directors.

Public forest landowners in states (Alabama, North Carolina and Virginia) that currently have laws prohibiting bargaining with their public employees shall be “grandfathered in” as meeting the requirements in indicator 9.2.2 but must still participate in the information gathering process with their *certification bodies* (for independent contractors) and the inconsistent practices process in part 8.4 of the Public Inquiries and Official Complaints (Section 11) requirements to aid in the resolution of any issues that may be identified.

## 14. SFI 2015-2019 CHAIN-OF-CUSTODY STANDARD AND SFI ON-PRODUCT LABEL USE

### 14.1 Defining the Product Group

*SFI 2015-2019 Chain-of-Custody Standard* at Part 3.2.1 and Appendix 1 allows an organization to define the *product group(s)* for which the certification percentage is calculated. The *product group* should be identified for specific products or groups of products. The organization should include in one *product group* only products that consist of the same raw material. For example, a printer could identify as a *product group* the paper usage for all inserts, order-forms, offset body, gravure body, and cover products being bound or stitched together into the final product of a magazine or catalog.

### 14.2 Exemption from Surveillance Audits

An *SFI* chain-of-custody certificate holder, can upon receiving approval from their certificate body, waive a surveillance audit if they have not sold any certified material since their last audit. The chain-of-custody certificate holder must sign a declaration for their *certification body* stating that no material has been sold as *SFI* certified since the last audit. The declaration must also include a commitment by the chain-of-custody certificate holder to contact the *certification body* as soon as they wish to sell *SFI* certified material. Certification bodies shall not waive more than two consecutive audits.

### 14.3 Exemption from SFI Chain of Custody

An organization (such as a warehouse or distribution center) that passes on *SFI* certified material/product does not need an *SFI* chain-of-custody system provided the *SFI* certified material/product is in its original packaging and the material/product is identified with an *SFI* chain-of-custody on-product label.

### 14.4 Eligibility of Credits – Volume Credit Method

An organization using the Volume Credit method can start counting all eligible credit after the completion of a successful internal audit of the chain-of-custody system and completion of a management review of the chain-of-custody system performance. Eligible credits can be accumulated up to 365 days prior to the initial registration audit. Accumulated credits can be utilized for the sale of products only after successful completion of the registration audit and receipt of the chain-of-custody certificate from their *certification body*.

#### 14.5 Controversial Sources and De Minimis Amounts

Organizations wishing to utilize de minimis amounts of materials sourced from outside of the United States and Canada in their product(s) must conform to the requirements of the *SFI 2015-2019 Fiber Sourcing Standard*, Appendix 1: Part 6 – Due Diligence System to Avoid Controversial Sources or the *SFI 2015-2019 Chain-of-Custody Standard* Part 4 – Due Diligence System to Avoid Controversial Sources.

#### 14.6 Scoping Suppliers into a Chain of Custody

A *Program Participant* that sources from *primary producers* can include these organizations in the scope of their *SFI 2015-2019 Chain-of-Custody Standard* certificate. The *Program Participant* will be responsible for all *objectives* and *performance measures* of those organizations they scope into their own procedures. Those organizations are subject to sample audits. *Certification bodies* shall follow guidelines in Section 9 – *SFI 2015-2019 Audit Procedures and Auditor Qualifications and Accreditation* – Appendix 1, for “multi-site organizations.” If the *Program Participant* scopes in *primary producers*, the *Program Participant* is also responsible for all *SIC* related activity for that company.

### 15. SFI IMPLEMENTATION COMMITTEES

*SFI Program Participants* established state *SFI Implementation Committees* in 1995 and the first provincial *SFI Implementation Committee* in 2001. *SFI Implementation Committees* provide a strong foundation for the *SFI program* and make important contributions in assuring *SFI Standard* conformance and *SFI program* recognition. The state, provincial and regional *SFI Implementation Committees* are semi-autonomous committees reflecting significant geographic and organizational diversity. This flexible, grassroots infrastructure is a fundamental strength of the *SFI program* and its goal to promote responsible *forestry* across all forest ownerships.

The definition of *SFI Implementation Committee (SIC)* in Section 13 of the *SFI 2015-2019: Standards and Rules* is “A state, provincial, or regional committee organized by *SFI Program Participants* to facilitate or manage the *programs* and alliances that support the growth of the *SFI program*, including sustainable forest management.”

The *SFI Implementation Committee* governance document was reviewed for relevance to the current *SFI program*, and to ensure consistency with the *SFI 2015-2019 Standard and Rules*. The *SFI Implementation Committee* governance document will be updated in conjunction with future *SFI Standard* revisions, and may also be reviewed between scheduled revisions if there are significant *SFI program* changes.

Some key elements from the governance document and how they relate to the *SFI 2015-2019 Standards* are included here.

#### Vision Statement

*SFI Implementation Committees (SICs)* are an integral part of the *SFI program* and play a vital role in promoting training and landowner outreach, maintaining integrity of the *SFI program*, and supporting and promoting responsible *forestry* and the *SFI program* at local levels.

#### Mission Statement

The Memorandum of Understanding (MOU) defines the *SIC* Mission, ensuring *SIC* goals and priorities are based on recommendations from the *SIC* Governance Review Ad-hoc Committee. The MOU clarifies both the *SIC* mission and supports obligations for the *SFI Program Participants* as follows:

- I. Overall *SIC* Mission – Effectively facilitate or manage at a state, provincial or regional level the programs and alliances that support the growth of sustainable forest management through the *SFI program*.
- II. Core *SIC* Mission – Priorities for all *SICs*:
  - a. Training & Education – Establish criteria and identify delivery mechanisms for *qualified logging professional*, *qualified resource professional* and *wood producer* training, and defining what it means to be “*SFI trained*.”<sup>2</sup> Establish criteria for recognition of *certified logging professional programs*, where they exist.<sup>3</sup>
  - b. Inconsistent Practices – Establish protocols for addressing, investigating, and responding to *SFI Standard* nonconformity allegations and inconsistent practices, and allegations regarding non-*Program Participant* forest management practices.<sup>4</sup>
  - c. Landowner Outreach – Focus landowner outreach efforts on education and technical assistance.<sup>5</sup>
  - d. Informational Resources – Focus informational resource efforts on increasing *SFI program* recognition, awareness and support with groups, such as local opinion leaders and *forestry resource professionals*.<sup>6</sup>
  - e. Annual Reporting – Submit the *SIC* annual progress report to *SFI Inc*.
  - f. *SFI Program Integrity*<sup>7</sup> – Protect the integrity of the *SFI program* by:
    - ensuring proper *SIC* service mark usage;
    - alerting *SFI Inc.* when improper communications or misleading claims are observed;
    - avoiding the appearance of participation or compliance by non-*SFI Program Participants*; and
    - avoiding the appearance of *third-party certification* by non-certified *SFI Program Participants*.
- III. Secondary *SIC* Mission – Below are priorities that may be determined by each *SIC*; however, individual participants may choose not to participate or support these *objectives*.
  - a. Training and Education – Provide delivery mechanisms for *qualified logging professional*, and *qualified resource professional*, and *wood producer* training to address *SFI program* needs not adequately provided by other *programs*.
  - b. Market Outreach – Sponsor active market outreach efforts in local communities that may include paid advertising.

<sup>2</sup> *SFI 2015-2019 Standard* Indicator 11.2.1 (FM) and 6.2.1 (FS).

<sup>3</sup> *SFI 2015-2019 Standard* Indicator 11.2.3 (FM) and 6.2.3 (FS).

<sup>4</sup> *SFI 2015-2019 Standard* Performance Measure 12.3 (FM) and 7.3 (FS).

<sup>5</sup> *SFI 2015-2019 Standard* Indicators 12.1.1 and 12.2.1 (FM) and 7.1.1 and 7.1.2 (FS).

<sup>6</sup> *SFI 2015-2019 Standard* Performance Measure 12.2 (FM) and 7.2 (FS).

<sup>7</sup> *SFI 2015-2019 Standard* Indicators 12.3.1 and 12.3.2 (FM) and 7.3.1 and 7.3.2 (FS).

<sup>8</sup> *SFI 2015-2019 Standard* Performance Measure 10.2 (FM) and 8.1 (FS).

<sup>9</sup> *SFI 2015-2019 Standard* Objective 10 (FM) and 5 (FS).



- c. Recruitment – Encourage large landowners and all forest products facilities to enroll as *SFI Program Participants*; encourage family forest owners to participate in the *American Tree Farm System* or similar programs recognized by the *SFI* program, as appropriate.
- d. Forest Management Statistics – Encourage government agencies to provide accessible timely, accurate harvest and regeneration statistics, in support of a *Program Participant's sustainable forestry programs*.<sup>8</sup>
- e. Research – Promote *forestry* research, science and technology, upon which sustainable forest management decisions are based.<sup>9</sup>

### SIC Organization

*SICs* are semi-autonomous committees reflecting significant geographic and organizational diversity. This flexible, grassroots infrastructure is a fundamental strength of the *SFI* program and our goal to promote *sustainable forestry* across all ownerships. The following is intended to clarify support expectations and provide guidance to ensure consistency, while still maintaining *SIC* flexibility.

### SIC Participation

All *SFI* program participants owning and/or operating forest product facilities, owning and/or managing forestland, or procuring fiber within the state or province are expected to participate in the *SFI* Implementation Committees (*SICs*). *SFI* Program Participants are required to participate in the *SIC* where significant operations exist, i.e. majority of forestland owned and/or fiber procured. The expectation is that *Program Participants* with facilities within the scope of an *SFI 2015-2019 Fiber Sourcing Standard* certificate will support all the *SICs* in the regions, states or provinces where they procure fiber. However, there may be regions, states or provinces where a *Program Participant* sources a de minimis amount of fiber for a given facility. In these situations it is possible for a *Program Participant* to meet the requirements of Performance Measure 6.2 of the *SFI 2015-2019 Fiber Sourcing Standard* in the regions where the majority of the *Program Participant's* procurement occurs.

## 16. TRANSITION TO THE *SFI 2015-2019 STANDARDS AND RULES*

Changes adopted by the *SFI Inc.* Board of Directors to the *SFI Standards* must be incorporated into a *Program Participant's* policies, plans, and management activities within one year of adoption and publication. Similarly, changes to *certification procedures* and qualifications for certification bodies must be accomplished within one year of adoption and publication.

It is the *Program Participant's* responsibility to work with the *certification body* to establish a surveillance audit schedule that meets the requirements outlined in Section 9 *SFI 2015-2019 Audit Procedures and Auditor Qualifications and Accreditations*. Additional guidance regarding the transition is included below:

- The *SFI 2015-2019 Standard and Rules* replace the *SFI 2010-2014 Standard*, which is the current standard implemented by organizations within their forest operations in the United States and Canada.

- *SFI Inc.* developed the *SFI 2015-2019 Standard and Rules*, but does not conduct auditing and certification. All certification, recertification and surveillance audits to the *SFI 2015-2019 Standards and Rules* shall be conducted by *certification bodies* accredited by the ANSI-ASQ National Accreditation Board (ANAB), American National Standards Institute (ANSI) or the Standards Council of Canada (SCC) to conduct *certification to SFI 2015-2019 Standards and Rules*.
- Accredited *certification bodies* are required to maintain audit processes consistent with the requirements of International Organization for Standardization (ISO) 17021:2011 conformity assessment – requirements for bodies providing audit and certification of management systems; and conduct audits in accordance with the principles of auditing contained in the ISO 19011:2002 Guidelines for Quality and/or Environmental Management Systems Auditing.
- ANAB-, ANSI- and SCC-accredited certification to the *SFI 2015-2019 Standards and Rules* shall not be granted until they are published as standards.
- *SFI Program Participants* have one year from the time the *SFI 2015-2019 Standards and Rules* take effect on January 1, 2015 to implement all new and revised requirements, and *Program Participants* must demonstrate conformance to the new requirements at their first surveillance audit following the implementation period. Earlier adoption is encouraged.
- Initial certification audits in 2015 must be conducted against the *SFI 2015-2019 Standards and Rules*.
- After March 31, 2015, all re-certifications must be conducted against the *SFI 2015-2019 Standards and Rules*. For re-certifications against the *SFI 2015-2019 Standards and Rules nonconformities* against changes made in the revised *SFI 2015-2019 Standards and Rules* shall be reported but will not adversely affect re-certification until after December 31, 2015.
- Surveillance audits through December 31, 2015 may be conducted against either the *SFI 2010-2014 Standard* and/or the *2010-2014 SFI Chain-of-Custody Standard* or the *SFI 2015-2019 Standards and Rules* at the *Program Participant's* choice. For surveillance audits after March 31, 2015, *nonconformities* against changes made in the *SFI 2015-2019 Standards and Rules* shall be reported but will not adversely affect certification status until December 31, 2015; these audits shall also include an assessment of action plans to fully transition to the *SFI 2015-2019 Standards and Rules* by December 31, 2015.
- After December 31, 2015, all surveillance audits must be conducted against the *SFI 2015-2019 Standards and Rules*.



# SECTION 7

## SFI POLICIES



JANUARY 2015

SUSTAINABLE  
FORESTRY  
INITIATIVE

SFI-00001







# SFI POLICIES

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2. SFI POLICY ON FOREST TREE BIOTECHNOLOGY	3

SECTION 7





## 1. SFI POLICY ON ILLEGAL LOGGING<sup>1</sup>

The *SFI program* has strong existing measures in the *SFI 2015-2019 Forest Management Standard*, *SFI 2015-2019 Fiber Sourcing Standard* and the *SFI 2015-2019 Chain-of-Custody Standard* to avoid illegal sources of supply. This section covers the issue as to whether an organization can certify one operation to the *SFI 2015-2019 Fiber Sourcing Standard* (Section 3, Appendix 1) or *SFI's Chain-of-Custody Standard* (Section 4) in the *SFI requirements document*, while another operation controlled by the company is engaged in *illegal logging*. This is an evolving issue and as international laws, regulations, agreements, treaties and definitions of *illegal logging* change, *SFI Inc.* will review and update the language as necessary.

- A. *SFI Inc.* will not license any person or entity to use *SFI's* trademarks or labels, and *SFI* may revoke any license previously granted, if the proposed licensee or an Affiliate of the licensee has been found to have engaged in *illegal logging* by a government authority in the jurisdiction where the logging occurred<sup>2</sup>, unless the evidence available to *SFI* supports a conclusion that, in the business judgment of the *SFI Inc.* Board, any incidents of *illegal logging* by the entity are followed by prompt corrective action and do not show a pattern of *illegal logging*.
- B. *SFI Inc.* will not license any person or entity to use *SFI's* trademarks or labels, and *SFI* may revoke any license previously granted, if the evidence available to *SFI* supports a conclusion that, in the business judgment of the *SFI Inc.* Board, the proposed licensee or an Affiliate of the licensee has engaged in a pattern of *Illegal Logging*.<sup>3</sup>
- C. Any person or entity whose application for an *SFI* license has been denied or whose license has been revoked pursuant to this section may reapply for a license upon a showing that any past *Illegal Logging* has been stopped, that appropriate actions have been taken to prevent it from recurring, and that the proposed licensee and its Affiliates do not knowingly engage in *Illegal Logging*. Such showing shall be supported by a third-party audit conducted by an *SFI certification body* accredited to conduct *2015-2019 SFI Standards* certifications and shall include local expertise as part of the *audit team*.<sup>4</sup>
- D. As used in this section,
- “*Illegal Logging*” means harvesting and trading of wood fiber in violation of applicable laws and regulations in the country of harvest.
  - “*Affiliate*” means any person or entity that directly or indirectly controls, is controlled by, or is under common control with the proposed licensee.
  - “*Control*” means owning a majority of the stock, appointing a majority of the directors, or otherwise having the practical or legal power to direct the operations of a person or entity.

## 2. SFI POLICY ON FOREST TREE BIOTECHNOLOGY<sup>5</sup>

The *SFI program* has strong existing measures in the *SFI 2015-2019 Forest Management Standard* and the *SFI 2015-2019 Fiber Sourcing Standard* regarding research on genetically engineered trees via *forest tree biotechnology*.<sup>6</sup> The use of genetically modified organisms is an evolving issue and as federal and international laws, regulations, agreements, treaties and marketplace recognition of the use of genetically engineered trees via *forest tree biotechnology* change, *SFI Inc.* will proactively review and update the *SFI 2015-2019 Standards and Rules* language and this *policy* as necessary.

- A. *SFI Inc.* recognizes that *forest tree biotechnology* offers the potential to prevent the loss of tree species like the American Chestnut due to devastating diseases and to further improve the quality and *productivity* of trees, and their resistance to insects and disease and to grow trees with characteristics that allow them to be more efficiently manufactured into building products, paper and to provide feedstock for bioenergy.
- B. *SFI Inc.* recognizes that genetically engineered forest trees are not approved for commercial *plantings* in the United States and Canada and, even if approved in the future, it will take many years for fiber from genetically engineered forest trees to reach manufacturing facilities.
- C. *SFI Inc.* realizes that much research is still being conducted to study the ecological cost benefits of genetically engineered trees and regulations concerning forest biotechnology continue to evolve. As such research and regulations develop, *SFI Inc.* will review to understand the impacts of genetically engineered trees from an ecological perspective.
- D. *SFI Inc.* is endorsed by the Program for the Endorsement of Forest Certification ([www.pefc.org](http://www.pefc.org)), which has restrictions on the use of genetically engineered trees until December 31, 2015: Genetically-modified trees shall not be used.<sup>7</sup>

**Note:** *The restriction on the usage of genetically-modified trees has been adopted based on the Precautionary Principle. Until enough scientific data on genetically-modified trees indicates that impacts on human and animal health and the environment are equivalent to, or more positive than, those presented by trees genetically improved by traditional methods, no genetically-modified trees will be used.*

**Note:** *The policy on the exclusion of material from genetically modified forest based organisms remains in force until 31 December 2015.*

- E. Given the issues identified in item (b) regarding legal approval and lack of commercialization and in item (d) regarding PEFC requirements for endorsement of the *SFI program*, the use of fiber from genetically engineered trees via *forest biotechnology* is not approved for use in *SFI* labeled products.
- F. The *SFI 2015-2019 Standards and Rules* requirements regarding research on genetically engineered trees via *forest tree biotechnology* will remain in place.
- G. *SFI Inc.* will proactively review and update the *SFI 2015-2019 Standard and Rules* language and this *policy* as necessary.

<sup>1</sup> As Approved by the SFI Board of Directors on September 23, 2008.

<sup>2</sup> This enables SFI to take action that is based on a government finding (conviction, court decision, regulatory decision, fine, etc.) of *illegal logging*. SFI would not make any factual determinations of *illegal logging*; they would be made by the government. No audit of overseas operations is required unless and until such a finding is made.

<sup>3</sup> This enables SFI to take action against a company that is known to engage in a pattern of *illegal logging*, but that has NOT been subject to government enforcement actions (perhaps because the local government is corrupt or ineffective). The SFI Board would need to make the factual determinations based on the best evidence available to it. No audit of overseas operations is required unless and until such a finding is made.

<sup>4</sup> The audit shall cover all operations in all jurisdictions where the *illegal logging* occurred.

<sup>5</sup> As approved by the SFI Board of Directors on December 5, 2013.

<sup>6</sup> 5.1.2 (FS) and 10.1.2 (FM). Research on genetically engineered trees via *forest tree biotechnology* shall adhere to all applicable federal, state, and provincial regulations and international protocols. Definition: As commonly used, *forest tree biotechnology* encompasses structural and functional studies of genes and genomes (including development and application of genetic markers); various methods of vegetative reproduction such as micro-propagation, tissue culture, and somatic embryogenesis; and genetic engineering (GE), which is the physical manipulation and asexual insertion of genes into organisms.

<sup>7</sup> PEFC ST 1003:2010, Sustainable Forest Management-Requirements, 5.4.7.

# SECTION 8

SFI STANDARDS  
DEVELOPMENT AND  
INTERPRETATIONS  
PROCESS









# SFI STANDARDS DEVELOPMENT AND INTERPRETATIONS PROCESS

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# SECTION 8

## 1. PROCEDURES FOR SFI STANDARD REVISION

### 1.1 Actors and Responsibilities

The *SFI* Board of Directors is responsible for standard development and revision and will convene the Forum. The *SFI* Board of Directors, the Resources Committee and the External Review Panel (independent oversight role) constitute the Forum and ensure that the revision process includes economic, environmental and social representation equally. Any individual can suggest candidates to the nominations committee. The Board Nominations Committee considers suggestions and invites individuals to be considered by the Board. The Forum follows the procedures outlined in this document for *SFI* Standard Revision.<sup>1</sup>

#### 1.1.1 *SFI* Board

*SFI* Board members include representatives of environmental, *conservation*, social professional and academic groups, independent professional loggers, small family forest owners, public officials, labor and the forest products industry. The 18-member *SFI* Board of Directors has representatives from the main geographic regions of the U.S. and Canada and includes:

- Six directors from non-profit environmental /*conservation* organizations representing the environmental sector;
- Six directors from community or social interest groups such as universities, labor, independent professional loggers, family forest owners or government agencies representing the social sector; and
- Six directors from the forest, paper and wood products industry or other for-profit forest ownership or management entities representing the economic sector.

*SFI* Board members are invited by the Board Nominations Committee to participate as directors and must be approved by the full Board. The Board is a voluntary Board.

#### 1.1.2 *SFI* Resources Committee

Each *SFI* Inc. Board member appoints one person from their organization (or other organization they may choose) to serve on the *SFI* Inc. Resources Committee (RC) or the Board member may choose to represent themselves on the Resources Committee. As such, the Resources Committee has the same equal representation of social, environmental and economic interests and geographic scope as the *SFI* Inc. Board.

#### 1.1.3 *SFI* External Review Panel

The *SFI* External Review Panel is an independent panel of experts that provides diverse perspectives and expertise to the Sustainable Forestry Initiative® (SFI®) program while contributing to quality assurance and continuous improvement. As part of the Forum, Panel members

provide external independent oversight to ensure the standard revision process is objective and credible and that all comments are treated equally and fairly. The volunteer External Review Panel is made up of 15-18 external experts and has representatives from the main geographic regions of the U.S. and Canada where the *SFI* Standards are applied. Its membership maintains a balance of technical skills and organizational experience, with four to six members from each of the following categories – environmental/*conservation* groups, professional/academic groups, and public agencies (local, state, provincial, tribal or federal governments). Panel members come from universities, government agencies, foundations, professional associations, and landowner/*conservation* organizations. The *SFI* External Review Panel selects its own members based on their individual expertise and experience, following an election process set out in its charter. It develops its own agenda to represent the public interest as an outside observer of the *SFI* program. All stakeholders can suggest candidates to the *SFI* External Review Panel for consideration.

### 1.2 Procedures

The *SFI* Standards setting process shall be on a five year cycle, which is consistent with international protocols for forest certification standard revision cycles. The *SFI* Standards development process is open, transparent and consensus<sup>2</sup> based, and *SFI* Inc. Board decisions regarding final changes to the *SFI* Standards shall be consistent with PEFC ST 1001:2010 for consensus<sup>3</sup> based decision making. The revision process shall begin in the first quarter of the year prior to the year the existing standard expires. The *SFI* Standards setting process shall begin with a public notice to all stakeholders prior to the start of the process. The start of the process will be communicated on the *SFI* website, in newsletters and e-mails to all stakeholders inviting comments. *SFI* shall identify stakeholders relevant to the objectives and scope of the standard-setting work. A stakeholder mapping exercise will be used to identify which interest sectors — both public and private — are relevant (environmental, economic, social) including stakeholders who may not be able to participate by conventional means and what means of communications will best

<sup>1</sup> Section 8 – *SFI* Standards Development and Interpretations Process is publicly available and can be found on the *SFI* website.

<sup>2</sup> Consensus as defined by PEFC and ISO: General agreement, characterized by the absence of sustained opposition to substantial issues by any important part of the concerned interests and by a process that involves seeking to take into account the views of all parties concerned and to reconcile any conflicting arguments. NOTE - *Consensus* need not imply unanimity. Item 1.7 in *ISO/IEC Guide 2:1991* and item 3.1 in *PEFC Standard Setting Requirements PEFC ST 1001:2010 dated 2010-11-26*. *PEFC ST 1001:2010* and *ISO Guide 59:1994, Code of Good Practice for Standardisation* are normative references.

<sup>3</sup> The *SFI* Inc. Board of Directors has a balance of stakeholders including representatives of environmental, conservation, social professional and academic groups, independent professional loggers, small family forest owners, public officials, labor and the forest products industry. The *SFI* Inc. Board of Directors voting structure in the *SFI* Inc. bylaws defines the consensus based approach used for final approval of revisions to the *SFI* Standard: a minimum of eighty percent of those present, which must include at least two representatives of each Sector (environmental, social, economic) is required to approve any action of the Board.

reach each stakeholder group. This mapping exercise will be done at the beginning of each standard review process and will define who the stakeholders are and what is necessary to ensure all can participate in the process if they so choose.<sup>4</sup> The process shall include an initial 60-day public comment period, a second 60 day public comment period (the inquiry draft) and a final draft review period of at least 45 days. (See Figure 1.) The External Review Panel (ERP) shall independently monitor the entire process including a review of all comments received on draft standards and their disposition.

Broad public and stakeholder involvement is important to the *SFI program*. The *SFI Standards* review process shall be conducted on a national level in Canada and in the United States. Stakeholders — including disadvantaged and key stakeholders and those from the environmental community, forest products industry, private forest landowners, customers, local and federal government agencies, trade associations, landowner associations, academia and all other stakeholders shall be invited to participate in the review process. The start of the standards review process and all subsequent public review periods shall be communicated publicly to all interested stakeholders with an invitation to provide comments on the standards and standard setting process.<sup>5</sup>

The Standards Revision process is intended to be collaborative. While consensus on proposed *SFI Standards* revisions is desirable, there may be issues for which consensus cannot be achieved. In these scenarios the Review Task Groups established by the Resources Committee may forward multiple recommended options to a Steering Committee, also established by the Resources Committee, who will review and prepare recommendations for the Resources Committee's review. Task Group Chairs shall be fair to all viewpoints; however, they are charged with moving the process forward in a timely manner. If consensus is not achieved by the Resources Committee, the issue(s) will be moved forward to the *SFI* Board of Director for final resolution either by consensus or according to voting procedures outlined in the *SFI* Board Directors bylaws (<http://www.sfi-program.org/about-us/sfi-governance/>). All recommendations developed by the task groups will be reviewed by the Board and may be accepted as is, modified, or returned to the task groups with instructions for additional consideration and discussion.

The draft of proposed changes to the *SFI Standards* shall be released and published to the *SFI* website during the first quarter of the second review year, followed by an additional 60-day public comment period to allow all stakeholders an opportunity to provide additional comments regarding proposed changes.

This draft will also be presented to and discussed with *SFI Program Participants* and all other stakeholders at regional workshops conducted by the Forum and *SFI Inc.* throughout the U.S. and Canada. All stakeholders who have commented on proposed changes or who have proposed changes to the *SFI Standards* shall use this opportunity

to raise any concerns regarding their comments and the manner in which the *SFI Standards* Review Task Group addressed their comments or suggested changes.

Formal complaints regarding the disposition of comments shall be submitted in writing to the External Review Panel Secretariat (<http://sfi-erp.org/resources>) for review.<sup>6</sup> The ERP shall acknowledge receipt of all complaints, impartially and objectively review all complaints, and provide feedback to the Forum regarding complaints where additional review and potential action by the Forum is warranted. Once resolved, the decision on the complaint and the complaint process shall be communicated to the complainant.

A final draft of the proposed changes to the *SFI Standards* shall be delivered to the *SFI Inc.* Board of Directors during the third quarter of the final review year. The *SFI Inc.* Board will meet in the third quarter of the final review year at the *SFI* annual conference to discuss the *SFI Standards* draft and begin the 45-day advance notice to review proposed changes to the standards before Board approval can occur. The proposed changes to the *SFI Standards* draft will be presented at the *SFI* annual conference in the third quarter of the final review year.

Upon completion of the *SFI* Board 45-day advance review period, the *SFI Standards* shall be finalized by the Forum and approved by the *SFI* Board and published to the *SFI program* website. Printed copies will be available during the first quarter of the following year. All *Program Participants* have one year to fully implement new and revised *SFI Standards* elements adopted by the Forum.

The Forum shall maintain records regarding all comments and their disposition for review by the independent External Review Panel. All comments will be considered carefully and records of their disposition maintained for a minimum of five years and posted to the *SFI* website. As in any review process, it is not necessary to agree to every suggestion, but it is important that all comments be given consideration.

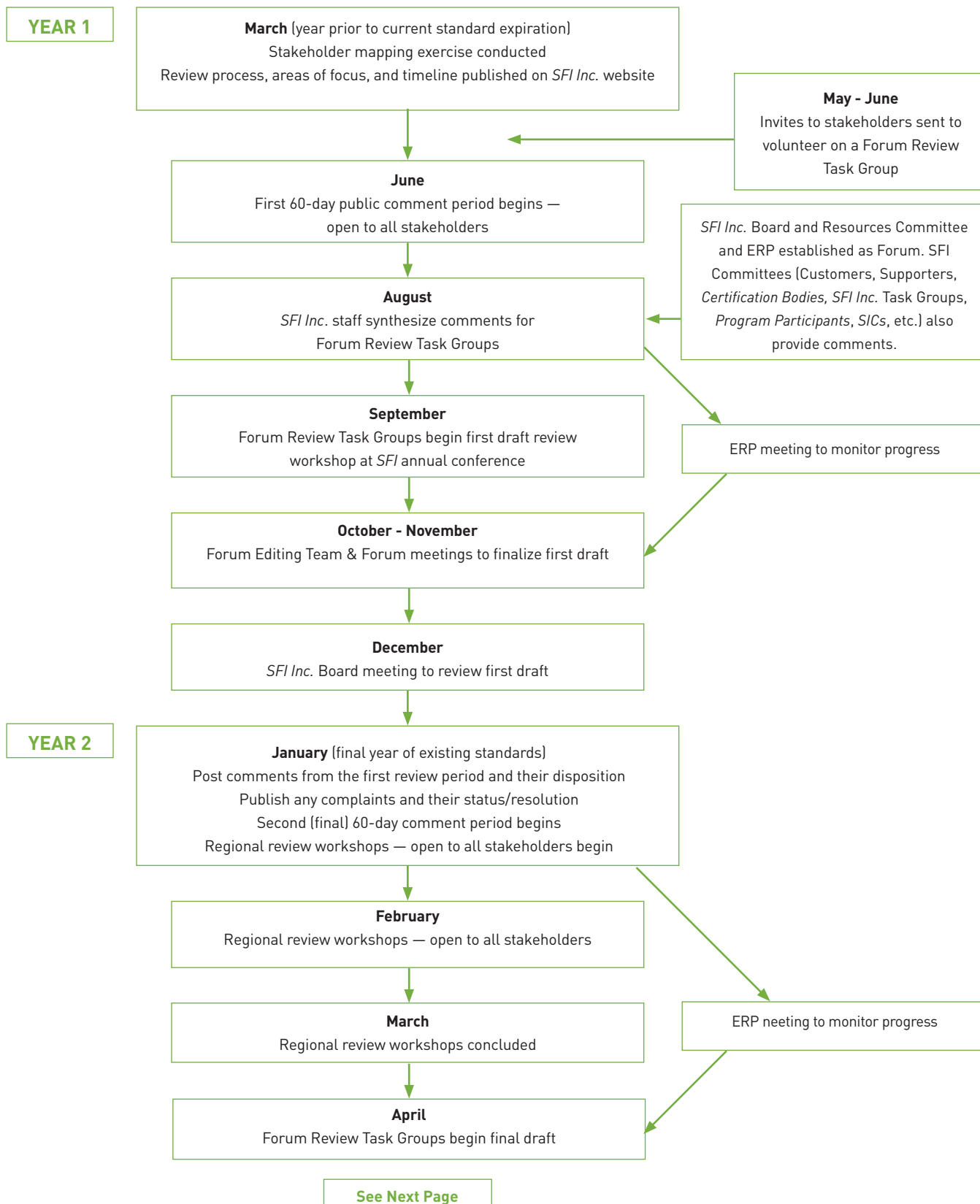
These written procedures shall be publicly available to all interested parties. Additional information on the *SFI Standards* development process, regional workshop reports and stakeholder comments submitted during both public comment periods and how they were addressed shall be publicly available and also maintained for a minimum of five years.

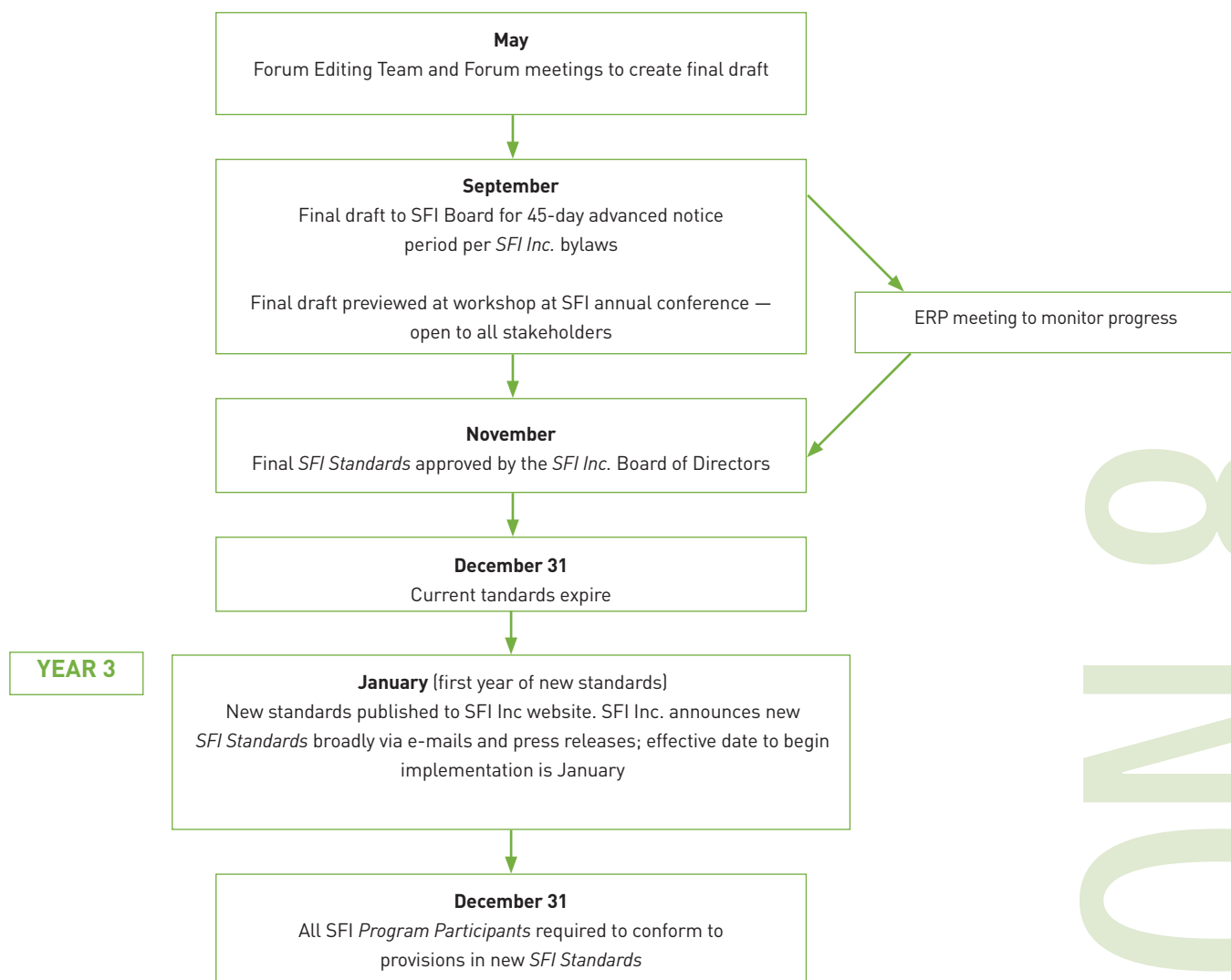
<sup>4</sup> Stakeholders will be identified by doing a stakeholder mapping exercise that includes defining which interest sectors are relevant and why, and for each sector what are likely to be the key issues, who are the key stakeholders including those who may not be able to participate by conventional means, and what means of communication will best reach them.

<sup>5</sup> The public announcement will include where to find the publicly available standards-setting procedures, the objectives, scope and steps of the standards setting process including key dates, information on how stakeholders can participate in the process, information on how to submit comments on the standards and how to be involved in standards revision workshops and working groups.

<sup>6</sup> The ERP process for reviewing complaints will be posted on the ERP website.

**Figure 1: Procedure Used For SFI Standards Revision**

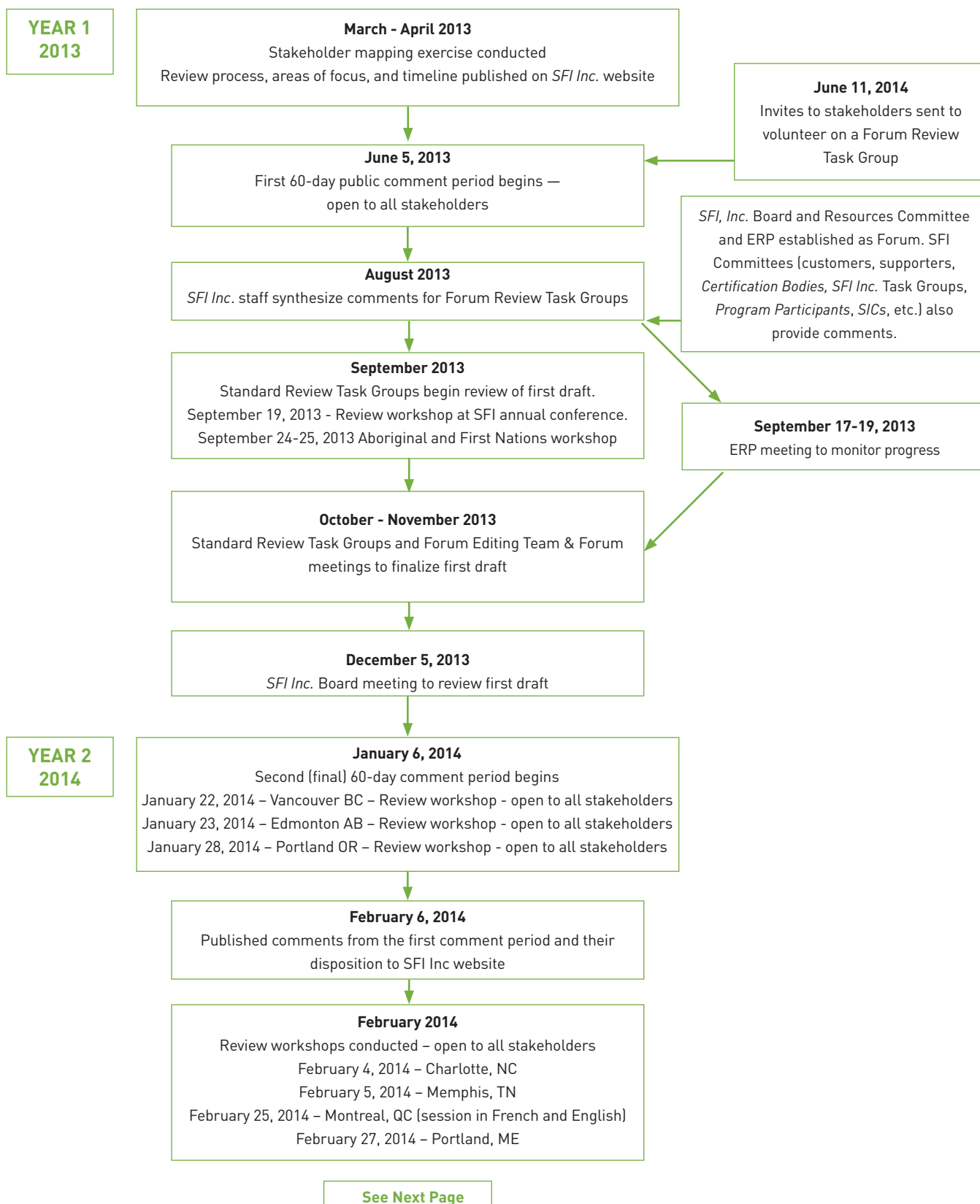


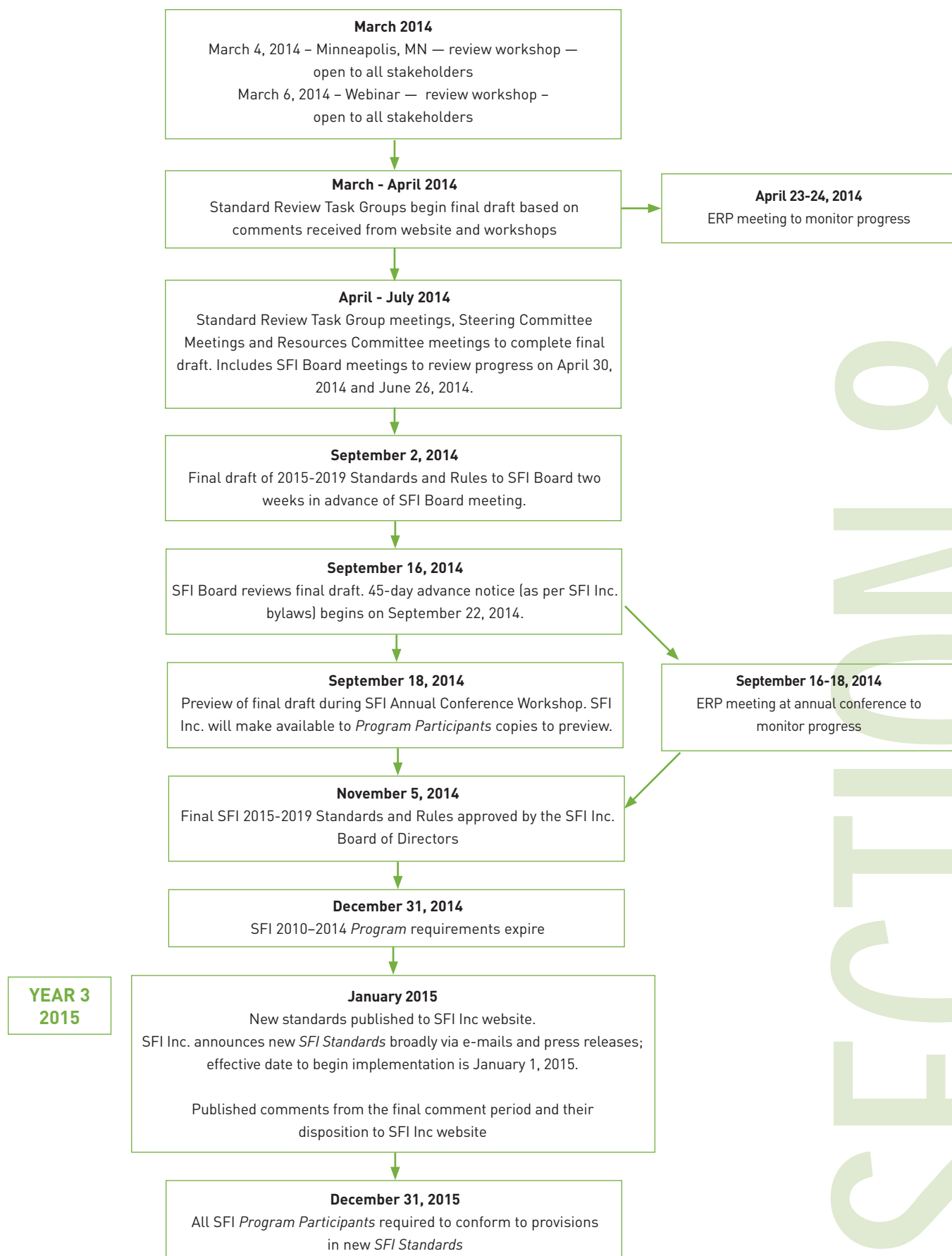




## 2. DEVELOPMENT OF THE SFI 2015-2019 STANDARDS AND RULES

Figure 2: Procedure Used for the 2015-2019 SFI Standards and Rules Development





### 3. INTERPRETATIONS

From time to time, a formal process may be needed to interpret the *SFI 2015-2019 Standards* and supporting documents. As part of *SFI Inc.*'s commitment to continual improvement of both the *SFI certification* process and the *SFI 2015-2019 Standards*, such concerns shall be submitted promptly to the *SFI Inc.* Interpretations Committee by contacting staff at *SFI Inc.* The *SFI Inc.* Interpretations Committee shall respond within 45 days of receipt.

It is neither the intent nor the responsibility of the *SFI Inc.* Interpretations Committee to resolve disputes arising through certification; nevertheless, the committee will provide opinions and direction to assist parties in answering interpretive questions. Through this process, the *SFI program* shall maintain a record of opinions and concerns available to both *Program Participants* and *certification bodies* to assist with certification planning. *SFI Inc.* shall periodically review this record and, where appropriate, recommend changes for inclusion in the *SFI 2015-2019 Standards* or *SFI* audit procedures.

# SECTION 9

## SFI 2015-2019 AUDIT PROCEDURES AND AUDITOR QUALIFICATIONS AND ACCREDITATION



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# SFI 2015-2019 AUDIT PROCEDURES AND AUDITOR QUALIFICATIONS AND ACCREDITATION

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# SECTION 9

# SFI 2015-2019 AUDIT PROCEDURES AND AUDITOR QUALIFICATIONS AND ACCREDITATION

## INTRODUCTION

All certification, recertification and surveillance audits to Sections 2 and 3 in the *SFI 2015-2019 Standards and Rules* document shall be conducted by *certification bodies* accredited by the ANSI-ASQ National Accreditation Board (ANAB) or the Standards Council of Canada (SCC) to conduct *SFI certification*.

All certification, recertification and surveillance audits to Section 3 – Appendix 1: Rules for Use of *SFI Certified Sourcing* Label and Section 4 in the *SFI 2015-2019 Standards and Rules* shall be conducted by certification bodies accredited by the American National Standards Institute (ANSI) or the Standards Council of Canada to conduct *SFI certifications*.

Information related to the accreditation process can be found on the websites of ANSI-ASQ National Accreditation Board ([www.anab.org](http://www.anab.org)), the American National Standards Institute ([www.ansi.org](http://www.ansi.org)) or the Standards Council of Canada ([www.scc.ca](http://www.scc.ca)).

Accredited *certification bodies* that provide certification services for *SFI* Sections 2 and 3 are required to maintain audit processes and conduct audits consistent with the requirements of:

- International Organization for Standardization (ISO) 17021:2011 (Conformity assessment – Requirements for bodies providing audit and certification of management systems); and
- ISO TS 17021-2 (Part 2: Competence requirements for auditing and certification of environmental management systems).

Accredited certification bodies that provide certification services for *SFI* Section 3 – Appendix 1: Rules for Use of *SFI Certified Sourcing* Label and Section 4 are required to maintain audit processes and conduct audits consistent with the requirements of ISO 17065 (Conformity assessment – Requirements for bodies certifying products, processes and services).

ISO is a worldwide federation of national standards bodies. The preparation of International Standards is conducted by ISO technical committees.

The ISO 17021:2011, ISO TS 17021-2 and ISO 17065 standards were prepared by the ISO Committee on Conformity Assessment (CASCO).

## 1. SCOPE

This *SFI Audit Procedures and Qualifications* document is intended to support, but not replace the audit process requirements contained in ISO 17021:2011, ISO 17021-2 and ISO 17065, by providing specific requirements to *SFI Program Participants* and *certification bodies*. It is applicable to all forest management, *fiber sourcing* organizations and chain-of-custody certificate holders when conducting *third-party certification*, recertification, or surveillance audits to the *SFI 2015-2019 Standards and Rules* Sections 2, 3 and 4.

## 2. NORMATIVE REFERENCE

*Certification bodies* and *auditors* conducting third-party audits to *SFI* Sections 2 and 3 in the *SFI 2015-2019 Standards and Rules* document must conform to the requirements of ISO 17021:2011 and ISO TS 17021-2, while those conducting third-party audits to *SFI* Section 3 – Appendix 1: Rules for Use of *SFI Certified Sourcing Label* and Section 4 must conform to the requirements of ISO 17065. In addition, all *certification bodies* and *auditors* conducting third-party audits to *SFI* Sections 2, 3 or 4 in the *SFI 2015-2019 Standards and Rules* document must conform to all applicable ANAB, ANSI or SCC requirements and International Accreditation Forum (IAF) Mandatory Documents (e.g., IAF MD 1, IAF MD 5, IAF MD 11).

## 3. TERMS AND DEFINITIONS

Definitions of terms can be found in the Section 13 of the *SFI 2015-2019 Standards and Rules* document.

## 4. PROCEDURES FOR IMPLEMENTING THE PRINCIPLES FOR SFI AUDITING

ISO 17021:2011 Section 4 addresses general *principles* associated with auditing, including impartiality, competence, responsibility, openness, confidentiality and responsiveness to complaints.

All information and documents, including working drafts and reports, shall be considered confidential. *Certification bodies* shall not release any information or documents without the prior written permission of the *Program Participant*. *Auditors* shall conduct themselves in a professional and ethical manner.

*Certification bodies* and *audit team* members and their employers shall not participate in an appraisal or advise a potential purchaser or broker a purchase of property audited within the prior three years without the written permission of the audited party. *Certification bodies*, *audit team* members, and employers shall notify the audited party of participation in such activities after the three-year period immediately upon initiation of such activities for a period of at least 10 years following the audit.

Prior to engaging in an audit and the *Program Participant's* acceptance of the *audit team*, the *certification bodies* and *audit team* members shall disclose to the party requesting the audit any prior land appraisal or assessment work or land brokerage activity or other professional services they or their employers conducted related to the property to be audited.

*Certification bodies* must successfully complete annual witness audits and periodic re-accreditation audits to maintain their accreditation status from ANAB or SCC.

## 5. SFI AUDIT ACTIVITIES

### 5.1 Initial Certification

For the initial certification audit to be completed, the auditee must be an *SFI Program Participant* or be in the process of becoming one in which case the final certification decision is conditioned on becoming a *Program Participant*. The *SFI* certificate(s), *Forest Management*, *Fiber Sourcing* or *Chain of Custody* cannot be issued by the *certification body* until the applicant has become an *SFI Program Participant*. It should be noted that the *SFI 2015-2019 Standards and Rules* is a publicly available document and, as such, anyone who wants to can offer their “opinion” on an organization’s conformance to it. However, because “Sustainable Forestry Initiative” and “SFI” are registered service marks, an entity would infringe on this ownership in violation of the federal intellectual property laws if they were to use the service marks in a public claim about the “opinion” without becoming an *SFI Program Participant*.

### 5.2 Certification of Multiple Sites

ISO 17021: 2011 Clause 9.1.5 specifies that where multi-site sampling is utilized for the audit of a client’s management system covering the same activity in various locations, the *certification body* shall develop a sampling program to ensure proper audit of the management system. The rationale for the sampling plan shall be documented for each client.

International Accreditation Forum Mandatory Document 1 (IAF MD 1) provides mandatory guidance for the consistent application of Clause 9.1.5 that is subject to the specific requirements of relevant standards.

Within the context of the *SFI 2015-2019 Standards and Rules Section 2 and Section 3*, and specific risks associated with certification of forestry operations, *Certification bodies* may apply alternative sampling approaches to IAF MD 1 in certain circumstances.

Additional information regarding multi-site certification (including the circumstances under which alternative sampling approaches to IAF MD-1 is permissible) is included in Appendix 1 of Section 9 in the *SFI 2015-2019 Standards and Rules* document.

### 5.3 Substitution and Modification of SFI 2015-2019 Sections 2 and 3 Standard Indicators

*Program Participants*, with consent from the *certification body*, may substitute or modify *indicators* in *SFI 2015-2019 Sections 2 and 3 Standards* to address local conditions based on a thorough analysis and adequate justification. The *certification body* is responsible for ensuring revised *indicators* are consistent with the spirit and intent of the *SFI 2015-2019 Sections 2 and 3 Standards performance measures*.

and *indicators* and with the *principles of sustainable forestry*, and that the changes are appropriate for specific local conditions and circumstances and the *Program Participant's* scope of operation.

Additional *indicators* beyond those identified in the *SFI 2015-2019 Sections 2 and 3 Standards*, if included by the *Program Participant*, shall be audited like all other *indicators*.

#### 5.4 Determination of Conformance

5.4.1 The *certification body* shall assess conformance to each element of the *SFI 2015-2019 Sections 2 and 3 Standards'*, *objectives*, *performance measures* and *indicators* within the scope of the audit. *SFI 2015-2019 Standards'* elements are *objectives*, *performance measures* and *indicators*. The Introduction (Section 1) to the *SFI 2015-2019 Standards and Rules* document is informative, and as such, is not an auditable element.

Evidence shall be compiled by examining operating procedures, materials relating to *forestry* practices and on-the-ground field performance, and through meetings or correspondence with employees, contractors and other third parties (e.g., government agencies, community groups, affected *Indigenous Peoples*, *conservation* organizations), as appropriate, to determine conformance to the *SFI 2015-2019 Forest Management Standard* and the *SFI 2015-2019 Fiber Sourcing Standard*.

5.4.2 The *certification body* shall assess conformance to each element of the *SFI 2015-2019 Chain-of-Custody Standard* requirements within the scope of the audit. The Preface to the *SFI 2015-2019 Chain-of-Custody Standard* is informative, and as such, is not an auditable element.

5.4.3 The *certification body* shall ensure that the audit *objectives* and scope as well as the *auditor* time allocated to the audit:

- allow for accurate determination of conformance for the operating units within the scope of the audit;
- verify that the *SFI 2015-2019 Standards Sections 2 and 3 programs* conform to *SFI principles, policies, objectives, performance measures, indicators*, and any additional *indicators* that the *Program Participant* chooses; and
- verify whether the *Program Participant* has effectively implemented its *SFI 2015-2019 Standards Sections 2 and 3 program* requirements on the ground and *SFI 2015-2019 Chain-of-Custody Standard program* requirements.

If a *major nonconformity* is found, a certificate of conformance shall not be issued until the *certification body* verifies that corrective action approved by the *lead auditor* has been implemented. A revisit may be required to verify implementation of corrective actions.

If a *minor nonconformity* is found, a certificate of conformance may be issued only after the *lead auditor* approves a corrective action plan that addresses the nonconformity within an agreed-upon period, not to exceed one year. Verification that the corrective action has been effectively implemented shall occur during the next surveillance audit.

#### 5.5 SFI Technical Audit Report to the Program Participant

The ISO document 17021:2011 at Section 9.1.1.0 addresses audit report contents. In addition, the *SFI* audit report to the *Program Participant* shall cover:

- a. the audit plan;
- b. a description of the audit process used;
- c. the number of *auditor* days used to conduct the audit, including both on-site and off-site audit activities;
- d. information regarding any meetings or correspondence between the *audit team* and government agencies, community groups, affected *Indigenous Peoples* and *conservation* organizations;
- e. documentation of the rationale for the substitution or modification of an *indicators*;
- f. a schedule for surveillance and recertification; and
- g. any specific focus areas for the next audit visit.

See Section 10 in the *SFI 2015-2019 Standards and Rules* document regarding the development and release of public summary audit reports.

#### 5.6 Recertification

5.6.1 To maintain current *SFI 2015-2019 Standard* certificates, *Program Participants* shall recertify their *SFI programs* to the *SFI 2015-2019 Sections 2 and 3 Standards* every three years.

5.6.2 To maintain a current Section 4 *SFI 2015-2019 Chain-of-Custody* certificate, *Program Participants* shall recertify their *SFI chain-of-custody program* to the Section 4 *SFI 2015-2019 Chain-of-Custody Standard* every five years.

#### 5.7 Transferal of Certified Lands or Facilities

When one *SFI Program Participant* acquires the certified forest land or facilities of another *Program Participant*, the *certification bodies* shall work with the parties involved to review the acquisition or sale. This review will determine the significance of changes that may occur with the transfer of ownership of the forestland and/or facilities to determine the actions necessary in order to issue a new certificate to the party receiving the new assets. It is imperative that *Program Participants* notify their respective *certification body* as soon as possible when forestland and/or facilities are being purchased or sold to ensure that lapses in certification status can be eliminated or minimized. Refer to ISO/IEC 17021 for more information.

In order to *minimize* disruptions in operations due to the transfer of certified forestlands and or facilities from one certified *Program Participant* to another, the *SFI Office of Label Use and Licensing* will honor current *SFI certifications* for the forestlands and or facilities involved in the transfer for a period of 90 days for *SFI* product labeling purposes provided:

- a. The parties involved request this grace period in writing prior to the transfer of the assets with documentation confirming that there will not be significant variation in the current operations, environmental management systems, personnel, etc. during the transfer.
- b. The party receiving the assets must provide documentation demonstrating the timeline for obtaining their new *SFI certification* from an accredited *certification body*.
- c. The party desiring to utilize the *SFI* product labels must be in full conformance with Sections 2, 3 or 4 and Section 5 of the *SFI 2015-2019 Standards and Rules*.

## 6. COMPETENCE AND EVALUATION OF CERTIFICATION BODIES

### 6.1 Qualifications of Audit Teams

*Audit teams* shall have the competence (knowledge and skills) to conduct an audit in accordance with the *principles* of auditing. The *certification body* shall select *audit team* members appropriate to the scope, scale and geography of the operation being audited. Additionally, at least one member of the *audit team* shall have knowledge of *forestry* operations in the region undergoing the audit, at least one member shall have knowledge of applicable laws and regulations, at least one member shall have knowledge of the socio-demographics and cultural issues in the region, and at least one member shall be a professional forester as defined by the Society of American Foresters (SAF), the Canadian Institute of Forestry, or licensed or registered by the state(s) or province(s) in which the certification is conducted. For forest management audits, the *audit team* shall have expertise that includes plant and *wildlife* ecology, *silviculture*, forest modeling, forest operations, occupational safety and health, international labor standards, and hydrology. One specialist per discipline is not required to meet any of the above requirements.

### 6.2 Qualifications of Auditors

ISO document 17021:2011 at Section 7.1 and Section 7.2 addresses general competence requirements for *certification bodies* providing audit and certification of management. This is supplemented by the environmental management system-specific competence requirements contained in ISO 17021-2.

In addition to the competence requirements contained in ISO 17021:2011 and ISO 17021-2, for certifications to the *SFI 2015-2019 Standards*, *audit team* members shall have the education, formal training and experience that promote competency in and comprehension of:

- a. *forestry* operations as they relate to natural resource management, including *wildlife*, fisheries, recreation, ecology;
- b. international and domestic *sustainable forestry* management systems and performance standards including occupational safety and health, and labor standards; and
- c. certification requirements related to the *SFI* program.

*Audit team* members who have obtained a professional *degree* in *forestry* or a closely related field shall have a minimum of two years' relevant work experience.

### 6.3 Maintenance and Improvement of Competence

All *audit team* members shall pursue ongoing personal and professional development in:

- a. forest management science and technology;
- b. sustainable forest management systems and certification programs and standards;
- c. understanding and interpretation of federal, state, and provincial *forestry* and environmental laws and codes of practice; and
- d. certification procedures, processes and techniques, especially as these pertain to the *SFI 2015-2019 Standards*.

An *auditor* who maintains Certified Forester, Registrar Accreditation Board, or Canadian Environmental Certification Approvals Board sustainable forest management *auditor* (EP[EMSLA]) certification, or equivalent, shall be considered to have fulfilled continuing education requirements.

## 7. ACCREDITATION OF CERTIFICATION BODIES

The *SFI* program requires *certification bodies* to be accredited in order to conduct *SFI certifications* and issue certificates.

*Certification body*: an independent *third party* that is accredited by:

- ANSI-ASQ National Accreditation Board (ANAB) as being competent to conduct certifications to the *SFI 2010-2015 Standards* Sections 2 and 3.
- American National Standards Institute (ANSI) as being competent to conduct certifications to the *SFI 2015-2019 Chain-of-Custody Standard* Section 4 and *SFI* Section 3 – Appendix 1: Rules for Use of *SFI Certified Sourcing Label*.
- Standards Council of Canada (SCC) as being competent to conduct certifications to the *SFI 2015-2019 Standards* Sections 2 and 3 and the *SFI 2015-2019 Chain-of-Custody Standard* Section 4 and *SFI 2015-2019 Fiber Sourcing Standard* Section 3, Appendix 1: Rules for Use of *SFI Certified Sourcing Label*.



# APPENDIX 1: AUDITS OF MULTI-SITE ORGANIZATIONS

[Normative]

## Introduction

Multi-site organizations may be audited on a site-by-site basis [all sites visited each year] or, in some cases, on a sample basis.

This appendix expands on Section 5.1 of the *SFI Audit Procedures and Auditor Qualifications and Accreditation* document and provides additional normative guidance for certification bodies wishing to audit multi-site organizations on a sample basis.

## 1. Scope

Audits of multi-site organizations applying a sampling approach to assess conformance with:

- Section 2 - *SFI 2015-2019 Forest Management Standard*
- Section 3 - *SFI 2015-2019 Fiber Sourcing Standard*
- Section 4 - *SFI 2015-2019 Chain-Of-Custody Standard*
- Section 5 - Rules For Use Of SFI On-Product Labels and Off-Product Marks

## 2. References

IAF Mandatory Document for The Certification of Multiple Sites Based on Sampling Issue 1 (IAF MD1: 2007) – (Normative for *SFI 2015-2019 Standards and Rules* Section 2 and Section 3 and Informative for *SFI 2015-2019 Standards and Rules* Section 4)

IAF Mandatory Document for Duration of QMS and EMS Audits Issue 1 (IAF MD 5: 2009) – (Informative).

## 3. Terms and Definitions

- 3.1 Organization:** The term organization is used to designate any company or other organization owning a management system subject to audit and certification.
- 3.2 Site:** A site is a permanent location where an organization carries out work or a service.
- 3.3 Multi-Site Organization:** An organization having an identified central function (hereafter referred to as a central office – but not necessarily the headquarters of the organization) at which certain activities are planned, controlled or managed and a network of local offices or branches (sites) at which such activities are fully or partially carried out.
- 3.4 Group Certification Organization:** A specific type of multi-site organization where forest owners, forest owners' organizations, forest managers, forest products manufacturers or forest products distributors without a pre-existing legal or contractual link can form a group for the purposes of achieving certification and gaining eligibility for a sampling approach to certification audits.

## 4. Procedures for Implementing Audits

### 4.1 Eligibility Criteria

- 4.1.1 Multi-site organizations using IAF-MD1 as the basis for sampling shall meet the eligibility criteria established in IAF-MD1, including, but not limited to, the following:
- a. The processes at all sites have to be substantially of the same kind and have to be operated to similar methods and procedures.
  - b. The organization's management system shall be under a centrally controlled and administered plan and be subject to central management review and all relative sites (including the central administration function) shall be subject to the organization's internal audit program.
  - c. It shall be demonstrated that the central office of the organization has established a management system in accordance with the *SFI 2015-2019 Standards* and that the whole organization meets the requirements of the standard.
  - d. The organization should demonstrate its ability to collect and analyze data (including, but not limited to, the items listed below) from all sites including the central office and its authority and also demonstrate its authority and ability to initiate organizational change if required:
    - i. System documentation and system changes;
    - ii. Management review;
    - iii. Complaints;
    - iv. Evaluation of corrective actions;
    - v. Internal audit planning and evaluation of the results;
    - vi. Changes to aspects and associated impacts for environmental management systems and
    - vii. Different legal requirements.

- 4.1.2 Multi-Site Organizations using alternate approaches to sampling provided for in 5.1 of the *Audit Procedures and Auditor Qualifications and Accreditation* document shall meet all of the eligibility requirements specified in 4.1.1 above. Deviation from the sampling requirements specified in IAF MD-1 is only permissible in exceptional (i.e., limited) circumstances. In addition, the following requirements must also be met:
- a. The alternate sampling approach must be accompanied by a written justification demonstrating that the same level of confidence in conformity with the *SFI 2015-2019 Standards* across all of the sites included in the certification can be obtained.
  - b. A legal or contractual link shall exist between all sites.
  - c. The scope and scale of activities carried out by participating sites shall be similar.
  - d. The management system framework shall be consistent across all sites (allowing for site level procedures to reflect variable local factors).
  - e. A Central Function<sup>1</sup> shall be established that shall:
    - i. provide a commitment on behalf of the whole multi-site organization to establish and maintain practices and procedures in accordance with the requirements of the relevant standard;
    - ii. provide all the sites with information and guidance needed for effective implementation and maintenance of practices and procedures in accordance with the relevant standard;
    - iii. maintain the organizational or contractual connection with all sites covered by the multi-site organization including the right of the Central Function to exclude any site from participation in the certification in case of serious nonconformities with the relevant standard;
    - iv. keep a register of all the sites of the multi-site organization, including for the *SFI 2015-2019 Forest Management Standard* the forest area associated with each participating site;
    - v. maintain an internal audit or monitoring *program* sufficient to ensure overall organizational conformance with the relevant standard;<sup>2</sup>
    - vi. operate a review of the conformity of sites based on results of internal audit and/or monitoring data sufficient to assess Organizational performance as a whole rather than at the individual site level;
    - vii. establish corrective and preventive measures if required and evaluate the effectiveness of corrective actions taken; and
    - viii. establish procedures for inclusion of new sites within the multi-site organization including an internal assessment of conformity with the standard, implementation of corrective and relevant preventive measures and a requirement to inform the relevant *certification body* of changes in participation prior to including the sites within the scope of the certification.
  - f. Functions and responsibilities of individual sites shall be established for:
    - i. implementing and maintaining the requirements of the relevant standard;
    - ii. responding effectively to all requests from the Central Function or *certification body* for relevant data, documentation or other information whether in connection with formal audits or reviews or otherwise;
    - iii. providing full co-operation and assistance in respect of the satisfactory completion of internal audits, reviews, monitoring, relevant routine inquiries or corrective actions; and
    - iv. implementing relevant corrective and preventive actions established by the central office.
- 4.1.3 Group certification organizations formed to achieve *SFI 2015-2019 Standards* certification, in addition to meeting either 4.1.1 or 4.1.2, shall submit all the forest area under management within the catchment area for the group certification (i.e., the group certification shall be defined in geographic terms at a logical scale such as county, region, state/province but once defined must include all sites managed by the central function within that geographic area).
- 4.1.4 Group certification organizations formed to achieve *SFI 2015-2019 Standards* certification shall establish connections with all participants based on a written agreement that shall include the participants' commitment to comply with the *SFI 2015-2019 Forest Management Standard* and/or the *SFI 2015-2019 Fiber Sourcing Standard*. The Central Function shall provide all participants with information and guidance required for the effective implementation of the sustainable forest management standard and other applicable requirements of the forest certification scheme. The group entity shall have a written contract or other written agreement with all participants covering the right of the group entity to implement and enforce any corrective or preventive measures, and to initiate the exclusion of any participant from the scope of certification in the event of nonconformity with the sustainable forest management standard.

<sup>1</sup> The Central Function comprises the system of processes and procedures necessary to manage the multi-site organization and is not a physical location.

<sup>2</sup> Annual performance data on overall organizational conformance implies that all sites have been internally audited, or monitored, prior to the initial audit and subsequent audit.

- 4.1.5 For audits of conformance with SFI Section 4 in the *SFI 2015-2019 Standards and Rules* document, multi-site organizations using either IAF-MD1 or alternate approaches to sampling shall ensure that all the relevant sites (including the central function) are subject to the organization's internal audit program and shall have been audited in accordance with that program prior to the certification body starting its assessment.

## 5. SFI Multi-Site Audit Activities

### 5.1 Sampling Approaches

- 5.1.1 *Certification bodies* auditing multi-site organizations using IAF -MD1 as the basis for sampling shall meet the sample selection and intensity criteria established in IAF -MD1.
- 5.1.2 *Certification bodies* auditing multi-site organizations using alternate approaches as the basis for sampling shall meet the following minimum sample selection and intensity criteria:
- stratification of the sites included within the multi-site certification based on the scope and scale of activities as well as previous audit findings, complaints and monitoring data collated by the central function;<sup>3,4</sup>
  - a formal documented evaluation of the inherent and control risks at each of the sites participating in the multi-site certification;
  - a sample strategy designed to specifically address the identified risks;
  - consideration of the need for an element of randomness within the sampling strategy to address previously unidentified risks;
  - in cases where the multi-site organization maintains an internal audit *program* determined to be reliable the minimum sample size shall in no event be less than:
    - $\sqrt{n}$  for initial certification audits<sup>5</sup>
    - $0.6 \sqrt{n}$  for surveillance audits
    - $0.8 \sqrt{n}$  for re-certification audits
  - In cases where there the multi-site organization does not maintain an internal audit *program* determined to be reliable the minimum sample size shall in no event be less than  $\sqrt{n}$  for initial certifications, surveillance audits and re-certification audits; and
  - In addition to site audits, the central function shall be audited on an annual basis.<sup>6</sup>

### 5.2 Audit Scope

- 5.2.1 At a minimum the audit sampling process shall address all elements of the standards on an:
- Annual basis for surveillance audits of conformance with SFI Sections 2, 3 and 4 of the *SFI 2015-2019 Standards and Rules* document.
  - Triennial basis for re-certification audits of conformance with the *SFI 2015-2019 Standards and Rules* Section 2 and Section 3.
  - Quinquennial basis for re-certification audits of conformance with the *SFI 2015-2019 Standards and Rules* Section 4.

### 5.3 Audit Duration

- 5.3.1 In determining the overall duration of multi-site audits the underlying objective is to maintain at least the same level of confidence that would be achieved under *IAF MD1*. When calculating audit days, consideration should be given to the general principles guiding audit time calculations outlined in ISO 17021:2011 Section 9.1.4 Determining audit time, IAF -MD5 and (for audits of integrated management systems) IAF MD11.

<sup>3</sup> For example in a multi-site organization with three forest management operations and 15 procurement operations at a minimum, separate strata would be required for the woodlands and procurement operations. Under SFI 2015-2019 Sections 2 and 3, a range of processing facilities may be included under a single stratum to the extent that the nature and risks associated with the fiber supply are consistent across the facilities e.g., three sawmills a plywood mill and a pulp mill may be included within a single stratum if they are all using fiber with a similar risk profile (such as from a single state/province/region). If one of the sawmills imported tropical hardwoods, it would require a separate stratum.

<sup>4</sup> In determining the impact of previous audit findings on a sample strategy consideration shall be given to both the need to formally close out prior audit findings (which may require a site visit) and the implications of previous audit findings for ongoing conformance with the applicable standard(s) by individual sites.

<sup>5</sup> Where  $n$  = the number of sites within the stratum.

<sup>6</sup> Auditing of the central function will be primarily based on interviews, document and record review and may be conducted through any combination of off-site audit activities, additional activities carried out through electronic record access at individual sites or visits to the central office as appropriate.

## 5.4 Nonconformities

5.4.1 Nonconformities identified at the site or organizational level shall be addressed by the central function considering both the site level implications and the broader implications for the organization as a whole.

5.4.2 If a *major nonconformity* is found, a certificate of conformance shall not be issued until the *certification body* verifies that corrective action approved by the *lead auditor* has been implemented at both the site level and for the organization as a whole.

5.4.3 *Certification bodies* shall close out identified *minor nonconformities* at the next scheduled audit. This may require an amendment to the site sampling strategy to ensure that open site-level nonconformities are closed out at the next audit.<sup>7</sup>

## 5.5 Audit Reporting

5.5.1 At a minimum, the *certification body* shall prepare a technical audit report that addresses the multi-site organization as a whole. Individual site level reports may be developed to summarize site level findings but do not eliminate the need for an organizational level report.

## 6. Competence and Evaluation of Certification Bodies

6.1 Prior to conducting multi-site certification under the methodologies described in this appendix *certification bodies* shall have documented procedures in place to guide *audit teams* in the planning, conduct and reporting of multi-site certification audits.

## 7. Public Communication and Claims Regarding Multi-Site Certificates

7.1 For audits of the *SFI 2015-2019 Standards and Rules* Section 2 and Section 3 requirements, *certification bodies* shall prepare a summary audit report that, in addition to the requirements of the *SFI* Communications and Public Reporting (Section 10) in the *SFI 2015-2019 Standards and Rules* document, indicates:

- a. the fact that the certification is a multi-site certification;
- b. whether the multi-site organization is a group certification organization;
- c. the sampling approach (strata, location, number of sites sampled and the percentage of sites sampled within each stratum); and
- d. any changes in the scope of the multi-site certification since the last public summary report.

7.2 Certificates issued to multi-site organizations shall be issued to the central function and include an appendix listing the participating sites. The central function shall provide a copy of the certificate to all participating sites. The certificate shall list all participants.

## 8. Interpretations, Public Inquiries and Official Complaints

8.1 In assessing the validity of complaints raised in relation to a specific site within a multi-site organization, *certification bodies* shall investigate the complaint at the site level and (where relevant) at the organizational level.<sup>8</sup>

<sup>7</sup> For example, where Operation A has a *minor nonconformity* raised in 2015, it will be necessary to close this out in 2016 regardless of whether Operation A was scheduled to be one of the sites sampled in 2016. As a result, the sampling strategy will need to include a process for closing out open site-level nonconformities.

<sup>8</sup> For example, where a complaint has implications for the effectiveness of a process carried out by the central function (such as procedures, monitoring or internal audit) then the implications for the reliability of information from other sites within the organization shall also be considered.





# SECTION 10

## COMMUNICATIONS AND PUBLIC REPORTING

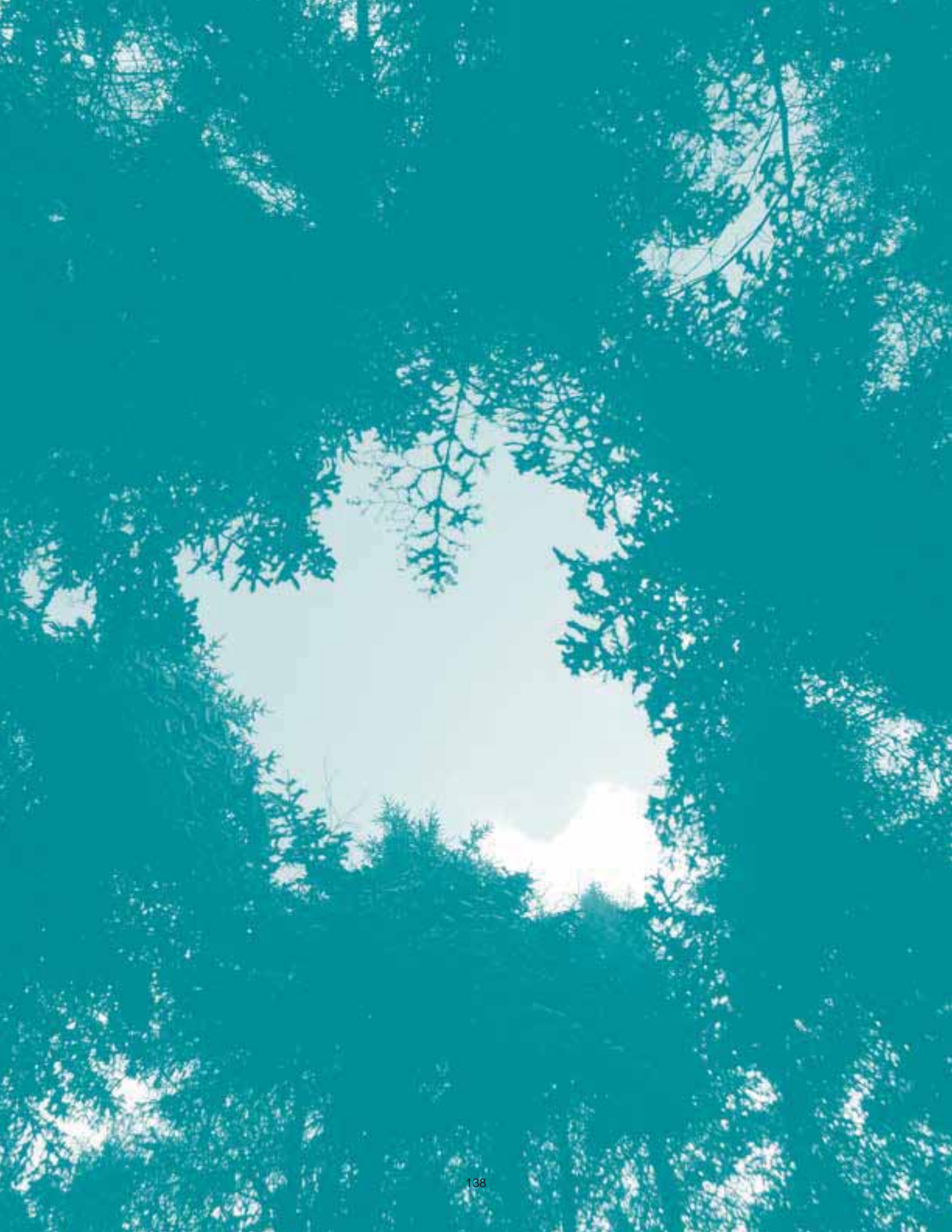


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# COMMUNICATIONS AND PUBLIC REPORTING

## PREPARING AND SUBMITTING A PUBLIC REPORT – SFI 2015-2019 FOREST MANAGEMENT STANDARD

A *SFI Program Participant* shall provide a summary audit report (one copy must be in English) to *SFI Inc.* after the successful completion of certification, recertification, or surveillance audit to the *SFI 2015-2019 Forest Management Standard*. The summary audit report will be posted on the *SFI Inc.* website ([www.sfiprogram.org](http://www.sfiprogram.org)) for public review.

The *certification body* shall prepare the *SFI 2015-2019 Forest Management Standard* summary audit report, which shall include, at a minimum:

- a. a description of the audit process, *objectives* and scope. This shall include:
  - the specific SFI objectives that were within the scope of the audit;
  - a description of the sampling approach (consistent with IAF MD-1 and, where appropriate, adopting a risk based approach) outlining the strata, location and number of sites sampled and the percentage of sites sampled within each stratum; and
  - the sampling size, including the number of roads, harvesting blocks and silviculture sites physically inspected during the audit.
- b. a description of substitute *indicators*, if any, used in the audit and a rationale for each;
- c. the name of the *SFI Program Participant* that was audited, including its *SFI* representative;
- d. a general description of the *Program Participant's* forest lands included in the audits. This shall include:
  - a general description of the management plan outlining forest management policies and objectives;
  - an outline of the area of ownership (including the number of acres/hectares under management and provide a description of key ecological features);
  - a general description of major timber types with a general characterization of management approaches used (natural regeneration vs. planting, thinning regimes, even-aged vs. uneven-aged silvicultural; and
  - The long-term harvest level and the participant's conformance to this.
- e. a description of the audit team. This shall include the names and professional qualifications of the lead auditor, all *audit team* members and any *technical experts* who participated in the audit. This may include the names and affiliations of any audit observers and an explanation of their role;
- f. the dates the audit was conducted and completed. This shall include the number of auditor days spent to conduct the audit, broken down by auditor time spent off and on-site. This shall include the specific woods operations visited if there is more than one operation/region associated with the certificate;
- g. a summary of the findings, including general descriptions of evidence of conformity and any nonconformities (reported at the Performance Measure level) and corrective action plans to address them, opportunities for improvement, and exceptional practices. This shall include:
  - a description of the evidence examined for each SFI objective within the scope of the audit and
  - an update on the status of previous non-conformities, if any.
- h. the certification decision.

**Guidance to Certification Bodies per Section 6 - 3.3 Temporal Scale:** It is SFI's expectation that *certification bodies* shall audit sustainable harvest levels based on the criteria specified in Performance Measure 1.1, taking into account the maintenance of *landscape level biodiversity*, and confirming that any increases in planned harvest level(s) are consistent with the SFI Program Participant's forest management plan. Additionally, sustainable harvest levels or government regulated allowable annual harvest should not be exceeded for extended periods of time unless a substantive ecological rationale is developed to justify the elevation, examples of which could include a response to forest health emergencies such as beetle epidemics or sanitation logging of forests impacted by catastrophic wildfire, ice storm or wind damage. In instances where harvest levels are exceeded for extended periods, a documented plan must be in place to demonstrate how harvest planning will achieve a return to the long-term sustainable harvest levels over one rotation.

## REPARING AND SUBMITTING A PUBLIC REPORT – SFI 2015-2019 FIBER SOURCING STANDARD

A *SFI Program Participant* shall provide a summary audit report (one copy must be in English) to *SFI Inc.* after the successful completion of certification, recertification, or surveillance audit to the *SFI 2015-2019 Fiber Sourcing Standard*. The summary audit report will be posted on the *SFI Inc.* website ([www.sfiprogram.org](http://www.sfiprogram.org)) for public review.

The *certification body* shall prepare the *SFI 2015-2019 Fiber Sourcing Standard* summary audit report, which shall include, at a minimum:

- a. a description of the audit process, *objectives* and scope. This shall include:
  - the specific SFI objectives that were within the scope of the audit;
  - a description of the sampling approach (consistent with IAF MD-1 and, where appropriate, adopting a risk based approach) outlining the strata, location and number of sites sampled and the percentage of sites sampled within each stratum; and
  - the sampling size, including the number of roads, harvesting blocks and silviculture sites physically inspected during the audit.
- b. a description of substitute *indicators*, if any, used in the audit and a rationale for each;
- c. the name of the *SFI Program Participant* that was audited, including its *SFI* representative;
- d. a general description of the *Program Participant's fiber sourcing* and manufacturing operations included in the audits. This shall include:
  - an outline of the manufacturing operations within the scope of the certificate (including the types of mills and their relative reliance of procurement for their fiber needs);
  - a general description of the fiber sourcing program, specifically indicating whether or not the organization has a purchased stumpage program;
  - a general description of the verifiable monitoring system in place; and
  - an outline of the area from which fiber is procured.
- e. a description of the audit team. This shall include the names and professional qualifications of the lead auditor, all *audit team* members and any *technical experts* who participated in the audit. This may include the names and affiliations of any audit observers and an explanation of their role;

- f. the dates the audit was conducted and completed. This shall include the number of auditor days spent to conduct the audit, broken down by auditor time spent off and on-site. This shall include the specific woods operations visited if there is more than one operation/region associated with the certificate;
- g. a summary of the findings, including general descriptions of evidence of conformity and any nonconformities (reported at the Performance Measure level) and corrective action plans to address them, opportunities for improvement, and exceptional practices. This shall include:
  - a description of the evidence examined for each SFI objective within the scope of the audit and
  - an update on the status of previous non-conformities, if any.
- h. the certification decision.



# SECTION 1

## PUBLIC INQUIRIES AND OFFICIAL COMPLAINTS



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# PUBLIC INQUIRIES AND OFFICIAL COMPLAINTS

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SECTION 1

# PUBLIC INQUIRIES AND OFFICIAL COMPLAINTS

## INTRODUCTION

A process that openly investigates concerns and official complaints is an important component of any legitimate certification program. The transparency requirements of the SFI 2015-2019 Standards and supporting documents allow individuals and organizations to bring forward questions and concerns using two different processes as outlined in this section.

The “Public Inquiries Regarding Inconsistent Practices” (number 1 below) shall be used for general inquiries from the public and to promptly review and apply corrective actions, if warranted, in situations where isolated deficiencies in implementing the requirements of the SFI Forest Management, Fiber Sourcing or Chain-of-Custody Standards may have occurred.

Inquiries that involve multiple or systemic instances of alleged nonconformity that challenge the validity of a certification shall be addressed using the process outlined in “Official Complaints Questioning the Validity of a Certification” (number 2 below).

An official complaint does not challenge the credibility or the content of the standard requirements; rather it challenges the audit findings and the decision of the certification body to grant the certification, or events occurring since the audit that question the maintenance of the certification.

In instances where there is disagreement on the process to be applied, SFI Inc. shall serve as the higher authority in determining which process is most appropriate.

## 1. PUBLIC INQUIRIES REGARDING INCONSISTENT PRACTICES

Any party with information or claims about a *Program Participant's* individual practices that may be in nonconformity with *SFI 2015-2019 Forest Management Standard* or the *SFI 2015-2019 Fiber Sourcing Standard* may seek to have those claims investigated.

The complainant shall present specific claim(s) of inconsistent practice in writing and in sufficient detail to the *Program Participant*. Within 45 days of receipt of the claim of inconsistent practice, the *Program Participant* shall respond to the complainant and forward a copy of the claim of inconsistent practice and its response to their *certification body* for review via surveillance or certification audits. The *certification body* shall investigate the validity of the inconsistent practice and the *Program Participant's* response and resolution of the claim at the time of the next scheduled surveillance audit.

A complainant who believes the issue has not been satisfactorily resolved may provide its original documentation and the response from the *Program Participant* to the appropriate *SFI Implementation Committee Inconsistent Practices Program*, which shall investigate and respond to the claim of inconsistent practice(s) within 45 days of receipt of documentation. The *SFI Implementation Committee* shall provide copies of its findings and any recommended actions to both the *Program Participant* and the complainant. The *Program Participant* shall forward the results of the *SFI Implementation Committee* investigation to its *certification body*.

*In the event litigation is involved between the external party and Program Participant, the inconsistent practices process shall be suspended pending resolution of the litigation. It shall be re-started following resolution of the litigation if SFI nonconformity issues remain.*

## 2. OFFICIAL COMPLAINTS QUESTIONING THE VALIDITY OF A CERTIFICATION TO SFI 2015-2019 FOREST MANAGEMENT STANDARD OR SFI 2015-2019 FIBER SOURCING STANDARD

The official complaint process is an important component of any legitimate certification program, including the *SFI* program. The official complaint process allows individuals or organizations to have their complaint regarding the validity of a certification openly and independently investigated. A complaint does not challenge the credibility or the content of the *SFI 2015-2019 Forest Management Standard* or *SFI 2015-2019 Fiber Sourcing Standard*, rather it challenges the audit findings and the decision to grant the certification, or events that have happened since the last audit that questions the maintenance of the certification.

### 2.1 Official Complaint Process

- 2.1.1 The complainant outlines their concerns in a letter to the *Program Participant's certification body*.
- 2.1.2 The *certification body* may request additional specifics associated with the concerns and will investigate the issue in accordance with their official complaint procedures that were approved by their accreditation body.
- 2.1.3 If the *certification body* finds a sound basis for the official complaint then it would require the *Program Participant* to take corrective action to address the complaint and advise the complainant accordingly.
- 2.1.4 If the *certification body* does not find a sound basis for the complaint and determines the certification was appropriately granted and *Program Participant's* performance has not changed since the certification, it would inform the complainant of this.
- 2.1.5 If the findings of the *certification body* do not satisfy the complainant then they can appeal to the accreditation body that accredited the *certification body*, which is either ANSI-ASQ National Accreditation Body ([www.anab.org](http://www.anab.org)) or the Standards Council of Canada ([www.scc.ca](http://www.scc.ca)). The accreditation body would then conduct its own investigation into the complaint as the highest authority.
- 2.1.6 In the event litigation is involved between the complainant and the *Program Participant*, the complaint process shall be suspended pending resolution of the litigation. It shall be re-started following resolution of the litigation if *SFI* nonconformity issues remain.

### 3. PUBLIC INQUIRIES REGARDING INCONSISTENT PRACTICES AND THE ILO CORE CONVENTIONS (87, 98 AND 111)

Any party with information or claims about a *Program Participant's* individual practices that may be in nonconformity may seek to have those claims investigated.

The complainant shall present specific claims of nonconformity in writing and in sufficient detail to the *Program Participant*. Within 45 days of receipt of the complaint, the *Program Participant* shall respond to the complainant and forward a copy of the complaint and its response to the *Program Participant's certification body* for future review via surveillance or certification audits.

A complainant who believes the issue has not been satisfactorily resolved may provide its original documentation and the response from the *Program Participant* to the *SFI ILO Task Force*, which shall investigate the allegations and provide copies of its findings and any recommended actions to the *SFI Inc.* Board of Directors bi-annually. The *SFI Inc.* Board of Directors shall provide copies of its findings and required actions to the *SFI ILO Task Force*, the *Program Participant*, *certification body* and the complainant.

Concerns regarding compliance with other labor laws and regulations are not covered by the process here in Section 11 part 3. In addition, any ILO related issue that is being addressed through a formal grievance process or before any of the agencies established by the U.S. National Labor Relations Act (NLRA), the appropriate Provincial Labour Code or Act, or the courts until those processes are completed will not be subject to review, consideration or recommendations by the *SFI ILO Task Force* nor by the *SFI Inc.* Board of Directors.

### 4. CHALLENGES OR COMPLAINTS REGARDING SFI ON-PRODUCT LABEL USE (SECTION 5)

**4.1** The *Office of Label Use and Licensing* will hear challenges or complaints regarding *SFI* on-product label use

**4.2** If an *SFI* on-product *label user* fails to comply with any aspects of this document, approval for *SFI* on-product label use may be withdrawn.

**4.3** Any party with information or claims about the practices of a *Program Participant* or *label user*, or questions about the validity of a *Program Participant's* label use in accordance with the requirements of *SFI* Section 5 may seek to have those claims investigated, as outlined below.

4.3.1 The complainant should outline concerns in a letter to the certificate holder or *label user*.

4.3.2 Within 45 days, the certificate holder or *label user* shall respond to the complainant, and forward a copy of the complaint and response to its *SFI certification body*.

4.3.3 The *SFI certification body* shall investigate the validity of the complaint based on the seriousness of the claim, and respond no later than the next annual assessment.

4.3.4 If the complainant is not satisfied, they may provide the original documentation and response to the *SFI Office of Label Use and Licensing*, which shall investigate and respond within 45 days.

4.4 Upon reviewing the information, the *SFI Office of Label Use and Licensing* may:

- a. seek more information from the complainant or the certificate holder or *label user* before making a final determination; or
- b. find that the complaint is without merit and no further action is required; or
- c. find that corrective actions are necessary; or
- d. if the certificate holder or *label user* fails to take appropriate corrective measures or if no action would be sufficient to remedy the situation, suspend the label license.



# SECTION 12

## OPTIONAL MODULES



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## OPTIONAL MODULES

*SFI Inc.* has developed a process for the *SFI program* to address emerging issues and new opportunities, such as start-up templates for new *Program Participants*, carbon markets, short rotation woody crops, conservation easements, small lands, etc. through optional modules developed by *SFI Inc.* and approved by the *SFI Inc.* Board of Directors. These modules will provide implementation assistance using case studies or optional certification requirements to address specific issues of benefit to the *SFI program*. Any modules developed prior to the next standard review process in 2019 will be added in this section.



# SECTION 13

## SFI DEFINITIONS



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# SFI DEFINITIONS

The following definitions apply to *italicized* words in the *SFI 2015-2019 Standards and Rules*.

**afforestation:** The establishment of a forest or *stand* in an area where the preceding vegetation or land use was not forest.

**Alliance for Zero Extinction:** A global initiative of *biodiversity conservation* organizations, which aims to prevent extinctions by identifying and safeguarding key sites where species are in imminent danger of disappearing. The goal of the Alliance is to create a front line of defense against extinction by eliminating threats and restoring *habitat* to allow species populations to rebound.

**American Tree Farm System® (ATFS):** A national program that promotes the sustainable management of forests through education and outreach to private forest landowners.

**aquatic habitat:** An area where water is the principal medium and that provides the resources and environmental conditions to support occupancy, survival and reproduction by individuals of a given species.

**aquatic species:** Animals that live on or within water during some stage of their development.

**auditor:** A person with the competence to conduct an audit (ISO 19011:2002, 3.8).

**audit team:** One or more *auditors* conducting an audit, supported if needed by *technical experts* (ISO 19011:2002, 3.9).

**available regulatory action information:** Statistics or regulatory compliance data collected by a federal, state, provincial, or local government agency. Note: Although conformance with laws is the intent, *certification bodies* are directed to look for a spirit and general record of compliance rather than isolated or unusual instances of deviation.

**best management practices (BMPs):** A practice or combination of practices for *protection* of water quality that is determined by a federal, provincial, state, or local government or other responsible entity, after problem assessment, examination of alternative practices, and appropriate public participation, to be the most effective and practicable (including technological, economic, and institutional considerations) means of conducting a forest management operation while addressing any environmental considerations.

**best scientific information:** Available factual information that is generally accepted by the broad scientific community. It includes, but is not limited to, peer-reviewed scientific information obtainable from any source, including government and non-governmental sources, that have been verified by field testing to the maximum extent feasible.

**Biodiversity hotspots:** A biogeographic *conservation* region with more than 1,500 endemic plant species and less than 30 percent of its historical extent. [Further information can be found under Descriptions of *Biodiversity Hotspots* and *High-Biodiversity Wilderness Areas* in Section 6 – Guidance to *SFI 2015-2019 Standards*.]

**bioenergy feedstock:** Biomass used for the production of renewable energy. Biomass includes any organic products and byproducts derived from trees, plants and other biological organic matter, including limbs, bark and other cellulosic material, organic byproducts from wood pulping, and other biologically derived materials.

**biological diversity, biodiversity:** The variety and abundance of life forms, processes, functions, and structures of plants, animals and other living organisms, including the relative complexity of species, communities, gene pools and ecosystems at spatial scales that range from local to regional to global.

**certification body:** An independent *third party* that is accredited by:

- ANSI-ASQ National Accreditation Board (ANAB) as being competent to conduct certifications to the *SFI 2015-2019 Forest Management* and *SFI 2015-2019 Fiber Sourcing Standards*.
- American National Standards Institute (ANSI) as being competent to conduct certifications to the *SFI 2015-2019 Chain-of-Custody Standard* and Appendix 1 of the *SFI 2015-2019 Fiber Sourcing Standard*.
- Standards Council of Canada (SCC) as being competent to conduct certifications to the *SFI 2015-2019 Forest Management*, *SFI 2015-2019 Fiber Sourcing Standard* and *SFI 2015-2019 Chain-of-Custody Standard*.

**certified content:** Raw material that can count towards the calculation of *certified content* percentages in chain-of-custody tracking. Below are the acceptable *certified content* sources.

**certified forest content:** Raw material from lands third-party certified to *acceptable forest management standards*.

**acceptable forest management standards:** These standards are all endorsed in the United States and Canada by the Program for the Endorsement of Forest Certification schemes (PEFC).

- *SFI 2015-2019 Forest Management Standard*
- Canadian Standards Association (CAN/CSA-Z809)
- Canadian Standards Association (CAN/CSA-Z804)
- *American Tree Farm System (ATFS)* individual and group certification

**post-consumer recycled content:** Material generated by households or by commercial, industrial and institutional facilities in their role as end-users of the product, which can no longer be used for its intended purpose.

Any claims about *post-consumer recycled content* by *Program Participants* and *label users* shall be accurate and consistent with applicable law. *Program Participants* and *label users* are encouraged to consult the U.S. Federal Trade Commission's guidelines on environmental claims in product advertising and communication and the guidelines on environmental labeling and advertising issued by the Fair Business Practices Branch of Industry Canada's Competition Bureau, as appropriate, and to seek additional information and direction from national accreditation bodies, national standards bodies, and national, state and provincial consumer protection and competition laws.

**Pre-consumer recycled content:** Material diverted from the waste stream during a manufacturing process. It does not include materials such as rework, regrind or scrap generated in a process and capable of being reclaimed within the same process.

Any claims about *pre-consumer recycled content* by *Program Participants* or *label users* shall be accurate and consistent with applicable law. *Program Participants* and *label users* are encouraged to consult the U.S. Federal Trade Commission's guidelines on environmental claims in product advertising and communication and the guidelines on environmental labeling and advertising issued by the Fair Business Practices Branch of Industry Canada's Competition Bureau, as appropriate, and to seek additional information and direction from national accreditation bodies, national standards bodies and national, state and provincial consumer protection and competition laws.

**certified logging professional:** A *qualified logging professional* who has successfully completed and is a member in good standing, of a credible logger certification program recognized by the *SFI Implementation Committee* as meeting the criteria of Performance Measure 11.2 in the *SFI 2015-2019 Forest Management Standard* or Performance Measure 6.2 in the *SFI 2015-2019 Fiber Sourcing Standard*.

**certified sourcing:** Raw material sourced from the following sources confirmed by a *certification body*:

- Fiber that conforms with the *SFI 2015-2019 Fiber Sourcing Standard*; and/or
- *Pre-Consumer Recycled Content*: Material diverted from the waste stream during a manufacturing process. It does not include materials such as rework, regrind or scrap generated in a process and capable of being reclaimed within the same process.

Any claims about *pre-consumer recycled content* by *Program Participants* or *label users* shall be accurate and consistent with applicable law. *Program Participants* and *label users* are

encouraged to consult the U.S. Federal Trade Commission's guidelines on environmental claims in product advertising and communication and the guidelines on environmental labeling and advertising issued by the Fair Business Practices Branch of Industry Canada's Competition Bureau, as appropriate, and to seek additional information and direction from national accreditation bodies, national standards bodies and national, state and provincial consumer protection and competition laws; and/or

- *Post-consumer recycled content*: Material generated by households or by commercial, industrial and institutional facilities in their role as end-users of the product, which can no longer be used for its intended purpose.

Any claims about *post-consumer recycled content* by *Program Participants* and *label users* shall be accurate and consistent with applicable law. *Program Participants* and *label users* are encouraged to consult the U.S. Federal Trade Commission's guidelines on environmental claims in product advertising and communication and the guidelines on environmental labeling and advertising issued by the Fair Business Practices Branch of Industry Canada's Competition Bureau, as appropriate, and to seek additional information and direction from national accreditation bodies, national standards bodies, and national, state and provincial consumer protection and competition laws; and/or

- *Certified forest content*: Includes content from specific forest tracts that are third-party certified to conform with the *SFI 2015-2019 Forest Management Standard* or other *acceptable forest management standards* (e.g., CAN/CSA-Z809, CAN/CSA-Z804, and ATFS); and/or
- *Non-controversial sources*: If the raw material is sourced from outside of the United States and Canada, the organization shall establish adequate measures to ensure that the labeled products do not come from *controversial sources*. See Section 4, Part 4 on the process to avoid *controversial sources*. Up to one third of the supply for secondary producers can come from *non-controversial sources* for use of the *Certified Sourcing* label; the other two-thirds must come from the sources defined under the *certified sourcing* definition— fiber that conforms with the *SFI 2015-2019 Fiber Sourcing Standard*, and/or *pre-consumer recycled content*, and/or *post-consumer recycled content*, and/or *certified forest content*.

**claim period:** Time period for which the chain-of-custody claim applies.

**climate change:** A change in the state of the climate that can be identified (e.g., by using statistical tests) by changes in the mean and/or the variability of its properties and that persists for an extended period typically decades or longer. *Climate change* may be due to natural internal processes or external forcings or to persistent anthropogenic changes in the composition of the atmosphere or in land use. *Note: Taken from the Intergovernmental Panel on Climate Change (IPPC).*

**conservation:** 1. *Protection of plant and animal habitat.* 2. The management of a renewable natural resource with the objective of sustaining its *productivity* in perpetuity while providing for human use compatible with sustainability of the resource.

**controversial sources:**

- a. Forest activities which are not in compliance with applicable state, provincial or federal laws, particularly as they may relate to:
  - *conversion sources,*
  - legally required *protection of threatened and endangered species,*
  - requirements of CITES (The Convention on International Trade in Endangered Species of Wild Fauna and Flora)
  - legally required management of areas with designated high environmental and cultural values,
  - labor regulations relating to forest workers,
  - *Indigenous Peoples'* property, tenure and use rights.
- b. Fiber sourced from *illegal logging.*
- c. *Fiber sourced from areas without effective social laws.*

**illegal logging:** Harvesting and trading of wood fiber in violation of applicable laws and regulations in the country of harvest.

**fiber sourced from areas without effective social laws:** The United States and Canada have a strong legal framework. Fiber from countries without effective laws addressing the following will need a risk assessment:

1. workers' health and safety;
2. fair labor practices;
3. *Indigenous Peoples'* rights;
4. anti-discrimination and anti-harassment measures;
5. prevailing wages; and
6. workers' right to organize.

**conversion sources:** Roundwood and/or chips produced from conversion of forestland to other land uses. Manufacturers cannot include it when calculating *certified forest content.*

**critically imperiled:** A plant or animal or community, often referred to as G1, that is globally extremely rare or, because of some factor(s), especially vulnerable to extinction. Typically, five or fewer occurrences or populations remain, or very few individuals (<1,000), acres (<2,000 acres or 809 hectares), or linear miles (<10 miles or 16 kilometers) exist. (Further information can be found under *Forests with Exceptional Conservation Value* in Section 6 – Guidance to SFI 2015-2019 Standards.)

**culturally important:** Having significance for or being representative of human activities or beliefs (e.g., documented areas such as cemeteries, sacred sites).

**degree:** A professional academic *degree* (e.g., bachelor's) or equivalent.

**direct supplier:** An individual or organization with whom a *Program Participant* has a direct contractual relationship for *fiber sourcing.*

**economic viability:** The economic incentive necessary to keep forest ownerships profitable and competitive, and to keep people gainfully employed.

**ecosystem services:** Components of nature, directly enjoyed, consumed, or used to yield human well-being.

**exotic tree species:** A tree species introduced from outside its natural range. This does not include species that have become naturalized in an area and have a naturally reproducing population. (Note: Hybrids of *native* species or *native* plants that have been derived from genetic tree improvement and biotechnology *programs* are not considered exotic species.)

**fiber sourcing:** Acquisition of roundwood (e.g., sawlogs or pulpwood) and field-manufactured or primary-mill residual chips, pulp and veneer to support a forest products facility.

**forest cover type:** Classification of a forest *stand* by the dominant tree species or combination of tree species present. Unless required to use a regulatory system of *forest cover type* classification the *Program Participant* shall use the Society of American Foresters Forest Cover Types of the United States and Canada (Eyre, 1980).

**forest health:** The perceived condition of a forest derived from concerns about such factors as its age, structure, composition, function, vigor, presence of unusual levels of insects or disease, and resilience to disturbance.

**forest inventory:** 1. A set of objective sampling methods that quantify the spatial distribution, composition and rates of change of forest parameters within specified levels of precision for management purposes. 2. The listing of data from such a survey.

**Forest Legacy Program:** The Forest Legacy Program, a voluntary U.S. government program in partnership with the states, supports state efforts to protect environmentally sensitive forest lands that are privately owned.

**forest tree biotechnology:** As commonly used, *forest tree biotechnology* encompasses structural and functional studies of genes and genomes (including development and application of genetic markers); various methods of vegetative reproduction such as micropropagation, tissue culture, and somatic embryogenesis; and genetic engineering (GE), which is the physical manipulation and asexual insertion of genes into organisms.



**forestry:** The profession embracing the science, art and practice of creating, managing, using and conserving forests and associated resources for human benefit and in a sustainable manner to meet desired goals, needs and values.

**forestry enterprise:** A business engaged in the management of forestland, having its own functions and administration and comprising one or more operating units (this does not include independent contractors).

**Forests with Exceptional Conservation Value:** *Critically imperiled* (G1) and *imperiled* (G2) species and ecological communities.

**critically imperiled:** A plant or animal or community, often referred to as G1, that is globally extremely rare or, because of some factor(s), especially vulnerable to extinction. Typically, five or fewer occurrences or populations remain, or very few individuals (<1,000), acres (<2,000 acres or 809 hectares), or linear miles (<10 miles or 16 kilometers) exist (Further information can be found under *Forests with Exceptional Conservation Value* in Section 6 of the *SFI Standards and Rules*).

**imperiled:** A plant or animal or community, often referred to as G2, that is globally rare or, because of some factor(s), is very vulnerable to extinction or elimination. Typically, six to 20 occurrences, or few remaining individuals (1,000 to 3,000), or acres (2,000 to 10,000 acres or 809 to 4,047 hectares), or linear miles (10 to 50 miles or 16 to 80.5 kilometers) exist. (Further information can be found under *Forests with Exceptional Conservation Value* in Section 6 of the *SFI Standards and Rules*.)

**geographic information system (GIS):** An organized collection of computer systems, personnel, knowledge and procedures designed to capture, store, update, manipulate, analyze, report and display forms of geographically referenced information and descriptive information.

**green-up requirement:** Previously clearcut harvest areas must have trees at least 3 years old or 5 feet (1.5 meters) high at the desired level of stocking before adjacent areas are clearcut.

**growing stock:** All the trees growing in a forest or in a specified part of it that meet specified standards of size, quality and vigor; generally expressed in terms of number or volume.

**growth and drain:** The average annual net increase in the volume of trees during the period between inventories (including the increment in net volume of trees at the beginning of the specific year surviving to its end, plus the net volume of trees reaching the minimum size class during the year, minus the volume of trees that died during the year, and minus the net volume of trees that became cull trees during the year) minus the net volume of *growing stock* trees removed from the *forest inventory* during a specified year by harvesting, cultural operations such as timber *stand* improvement, or land clearing.

**growth-and-yield model:** A set of relationships, usually expressed as equations and embodied in a computer program or tables, that provides estimates of future *stand* development given initial *stand* conditions and a specified management regime.

**habitat:** 1. A unit area of environment. 2. The place, natural or otherwise (including climate, food, cover and water) where an individual or population of animals or plants naturally or normally lives and develops.

**high-biodiversity wilderness areas:** The world's largest-remaining tracts of tropical forest that are more than 75 percent intact. These areas are characterized by extraordinary biological richness, including exceptional concentrations of endemic species, and are also of crucial importance to climate regulation, watershed *protection*, and maintenance of traditional Indigenous lifestyles (Further information can be found under Descriptions of *Biodiversity Hotspots* and *High-Biodiversity Wilderness Areas* in Section 6 of the *SFI* requirements document).

**illegal logging:** Harvesting and trading of wood fiber in violation of applicable laws and regulations in the country of harvest.

**imperiled:** A plant or animal or community, often referred to as G2, that is globally rare or, because of some factor(s), is very vulnerable to extinction or elimination. Typically, six to 20 occurrences, or few remaining individuals (1,000 to 3,000), or acres (2,000 to 10,000 acres or 809 to 4,047 hectares), or linear miles (10 to 50 miles or 16 to 80.5 kilometers) exist. (Further information can be found under *Forests with Exceptional Conservation Value* in *SFI* Section 6 - Guidance to *SFI 2015-2019 Standards*.)

**improved planting stock:** Products of tree improvement *programs* in which the parent trees were selected through Mendelian crosses for increased growth, pest resistance, or other desirable characteristics.

**indicator:** In the *SFI* program, a specific metric that provides information about an organization's *forestry* and environmental performance, and that is integral to assessing conformance to the *SFI 2015-2019 Standards' objectives and performance measures*.

**Indigenous Peoples:** Inclusive of all *Indigenous Peoples* residing in Canada and the United States. More specifically, "*Indigenous Peoples*" is defined in the United States as members of federally recognized tribes and in Canada as those peoples that are defined by section 35(2) of the *Constitution Act*, 1982.



In the United States, the US Department of Interior: Bureau of Indian Affairs publishes a list of each of the 566 federally recognized tribes. The list is found at the following address:  
<http://www.bia.gov/WhoWeAre/BIA/OIS/TribalGovernmentServices/TribalDirectory/>

In Canada, Aboriginal Affairs and Northern Development Canada provides a list of the 633 registered Indian Bands. The list of Indian Bands divided by province is found at:  
[pse5-esd5.ainc-inac.gc.ca/fnp/Main/Search/SearchFN.aspx?lang=eng](http://pse5-esd5.ainc-inac.gc.ca/fnp/Main/Search/SearchFN.aspx?lang=eng)

**integrated pest management:** The maintenance of destructive agents, including insects at tolerable levels, by the planned use of a variety of preventive, suppressive or regulatory tactics and strategies that are ecologically and economically efficient and socially acceptable.

**invasive exotic plants and animals:** Species introduced from another country or geographic region outside its natural range that may have fewer natural population controls in the new environment, becoming a pest or nuisance species.

**label users:** Any *Program Participant*, label licensee, secondary manufacturer, publisher, printer, retailer or distributor who has obtained a license to use the label; met Section 5 - Rules For Use Of SFI On-and Off-Product Labels; and obtained approval from the *SFI Office of Label Use and Licensing* to use the *SFI* on-product label for at least one product or manufacturing unit.

**land classification:** The process of designating areas of land into classes or strata that are sufficiently homogeneous in their physical, vegetative and development attributes.

**landscape:** 1. A spatial mosaic of multiple ecosystems, landforms, and plant communities across a defined area irrespective of ownership or other artificial boundaries and repeated in similar form throughout. 2. An area of land characterized by:

- similar biogeoclimatic conditions that influence site potential;
- similar historical disturbance regimes that influence vegetation structure and species composition; and
- sufficient size to provide the range of *habitat* conditions for naturally occurring communities (except for a few megafauna with large spatial needs, e.g., wolves).

**lead auditor:** An *auditor* appointed to lead an *audit team*. Also referred to as an *audit team leader* (ISO 19011:2002, 3.9, note 1).

**least-toxic and narrowest-spectrum pesticide:** A chemical preparation used to control site-specific pests that *minimizes* impact to non-target organisms and causes the least impact to while meeting management objectives. The management objectives should consider the target pest, the degree of control needed, cost, and other issues, such as season and timing of application, rates and methods, terrain, forest conditions, and the presence or absence of water bodies.

**long-term:** Extending over a relatively long time period – for the *SFI 2015-2019 Standards*, this means the length of one forest management rotation or longer.

**major nonconformity:** One or more of the *SFI 2015-2019 Standard(s)* *performance measures* or *indicators* has not been addressed or has not been implemented to the extent that a systematic failure of a *Program Participant's SFI* system to meet an *SFI objective, performance measure* or *indicator* occurs.

**management responsibilities on public lands:** Accountability for developing plans and translating public agencies' missions, goals and *objectives* to an organized set of actions.

**minimize:** To do only that which is necessary and appropriate to accomplish the task or *objective* described.

**minor nonconformity:** An isolated lapse in *SFI 2015-2019 Standard(s)* *program* implementation which does not indicate a systematic failure to consistently meet an *SFI objective, performance measure* or *indicator*.

**native:** Species of ecological communities occurring naturally in an area, as neither a direct or indirect consequence of recent human activity.

**natural regeneration:** Establishment of a plant or a plant age class from natural seeding, sprouting, suckering or layering.

**neutral sources:** Raw material that is not counted towards or against the calculation of the *certified content* percentages in chain-of-custody tracking or *certified sourcing* tracking in *SFI* Sections 3 and 4. Below are the acceptable *neutral sources*.

- Agricultural products (e.g., cotton or other non-wood fibers and biomass from wood fiber legally classified as agricultural by state, provincial or local government) and agricultural residues.
- *Post-consumer recycled content* and *pre-consumer recycled content* may be tracked as a neutral source when not making post-consumer or pre-consumer claims about the product.

**non-forested wetland:** A transitional area between aquatic and terrestrial ecosystems that does not support tree cover and is inundated or saturated for periods long enough to produce hydric soils and support hydrophytic vegetation.

**non-timber forest products (NTFPs):** Products derived from forests other than roundwood or wood chips. Examples include, but are not limited to, seeds, fruits, nuts, honey, maple syrup and mushrooms.

**objective:** In the *SFI 2015-2019 Forest Management Standard* and *SFI 2015-2019 Fiber Sourcing Standard*, a fundamental goal of sustainable forest management.

**Office of Label Use and Licensing:** Provides administrative support and oversight of the *SFI* on-product labeling program, and serves as the depository for *SFI 2015-2019 Standards* certificates *SFI 2015-2019* Section 5 On-product label use certificates and PEFC ST 2002:2013 Chain of Custody of Forest Based Products-Requirements, May 24, 2013 certificates, and other documents that must be submitted to receive approval for use of the *SFI* on-product labels and claims.

**old-growth forests:** A forested ecosystem distinguished by old trees and related structural attributes, such as tree size, down woody debris, canopy levels, and species composition. *Program Participants* should utilize a definition specific to their region and particular forest types.

**origin:** The attributes of the raw material used in the product. This can be *certified forest content*, *certified sourcing* or *pre-consumer* or *post-consumer recycled content*.

**other credible chain-of-custody standards:** Standards capable of tracking fiber back to a forest certified to the *SFI 2015-2019 Standard* or other acceptable standards recognized by the *SFI program*. They include:

- PEFC ST 2002:2003 Chain of Custody of Forest Based Products-Requirements, May 24, 2013
- Additional *programs* may apply for similar recognition or be recognized by the *SFI program* in the future. The criteria used to assess other chain-of-custody standards can be found in *SFI* Section 4 [Appendix 3].

**other wood supplier:** A person who or organization that infrequently supplies wood fiber on a small scale, such as farmers and small-scale land-clearing operators.

**performance measure:** In the *SFI program*, a means of judging whether an *objective* has been fulfilled.

**planting:** The establishment of a group or *stand* of young trees created by direct seeding or by *planting* seedlings or plantlets.

**policy:** A written statement of commitment to meet an *objective* or to implement a defined *program* or plan to achieve an *objective* or outcome.

**primary producers:** Manufacturing units that manufacture forest products and source 50 percent or more (by weight) of their wood-based raw materials directly from *primary sources*. *Primary producers* can include companies that manufacture roundwood, wood chips, and/or composite products.

**primary sources:** Roundwood (logs or pulpwood) and wood chips.

Wood chips include:

- Field Manufactured Chips - chips produced from roundwood in the forest.
- Primary Chips - chips produced from roundwood other than in the forest or as residuals from production of other wood products.
- Mill Residual Chips - chips produced from slabs or other residuals from a primary operation.

**principle:** In the *SFI program*, the vision and direction for sustainable forest management as embodied in the *principles* of the *SFI 2015-2019 Standards*.

**product group:** Set of products manufactured or traded in the specified processes which are covered by the organization's chain of custody.

**productivity:** The inherent capacity of a particular site or ecosystem to produce a crop or tree *stand*, often measured in volume or height.

**program:** An organized system, process or set of activities to achieve an *objective* or *performance measure*.

**Program Participant:** An organization certified by an accredited *certification body* to be in conformance with the *SFI 2015-2019 Forest Management Standard*, and/or *SFI 2015-2019 Fiber Sourcing Standard* and/or *SFI 2015-2019 Chain-of-Custody Standard*.

**protection:** Maintenance of the status or integrity, over the *long term*, of identified attributes or values including management where appropriate and giving consideration to historical disturbance patterns, fire risk and *forest health* when determining appropriate *conservation* strategies.

**public land:** Land enrolled in the *SFI program* that is owned or administratively managed by a government entity (federal, state, provincial, county or local), excluding easements or other encumbrances held by a government entity on private land.

**purchased stumpage:** Standing timber under a contractual agreement that gives the *Program Participant* the right and obligation to harvest the timber.

**qualified logging professional:** A person with specialized skills in timber harvesting gained through experience or formal training who has successfully completed *wood producer training programs* and continued education requirements recognized by *SFI Implementation Committees* as meeting the spirit and intent of *performance measure* under Objective 11 in the *SFI 2015-2019 Forest Management Standard* or Objective 6 in the *SFI 2015-2019 Fiber Sourcing Standard*.

- a. Each crew must include a *qualified logging professional* who (1) has completed the *SFI Implementation Committee* approved *wood producer training program*; (2) is an owner of, employee of, or contracted by the *wood producer*; (3) has direct responsibility and is on-site regularly to consistently carry out the roles and responsibilities of the *qualified logging professional* under the *SFI 2015-2019 Standard(s)* (e.g., safety, protection of soils, streams and other water bodies).
- b. All of the components of an *SFI Implementation Committee* approved *wood producer training program* could take several years to carry out. To be considered a *qualified logging professional*, an individual must complete the required training appropriate to their level of responsibility (e.g., owner, supervisor, employee) within the specified time period required by their *SFI Implementation Committee*. *SFI Implementation Committees* have the flexibility to require different training requirements for owners of logging businesses versus training requirements for other employees (e.g., supervisors). Once classified as a *qualified logging professional*, the individual must complete the required *SFI Implementation Committee* maintenance training within the prescribed time period to retain their status as a *qualified logging professional*.

**qualified resource professional:** A person who by training and experience can make forest management recommendations. Examples include foresters, soil scientists, hydrologists, forest engineers, forest ecologists, fishery and *wildlife* biologists or technically trained specialists in such fields.

**recycled content:** *Pre-consumer recycled content* and *post-consumer recycled content*.

**reforestation:** The reestablishment of forest cover either naturally or by seeding or *planting* of seedlings.

**riparian area:** Transition zone characterized by vegetation or geomorphology adjacent to rivers, streams, lakes, *wetlands* and other water bodies..

**secondary producers:** Manufacturing units that produce forest products and source 50 percent or more (by weight) of their wood-based raw materials from *secondary sources*. *Secondary producers* can include manufacturers of finished forest products, such as plywood, furniture, windows, magazines, printers or catalogs, and manufacturers using market pulp.

**secondary sources:** Semi-finished solid wood, paper, market pulp, recycled wood fiber, or composite products obtained from a *primary producer* and/or a *secondary producer*.

**SFI 2015-2019 Audit Procedures and Auditor Qualifications and Accreditation:** The *principles* and guidelines that detail specific requirements to *Program Participants* and *certification bodies* for conducting audits to the *SFI 2015-2019 Forest Management, Fiber Sourcing and Chain-of-Custody Standards*.

**SFI 2015-2019 Chain-of-Custody Standard:** The requirements that detail processes for tracking fiber content from *certified forest content*, *recycled content* and *certified sourcing*.

**SFI 2015-2019 Fiber Sourcing Standard:** The *principles, objectives, performance measures* and *indicators* that detail specific *fiber sourcing* requirements for *Program Participants*.

**SFI 2015-2019 Forest Management Standard:** The *principles, policies, objectives, performance measures* and *indicators* that detail specific forest management requirements for *Program Participants*.

**SFI certification:** A systematic and documented verification process to obtain and evaluate evidence objectively to determine whether a *Program Participant's SFI program* conforms to the requirements of *SFI 2015-2019 Standards and Rules*.

**SFI Implementation Committee (SIC):** A state, provincial, or regional committee organized by *SFI Program Participants* to facilitate or manage the *programs* and alliances that support the growth of the *SFI program*, including sustainable forest management.

**silviculture:** The art and science of controlling the establishment, growth, composition, health, and quality of forests and woodlands to meet the diverse needs and values of landowners and society on a sustainable basis.

**skid trail:** A temporary path through the woods to transport felled trees or logs to a collection area for further transportation.

**special sites:** Sites that include geologically unique or *culturally important* features.

**stand:** A contiguous group of trees sufficiently uniform in age, composition, and structure, and growing on a site of sufficiently uniform quality, to be a distinguishable unit.

**sustainable forestry:** To meet the needs of the present without compromising the ability of future generations to meet their own needs by practicing a land stewardship ethic that integrates *reforestation* and the managing, growing, nurturing, and harvesting of trees for useful products and *ecosystem services* such as the conservation of soil, air and water quality, carbon, *biological diversity*, *wildlife* and *aquatic habitats*, recreation and aesthetics.

**Sustainable Forestry Initiative Inc. (SFI):** *SFI Inc.* is a 501(c)(3) non-profit charitable organization, and is solely responsible for maintaining, overseeing and improving the Sustainable Forestry Initiative *program*. *SFI Inc.* directs all elements of the Sustainable Forestry Initiative *program* including the *SFI Standard(s)*, including forest management, *fiber sourcing*, and chain-of-custody certifications, and labeling and marketing. *SFI Inc.* is overseen by a three-chamber Board of Directors representing social, environmental and economic sectors.

**technical expert:** A person who provides specific knowledge or expertise to the *audit team* (ISO 19011 2002, 3.10).

**third-party certification:** An assessment of conformance to the *SFI 2015-2019:Standards and Rules* conducted according to the requirements of *SFI Section 9 SFI 2015-2019 Audit Procedures and Auditor Qualifications and Accreditation*, and ISO 19011 by a qualified *certification body*.

**threatened and endangered:** Listed under The U.S. Endangered Species Act or The Canadian Species at Risk Act and listed under applicable state or provincial laws requiring *protection*.

**traditional forest-related knowledge:** Forest-related knowledge owned and maintained by *Indigenous Peoples* as a result of their traditional use of or tenure on forestland.

**varietal seedlings:** Genetically identical individuals produced through vegetative reproduction methods, such as micropropagation, tissue culture or somatic embryogenesis.

**verifiable monitoring system:** A system capable of being audited by a *third party* that includes:

- a. a means to characterize the *Program Participant's wood and fiber supply area*, which may include sources certified to a standard that requires conformance with *best management practices*, including those sources from *certified logging professionals*;
- b. a process to identify and use sources of available data (e.g., state or provincial monitoring *programs*, certification status of suppliers) in the use of *best management practices*; and
- c. a method to assess supplier performance, if needed, to supplement available data.

**vernal pool:** A seasonal *wetland* with sufficient water present during amphibian breeding season, absence of fish, and presence of *wetland* obligate fauna.

**visual quality:** The seen aspects of both the land and the activities that occur upon it.

**visual quality management:** Minimization of the adverse visual effects of forest management activities.

**wetland:** (1) seasonally or permanently water-logged areas characterized by vegetation adapted for life in saturated /flooded conditions; (2) *wetlands* can be forested, shrubby or open and include bogs, fens, swamps, marshes and shallow open water areas; (3) *wetlands* may be stagnant systems (e.g., bogs), slow flowing (e.g., fens, swamps) or have fluctuating water levels (e.g., marshes, shallow open water).

**wildlife:** Aquatic (marine and freshwater) and terrestrial fauna.

**wood and fiber supply area:** The geographic area from which a *Program Participant* procures, over time, most of its wood and fiber from *wood producers*.

**wood producer:** A person or organization, including loggers and wood dealers, involved in harvesting or regularly supplying wood fiber directly from the forest for commercial purposes.

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SUSTAINABLE FORESTRY INITIATIVE

## **SFI Inc. Policies and Procedures**

### **Sustainable Forestry Initiative Inc. Records Retention Policy**

IRS Form 990 question states “does the organization have a written document retention and destruction policy?”

SFI Inc’s policy is to keep documents as long as necessary to complete a business activity or to comply with laws and regulations. Accomplishing this through regular periodic review and disposal is good practice and maximizes the limited storage space we have available. Additionally, from time to time we may be required to search our files in response to a subpoena or other document request. Those searches are unnecessarily time consuming when old files, which have lost their value as records, have been retained.

Documents should be retained for a period specified in the attached Record Retention Schedule (Appendix A) or shorter if they are not needed. However, if a government requirement specifies a longer period, those documents should be kept accordingly. When using the Schedule, if a document falls into duplicate categories, use the category with the longer retention period.

In the event of a governmental, or any type of legal investigation or proceeding, or even the suggestion of one, disposal of documents pertinent to the matter of inquiry should be suspended immediately and the Chief Operating Officer consulted. Document disposal in such circumstances could constitute a crime. Refer to SFI Inc. Document Preservation Policy (Appendix B).

The rule for electronic or computer records fundamentally is no different than for paper documents kept in file cabinets.

Exceptions: Requests for exceptions should be made to the Chief Operating Officer.

### **Appendix A. SFI Inc.’s RECORD RETENTION SCHEDULE**

#### **I. CORPORATE DOCUMENTS**

Items such as Articles of Incorporation, Bylaws, Annual Reports, audit reports, financial statements, tax returns, should be kept permanently. Items used to prepare corporate documents such as information for tax returns should be kept for six years from the date of filing of the document.

#### **II. LEGAL DOCUMENTS & REPORTS TO GOVERNMENT ENTITIES**

Items such as legal filings, and reports to government agencies, should be kept for six years after their expiration. Generally, contracts should be kept for ten years after their expiration. However, government contracts need to be kept for only four years. Any such items retained for format only, may be kept indefinitely. Leases are to be kept six years after expiration of the lease.

#### **III. LITIGATION FILES**

Litigation files may be retained for six years after settlement, dismissal or final disposition. After six years, however, only court-filed documents and privileged documents may be retained.

#### **IV. CORRESPONDENCE & CALENDARS**

Copies of all correspondence, both incoming and outgoing, should be disposed of no later than two calendar years following the current year. They may be disposed of earlier than this if such correspondence has exhausted its business purpose. All notes and drafts used in preparation of such correspondence should be disposed of immediately upon issuance of the final document. Calendars, appointment books, and phone message logs should be disposed of no later than two calendar years following the current year.

V. MINUTES OF MEETINGS

A single copy of final minutes of each SFI Inc. meeting or other meeting attended should be maintained permanently by the individual department. All notes and drafts used in the preparation of such minutes should be disposed of upon issuance of the completed minutes.

VI. SFI STANDARDS AND GUIDELINES DOCUMENTS

All final documents used in research and development of standards, specifications, or guidelines (including revisions and reaffirmations) shall be retained for a minimum of one standards development cycle. Records for standards that are withdrawn shall be kept for a minimum of five years from the date of withdrawal.

These include background information, ballots, meeting books of standards committees, letters of interpretations, and documentation of standards provisions. Notes and drafts of any of these items should be disposed of after conversion to a final document. Such documents may be disposed of in as short a time frame as appropriate.

VII. ACCOUNTING & PERSONNEL RECORDS

The Accounting and Human Resources & Development Departments have their own specialized retention schedules. Accounting and Personnel documents outside these departments should not be retained beyond two years.

VIII. STATISTICAL REPORTS

Data older than 5 years will be aggregated at a level of detail permissible for published reports, but without program participant identifiers. Detailed program participant data will be retained for 1 full year, plus the current year, at the level that it is collected. Data that is not currently published, but that may be valuable for trend analysis, data quality control, future use, or support of policy work, may be retained after legal review and approval on a case by case basis.

IX. MEETING BOOKS

Two copies of bound meeting books may be kept. However, any such meeting books retained must be free of any handwritten notes or unbound paper.

X. PUBLICATIONS

Those items actually published by SFI Inc. and distributed may be retained for as long as deemed necessary. Directories, journals, magazines, and trade publications may be kept as long as they are needed, but must be free of any handwritten notes and unbound paper.

XI. ALL OTHERS

Unless a longer retention period is identified, all documents are to be retained only two years after the year they were created. For example, a February 2004 document must be destroyed no later than January 1, 2006.

## ACCOUNTING & PERSONNEL

<u><b>TYPE OF RECORD</b></u>	<u><b>RETENTION PERIOD</b></u>
------------------------------	--------------------------------

### **Accounting**

Accounts receivable and payable	3 years
Auditor's reports/work papers	Permanent
Bank deposit slips	3 years
Bank Statements, Reconciliations	7 years
Budgets	5 years
Cancelled checks	7 years
Cash disbursements journal	7 years
Depreciation records & Fixed Asset information	Permanent
Employee expense reports	3 years
Employee payroll records	4 years *
Financial statements (annual)	Permanent
Financial statements (interim/internal)	Permanent
General journal or ledger	Permanent
Insurance Policies	Permanent
Inventory lists	6 years
Invoices	3 years
Payroll journal	4 years
Payroll Tax Returns	4 years
Property Tax Returns	Permanent
Sales and Use Tax Returns	10 years

### **Personnel**

Applications for employment	
Hired	4 years *
Not Hired (all states except CA)	1 year
Not Hired (CA)	2 years
Employee Earnings/Payroll Records	6 years *
Employee Files	6 years *
Employee Pension Records (including service, eligibility, personal information, pensions paid)	6 years *
Employment Actions (including promotion, transfer, selection for training)	1 year
Employment Records for temporary positions	90 days
Pension, Profit-Sharing Plans	Permanent

\* after termination of employment

### **SFI Inc. Document Preservation Policy**

In response to a subpoena or other "triggers" in a litigation process, SFI Inc. may have an obligation to suspend document destruction under our Record Retention Policy and actually "preserve" documents, including e-mail. In such situations, the SFI Inc. Chief Operating Officer will issue a "Litigation Hold" on document destruction for certain documents and issue instructions based on this Preservation Policy.

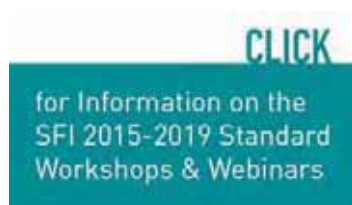
A litigation hold may remain in place for years; until the litigation is completed or settled. In the event SFI Inc. creates a litigation hold for a particular subject area, SFI Inc. staff must preserve all "documents" as set out in the Litigation Hold. Preservation is likely to include: e-mail, electronic documents and records, and paper records.

This approach to preservation of documents is necessary because destruction or "spoliation of evidence" can result in court fines in the millions, affect what evidence can be presented in the lawsuit by the parties, and possible criminal sanctions against the association and the individual.

## SFI 2015-2019 Standard Review Process

Inviting nearly 10,000 stakeholders to submit comments, the Sustainable Forestry Initiative® has now closed its final public 60-day comment period for the proposed SFI 2015-2019 Standard.

This working draft is the result of input from comments submitted during the first 60-day public comment period which ran from June 5 – August 6, 2013. The draft new Standard includes new performance measures to conserve biodiversity in fiber sourcing; limit conversion of one forest type to another; bolster protection for indigenous peoples on private lands; and expand the definition of “controversial sources,” which are not allowed in SFI-labeled products. This was the final 60 day public comment period and ended March 7, 2014.



### Documents:

Responses to Comments Received During First 60 Day Comment Period (June 5 - August 6, 2013)

Responses to Comments Received During Final 60 Day Comment Period (January 6 - March 7, 2014)

### Questions?

About the SFI 2015-2019 Standards, contact **Gregor Macintosh**:

Tel: 778-351-3358

Gregor.Macintosh@sfiprogram.org

About the Workshops, contact **Amy Doty**:

Tel: 202-596-3458

Amy.Doty@sfiprogram.org





**FOREST MANAGEMENT TASK GROUP:  
OBJECTIVES 1-7 & 14-20**

Jimmy

**Bullock (Chair)**

*Sr. Vice President, Forest Sustainability - Resources*

**Management Service**

Geography: U.S. South

**Fred Cubbage**

*Co-Director, Southern Forest Resource Assessment Consortium, Department of Forestry and Environmental Resources - North Carolina State University*

Geography: U.S. South

**Rebecca Barnard**

*Forest Certification Coordinator - Wild Turkey Federation*

Geography: US

**John Hagan (SFI Board Member)**

*President - Manomet Center for Conservation*

**Sciences**

Geography: U.S. Northeast

**Chris Smith**

*Forest Industry and Government Relations, Western Boreal Program - Ducks Unlimited (Canada)*

Geography: Western Canada

**Gary Roloff**

*Associate Professor in the Department of Fisheries and Wildlife - Michigan State University*

**Todd Gartner**

*Senior Associate, Conservation Incentives and Markets - World Resources Institute*

Geography: U.S.

**Scott Vance**

*Asst. VP of Conservation Programs - National Wild Turkey Federation*

Geography: U.S.

**Lennard Joe**

*General Manager - Stuwix Resources*

Geography: British Columbia

**Ryan Spencer**

*Forester - Yakama Nation - Yakama Nation*

Geography: Washington

**Kit Hart**

*Manager Environmental Affairs - Plum Creek Timber Company, Inc.*

Geography: U.S.

March 19 2014

**Donna Kopecky**

*District Biologist - Louisiana-Pacific Canada Ltd.*

Geography: Manitoba, Ontario

**Dennis Lozinsky**

*WCSIC Coordinator - Western Canada SIC*

Geography: British Columbia, Alberta

**Bob Emory**

*Southern Timberlands Environmental Affairs Manager*

**Weyerhaeuser NR Company**

Geography: Canada and U.S.

**Kip Nichols**

*Vice President - Seven Islands Land Company*

Geography: Maine

**SFI Staff Support:**

**Gregor Macintosh**

*Senior Director, Standards*

**Andrew de Vries**

*VP, Conservation, Indigenous and Government Relations*

**Paul Trianosky**

*Senior Director, Conservation Programs*

**FIBER SOURCING TASK GROUP:  
OBJECTIVES 8-13 and Conversion**

Dick

**Brinker (SFI Broad Member and Chair)**

*Dean Emeritus*

**Auburn University**

Geography: Alabama, US South

**Sarah Crow**

*Certification Manager*

**American Forest Foundation**

Geography: US

**Eric Draper**

*Executive Director*

**Florida Audubon**

Geography: Florida

**Deborah Baker**

*Vice President Sustainable Forestry, Environmental and  
Community Outreach*

**Georgia-Pacific**

Geography: U.S. and Canada (ON)

**Allison Welde**

*Manager Sustainability and Certifications*

**Enviva LP**

Geography: U.S. South

**Conrad Yarmoly**

*Certification Lead*

**Alberta Pacific Forest Industries Inc.**

Geography: Alberta

**Gordy Mouw**

*Certification and Resource Manager*

**New Page Corporation**

Geography: Lake States

**David Hudnall**

*Corporate Forest Resources Environmental Manager*

**Louisiana-Pacific Corporation**

Geography: U.S. and Canada

**Steve Tomlin**

*Manager Environmental Certification Systems*

**International Paper Company**

Geography: U.S.

**Sam Hopkins**

*Manager, Sustainable Forestry*

**The Westervelt Company**

Geography: Alabama

**Mike Branch**

*Manager of Forest Sustainability*

**RockTenn**

Geography: U.S. South, Ohio and Quebec

**Brad Holt**

*Certification Manager*

**Boise Inc. / Boise Cascade Company**

Geography: U.S.

**Ben Cazell**

*Manager Environmental Systems*

**Rayonier Inc.**

Geography: U.S. NW and South

**Bryan Hulka**

*Southern Timberlands – EMS Manager*

**Weyerhaeuser NR Company**

Geography: US South

**Dave Chura**

*Executive Director*

**Minnesota Logger Education Program**

Geography: Minnesota

**Scott Berg**

*Principal / Owner*

**RS Berg and Associates**

Geography: U.S.

**SFI Support Staff**

**Gregor Macintosh**

*Senior Director, Standards*

**SFI Inc.**

**COC AND CERTIFIED SOURCING  
(SECTIONS 3 AND 4) TASK GROUP:**

**Chris Davidson (Chair)**

*Director, Sustainable Forestry*

**MeadWestvaco Corp.**

Geography: U.S. South and Southeast

**Jessica McGlyn**

*Director*

**World Business Council Sustainable Development**

Geography: U.S. / Global

**Keith Dunlap**

*Marketing & Environmental - Paper Service CoC Central  
Office Manager*

**Quad/Graphics, Inc.**

Geography: U.S.

**Brad Holt**

*Certification Manager*

**Boise Inc. / Boise Cascade Company**

Geography: U.S.

**Tahl Lunoch**

*Woodlands Operations Superintendent*

**Louisiana-Pacific Canada Ltd.**

Geography: BC, Quebec, and Manitoba

**George D'Urso**

*Director, Global Sustainability*

**RockTenn**

Geography: U.S. South, Ohio and Quebec

**Steve Tomlin**

*Manager Environmental Certification Systems*

**International Paper Company**

Geography: U.S.

**Deborah Baker**

*Vice President Sustainable Forestry, Environmental and  
Community Outreach*

**Georgia-Pacific**

Geography: U.S. and Canada (ON)

**Scott Berg**

*Principal / Owner*

**RS Berg and Associates**

Geography: U.S.

**SFI Staff Support**

**Gregor Macintosh,**

*Senior Director, Standards*

**Rachel Dierolf**

*Manager of Statistics and Labeling*

## SMALL LANDOWNERS TASK GROUP:

### Pat Sirois (Chair)

*Coordinator*

#### Maine SFI Implementation Committee

- *ME SIC Coordinator*
- *Participated in the 2010 ME SFI pilot project*
- *Knows issues of NE small landowners*

Geography: Maine

### Skeet Burris (SFI Board Member)

*Small Landowner / American Tree Farm System Member*

- *Small forest landowner*

Geography: South Carolina

### Becky Stewart

*Atlantic Program Manager*

#### Bird Studies Canada

- *Understands biodiversity issues in eastern Canada*

Geography: New Brunswick, Nova Scotia

### Andrew Fedora

*Executive Director*

#### Federation of Nova Scotia Woodlot Owners

- *Has implemented CSA Z804 & has lots of experience with small landowners*

Geography: Nova Scotia

### Ken Hardie

*Manager*

#### New Brunswick Federation of Woodlot Owners

- *Knowledge of small landowner issues in New Brunswick*

Geography: New Brunswick

### Mike Hutchinson

*Consultant*

#### New Brunswick Federation of Woodlot Owners

- *Has implemented CSA Z804 and FSC SLIMF*

Geography: New Brunswick, Nova Scotia

### Marketing Board Representatives

#### New Brunswick Marketing Board

- *Would be determined after specific region is identified if pilot is conducted in New Brunswick*

### Marketing Board Representatives

#### Quebec Marketing Board

- *Would be determined after specific region is identified if pilot is conducted in Quebec*

### Josiane Blanchet

#### Louisiana-Pacific Canada

SFI PP located in Quebec

- *Procures significant volumes from small landowners*

Geography: Quebec

### Doug Perdue

*Chief Forester*

#### Dunkley Lumber Ltd.

SFI PP located in central British Columbia

- *Procures significant volumes from small landowners*

Geography: British Columbia

### Tony Rotherham

*Consultant*

- *Extensive knowledge of forest management standards for Canada and internationally.*

### SFI Staff Support

#### Gregor Macintosh

*Senior Director, Standards*

**BIOENERGY & CLIMATE CHANGE  
TASK GROUP**

**Brian Kernohan (Chair)**

*Manager, Environmental Affairs*

**Hancock Timber Resource Group**

Geography: U.S. and Vancouver Island

**Tat Smith (SFI Board Member)**

*Professor and Dean Emeritus*

**University of Toronto**

Geography: Canada and U.S.

**Jimmie Powell**

*Energy Team Lead*

**The Nature Conservancy**

Geography: U.S.

**John Hagan (SFI Board Member)**

*Professor*

**Manomet Center for Conservation Sciences**

Geography: U.S.

**Allison Welde**

*Manager Sustainability and Certifications*

**Enviva LP**

Geography: U.S. South

**Bob Emory**

*Southern Timberlands Environmental Affairs Manager*

**Weyerhaeuser NR Company**

Geography: U.S. South

**Jimmy Bullock**

*Sr. Vice President, Forest Sustainability*

**Resource Management Service, LLC**

Geography: U.S. South

**Chris Davidson**

*Director, Sustainable Forestry*

**MeadWestvaco Corp.**

Geography: U.S. South

**Kit Hart**

*Manager, Environmental Affairs*

**Plum Creek Timber Company, Inc.**

Geography: U.S.

**David Watt**

*Woods Manager*

**L&M Lumber Ltd./Nechako Lumber Company Ltd.**

**Sinclair Group**

Geography: British Columbia

**SFI Staff Support**

**Nadine Block**

*VP, Government Affairs*

**Gregor Macintosh**

*Senior Director, Standards*



**EMERGING ISSUES TASK GROUP**  
**(currently dormant)**

**Rob Olszewski (Chair)**  
*VP, Environmental Affairs*  
**Plum Creek Timber Company, Inc**  
Geography: U.S.

**Dick Brinker (SFI Board Member)**  
*Dean Emeritus*  
**Auburn University**  
Geography: U.S.

**Steve Koehn (SFI Board Member)**  
*Director and State Forester*  
**Maryland Department of Natural Resources**  
Geography: Maryland

**Tat Smith (SFI Board Member)**  
*Professor and Dean Emeritus*  
**University of Toronto**  
Geography: Canada and U.S.

**John Hagan (SFI Board Member)**  
*Professor*  
**Manomet Center for Conservation Sciences**  
Geography: U.S.

**Chris Smith**  
*Forest Industry and Government Relations, Western Boreal Program*  
**Ducks Unlimited Canada**  
Geography: Western Canada

**Brian Kernohan**  
*Manager, Environmental Affairs*  
**Hancock Timber Resource Group**  
Geography: U.S. and Vancouver Island

**Jimmy Bullock**  
*Sr. Vice President, Forest Sustainability*  
**Resource Management Service, LLC**  
Geography: U.S. South and Southeast

*Note: This group will not be assigned any specific task at this point. If one of the other Task Groups has a specific request for assistance from the Emerging Issues Task Group it will be considered at that time.*

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**SFI Staff Support**

**Gregor Macintosh**  
*Senior Director, Standards*

**STEERING COMMITTEE (Chair of each Task Group)**

**Rob Olszewski (Chair)**

*VP, Environmental Affairs*

Plum Creek Timber Company, Inc

**Task Group Chair: Steering Committee**

**Dick Brinker (SFI Board Member)**

*Dean Emeritus*

Auburn University

**Task Group Chair: Fiber Sourcing and Conversion**

**Jimmy Bullock**

*Sr. Vice President, Forest Sustainability*

Resource Management Service, LLC

**Task Group Chair: Forest Management**

**Chris Davidson**

*Director, Sustainable Forestry*

MeadWestvaco Corp.

**Task Group Chair: CoC and Certified Sourcing**

**Brian Kernohan**

*Manager, Environmental Affairs*

Hancock Timber Resource Group

**Task Group Chair: BioEnergy and Climate Change**

**Pat Sirois**

*Coordinator*

**Maine SFI Implementation Committee**

**Task Group Chair: Small Landowners**

**Note: For Program Sections 1 & 5-13 there is no Task Grp. To be handled by SFI Staff.**

**SFI Staff Support**

**Gregor Macintosh**

*Senior Director, Standards*

## SFI 2015-2019 Standard Development – Stakeholder Mapping Exercise

A stakeholder mapping exercise will be used to identify which interest sectors-both public and private-are relevant (environmental, economic, social) including stakeholders who may not be able to participate by conventional means and what means of communications will best reach each stakeholder group. This mapping exercise will be done at the beginning of each standard review process and will define who the stakeholders are and what is necessary to ensure all can participate in the process if they so choose (Stakeholders will be identified by doing a stakeholder mapping exercise that includes defining which interest sectors are relevant and why, and for each sector what are likely to be the key issues, who are the key stakeholders including those who may not be able to participate by conventional means, and what means of communication will best reach them.)

SFI collects and maintains a database of contacts interested and involved in all aspects of the SFI program. This includes all certificate holders implementing sections of the SFI standard, SFI board, committees and grassroots organizations carrying out program strategy and direction as well as contacts that come in contact with SFI in the marketplace such as architects, conservation groups, associations and customers only to name a few. Made up of nearly 10,000 people, the map of these stakeholder groups is listed on the last three pages of this document.

Stakeholder Group	Interest Sector <sup>1</sup>	Key Issues	Means of communication <sup>2</sup>
Accreditation Bodies	<ul style="list-style-type: none"> <li>n/a</li> </ul>	<ul style="list-style-type: none"> <li>Standard Development</li> <li>Standards Launch</li> <li>Standards Transition</li> </ul>	<ul style="list-style-type: none"> <li>Emails</li> <li>conference-calls</li> <li>webinars</li> <li>in-person meetings</li> </ul>
Certification Bodies	<ul style="list-style-type: none"> <li>n/a</li> </ul>	<ul style="list-style-type: none"> <li>Standard Development</li> <li>Standards Launch</li> <li>Standards Transition</li> </ul>	<ul style="list-style-type: none"> <li>Emails</li> <li>conference-calls</li> <li>webinars</li> <li>in-person meetings</li> </ul>
PEFC	<ul style="list-style-type: none"> <li>n/a</li> </ul>	<ul style="list-style-type: none"> <li>Standard Development</li> <li>Standards Launch</li> <li>Standards Transition</li> </ul>	<ul style="list-style-type: none"> <li>Email</li> <li>in-person meetings</li> </ul>
SFI Board	<ul style="list-style-type: none"> <li>Forest Owner</li> <li>Forest Manager</li> <li>Forest Industry/Processors</li> <li>Labour</li> <li>Traders/Buyers</li> </ul>	<ul style="list-style-type: none"> <li>Forest conversion</li> <li>Chemical usage</li> <li>Water quality</li> <li>Biodiversity</li> <li>Indigenous Peoples</li> </ul>	<ul style="list-style-type: none"> <li>Emails</li> <li>conference-calls</li> <li>in-person meetings</li> </ul>

<sup>1</sup> Forest Owner, Forest Manager, Forest Industry/Processors, Labour, Traders/Buyers, ENGOs, Government, Forest Science, Indigenous/Local Communities, Forest User, Retailer, Trader

<sup>2</sup> Mailing letters and newspaper announcements not an effective means of communication given the broad scope of the standard and number of stakeholders across both Canada and the United States. Additionally, with the high rate of computer availability and literacy, emailing invitations to comment is the most effective means of reaching out.

Stakeholder Group	Interest Sector <sup>1</sup>	Key Issues	Means of communication <sup>2</sup>
	<ul style="list-style-type: none"> <li>• NGOs</li> <li>• Government</li> <li>• Forest Science</li> <li>• Indigenous/Local Communities</li> <li>• Forest User (Recreational)</li> </ul>	<ul style="list-style-type: none"> <li>• Logger Training</li> <li>• Fiber Sourcing and Biodiversity</li> <li>• SFI CoC Labels</li> <li>• SFI Fiber Sourcing Label</li> <li>• Standard Development</li> <li>• Standards Launch</li> <li>• Standards Transition</li> </ul>	
SFI Resources Committee	<ul style="list-style-type: none"> <li>• Forest Owner</li> <li>• Forest Manager</li> <li>• Forest Industry/Processors</li> <li>• Traders/Buyers</li> <li>• NGOs</li> <li>• Government</li> <li>• Forest Science</li> <li>• Indigenous/Local Communities</li> <li>• Forest User (Recreational)</li> </ul>	<ul style="list-style-type: none"> <li>• Forest conversion</li> <li>• Chemical usage</li> <li>• Water quality</li> <li>• Biodiversity</li> <li>• Indigenous Peoples</li> <li>• Logger Training</li> <li>• Fiber Sourcing and Biodiversity</li> <li>• SFI CoC Labels</li> <li>• SFI Fiber Sourcing Label</li> <li>• Standard Development</li> <li>• Standards Launch</li> <li>• Standards Transition</li> </ul>	<ul style="list-style-type: none"> <li>• Emails</li> <li>• conference-calls</li> <li>• in-person meetings</li> </ul>
SFI External Resources Panel	<ul style="list-style-type: none"> <li>• Forest Manager</li> <li>• NGOs</li> <li>• Government</li> <li>• Forest Science</li> <li>• Forest User (Recreational)</li> </ul>	<ul style="list-style-type: none"> <li>• Standard Development</li> <li>• Standards Launch</li> <li>• Standards Transition</li> </ul>	<ul style="list-style-type: none"> <li>• Emails</li> <li>• conference-calls</li> <li>• in-person meetings</li> </ul>
SFI Implementation Committees	<ul style="list-style-type: none"> <li>• Forest Owner</li> <li>• Forest Manager</li> <li>• Forest Industry/Processors</li> <li>• Traders/Buyers</li> <li>• NGOs</li> <li>• Government</li> <li>• Forest Science</li> <li>• Indigenous/Local Communities</li> <li>• Forest User (Recreational)</li> </ul>	<ul style="list-style-type: none"> <li>• Forest conversion</li> <li>• Chemical usage</li> <li>• Water quality</li> <li>• Biodiversity</li> <li>• Indigenous Peoples</li> <li>• Logger Training</li> <li>• Fiber Sourcing and Biodiversity</li> <li>• SFI CoC Labels</li> </ul>	<ul style="list-style-type: none"> <li>• Emails</li> <li>• conference-calls</li> <li>• webinars</li> <li>• in-person meetings</li> </ul>

Stakeholder Group	Interest Sector <sup>1</sup>	Key Issues	Means of communication <sup>2</sup>
		<ul style="list-style-type: none"> <li>SFI Fiber Sourcing Label</li> <li>Standard Development</li> <li>Standards Launch</li> <li>Standards Transition</li> </ul>	
Certificate Holders <ul style="list-style-type: none"> <li>- Printers</li> <li>- Paper merchant/broker</li> <li>- Wood manufacturer</li> <li>- Pulp &amp; Paper Producer</li> <li>- Paperboard Converter</li> <li>- Wood Merchant/Broker</li> <li>- Forest Landowner</li> <li>- Print Broker</li> <li>- Other</li> </ul>	<ul style="list-style-type: none"> <li>Forest Owner</li> <li>Forest Manager</li> <li>Forest Industry/Processors</li> <li>Traders/Buyers</li> <li>ENGOS</li> <li>Government</li> <li>Forest Science</li> <li>Indigenous/Local Communities</li> <li>Forest User (Recreation)</li> <li>Retailer</li> <li>Broker/Distributor</li> </ul>	<ul style="list-style-type: none"> <li>Forest conversion</li> <li>Chemical usage</li> <li>Water quality</li> <li>Biodiversity</li> <li>Indigenous Peoples</li> <li>Logger Training</li> <li>Fiber Sourcing and Biodiversity</li> <li>SFI CoC Labels</li> <li>SFI Fiber Sourcing Label</li> <li>Standard Development</li> <li>Standards Launch</li> <li>Standards Transition</li> </ul>	<ul style="list-style-type: none"> <li>Emails</li> <li>conference-calls</li> <li>webinars</li> <li>in-person meetings</li> </ul>
Government (Canadian & US)	<ul style="list-style-type: none"> <li>Public Forest Managers</li> <li>Federal, State, Provincial, County Agencies</li> </ul>	<ul style="list-style-type: none"> <li>Forest conversion</li> <li>Chemical usage</li> <li>Water quality</li> <li>Biodiversity</li> <li>Indigenous Peoples</li> <li>Logger Training</li> <li>Fiber Sourcing and Biodiversity</li> </ul>	<ul style="list-style-type: none"> <li>Emails</li> <li>conference-calls</li> <li>in-person meetings</li> </ul>
Trade Associations <ul style="list-style-type: none"> <li>- Forestry</li> <li>- Solid Wood</li> <li>- Print</li> <li>- Paper &amp; Packaging</li> <li>- Consumer</li> <li>- Other</li> </ul>	<ul style="list-style-type: none"> <li>Forest Science</li> <li>Trader</li> <li>Retailer</li> </ul>	<ul style="list-style-type: none"> <li>Forest conversion</li> <li>Chemical usage</li> <li>Water quality</li> <li>Biodiversity</li> <li>Indigenous Peoples</li> <li>Logger Training</li> <li>Fiber Sourcing and Biodiversity</li> <li>SFI CoC Labels</li> </ul>	<ul style="list-style-type: none"> <li>Emails</li> <li>conference-calls</li> <li>webinars</li> <li>in-person meetings</li> </ul>



Stakeholder Group	Interest Sector <sup>1</sup>	Key Issues	Means of communication <sup>2</sup>
		<ul style="list-style-type: none"> <li>SFI Fiber Sourcing Label</li> <li>Standard Development</li> <li>Standards Launch</li> <li>Standards Transition</li> </ul>	
Customers <ul style="list-style-type: none"> <li>- Paper products</li> <li>- Wood products</li> <li>- Catalogs</li> <li>- Paper Buyer</li> <li>- Magazine</li> <li>- Paper merchant/Distributor</li> <li>- Wood Merchant/Distributor</li> <li>- Packaging</li> <li>- Publisher</li> <li>- Tissue</li> <li>- Finance</li> <li>- Health Care</li> </ul>	<ul style="list-style-type: none"> <li>Traders</li> <li>Retailer</li> <li>Broker/Distributor</li> </ul>	<ul style="list-style-type: none"> <li>Forest conversion</li> <li>Chemical usage</li> <li>Water quality</li> <li>Biodiversity</li> <li>Indigenous Peoples</li> <li>Logger Training</li> <li>Fiber Sourcing and Biodiversity</li> <li>SFI CoC Labels</li> <li>SFI Fiber Sourcing Label</li> <li>Standard Development</li> <li>Standards Launch</li> <li>Standards Transition</li> </ul>	<ul style="list-style-type: none"> <li>Emails</li> <li>conference-calls</li> <li>webinars</li> <li>in-person meetings</li> </ul>
Conservation Organizations	<ul style="list-style-type: none"> <li>ENGOS</li> <li>Forest Science</li> <li>Forest User (Recreation)</li> </ul>	<ul style="list-style-type: none"> <li>Forest conversion</li> <li>Chemical usage</li> <li>Water quality</li> <li>Biodiversity</li> <li>Indigenous Peoples</li> <li>Logger Training</li> <li>Fiber Sourcing and Biodiversity</li> <li>SFI CoC Labels</li> <li>SFI Fiber Sourcing Label</li> <li>Standard Development</li> <li>Standards Launch</li> </ul>	<ul style="list-style-type: none"> <li>Emails</li> <li>conference-calls</li> <li>webinars</li> <li>in-person meetings</li> </ul>
Other Groups <ul style="list-style-type: none"> <li>- Architects</li> <li>- Foundations</li> <li>- Media</li> <li>- Academics</li> </ul>	<ul style="list-style-type: none"> <li>Other</li> <li>Forest Science</li> </ul>	<ul style="list-style-type: none"> <li>Forest conversion</li> <li>Chemical usage</li> <li>Water quality</li> <li>Biodiversity</li> <li>Indigenous Peoples</li> </ul>	<ul style="list-style-type: none"> <li>Emails</li> <li>conference-calls</li> <li>webinars</li> <li>in-person meetings</li> </ul>

Stakeholder Group	Interest Sector <sup>1</sup>	Key Issues	Means of communication <sup>2</sup>
- Other		<ul style="list-style-type: none"> <li>• Logger Training</li> <li>• Fiber Sourcing and Biodiversity</li> <li>• SFI CoC Labels</li> <li>• SFI Fiber Sourcing Label</li> <li>• Standard Development</li> <li>• Standards Launch</li> </ul>	

#### Alternate communications

Stakeholder Group	Interest Sector	Key Issues	Means of communication
Registered foresters	<ul style="list-style-type: none"> <li>• Forest User</li> </ul>	<ul style="list-style-type: none"> <li>• Forest conversion</li> <li>• Chemical usage</li> <li>• Water quality</li> <li>• Biodiversity</li> <li>• Indigenous Peoples</li> <li>• Logger Training</li> <li>• Fiber Sourcing and Biodiversity</li> <li>• SFI CoC Labels</li> <li>• SFI Fiber Sourcing Label</li> <li>• Standard Development</li> <li>• Standards Launch</li> </ul>	<ul style="list-style-type: none"> <li>• Society of American Foresters publications</li> <li>• Canadian Institute of Forestry publications</li> <li>• Emails</li> <li>• conference-calls</li> <li>• in-person meetings</li> </ul>
State and Provincial associations	n/a	<ul style="list-style-type: none"> <li>• Forest conversion</li> <li>• Chemical usage</li> <li>• Water quality</li> <li>• Biodiversity</li> <li>• Indigenous Peoples</li> <li>• Logger Training</li> <li>• Fiber Sourcing and Biodiversity</li> <li>• SFI CoC Labels</li> <li>• SFI Fiber Sourcing Label</li> </ul>	<p>Announcements via:</p> <ul style="list-style-type: none"> <li>• SFI Implementation Committees</li> <li>• State and Provincial Forestry Association networks</li> <li>• Emails</li> <li>• conference-calls</li> <li>• in-person meetings</li> </ul>

			<ul style="list-style-type: none"><li>• Standard Development</li><li>• Standards Launch</li><li>• Standards Transition</li></ul>	

**From:** gregor.macintosh@sfiprogram.org  
**Sent:** June-11-13 1:36 PM  
**To:** Dierolf, Rachel  
**Subject:** Call Volunteers: SFI 2015-2019 Standards Revision - SFI Forest Management, Fiber Sourcing and COC

Hello All,

As we kick off the revision process for the SFI 2015-2019 Standard we are putting out a call for volunteers to sit on the **SFI Forest Management Task Group** (SFI Section 2: Objectives 1-7 and 14-20), the **SFI Fiber Sourcing Task Group** (SFI Section 2: Objectives 8-13) and the **SFI Chain of Custody (CoC) and SFI Certified Sourcing Task Group** (SFI Sections 3 and 4).

As certified SFI program participants you are best positioned to know what is currently working well and what may need revision. Your work will contribute to the new SFI forest management, SFI fiber sourcing and SFI CoC and SFI certified sourcing program requirements due to be launched January 1, 2015.

Please note that when determining the final list of members for these task groups we will be looking for experience working with the SFI program requirements, balancing larger and smaller program participants across the different sectors. These three task groups will be chaired by individuals with prior experience with the SFI Standards revision process and will be supported by SFI staff.

We do not anticipate a need for face-to-face meetings but should this be required travel costs would be the responsibility of the task group member.

Using the SFI 2010-2014 standard revision process as a benchmark we estimate that the following levels of effort will be required of the respective task groups to produce the first working draft of the new SFI 2015-2019 program requirements:

- SFI Forest Management Task Group - approximately 6-8 conference calls in the September - November 2013 time-frame
- SFI Fiber Sourcing Task Group – approximately 5-7 conference calls in the September – November 2013 time-frame
- SFI CoC and Certified Sourcing - approximately 5-7 conference calls in the September – November 2013 time-frame

Each task group will work with the comments submitted during the first public comment period as the starting point for its work.

The second public comment period concludes in early March 2014 with the next round of Task Group conference calls taking place from late March into early May. These conference calls will be used to develop the second draft of the SFI 2015 – 2019 SFI program requirements which will be readied for review by the SFI Inc. Board of Directors.

If you wish to be considered for any of these task groups please contact me directly. We hope to finalize the task group memberships by the end of June.

Please do not hesitate to contact me if you would like any additional information.

Regards,

Gregor Macintosh, RPF, CF  
Senior Director, Standards  
email: [gregor.macintosh@sfiprogram.org](mailto:gregor.macintosh@sfiprogram.org)  
Sustainable Forestry Initiative Inc.  
Tel: 778-351-3358

web: [www.sfiprogram.org](http://www.sfiprogram.org)



## **SFI 2015-2019 Standards Revision Process - Task Group Expectations**

### **Goal:**

Under the leadership of the SFI 2015-2019 Standards Revision Steering Committee prepare the first and subsequent drafts of the SFI 2015-2019 Program Requirements for review by the SFI Resources Committee and for the ultimate approval of the SFI Inc. Board of Directors.

### **Tasks:**

Under the direction of the respective Task Group Chairs:

- Review submitted comments from public comment periods and Standard Revision Workshops that correspond to each task group's focus area.
- Prepare revised Standards text (first and subsequent drafts) for review by the Steering Committee and SFI Resources Committee incorporating their feed-back as required.

### **Process:**

- Task Group conference calls and any face-to-face meetings will be scheduled well in advance to allow members to plan accordingly. It is important that you try to make all the calls, if you cannot participate please inform your Chair and Gregor Macintosh, Senior Director Standards. Task Group members who cannot participate on a call can nominate another person to represent them, however, you are requested to inform your Chair in advance of the call of this change. Your stand-in will be expected to be as conversant as possible with task group discussion to date. It is hoped that the use of alternates will be on an exception basis given the potential impact on task group work-product.
- As much work as possible will be done by e-mail and conference call. The Task Group Chairs may schedule face-to-face meetings as required. In the event that this should be required every effort should be made to attend a scheduled face-to-face meeting.
- The Standards Revision process is intended to be collaborative. While consensus on proposed Standards revisions is desirable there may be issues for which consensus cannot be achieved. In these scenarios the Task Group may forward multiple recommended options to the Steering Committee who will review and prepare for the Resources Committee's review. Task Group Chairs are expected to be fair to all viewpoints; however, they are charged with moving the process forward in a timely manner.
- Comments received during public comment periods and workshops will be reviewed according to each Task Group focus area.
- Task Group Chairs can assign specific tasks and or form sub-groups to focus on specific themes.
- The primary purpose of Task Group calls is to discuss work assignments completed since the time of previous Task Group call. Members of Task Group may need to conduct separate calls in preparation for the next Task Group call.
- Feedback received from the Resources Committee and the SFI Board will be incorporated into the revision process by the Steering Committee.



## **Work Schedule:**

### **2013**

- August 26<sup>th</sup> week: initial “kick-off” conference calls for each Task Group
- September – October: review comments and prepare rough working draft of Sections 2, 3 and 4 of SFI 2015-2019 Program Requirements
- October 23: SFI Resources Committee reviews rough draft and provides feedback to Steering Committee – draft revised as necessary.
- November 18<sup>th</sup>: Working draft goes to SFI Board for review and comment.
- December: Resources Committee, Steering Committee and SFI staff receive feedback from SFI Board. First draft of SFI 2015-2019 Program Requirements (Sections 2, 3, and 4) prepared for posting to the SFI web-site.

### **2014**

- January 6<sup>th</sup>: First draft SFI 2015-2019 Program Requirements (Sections 2, 3, and 4) posted to the SFI website. Second public 60 day comment period opens.
- January – March: Conduct regional SFI Standards Revision Workshops and webinar. Participants provide comments on first draft of SFI 2015-2019 Program Requirements.
- March 17 – April 30: Task Forces conference calls resume – refinement of SFI 2015-2019 requirements.
- May 14: Working draft of SFI 2015-2019 draft sent to Resources Committee for review and comment.
- June 3: Resources Committee reviews 2nd draft of SFI 2015-2019 Program Requirements and provides feedback to Steering Committee.
- June – July: Refinement of SFI 2015-2019 Program Requirements
- September 16<sup>th</sup>: SFI Board receives final draft of SFI 2015-2019 Program Requirements at Annual Conference.
- November 5: SFI Board 45 day final review period concludes. Any final revisions to the SFI 2015-2019 Program Requirements are communicated to the Resources Committee and the Steering Committee.

### **2015**

- January 1: SFI 2015-2019 Program Requirements launched.

### **2016**

- January 1: All SFI program participants required to be in conformance with the SFI 2015-2019 Program Requirements

*Prepared by: Gregor Macintosh, Senior Director - Standards*

FOR IMMEDIATE RELEASE

June 5, 2013

Contact: Monique Hanis  
VP of Marketing and Communications & COO  
202-596-3457

### **SFI® Reaches out to 10,000 Stakeholders to Revise its Forestry Standard**

“WASHINGTON, D.C. and OTTAWA, ON – Today, the Sustainable Forestry Initiative Inc.® (SFI®) launched the process of revising its current standard to [develop the SFI 2015-2019 Standard](#), reaching out to more than 10,000 stakeholders for input. Currently 240 million acres (97 million hectares) are third-party certified to the SFI 2010-2014 Standard on public and private lands.

“The SFI Standard is developed through an open and inclusive process involving the many different people who know and care about our forests including public and private landowners, forest sector representatives, indigenous communities, conservation groups, industry, academia and government officials,” said Kathy Abusow, SFI President & CEO. “This same diverse group of stakeholders represents the users of the SFI Standard who have achieved third-party certification to the SFI Standard on 240 million acres of forestland.”

The transparent process of revising the SFI Program is overseen by the [SFI Board of Directors](#) and the SFI Resources Committee. Both the board and the Resources Committee have 18-members with equal representation from the environmental, social and economic sectors. Representatives include leaders of environmental, conservation, professional and academic groups, independent professional loggers, family forest owners, public officials, community and indigenous groups, and the forest products industry.

[SFI’s External Review Panel](#), an independent panel drawn from academia, state and federal agencies and conservation organizations ensures the development and revision of the SFI Standard embodies an open, fair and inclusive process that addresses all comments submitted. All comments and how they are addressed are publicly posted on the SFI website throughout the standard revision process.

The standard development process includes two 60-day public comment periods with the first beginning today and running from June 5 through August 6, 2013. During this period, respondents suggest improvements to the current 2010-2014 SFI Standard program requirements. The second public comment period begins in January 2014 to solicit comments on a working draft of proposed SFI 2015-2019 program requirements.

The process includes 10 public Standards Development workshops across the U.S. and Canada and a facilitated webinar workshop to accommodate those stakeholders that cannot make any of the regional workshops.

Every five years, SFI Inc. completes a review of its program requirements and supporting documents consistent with international protocols for forest certification. SFI requirements for forest management, fiber sourcing, chain-of-custody and certified sourcing all require independent third-party audits by

accredited certification bodies. This marks the fourth public review of the SFI forest management certification standard.

Independent third-party audits are the cornerstone of certification to the SFI Standard. SFI Inc. does not certify organizations as conforming to these standards – that is done by independently accredited certification bodies. All certification bodies are accredited by ANSI-ASQ National Accreditation Board (ANAB), Standards Council of Canada (SCC) and/or the American National Standards Institute (ANSI).

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### **About Sustainable Forestry Initiative**

SFI Inc. is an independent, nonprofit 501(c) 3 organization that is solely responsible for maintaining, overseeing and improving the internationally recognized Sustainable Forestry Initiative® (SFI®) program. Across Canada and the United States, 240 million acres (nearly 100 million hectares) are certified to the SFI forest management standard. In addition, the SFI program's unique fiber sourcing requirements promote responsible forest management on all suppliers' lands. SFI chain-of-custody (COC) certification tracks the percentage of fiber from certified forests, certified sourcing and post-consumer recycled content. SFI on-product labels identify both certified sourcing and COC claims to help consumers make responsible purchasing decisions. SFI Inc. is governed by a three-chamber board of directors representing environmental, social and economic sectors equally. Learn more at [SFI's website \(http://www.sfiprogram.org/\)](http://www.sfiprogram.org/) and [SFI 2015-2019 Standard Development Process](#).

FOR IMMEDIATE RELEASE

January 7, 2014

## Sustainable Forestry Initiative® (SFI®) Reaches Out to Thousands to Improve Forestry Standard

**WASHINGTON, D.C. and OTTAWA, ON** – In one of the most expansive and inclusive processes to seek input from a resource sector, the Sustainable Forestry Initiative® (SFI®) has invited nearly 10,000 stakeholders to submit comments on the draft SFI 2015-2019 Standard in its second 60-day public comment period. This open and public comment period runs from January 6 – March 6, 2014 and provides a transparent opportunity for anybody interested in the future of our forests to provide comment. **The draft SFI 2015-2019 Standard includes new performance measures to conserve biodiversity in fiber sourcing; limit conversion of one forest type to another; and expand the definition of “controversial sources,” which are not allowed in SFI-labeled products.**

“The SFI Standard revision process is conducted in cooperation with a broad range of stakeholders who care about the future of our forests, including public and private landowners, forest sector representatives, indigenous communities, conservation groups, industry, academia and government officials,” said Kathy Abusow, SFI President & CEO. “We look forward to hearing from the people and organizations who count on the SFI Standard as a proof point for responsible forestry in communities across North America. While we have reached out to 10,000 organizations and individuals at this time, anybody that is interested in providing comment is welcome to do so.”

Under the direction of the SFI Resources Committee and utilizing comments from the first public comment period which ran from June 5-August 6, 2013, the SFI 2015-2019 Standard Revision Task Groups developed this working draft. Interested individuals and organizations can submit comments online for this working draft of the SFI 2015-2019 standard and participate in person at one of the nine public [Standards Review workshops](#) across the U.S. and Canada. A facilitated webinar workshop is also offered to accommodate those unable to attend a regional workshop.

As a proof point for responsible forestry and future forests, the transparent process of revising the SFI Program is overseen by the [SFI Board of Directors](#) and the SFI Resources Committee, both with equal representation from the environmental, social and economic sectors. A final draft of the SFI 2015-2019 Standard will be presented to the SFI Board of Directors for their approval in the fall of 2014, and will come into effect January 1, 2015.

[SFI's External Review Panel](#), an independent panel drawn from academia, state and federal agencies and conservation organizations, ensures the revision of the SFI Standard embodies an open, fair and inclusive process that addresses all comments submitted. All comments and how they are addressed will be posted on the SFI website.

To view a summary of the major enhancements and the draft sections to the Draft SFI 2015-2019 Requirements; find information on the workshops that anybody can participate in; and to submit comments on the Draft SFI 2015-2019 Standard, go to <http://www.sfiprogram.org/comment-on-standard/>.



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### **Media Contact:**

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FOR IMMEDIATE RELEASE  
January 6, 2014

### World's Largest Single Forest Certification Standard d

**WASHINGTON, D.C. and OTTAWA, ON** - Today the Sustainable Forestry Initiative® (SFI®) invited nearly 10,000 stakeholders to submit comments for the proposed SFI 2015-2019 Standard in its second 60-day public comment period. This working draft is the result of input from comments submitted during the first 60-day public comment period which ran from June 5 – August 6, 2013. **The draft new Standard includes new performance measures to conserve biodiversity in fiber sourcing; limit conversion of one forest type to another; bolster awareness and respect for Indigenous Peoples rights; and expand the definition of “controversial sources,” which are not allowed in SFI-labeled products.**

“We develop the SFI Standard in cooperation with the broad range of stakeholders who care about the future of our forests, including public and private landowners, forest sector representatives, indigenous communities, conservation groups, industry, academia and government officials,” said Kathy Abusow, SFI President & CEO. “We look forward to hearing from the people and organizations who count on the SFI Standard to demonstrate responsible forestry in communities across North America.”

Under the direction of the SFI Resources Committee and utilizing comments from the first public comment period, the SFI 2015-2019 Standard Revision Task Groups developed this working draft. Stakeholders can submit comments online for this working draft of the SFI 2015-2019 standard and participate in person at one of the nine public [Standards Review workshops](#) across the U.S. and Canada. A facilitated webinar workshop is also offered to accommodate those stakeholders that cannot attend a regional workshop.

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Today, the Sustainable Forestry Initiative Inc.® (SFI®), the world's single largest forest certification standard, opens its second public comment period with invitations to nearly 10,000 stakeholders to submit comments on the working draft of the SFI 2015-2019 Program Requirements. This working draft is the result of input from stakeholders' comments on the current SFI 2010-2014 Program Requirements submitted during the first 60 day public comment period which ran from June 5 – August 6, 2013.

Go to the [SFI Standard Review Survey](#) page to submit your comments. On the SFI Standard Review Survey page you will find the link to the KeySurvey tool which is used to submit your comments on the draft SFI 2015-2019 Program Requirements. Draft versions of SFI 2015-2019 Sections 2, 3, 4, 6, 7 and 13 are available on this page along with the remaining sections of the SFI Program Requirements. A Summary of Significant Changes outlining the improvements in the draft SFI 2015-2019 Program Requirements is available on this page. Finally, SFI will post the Responses to Comments Submitted during the First Comment Period when they become available.

SFI Inc. will publicize the results of the standard development process after each comment period on the [SFI Website](#). The SFI Resource Committee is required to consider all feedback from the public comment periods and ten regional Standards Development workshops. All comments and how they are addressed are publicly posted on the SFI web-site throughout the standard revision process.

The process also includes 9 public Standards Review workshops across the U.S. and Canada and a facilitated workshop via webinar to accommodate those stakeholders that cannot make any of the regional workshops. Visit the SFI website for more details and dates on the [Standard Review Workshops](#).

The final draft of the SFI 2015-2019 Program Requirements will be reviewed and approved by the SFI Inc. Board of Directors with a launch date of January 1, 2015. SFI-certified companies will have up to one year after a new standard is approved to implement all the new requirements and must demonstrate conformance to the new requirements at their next surveillance audit following the implementation period.

This complete review of SFI's program requirements and supporting documents every five years is consistent with international protocols for forest certification standard revision cycles. The open and inclusive public process incorporates the latest scientific information, responds to emerging issues and ensures continuous improvement of SFI program requirements. This marks the fourth public review of the SFI forest management certification standard.

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The final draft of the SFI 2015-2019 Program Requirements will be reviewed and approved by the SFI Inc. Board of Directors with a launch date of January 1, 2015. SFI-certified companies will have up to one year after a new standard is approved to implement all the new requirements and must demonstrate conformance to the new requirements at their next surveillance audit following the implementation period.

This complete review of SFI's program requirements and supporting documents every five years is consistent with international protocols for forest certification standard revision cycles. The open and inclusive public process incorporates the latest scientific information, responds to emerging issues and ensures continuous improvement of SFI program requirements. This marks the fourth public review of the SFI forest management certification standard.

For more information on the SFI standard development process, please visit the [SFI Website](#).

## Dierolf, Rachel

---

**From:** standard.development@sfiprogram.org  
**Sent:** January-06-14 5:32 PM  
**To:** Dierolf, Rachel  
**Subject:** SFI Opens Second Comment Period on Proposed 2015-2019 Requirements

**Subject:** SFI Opens Second Comment Period on Proposed 2015-2019 Requirements  
**From:** Gregor Macintosh, SFI Senior Director Standards  
**Date:** January 6, 2014

**This is your invitation to comment on the public review of the SFI 2015-2019 requirements by clicking the following link:** <http://www.keysurvey.com/f/572785/77958a2fcf2daf55/>. This is the second 60 day public comment period and will end March 6, 2014 at midnight PDT. Please note the identity of individuals or organizations submitting comments will be kept confidential.

As part of this second comment period, the Sustainable Forestry Initiative® (SFI®) invited nearly 10,000 stakeholders to submit comments for the proposed SFI 2015-2019 Standard. This working draft is the result of input from comments submitted during the first 60-day public comment period which ran from June 5 – August 6, 2013. The draft new Standard includes new performance measures to conserve biodiversity in fiber sourcing; limit conversion of one forest type to another; bolster awareness and respect for Indigenous Peoples rights; and expand the definition of “controversial sources,” which are not allowed in SFI-labeled products.

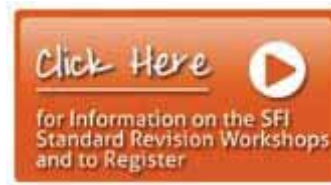
Under the direction of the SFI Resources Committee and utilizing comments from the first public comment period, the SFI 2015-2019 Standard Revision Task Groups developed this working draft. Stakeholders can submit comments online for this working draft of the SFI 2015-2019 standard and participate in person at one of the nine public Standards Review workshops across the U.S. and Canada. A facilitated webinar workshop is also offered to accommodate those stakeholders that cannot attend a regional workshop.

As a proof point for responsible forestry and future forests, the transparent process of revising the SFI Program is overseen by the SFI Board of Directors and the SFI Resources Committee, both with equal representation from the environmental, social and economic sectors. A final draft of the SFI 2015-2019 Standard will be presented to the SFI Board of Directors for their approval in the fall of 2014, and will come into effect January 1, 2015.

SFI's External Review Panel, an independent panel drawn from academia, state and federal agencies and conservation organizations, ensures the revision of the SFI Standard embodies an open, fair and inclusive process that addresses all comments submitted. All comments and how they are addressed will be posted on the SFI website.

To view a summary of the major enhancements and the draft sections to the Draft SFI 2015-2019 Requirements; find information on the public workshops and to submit comments on the Draft SFI 2015-2019 Standard, go to <http://www.sfiprogram.org/comment-on-standard/>.

For more information on the SFI standard development process, please visit the [SFI Website](#).



Sincerely,

Gregor Macintosh

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# SUSTAINABLE FORESTRY INITIATIVE

*Good for you. Good for our forests.®*

SFI-00001

Sustainable Forestry Initiative Inc.  
Forest Management  
Standard Revision Task Group Face to Face Meeting  
Washington, D.C.

**Wednesday, April 2, 2014**

8:00 a.m. to 4:30 p.m. (Eastern)

**Thursday, April 3, 2014**

8:00 a.m. to 2:00 p.m. (Eastern)

## ACCESS (Dial-In) NUMBERS:

Call-in toll-free number (US/Canada): 866-740-1260

Call-in toll number (US/Canada): 303-248-0285

Attendee access code: 3513358#

Wednesday, April 2 <sup>nd</sup> – Day 1		
8:00 p.m. – 4:30 p.m.	Agenda	Comment Document page no.
8:00 – 8:30 a.m.	Breakfast - SFI Boardroom	
8:30 - 8:35 a.m.	<b>I. Welcome, Introductions, Antitrust Reminder</b> (Jimmy Bullock - Chair)	verbal
8:35 - 8:40 a.m.	<b>II. Standards Revision Process Update</b> (Gregor Macintosh)	verbal
8:40 - 8:50 a.m.	<b>III. PEFC Extraordinary Assessment Update</b> (Jason Metnick)	
8:50 – 10:40	<b>IV. Conversion (Objective 1)</b> <ul style="list-style-type: none"> <li>Performance Measure (PM) 1.2 (Conversion of one forest type to another) <ul style="list-style-type: none"> <li>i. Discussion of comments regarding further clarity on requirements in PM 1.2. – what is / is not allowed.</li> <li>ii. Discussion of a revised definition of “forest type”. This includes how to address different seral stages and ages classes.</li> <li>iii. Discussion of allowance for research trials (e.g. climate change adaption).</li> <li>iv. Comments regarding “rare species” and “ecologically significant species” and recognition of G3 species.</li> <li>v. Comments regarding scale of conversion: what is meant by “limited”?</li> <li>vi. Comments opposing an economic rationale for conversion of forest type.</li> <li>vii. Comments wanting the removal of Indicators 1.2.3 and 1.2.4.</li> </ul> </li> <li>PM 1.3 (Conversion to non-forest use) <ul style="list-style-type: none"> <li>i. Comments requesting a <i>de minimis</i> amount for conversion related to beneficial uses (recreation facilities, etc.).</li> </ul> </li> </ul>	<p>p. 23</p> <p>p. 36</p>

	<ul style="list-style-type: none"> <li>ii. Comments regarding the need for a threshold amount for conversion (% cap).</li> <li>iii. Comments regarding a scenario where land is to be converted but time line for sale/conversion is not confirmed (e.g. future conversion for mineral rights). Comments that draft language is rear-ward looking. <i>(Interpretation No. 12, Pt. 2 January 2013 SFI Interpretations)</i></li> <li>iv. Conversion of forest land back to original ecological state (e.g. grass lands) – how to address.</li> <li>v. Comments wanting removal of PM 1.3.</li> </ul>	
10:40 – 11:00	Break	
11:00 – 12:00	<p><b>V. Indigenous Peoples (Objective 8)</b></p> <ul style="list-style-type: none"> <li>• Several comments requesting that requirements of Objective 8 be applicable only for those Tribes/First Nations that are federally recognized.</li> <li>• Discussion of comments regarding PM 8.2</li> <li>• Discussion of comments regarding PM 8.3 <ul style="list-style-type: none"> <li>i. Several comments as to how this PM would be audited in the absence of any “shall” language. Want clarity.</li> </ul> </li> </ul>	p. 92
12:00 – 12:30	Lunch – SFI Boardroom	
12:30 – 1:45	<p><b>VI. Forest Productivity (Objective 2)</b></p> <ul style="list-style-type: none"> <li>• Reforestation (PM 2.1) <ul style="list-style-type: none"> <li>i. Revert to using “planted/planting” in lieu of “artificial reforestation”</li> <li>ii. Indicator 2.1.1 and 2.1.2 – are there redundancies/overlap?</li> <li>iii. Indicator. 2.1.2 – do we still need a 5 year time-frame for reforestation?</li> <li>iv. Indicator. 2.1.4 - plantings of exotics “minimizes” risk to native species instead of draft language to “avoid” risk.</li> <li>v. Indicator. Is 2.1.6 still required with new PM 1.2?</li> </ul> </li> <li>• Chemical Use (PM 2.2) <ul style="list-style-type: none"> <li>i. Additional guidance on the “exception” process for WHO 1A and 1B chemicals. <ul style="list-style-type: none"> <li>1. Comments suggestion involvement of SICs in this process.</li> </ul> </li> <li>ii. Need to insert Indicator regarding recognition of the Stockholm Convention chemicals.</li> <li>iii. Additional language may be needed to address PEFC Extraordinary Assessment. Specific to “other highly toxic chemicals” and “<i>such as chlorinated hydrocarbons whose derivatives remain biologically active and accumulate in the food chain beyond their intended use</i>”.</li> </ul> </li> <li>• Soil Productivity (PM 2.3) <ul style="list-style-type: none"> <li>i. Comments regarding combining Indicator 2.3.1 and 2.3.2.</li> <li>ii. Comments regarding overlap between Indicator 2.3.7 and Indicator 3.2.1.</li> </ul> </li> <li>• Planting Stock (PM 2.5) <ul style="list-style-type: none"> <li>i. Discussion on replacing “sound scientific methods” with “best scientific methods”.</li> </ul> </li> </ul>	<p>p. 42</p> <p>p. 47</p> <p>p. 52</p> <p>p. 54</p>



1:45 – 2:30	<b>VII. Water Quality (Objective 3)</b> <ul style="list-style-type: none"> <li>• Discussion on moving Indicator 3.1.3 to PM 3.2?</li> <li>• Discussion on PM 3.2 – replace “other applicable factors” with “federal law”?</li> <li>• Discussion on the need for a definition of a <i>forested wetland</i>?</li> </ul>	p.56
2:30 – 2:45	Break	
2:45 – 3:15	<b>VIII. Illegal Logging (Objective 15)</b> <ul style="list-style-type: none"> <li>• Review of PM 15.1 language from Fiber Sourcing Face to Face meeting March 27- 28</li> </ul>	p.105
3:15 – 4:00	<b>IX. Logger Training and Continuing Education</b> <ul style="list-style-type: none"> <li>• Review of PM 17.1 and PM 17.2 language from Fiber Sourcing Face to Face meeting <ul style="list-style-type: none"> <li>i. Discussion on Qualified Logging Professional definition</li> </ul> </li> </ul>	p. 113
4:00 – 4:30	<b>X. Discussion on separating out Fiber Sourcing Requirements in a separate Standard</b> <ul style="list-style-type: none"> <li>• Review of Fiber Sourcing Discussion Paper</li> </ul>	Fiber Sourcing Discussion Paper
4:30 p.m.	<i>Adjourn for the day</i>	
6:00 – 8:00 p.m.	<i>Task Group Dinner – SFI Inc. to host</i> Vidalia, Wine Room, 1990 M St NW, Washington, DC	

Thursday, April 3 <sup>rd</sup> – Day 2		
8:00 p.m. – 2:00 p.m.	Agenda	Page
8:00 – 8:30	Breakfast - SFI Boardroom	
8:30 - 10:30	<p><b>XI. Conversion of Biodiversity (Objective 4)</b></p> <ul style="list-style-type: none"> <li>• PM 4.1               <ol style="list-style-type: none"> <li>i. Indicator 4.1.1: revise Indicator to add "... consistent with management objectives"?</li> <li>ii. Indicator 4.1.2: revise indicator to read down woody "material".</li> <li>iii. Indicator 4.1.3: several comments regarding expectations for this indicator                   <ol style="list-style-type: none"> <li>1. Definition of spatial and temporal assessment.</li> <li>2. Discussion of restricting assessments to the ownership level and leave landscape level assessments to government.</li> <li>3. Comments proposing revision to draft language to add: <i>"Retain or restore all of the naturally occurring forest cover types, and ages classes within those forest cover types at the individual ownership level."</i></li> </ol> </li> <li>iv. Indicator 4.1.4 several comments requesting clarification for this indicator wanting removal of Indigenous in the indicator - moving it back to Indicator 18.1.4 (two indicators very similar).</li> <li>v. Indicator 4.1.7 revised language proposed: <i>"Certified Program Participants take into account the role of natural disturbances in relation to biological diversity when developing forest management plans. Opening size, harvest layout, and structural retention are designed in proportions and configurations that are consistent with the characteristic natural disturbance regime in each community type."</i></li> </ol> </li> <li>• PM 4.2               <ol style="list-style-type: none"> <li>i. Expand definition of Forest with Exceptional Conservation Value to include G3 species?                   <ol style="list-style-type: none"> <li>1. Add new indicator with following language: <i>"Program to address habitat of significant species of concern that could be impacted by Certified Program Participant's management activities"</i>. Could be a workaround adopting formal G3 language.</li> <li>ii. Indicator 4.2.2: comments proposing revision to read: <i>"Certified Program Participants must identify and conserve any old-growth forests on their ownerships."</i> <b>Note: would rely on the use of SFI definition of "conservation" which allows management.</b></li> </ol> </li> </ol> </li> <li>• PM 4.3               <ol style="list-style-type: none"> <li>i. Indicator 4.3.1 – discussion to remove "expert advice"</li> </ol> </li> </ul>	<p>p.66</p> <p>p. 67</p> <p>p. 68</p> <p>p. 69</p> <p>p. 72</p> <p>p. 73</p> <p>i□</p> <p>p. 77</p>
10:30 – 10:50	Break	
10:50 – 11:30	<p><b>XII. SFI Public Audit Summary and Annual Audit (Objectives 19 &amp; 20)</b></p> <ul style="list-style-type: none"> <li>• Do requirements for the SFI Public Report need to be enhanced?</li> <li>• Do we need to have a requirement for an annual audit explicit in the standard?</li> </ul>	<p>pp. 124 &amp; 126</p>

11:30 – 12:00	<b>XIII. Harvest Unit Size, Green Up and Visual Quality (Objective 5)</b> <ul style="list-style-type: none"> <li>• Comments proposing that PM 5.2 indicator be incorporated into PM 5.1 and PM 5.2 removed.</li> <li>• Comments wanting PM 5.3 removed.</li> </ul>	p. 82
12:00 - 12:30	Lunch – SFI Boardroom	
12:30 p.m. – 1:00	<b>XIV. Landowner Outreach (Objective 18)</b> <ul style="list-style-type: none"> <li>• Comments seeking to have landowner outreach Indicators moved back into Fiber Sourcing objectives.</li> <li>• Review of language from the Fiber Sourcing Face to Face Meeting March 27- 28.</li> <li>•</li> </ul>	p. 119
1:00- 1:30	<b>XV. Miscellaneous</b> <ul style="list-style-type: none"> <li>• Can we merge the requirement of Objective 6 (Special Sites) with those of Objective 4 (Conservation of Biological Diversity) so that the number of Objectives in Section 2 remains at 20 Objectives?</li> </ul>	
1:30 – 2:00	<b>XVI.</b> Next steps	
2:00 p.m.	<b><i>Adjourn Meeting</i></b>	

### **Antitrust Statement for SFI Inc. Committee Meetings**

The SFI Board of Directors includes representatives of companies that compete with each other, and SFI Program Participants compete with other SFI Program Participants. SFI Inc.'s actions can affect that competition. Therefore, the antitrust laws apply to SFI Inc.'s decisions and actions. It is SFI Inc.'s policy to comply fully with the antitrust laws.

SFI acts through its Board of Directors. All proposed actions of the Board of Directors are reviewed by antitrust counsel before the Board acts. SFI Inc.'s Committees support the Board by gathering information and making policy recommendations to the Board. Committee recommendations will be reviewed by antitrust counsel before they are submitted to the Board.

The agenda for today's Committee meeting and the materials that have been circulated are approved by antitrust counsel and are appropriate information to discuss and review during today's meeting. Antitrust risks can arise when the Committee's discussions depart from the agenda. Antitrust risks can be minimized by sticking to the agenda.

SFI Inc. meetings and associated social events should not be occasions for discussion of business issues unrelated to SFI Inc. Confidential and proprietary business information should not be discussed at SFI Inc. meetings. This means there should be no discussion of, or exchange of confidential information about:

- Individual company prices, price changes, discounts, allowances, credit terms, etc.;
- Individual company data on costs, production, capacity, inventories, sales, etc.;
- Industry pricing policies, price levels, or price changes;
- Changes in industry production, demand, capacity or inventories;
- Company bids on contracts for particular products, or company procedures for responding to bid invitations; or
- Any other competitively sensitive information.

If you believe the discussion during the meeting has crossed the line into prohibited territory, your responsibility is to bring this to the attention of the chair. SFI staff will be present throughout the meeting. Please do not hesitate to raise such questions.

**FOREST MANAGEMENT TASK GROUP:  
OBJECTIVES 1-7 & 14-20**

vii.

**Jimmy Bullock (Chair)**

*Sr. Vice President, Forest Sustainability - Resources Management Service*

Geography: U.S. South

**Fred Cubbage**

*Co-Director, Southern Forest Resource Assessment Consortium, Department of Forestry and Environmental Resources - North Carolina State University*

Geography: U.S. South

**Rebecca Barnard**

*Forest Certification Coordinator - Wild Turkey Federation*

Geography: US

**John Hagan (SFI Board Member)**

*President - Manomet Center for Conservation Sciences*

Geography: U.S. Northeast

**Chris Smith**

*Forest Industry and Government Relations, Western Boreal Program - Ducks Unlimited (Canada)*

Geography: Western Canada

**Todd Gartner**

*Senior Associate, Conservation Incentives and Markets*

**- World Resources Institute**

Geography: U.S.

**Scott Vance**

*Asst. VP of Conservation Programs - National Wild Turkey Federation*

Geography: U.S.

**Lennard Joe**

*General Manager - Stuwix Resources*

Geography: British Columbia

**Ryan Spencer**

*Forester - Yakama Nation - Yakama Nation*

Geography: Washington

**Kit Hart**

*Manager Environmental Affairs - Plum Creek Timber Company, Inc.*

Geography: U.S.



**Donna Kopecky**

*District Biologist - Louisiana-Pacific Canada Ltd.*

Geography: Manitoba, Ontario

**Dennis Lozinsky**

*WCSIC Coordinator - Western Canada SIC*

Geography: British Columbia, Alberta

**Bob Emory**

*Southern Timberlands Environmental Affairs Manager*

**Weyerhaeuser NR Company**

Geography: Canada and U.S.

**Kip Nichols**

*Vice President - Seven Islands Land Company*

Geography: Maine

-----  
**SFI Staff Support:**

**Gregor Macintosh**

*Senior Director, Standards*

**Andrew de Vries**

*VP, Conservation, Indigenous and Government Relations*

**Paul Trianosky**

*Senior Director, Conservation Programs*

SFI Forest Management Task Group  
Final Comment Period Comments

Draft SFI 2015-2019 Standard  
(January 6, 2014 version)

Working Document

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*March 26, 2014*

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**Section 2 . SFI ~~2010-2014~~2015-2019 Standard**  
**January 6, 2014**

January 6, 2014

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## ***Sustainable Forestry Initiative® ~~2010-2014~~ 2015-2019 Standard***

### **Principles of Sustainable Forestry [Normative]**

1. *Sustainable Forestry*
2. *Forest Productivity and Health*
3. *Protection of Water Resources*
4. *Protection of Biological Diversity*
5. *Aesthetics and Recreation*
6. *Protection of Special Sites*
7. *Responsible Fiber Sourcing Practices in North America*
8. *Avoidance of Controversial Sources including Illegal Logging in Offshore Fiber Sourcing*
9. *Legal Compliance*
10. *Research*
11. *Training and Education*
12. *Public Involvement*
13. *Transparency*
14. *Continual Improvement*

### **Objectives of Sustainable Forestry [Normative]**

#### **Summary**

#### **Forest Land Management Objectives**

- Objective 1 – *Forest Management Planning*
- Objective 2 – *Forest Productivity*
- Objective 3 – *Protection and Maintenance of Water Resources*
- Objective 4 – *Conservation of Biological Diversity including Forests with Exceptional Conservation Value*
- Objective 5 – *Management of Visual Quality and Recreational Benefits*
- Objective 6 – *Protection of Special Sites*
- Objective 7 – *Efficient Use of Forest Resources*
- Objective 8 - Recognize and Respect Indigenous Peoples' Rights

#### **Fiber Sourcing Objectives**

- Objective 9 – Biodiversity in Fiber Sourcing
- Objective ~~10~~8 – Adherence to Best Management Practices ~~Landowner Outreach~~
- Objective ~~11~~9 – *Use of Qualified Resource and Qualified Logging Professionals*
- Objective ~~12~~10 – Promote Conservation of Biological Diversity, Biodiversity Hotspots and High-Biodiversity Wilderness Areas ~~Adherence to Best Management Practices~~
- Objective ~~13~~11 – ~~Promote Conservation of Biological Diversity, Biodiversity Hotspots and High-Biodiversity Wilderness Areas~~ Avoidance of Controversial Sources including Illegal Logging

January 6, 2014

Objective ~~14~~<sup>2</sup> – Avoidance of Controversial Sources including Fiber Sourcing from Areas without Effective Social Laws ~~Illegal Logging~~

~~Objective 13 – Avoidance of Controversial Sources including Fiber Sourced From Areas Without Effective Social Laws~~ Legal and Regulatory Compliance

### Forest Land Management and Fiber Sourcing Objectives

Objective 15 – Legal and Regulatory Compliance ~~Objective 14 – Legal and Regulatory Compliance~~

Objective ~~16~~<sup>5</sup> – *Forestry* Research, Science, and Technology

Objective ~~17~~<sup>6</sup> – Training and Education

Objective ~~18~~<sup>7</sup> – Community Involvement and Landowner Outreach in the Practice of *Sustainable Forestry*

Objective ~~19~~<sup>8</sup> – *Public Land* Management Responsibilities

Objective ~~20~~<sup>19</sup> – Communications and Public Reporting

Objective ~~21~~<sup>0</sup> – Management Review and Continual Improvement

## ***Sustainable Forestry Initiative ~~2010-2014~~2015-2019 Standard***

### ***Principles for Sustainable Forestry***

*SFI Certified Program Participants* believe forest landowners have an important stewardship responsibility and a commitment to society, and they recognize the importance of maintaining viable commercial, family forest, and *conservation* forest land bases. They support *sustainable forestry* practices on forestland they manage, and promote it on other lands. They support efforts to protect private property rights, and to help all private landowners manage their forestland sustainably. In keeping with this responsibility, *SFI Certified Program Participants* shall have a written *policy* (or *policies*) to implement and achieve the following *principles*:

#### ***1. Sustainable Forestry***

To practice *sustainable forestry* to meet the needs of the present without compromising the ability of future generations to meet their own needs by practicing a land stewardship ethic that integrates *reforestation* and the managing, growing, nurturing and harvesting of trees for useful products and ecosystem services such as the *conservation* of soil, air and water quality, carbon, *biological diversity*, *wildlife* and *aquatic habitats*, recreation, and aesthetics.

#### ***2. Forest Productivity and Health***

To provide for regeneration after harvest and maintain the productive capacity of the forest land base, and to protect and maintain *long-term* forest and soil *productivity*. In addition, to protect forests from economically or environmentally undesirable levels of wildfire, pests, diseases, *invasive exotic plants and animals* and other damaging agents and thus maintain and improve *long-term forest health* and *productivity*.

#### ***3. Protection of Water Resources***

To protect water bodies and *riparian* zones, and to conform with *best management practices* to protect water quality.

#### ***4. Protection of Biological Diversity***

To manage forests in ways that protect and promote *biological diversity*, including animal and plant species, *wildlife habitats*, and ecological or natural community types.

#### ***5. Aesthetics and Recreation***

To manage the visual impacts of forest operations, and to provide recreational opportunities for the public.

#### ***6. Protection of Special Sites***

To manage lands that are ecologically, geologically or *culturally important* in a manner that takes into account their unique qualities.

#### ***7. Responsible Fiber Sourcing Practices in North America***

To use and promote among other forest landowners *sustainable forestry* practices that are both scientifically credible and economically, environmentally and socially responsible.

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8. *Avoidance of Controversial Sources including Illegal Logging in Offshore Fiber Sourcing*

To avoid wood fiber from illegally logged forests when procuring fiber outside of North America, and to avoid *sourcing fiber from countries without effective social laws*.

9. *Legal Compliance*

Compliance with applicable federal, provincial, state, and local *forestry* and related environmental laws, statutes, and regulations.

10. *Research*

To support advances in sustainable forest management through *forestry* research, science and technology.

11. *Training and Education*

To improve the practice of *sustainable forestry* through training and education *programs*.

12. *Public Involvement*

To broaden the practice of *sustainable forestry* on *public lands* through community involvement.

13. *Transparency*

| To broaden the understanding of forest certification to the *SFI ~~2010-2014~~2015-2019 Standard* by documenting certification audits and making the findings publicly available.

14. *Continual Improvement*

To continually improve the practice of forest management, and to monitor, measure and report performance in achieving the commitment to *sustainable forestry*.

| These *SFI principles* are further refined in *objectives 1-21~~9~~*.

## ***Objectives for Sustainable Forestry***

### **Summary**

Some *Certified Program Participants* own forest land, others own forest land and manufacturing facilities, and others own manufacturing facilities only. As such:

- *SFI Standard* land management *objectives* 1-~~8~~<sup>7</sup> provide measures for evaluating *Certified Program Participants'* conformance with the *SFI* ~~2010-2014~~<sup>2015-2019</sup> *Standard* on forest lands they own or control through *long-term* leases. Through these *objectives*, addressed in forest management plans, *Certified Program Participants* are implementing *sustainable forestry principles* by employing an array of economically, environmentally and socially sound practices in the *conservation* of forests – including appropriate *protection*, growth, harvest and use of those forests – using the *best scientific information available*.
- *SFI Standard* fiber sourcing *objectives* ~~9-11~~<sup>9-11</sup> and ~~15-21~~<sup>10</sup> provide measures for evaluating *Certified Program Participants'* conformance with the *SFI* ~~2010-2014~~<sup>2015-2019</sup> *Standard* through their *fiber sourcing programs* within the United States and Canada.
- *SFI Standard* fiber sourcing *objectives* ~~12-14~~<sup>12-14</sup> provide measures for evaluating *Certified Program Participants'* conformance with the *SFI* ~~2010-2014~~<sup>2015-2019</sup> *Standard* through their *fiber sourcing programs* outside the United States and Canada.
- *SFI Standard* land management and *fiber sourcing objectives* ~~15-21~~<sup>15-21</sup> provide measures for evaluating all *Certified Program Participants'* conformance with the *SFI* ~~2010-2014~~<sup>2015-2019</sup> *Standard* for research, training, legal compliance, public and landowner involvement, management review, and continual improvement.

A summary of *SFI* ~~2010-2014~~<sup>2015-2019</sup> *Standard objectives* follows:

#### **Objective 1. Forest Management Planning**

To broaden the implementation of *sustainable forestry* by ensuring *long-term* forest *productivity* and yield based on the use of the *best scientific information available*.

#### **Objective 2. Forest Productivity**

To ensure *long-term* forest *productivity*, carbon storage and *conservation* of forest resources through prompt *reforestation*, soil *conservation*, *afforestation* and other measures.

#### **Objective 3. Protection and Maintenance of Water Resources**

To protect water quality in streams, lakes and other water bodies.

#### **Objective 4. Conservation of Biological Diversity including Forests with Exceptional Conservation Value**

To manage the quality and distribution of *wildlife habitats* and contribute to the *conservation* of *biological diversity* by developing and implementing *stand-* and *landscape-level* measures that

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promote *habitat* diversity and the *conservation* of forest plants and animals, including *aquatic species*.

**Objective 5. *Management of Visual Quality and Recreational Benefits***

To manage the visual impact of forest operations and provide recreational opportunities for the public.

**Objective 6. *Protection of Special Sites***

To manage lands that are ecologically, geologically, or *culturally important* in a manner that takes into account their unique qualities.

**Objective 7. *Efficient Use of Forest Resources***

To promote the efficient use of forest resources.

**Objective 8. Recognize and Respect Indigenous Peoples' Rights~~Landowner Outreach~~**

To recognize and respect Indigenous Peoples' rights and traditional knowledge.~~To broaden the practice of sustainable forestry by forest landowners through fiber-sourcing programs.~~

**Objective 9. Biodiversity in Fiber Sourcing**

To broaden the practice of sustainable forestry by conserving biological diversity.

**Objective 10. *Adherence to Best Management Practices***

To broaden the practice of *sustainable forestry* through the use of *best management practices* to protect water quality.

**Objective ~~11~~<sup>9</sup>. *Use of Qualified Resource and Qualified Logging Professionals***

To broaden the practice of *sustainable forestry* by encouraging forest landowners to utilize the services of forest management and harvesting professionals.

**Objective ~~12~~<sup>4</sup>. *Promote Conservation of Biological Diversity, Biodiversity Hotspots and High-Biodiversity Wilderness Areas***

To broaden the practice of *sustainable forestry* by conserving *biological diversity*, *biodiversity hotspots* and *high-biodiversity wilderness areas*.

**Objective ~~13~~<sup>2</sup>. *Avoidance of Controversial Sources including Illegal Logging***

To broaden the practice of *sustainable forestry* by avoidance of *illegal logging*.

**Objective ~~14~~<sup>3</sup>. *Avoidance of Controversial Sources including Fiber Sourced from Areas without Effective Social Laws***

To broaden the practice of *sustainable forestry* by avoiding *controversial sources*.

**Objective ~~15~~<sup>4</sup>. *Legal and Regulatory Compliance***

Compliance with applicable federal, provincial, state and local laws and regulations.

**Objective ~~16~~<sup>5</sup>. *Forestry Research, Science, and Technology***

To support *forestry* research, science, and technology, upon which sustainable forest management decisions are based.

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**Objective 176. Training and Education**

To improve the implementation of *sustainable forestry* practices through appropriate training and education *programs*.

**Objective 187. Community Involvement and Landowner Outreach in the Practice of *Sustainable Forestry***

To broaden the practice of *sustainable forestry* by encouraging the public and *forestry* community to participate in the commitment to *sustainable forestry*, and publicly report progress.

**Objective 198: *Public Land* Management Responsibilities**

To support and implement sustainable forest management on *public lands*.

**Objective 2049. Communications and Public Reporting**

To broaden the practice of *sustainable forestry* by documenting progress and opportunities for improvement.

**Objective 219. Management Review and Continual Improvement**

To promote continual improvement in the practice of *sustainable forestry*, and to monitor, measure, and report performance in achieving the commitment to *sustainable forestry*.

**~~SFI 2010-2014~~ 2015-2019 Standard Objectives 1-~~87~~ for Forest Land Management**

**Objective 1. Forest Management Planning.** To broaden the implementation of sustainable forestry by ensuring long-term forest productivity and yield based on the use of the best scientific information available.

Performance Measure 1.1. *Certified Program Participants* shall ensure that forest management plans include *long-term* harvest levels that are sustainable and consistent with appropriate *growth-and-yield models*.

Indicators:

1. Forest management planning at a level appropriate to the size and scale of the operation, including:
  - a. a *long-term* resources analysis;
  - b. a periodic or ongoing *forest inventory*;
  - c. a *land classification* system;
  - d. soils inventory and maps, where available;
  - e. access to *growth-and-yield modeling* capabilities;
  - f. up-to-date maps or a *geographic information system (GIS)*;
  - g. recommended sustainable harvest levels for areas available for harvest; and
  - h. a review of non-timber issues (e.g. recreation, tourism, pilot projects and economic incentive *programs* to promote water *protection*, carbon storage, *bioenergy feedstock* production, or *biological diversity conservation*, or to address climate-induced ecosystem change).

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2. Documented current harvest trends fall within long term sustainable levels identified in the forest management plan. ~~tation of annual harvest trends in relation to the sustainable forest management plan in a manner appropriate to document past and future activities.~~

3. A *forest inventory* system and a method to calculate growth and yield.

4. Periodic updates of *forest inventory* and recalculation of planned harvests to account for changes in growth due to *productivity* increases or decreases (e.g. improved data, *long-term* drought, fertilization, climate change, forest land ownership changes, etc.).

5. Documentation of forest practices (e.g., *planting*, fertilization, and thinning) consistent with assumptions in harvest plans.

Performance Measure 1.2. *Certified Program Participants* shall not convert one *forest type* to another *forest type*, unless in justified circumstances where the conversion:

Indicators:

1. Is in compliance with relevant national and regional policy and legislation related to land use and forest management; and
2. Would not convert native forest types that are rare and ecologically significant at the landscape level (4.3) or put any native forest types at risk of becoming rare; and
3. Does not create significant long-term adverse impacts on FECVs (4.2.2), old-growth forests (4.2.3), forests critical to threatened and endangered species (4.2.1), Special Sites (Objective 6); and
4. In the limited situations where a different *forest type* condition might be justified, an assessment considers:
  - a. Productivity/Stand Quality Conditions and impacts including economic values
  - b. Specific ecosystem issues related to the site such as invasive species, insect/disease issues, riparian protection needs and others as appropriate to site including regeneration challenges
  - c. Ecological impacts of the conversion including a review at the site and landscape scale as well as consideration for any appropriate mitigation measures

Performance Measure 1.3. *Certified Program Participants* shall not have within the scope of their certification to this SFI Standard, forest lands that have been converted to non-forest land use.

Indicators:

1. Forest lands converted to other land uses shall not be certified to this SFI Standard. This does not include forest lands used for forest and wildlife management such as wildlife food plots or infrastructure such as forest roads, log processing areas, trails etc.

**Objective 2. Forest *Productivity*.** Ensure long-term forest productivity, carbon storage, and conservation of forest resources through prompt reforestation, soil conservation, afforestation and other measures.

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Performance Measure 2.1. *Certified Program Participants* shall promptly reforest after final harvest.

Indicators:

- 1.1. ~~Designation of all harvest areas for either natural or artificial (planting or direct seeding) regeneration.~~  
~~Designation of all harvest areas for either *natural regeneration* or *by planting*.~~
- 1.2. ~~Indicator 2.1.2: Documented reforestation plans and activities based on site-specific environmental ecological or forest health considerations or legal requirements. Where feasible artificial reforestation within two years or two planting seasons or by planned natural regeneration methods within five years.~~  
~~*Reforestation, unless delayed for site-specific environmental or forest health considerations or legal requirements, through planting within two years or two planting seasons, or by planned natural regeneration methods within five years.*~~
- 2.3. Clear criteria to judge adequate regeneration and appropriate actions to correct understocked areas and achieve acceptable species composition and stocking rates for both *planting* and *natural regeneration*.
- 3.4. ~~Plantings of exotic *trees species* should avoid risk on native ecosystems.~~ ~~*Minimized plantings of exotic tree species, and research documentation that exotic tree species, planted operationally, pose minimal risk.*~~
- 4.5. *Protection* of desirable or planned advanced *natural regeneration* during harvest.
- 5.6. *Planting programs* that consider potential ecological impacts of a different species or species mix from that which was harvested.
- 6.7. *Afforestation programs* that consider potential ecological impacts of the selection and *planting* of tree species in non-forested *landscapes*.

Performance Measure 2.2. *Certified Program Participants* shall *minimize* chemical use required to achieve management *objectives* while protecting employees, neighbors, the public and the environment, including *wildlife* and *aquatic habitats*.

Indicators:

- 1. *Minimized* chemical use required to achieve management *objectives*.
- 2. Use of *least-toxic and narrowest-spectrum pesticides* necessary to achieve management *objectives*.
- 3. Use of pesticides registered for the intended use and applied in accordance with label requirements.

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~~4.~~ The World Health Organization (WHO) type 1A and 1B pesticides shall be prohibited, except where no other viable alternative is available.

~~3.5.~~ Use of *integrated pest management* where feasible.

~~4.6.~~ Supervision of forest chemical applications by state- or provincial-trained or certified applicators.

~~5.7.~~ Use of management practices appropriate to the situation, for example:

- a. notification of adjoining landowners or nearby residents concerning applications and chemicals used;
- b. appropriate multilingual signs or oral warnings;
- c. control of public road access during and immediately after applications;
- d. designation of streamside and other needed buffer strips;
- e. use of positive shutoff and minimal-drift spray valves;
- f. aerial application of forest chemicals parallel to buffer zones to *minimize* drift;
- g. monitoring of water quality or safeguards to ensure proper equipment use and *protection* of streams, lakes and other water bodies;
- h. appropriate transportation and storage of chemicals;
- i. filing of required state or provincial reports; and/or
- j. use of methods to ensure *protection of threatened and endangered* species.

Performance Measure 2.3. *Certified Program Participants* shall implement forest management practices to protect and maintain forest and soil *productivity*.

Indicators:

1. Use of soil maps where available to identify soils vulnerable to compaction and use of appropriate methods to avoid excessive soil disturbance.

2. Process to identify soils vulnerable to compaction, and use of appropriate methods to avoid excessive soil disturbance.

3. Use of erosion control measures to *minimize* the loss of soil and site *productivity*.

4. Post-harvest conditions conducive to maintaining site *productivity* (e.g. limited rutting, retained down woody debris, *minimized skid trails*).

5. Retention of vigorous trees during partial harvesting, consistent with scientific silvicultural standards for the area.

6. Criteria that address harvesting and site preparation to protect soil *productivity*.

7. Road construction and skidding layout to *minimize* impacts to soil *productivity* ~~and water quality~~.

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Performance Measure 2.4. *Certified Program Participants* shall manage so as to protect forests from damaging agents, such as environmentally or economically undesirable wildfire, pests, diseases and *invasive exotic plants and animals*, to maintain and improve *long-term forest health, productivity and economic viability*.

Indicators:

1. *Program* to protect forests from damaging agents.
2. Management to promote healthy and productive forest conditions to *minimize* susceptibility to damaging agents.
3. Participation in, and support of, fire and pest prevention and control *programs*.

Performance Measure 2.5. *Certified Program Participants* that deploy *improved planting stock*, including *varietal seedlings*, shall use sound scientific methods.

Indicator:

1. *Program* for appropriate research, testing, evaluation and deployment of *improved planting stock*, including *varietal seedlings*.

**Objective 3. *Protection and Maintenance of Water Resources.* Protect the water quality of rivers, streams, lakes, wetlands and other water bodies. ~~To protect water quality in rivers, streams, lakes, and other water bodies.~~**

Performance Measure 3.1. *Certified Program Participants* shall meet or exceed all applicable federal, provincial, state and local water quality laws, and meet or exceed *best management practices* developed under Canadian or U.S. Environmental Protection Agency–approved water quality *programs*.

Indicators:

1. *Program* to implement federal, state or provincial ~~best management practices~~ water quality best management practices during all phases of management activities.
2. Contract provisions that specify conformance to *best management practices*.
3. Plans that address wet-weather events in order to maintain water quality (e.g. *forest inventory* systems, wet-weather tracts, definitions of acceptable operating conditions).
4. Monitoring of overall *best management practices* implementation.

Performance Measure 3.2. *Certified Program Participants* shall develop and implement water, wetland and riparian area protection measures based on soil type, terrain, vegetation, ecological function, harvesting system, state BMPs, provincial guidelines and other applicable factors. ~~*Certified Program*~~  
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~~Participants shall have or develop, implement and document riparian protection measures based on soil type, terrain, vegetation, ecological function, harvesting system and other applicable factors.~~

Indicators:

1. Program addressing management and protection of rivers, streams, lakes, wetlands, and other water bodies and riparian ~~areas~~ zones during all phases of management, including the layout and construction of roads and skid trails to maintain water movement and water quality.
2. Mapping of rivers, streams, lakes, wetlands and other water bodies as specified in state or provincial *best management practices* and, where appropriate, identification on the ground.
3. Document and ~~3~~ implement ~~tation of~~ plans to ~~manage~~ and or protect rivers, streams, lakes, wetlands, and other water bodies and riparian areas.
- ~~4. Identification and protection of non-forested wetlands, including bogs, fens and marshes, and vernal pools of ecological significance.~~
- ~~5. Where regulations or best management practices do not currently exist to protect riparian areas, use of experts to identify appropriate protection measures.~~

**Objective 4. Conservation of Biological Diversity including Forests with Exceptional Conservation Value.** ~~To manage the quality and distribution of wildlife habitats and contribute to the conservation of biological diversity by developing and implementing stand- and landscape-level measures that promote a diversity of types of habitat and successional stages, and conservation of forest plants and animals, including aquatic species.~~

Performance Measure 4.1. *Certified Program Participants* shall conserve ~~have programs to promote biological diversity, at stand and landscape levels.~~

Indicators:

1. Program to incorporate ~~promote~~ the conservation of native biological diversity, including species, wildlife habitats and ecological community types: at stand and landscape levels.
- ~~2. Program to protect threatened and endangered species.~~
- ~~3. Program to locate and protect known sites associated with viable occurrences of critically imperiled and imperiled species and communities also known as Forests with Exceptional Conservation Value. Plans for protection may be developed independently or collaboratively, and may include Certified Program Participant management, cooperation with other stakeholders, or use of easements, conservation land sales, exchanges, or other conservation strategies.~~

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2. Development ~~and implementation~~ of criteria and implementation of practices, as guided by regionally ~~ly-based best~~ appropriate best scientific information, to retain *stand-level wildlife habitat* elements such as snags, stumps, mast trees, down woody debris, den trees and nest trees.

3. Take into account spatial and temporal assessments ~~Program for assessment, conducted either individually or collaboratively,~~ of forest cover types, age or size classes, ~~and habitats~~ at the individual ownership level, ~~,~~ and where credible data are available and relevant to the forest management planning level, at the landscape scale, ~~across the landscape, and take into account. Consider findings in planning and management activities to conserve biological diversity~~.

2.4. ~~4-~~ Certified Program Participants are knowledgeable about credible state, provincial, or regional *conservation* planning and priority-setting efforts that include Indigenous peoples, that ~~include a broad range of stakeholders and have a program to take into account the results to~~ conserve biological diversity and consideration of these efforts in forest management planning. Examples of credible priority--setting efforts could be state wildlife action plans, state forest action plans, relevant habitat conservation plans or provincial wildlife recovery plans.

Comment [GM1]: Moved from 2010-2014 indicator 17.1.5 and then edited.

3.5. ~~5-~~ Identification and *protection of non-forested wetlands*, including bogs, fens and marshes, and vernal pools of ecological significance.

Comment [GM2]: Moved from 2010-2014 indicator 3.2.4 and inserted here.

~~7- Support of and participation in plans or programs for the conservation of old-growth forests in the region of ownership.~~

6. Participation in *programs* and demonstration of activities as appropriate to limit the introduction, spread ~~impact~~ and impact ~~spread~~ of *invasive exotic plants and animals* that directly threaten or are likely to threaten *native* plant and animal communities.

7. ~~7-~~ Consider the role of natural disturbances in relation to biological diversity when developing forest management plans.

9. ~~8-~~ Program to ~~incorporate the role of~~ use prescribed or natural fire where appropriate.

Performance Measure 4.2 Certified Program Participants shall protect threatened and endangered species, Forests with Exceptional Conservation Values (FECV) and old growth forests.

#### Indicators:

1. Program to protect *threatened and endangered* species.

Comment [GM3]: Moved from 2010-2014 indicator 4.1.2 and inserted here.

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2. *Program* to locate and protect known sites flora and fauna associated with viable occurrences of *critically imperiled* and *imperiled* species and communities also known as *Forests with Exceptional Conservation Value*. Plans for *protection* may be developed independently or collaboratively, and may include *Certified Program Participant* management, cooperation with other stakeholders, or use of easements, *conservation* land sales, exchanges, or other *conservation strategies*.
3. Support of and participation in plans or *programs* for the *conservation* of *old-growth forests* in the region of *ownership*.

Comment [GM4]: Moved from 2010-2014 indicator 4.1.3 and inserted here.

Comment [GM5]: Moved from 2010-2014 indicator 4.1.6 and inserted here.

Performance Measure 4.3. *Certified Program Participants* shall manage ecologically important sites~~other~~ in a manner that takes into account their unique qualities.

Indicators:

1. Use of information such as existing natural heritage data~~7~~ and expert advice in identifying or selecting *special sites* ecologically important sites for *protection*.
2. Appropriate mapping, cataloging and management of identified ~~sites of ecologically and geological important sites~~ee.
- ~~6. Support of and participation in plans or programs for the conservation of old-growth forests in the region of ownership.~~
- ~~7. Participation in programs and demonstration of activities as appropriate to limit the introduction, impact and spread of *invasive exotic plants and animals* that directly threaten or are likely to threaten *native plant and animal communities*.~~
- ~~8. Program to incorporate the role of prescribed or natural fire where appropriate.~~

Performance Measure 4.4~~2~~. *Certified Program Participants* shall apply knowledge gained through research, science, technology and field experience to manage *wildlife habitat* and contribute to the *conservation* of *biological diversity*.

Indicators:

1. Collection of information on *Forests with Exceptional Conservation Value* and other *biodiversity*-related data through *forest inventory* processes, mapping or participation in external *programs*, such as NatureServe, state or provincial heritage *programs*, or other credible systems. Such participation may include providing non-proprietary scientific information, time and assistance by staff, or in-kind or direct financial support.
2. A methodology to incorporate research results and field applications of *biodiversity* and ecosystem research into forest management decisions.

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**Objective 5. Management of *Visual Quality* and Recreational Benefits.** To manage the visual impact of forest operations and provide recreational opportunities for the public.

Performance Measure 5.1 *Certified Program Participants* shall manage the impact of harvesting on *visual quality*.

Indicators:

1. *Program* to address *visual quality management*.
2. Incorporation of aesthetic considerations in harvesting, road, landing design and management, and other management activities where visual impacts are a concern.

Performance Measure 5.2. *Certified Program Participants* shall manage the size, shape and placement of clearcut harvests.

Indicators:

1. Average size of clearcut harvest areas does not exceed 120 acres (50 hectares), except when necessary to meet regulatory requirements or to respond to *forest health* emergencies or other natural catastrophes.
2. Documentation through internal records of clearcut size and the process for calculating average size.

Performance Measure 5.3. *Certified Program Participants* shall adopt a *green-up requirement* or alternative methods that provide for *visual quality*.

Indicators:

1. *Program* implementing the *green-up requirement* or alternative methods.
2. Harvest area tracking system to demonstrate conformance with the *green-up requirement* or alternative methods.
3. Trees in clearcut harvest areas are at least 3 years old or 5 feet (1.5 meters) high at the desired level of stocking before adjacent areas are clearcut, or as appropriate to address operational and economic considerations, alternative methods to reach the *performance measure* are utilized by the *Certified Program Participant*.

Performance Measure 5.4. *Certified Program Participants* shall support and promote recreational opportunities for the public.

Indicator:

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1. Provide recreational opportunities for the public, where consistent with forest management *objectives*.

**Objective 6. *Protection of Special Sites*.** To manage lands that are ~~ecologically~~, geologically or culturally important in a manner that takes into account their unique ~~qualities~~.

**Comment [GM6]:** Sites of ecological importance now addressed in PM 4.3

Performance Measure 6.1. *Certified Program Participants* shall identify *special sites* and manage them in a manner appropriate for their unique features.

Indicators:

1. Use of information such as existing natural heritage data, expert advice or stakeholder consultation in identifying or selecting *special sites* for *protection*.
2. Appropriate mapping, cataloging and management of identified *special sites*.

**Objective 7. Efficient Use of ~~TimberFiber Forest~~ Resources.** To promote the efficient use of ~~timberfiber forest~~ resources.

Performance Measure 7.1. *Certified Program Participants* shall employ appropriate forest harvesting technology and in-woods manufacturing processes and practices to *minimize* waste and ensure efficient utilization of harvested trees, where consistent with other *SFI Standard objectives*.

Indicator:

1. *Program* or monitoring system to ensure efficient utilization, which may include provisions to ensure:
  - a. management of harvest residue (e.g. slash, limbs, tops) considers economic, social and environmental factors (e.g. organic and nutrient value to future forests and the potential of increased fuels build-up) and other utilization needs;
  - b. training or incentives to encourage loggers to enhance utilization;
  - ~~c. cooperation with mill managers for better utilization of species and low-grade material;~~
  - ~~d. c.~~ exploration of markets for underutilized species and low-grade wood and alternative markets (e.g. bioenergy markets); or
  - ~~e. d.~~ periodic inspections and reports noting utilization and product separation.

**Objective 8 – Recognize and Respect Indigenous Peoples’ Rights.** To recognize and respect Indigenous Peoples’ rights and traditional ~~knowledge~~.

Performance Measure 8.1 *Certified Program Participants* shall recognize and respect Indigenous Peoples’ rights.

Indicator:

1. *Certified Program Participants* will provide a written policy acknowledging a commitment to recognize and respect the rights of Indigenous People.

**Comment [GM7]:** New Objective designed to collect all existing SFI requirements regarding Indigenous peoples rights as well as introduce new requirements.

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Performance Measure 8.2 *Certified Program Participants* with forest management responsibilities on public lands shall confer with affected Indigenous Peoples with respect to sustainable forestry.

Indicators:

1. Program that includes communicating with affected Indigenous Peoples to enable *Certified Program Participants* to:
  - a) understand and respect traditional forest-related knowledge;
  - b) identify and protect spiritually, historically, or culturally important sites;
  - c) address the use of non-timber forest products of value to Indigenous Peoples in areas where *Certified Program Participants* have management responsibilities on public lands; and
  - d) Have a process to receive and respond to Indigenous Peoples' inquiries regarding concerns received.

Comment [GM8]: Moved from 2010-2014 indicator 18.2.1 a. – c.

Performance Measure 8.3 *Certified Program Participants* with forest management responsibilities on private lands are encouraged to communicate with and/or respond to local Indigenous Peoples with respect to sustainable forest management practices.

Indicators:

1. Acknowledge an awareness of traditional forest-related knowledge, such as known cultural heritage sites, the use of wood in traditional buildings and crafts, and flora that may be used in cultural practices for food, ceremonies or medicine.
2. Respond to Indigenous Peoples' inquiries regarding concerns received.

***SFI ~~2010-2014~~2015-2019 Standard Objectives ~~98-2113~~ for Fiber Sourcing***

***Fiber sourcing within the United States and Canada (Objectives ~~98-11~~ and ~~15 -21 40~~ apply).***

**Objective 9 – Biodiversity in Fiber Sourcing.** To broaden the practice of sustainable forestry by conserving biological diversity.

Performance Measure 9.1.- Promotion and conservation of biological diversity.

1. Program to address conservation of biodiversity, individually or collaboratively, which shall include some of the following:
  - a. promotion of biological diversity utilizing information from organizations such as World Resources Institute, The Nature Conservancy, Nature Serve, Conservation International, State Wildlife Action Plans, State Forest Action Plans and assessments;
  - b. conducting local and regional level landscape assessments;
  - c. involvement with local or regional conservation efforts;
  - d. other credible approaches; and

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e. relevant information on biological diversity from credible sources (such as those noted above) in approved training and education programs.

2. *Program to address Forests with Exceptional Conservation Value in harvests of purchased stumpage.*

**Objective 8. Landowner Outreach.** To broaden the practice of sustainable forestry by forest landowners through fiber sourcing programs:

*Performance Measure 8.1. Certified Program Participants shall provide information to landowners for reforestation following harvest, for the use of best management practices, and for identification and protection of important habitat elements for wildlife and biodiversity, including Forests with Exceptional Conservation Value.*

Indicators:

- 1. Certified Program Participants shall supply regionally appropriate information or services (e.g. information packets, websites, newsletters, workshops, tours, etc.) to forest landowners, describing the importance and providing implementation guidance on:*
  - a. best management practices;*
  - b. reforestation and afforestation;*
  - c. visual quality management;*
  - d. conservation of critical wildlife habitat elements, biodiversity, threatened and endangered species, and Forests with Exceptional Conservation Value;*
  - e. management of harvest residue (e.g. slash, limbs, tops) considers economic, social, environmental factors (e.g. organic and nutrient value to future forests) and other utilization needs;*
  - f. control of invasive exotic plants and animals; and characteristics of special sites.*
- 2. Program to address Forests with Exceptional Conservation Value in harvests of purchased stumpage.*
- 3. Encourage forest landowners to participate in forest management certification programs.*

**Objective 10. Adherence to Best Management Practices.** To broaden the practice of sustainable forestry through the use of best management practices to protect water quality.

*Performance Measure 10.1. Certified Program Participants shall clearly define and implement policies to ensure that facility inventories and fiber sourcing activities do not compromise adherence to the principles of sustainable forestry.*

Indicators:

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**Comment [GM9]:** Moved from 2010-2014 indicator 8.1.2 and inserted here

**Comment [F10]:** Requirements from 2010-2014 Objective 8 moved to 2015-2019 Objective 9 or 2015-2019 Objective 18

~~10.1.1 Program for the purchase of raw materials from *certified logging professionals* (where available) and from *wood producers* that have completed training programs and are *recognized qualified logging professionals*.~~

1. Program to require that harvests of *purchased stumpage* comply with *best management practices*.

**Comment [GM11]:** This requirement moved to 2015-2019 Objective 17.

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**Comment [GM12]:** Moved from 2010-2014 indicator 10.1.2 and inserted here

~~2. *Contracts for the purchase of raw materials* include provisions requiring the use of *best management practices*. Use of written agreements for the purchase of raw material sourced directly from the forest is required and must include provisions requiring the use of *best management practices*.~~

3. Program to address adverse weather *conditions*.

**Comment [GM13]:** Moved from 2010-2014 indicator 10.1.4 and inserted here

~~-4. *Certified Program Participants* shall clearly define their *fiber sourcing policies* in writing and make them available to *wood producers*.~~

**Comment [GM14]:** Moved from 2010-2014 indicator 10.1.5 and inserted here

Performance Measure 10.2. *Certified Program Participants* shall monitor the use of *best management practices for water quality*.

Indicators:

1. A *verifiable monitoring system* to:

- monitor the use of *best management practices* utilized by *wood producers* supplying the *Certified Program Participant*; and
- evaluate use of *best management practices* across the *wood and fiber supply area*.

2. Use of information from the verifiable monitoring system to maintain effective conformance to best management practices and to identify and communicate areas for improved performance.

**Objective 119. Use of *Qualified Resource* and *Qualified Logging Professionals*.** To broaden the practice of sustainable forestry by encouraging forest landowners to utilize the services of forest management and harvesting professionals.

Performance Measure 119.1. *Certified Program Participants* shall encourage landowners to utilize the services of *certified logging professionals* (where available), *qualified resource professionals* and *qualified logging professionals* in applying *principles* of sustainable forest management on their lands.

Indicators:

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1. *Program* to promote the use of *certified logging professionals* (where available), *qualified resource professionals* and *qualified logging professionals*.
2. List of *certified logging professionals* and *qualified logging professionals* maintained by *Certified Program Participant*, state or provincial agency, loggers' association or other organization.

**Fiber sourcing by facilities enrolled in the SFI program from sources outside the United States and Canada (Objectives ~~11-13~~ 12-14 apply).**

**Objective 12~~4~~.** Promote *Conservation of Biological Diversity, Biodiversity Hotspots and High-Biodiversity Wilderness Areas*. To broaden the practice of sustainable forestry by conserving biological diversity, biodiversity hotspots and high-biodiversity wilderness areas.

Performance Measure 12~~4~~.1. *Certified Program Participants* shall ensure that their *fiber sourcing programs* support the *principles of sustainable forestry*, including efforts to promote *conservation of biological diversity*.

Indicators:

1. *Fiber sourcing* from areas outside the United States and Canada promotes *conservation of*:
  - a. *biodiversity hotspots* and *high-biodiversity wilderness areas* utilizing information from Conservation International; and
  - b. *biological diversity* utilizing information from organizations such as the [World Resources Institute](#), the *Alliance for Zero Extinction*, World Wildlife Fund, ~~World Resources Institute~~ and [the](#) International Union for Conservation of Nature.
2. *Program* with *direct suppliers* to promote the *principles of sustainable forestry*.
3. Documented information that includes knowledge about *direct suppliers'* application of the *principles of sustainable forestry*.

**Objective 13~~2~~.** Avoidance of *Controversial Sources* including *Illegal Logging*. To broaden the practice of sustainable forestry by avoidance of illegal logging.

Performance Measure 13~~2~~.1. *Certified Program Participants* shall ensure that their *fiber sourcing programs* support the *principles of sustainable forestry*, including efforts to [reduce the risk of](#) ~~thwart~~ *illegal logging*.

[\(Note: additional guidance is included in Section 7 SFI Legality Requirements and Policies for Avoidance of Illegal Logging\)](#)

Indicator<sup>96</sup>

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1. Process to assess the risk that the *Certified Program Participant's fiber sourcing program* could acquire material from *illegal* logging such as consulting information from the World Resources Institute Risk Information Tool, the World Bank, or Transparency International.

2. *Program* to address any significant risk identified under 13~~2~~.1.1.

3. *Program* with *direct suppliers* to promote the *principles* of *sustainable forestry*.

4. Documented information that includes knowledge about *direct suppliers'* application of the *principles* of *sustainable forestry*.

**Objective 14~~3~~.** **Avoidance of *Controversial Sources* including *Fiber Sourced from Areas without Effective Social Laws*.** To broaden the practice of sustainable forestry by avoiding controversial sources.

Performance Measure 14~~3~~.1. *Certified Program Participants* shall avoid *controversial sources* and encourage socially sound practices.

Indicators:

1. Process to assess the risk that the *Certified Program Participant's fiber sourcing* could take place in countries without effective laws addressing the following:
  - a. workers' health and safety;
  - b. fair labor practices;
  - c. indigenous peoples' rights;
  - d. anti-discrimination and anti-harassment measures;
  - e. prevailing wages; and
  - f. workers' right to organize.

2. *Program* to address any significant risk identified under 14~~3~~.1.1.

***SFI ~~2010-2014~~2015-2019 Standard Objectives 15~~4~~-210 for Forest Land Management and Fiber Sourcing***

**Objective 15~~4~~.** **Legal and Regulatory Compliance.** Compliance with applicable federal, provincial, state and local laws and regulations.

Performance Measure 15~~4~~.1. *Certified Program Participants* shall take appropriate steps to avoid illegally harvested wood and to comply with applicable federal, provincial, state and local *forestry* and related social and environmental laws and regulations.

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Indicators:

1. Access to relevant laws and regulations in appropriate locations.
2. System to achieve compliance with applicable federal, provincial, state or local laws and regulations.
3. Demonstration of commitment to legal compliance through *available regulatory action information*.
4. Process to assess the risk that the *Certified Program Participants* fiber sourcing program could acquire material from illegal logging by considering some of the following:
  - a. communications with suppliers
  - b. independent research
  - c. contract documentation
  - d. maintain records
5. Program to address any significant risk identified under 15.1.4

Performance Measure 15.4.2. *Certified Program Participants* shall take appropriate steps to comply with all applicable social laws at the federal, provincial, state and local levels in the country in which the *Certified Program Participant* operates.

Indicator:

1. Written *policy* demonstrating commitment to comply with social laws, such as those covering civil rights, equal employment opportunities, anti-discrimination and anti-harassment measures, workers' compensation, indigenous peoples' rights, workers' and communities' right to know, prevailing wages, workers' right to organize, and occupational health and safety.
2. *Forestry enterprises* will respect the rights of workers and labor representatives in a manner that encompasses the intent of the International Labor Organization (ILO) core conventions.

**Objective 16.5. Forestry Research, Science, and Technology.** To support forestry research, science, and technology, upon which sustainable forest management decisions are based.

Performance Measure 16.5.1. *Certified Program Participants* shall individually and/or through cooperative efforts involving *SFI Implementation Committees*, associations or other partners provide in-kind support or funding for forest research to improve *forest health, productivity*, and sustainable management of forest resources, and the environmental benefits and performance of forest products.

Indicators:

1. Financial or in-kind support of research to address questions of relevance in the region of operations. The research shall include some of the following issues:
  - a. *forest health, productivity*, and ecosystem functions;

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- b. chemical efficiency, use rate and *integrated pest management*;
- c. water quality and/or effectiveness of *best management practices* including effectiveness of water quality and *best management practices* for protecting the *quality, diversity and* distributions of fish and *wildlife habitats*;
- d. *wildlife* management at *stand* and *landscape* levels;
- e. *conservation* of *biological diversity*;
- f. ecological impacts of *bioenergy feedstock* removals on *productivity, wildlife habitat, water* quality and other ecosystem functions;
- g. climate change research for both adaptation and mitigation;
- g.h. reduction of catastrophic wildfire
- h.i. social issues;
- i.j. forest operations efficiencies and economics;
- j.k. energy efficiency;
- k.l. life cycle assessment;
- l.m. avoidance of *illegal logging*; and
- m.n. avoidance of *controversial sources*.

2. Research on genetically engineered trees via *forest tree biotechnology* shall adhere to all applicable federal, state, and provincial regulations and international protocols ratified by the US and/or Canada depending on jurisdiction of management.

Performance Measure 165.2. *Certified Program Participants* shall individually and/or through cooperative efforts involving *SFI Implementation Committees*, associations or other partners develop or use state, provincial or regional analyses in support of their *sustainable forestry programs*.

Indicator:

1. Participation, individually and/or through cooperative efforts involving *SFI Implementation Committees* and/or associations at the national, state, provincial or regional level, in the development or use of some of the following:
- a. regeneration assessments;
  - b. *growth and drain* assessments;
  - c. *best management practices* implementation and conformance;
  - d. *biodiversity conservation* information for family forest owners; and
  - e. social, cultural or economic benefit assessments.

Performance Measure 165.3. *Certified Program Participants* shall individually and/or through cooperative efforts involving *SFI Implementation Committees*, associations or other partners broaden the awareness of climate change impacts on forests, *wildlife* and *biological diversity*.

Indicators:

1. Where available, monitor information generated from regional climate models on *long-term forest health, productivity* and *economic viability*.

2. *Certified Program Participants* are knowledgeable about climate change impacts on *wildlife, wildlife habitats* and *conservation of biological diversity* through international, national, regional or local *programs*.

**Objective 176. Training and Education.** To improve the implementation of sustainable forestry practices through appropriate training and education programs.

Performance Measure 176.1. *Certified Program Participants* shall require appropriate training of personnel and contractors so that they are competent to fulfill their responsibilities under the *SFI ~~2010-2014~~2015-2019 Standard*.

Indicators:

1. Written statement of commitment to the *SFI ~~2010-2014~~2015-2019 Standard* communicated throughout the organization, particularly to facility and woodland managers, *fiber sourcing* staff and field foresters.
2. Assignment and understanding of roles and responsibilities for achieving *SFI ~~2010-2014~~2015-2019 Standard objectives*.
3. Staff education and training sufficient to their roles and responsibilities.
4. Contractor education and training sufficient to their roles and responsibilities.

*5. Certified Program Participants ~~Forestry enterprises~~* shall have ~~a program for~~ written agreements for the use of *certified logging professionals* (where available) ~~and qualified logging professional or wood producers that have completed training programs~~ and are recognized as *qualified logging professionals*.

Performance Measure 176.2. *Certified Program Participants* shall work individually and/or with *SFI Implementation Committees*, logging or *forestry* associations, or appropriate agencies or others in the *forestry* community to foster improvement in the professionalism of *wood producers*.

Indicators:

1. Participation in or support of *SFI Implementation Committees* to establish criteria and identify delivery mechanisms for *wood producers'* training courses and periodic continuing education that address:
  - a. awareness of *sustainable forestry principles* and the *SFI* program;
  - b. *best management practices*, including streamside management and road construction, maintenance and retirement;
  - c. *reforestation, invasive exotic plants and animals, forest resource conservation, aesthetics, and special sites*;

- d. awareness of responsibilities under the U.S. Endangered Species Act, the Canadian Species at Risk Act, and other measures to protect *wildlife habitat* (e.g. *Forests with Exceptional Conservation Value*);
- e. Awareness of rare forested natural communities as identified by provincial or state agencies, or by credible organizations such as NatureServe, The Nature Conservancy, etc.
- f. logging safety;
- g. U.S. Occupational Safety and Health Administration (OSHA) and Canadian Centre for Occupational Health and Safety (COHS) regulations, wage and hour rules, and other provincial, state and local employment laws;
- h. transportation issues;
- i. business management;
- j. public *policy* and outreach; and
- k. awareness of emerging technologies.

2. The SIC-approved wood producer's training programs shall have a continuing education component with coursework that supports the current logger training programs, safety and the principles of sustainable forestry

3. Participation in or support of *SFI Implementation Committees* to establish criteria for recognition of logger certification *programs*, where they exist, that include:
- a. completion of *SFI Implementation Committee* recognized logger training *programs* and meeting continuing education requirements of the training *program*;
  - b. independent in-the-forest verification of conformance with the logger certification *program* standards;
  - c. compliance with all applicable laws and regulations including responsibilities under the U.S. Endangered Species Act, the Canadian Species at Risk Act and other measures to protect *wildlife habitat*;
  - d. use of *best management practices* to protect water quality;
  - e. logging safety;
  - f. compliance with acceptable *silviculture* and utilization standards;
  - g. aesthetic management techniques employed where applicable; and
  - h. adherence to a management or harvest plan that is site specific and agreed to by the forest landowner.

**Objective 187. Community Involvement and Landowner Outreach in the Practice of Sustainable Forestry.** To broaden the practice of sustainable forestry by encouraging the public and forestry community to participate in the commitment to sustainable forestry, and publicly report progress.

Performance Measure 187.1. *Certified Program Participants* shall support and promote efforts by consulting foresters, state, provincial and federal agencies, state or local groups, professional societies, *conservation* organizations, indigenous peoples and governments, community groups, sporting organizations, labor, universities, extension agencies, the *American Tree Farm System*® and/or other landowner cooperative *programs* to apply *principles* of sustainable forest management.

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Indicators:

1. Support, including financial, for efforts of *SFI Implementation Committees*.

~~2.~~ 2. Support for ~~the education and outreach development to~~ of educational materials for use with forest landowners, describing the importance and providing implementation guidance on:

~~(e.g. information packets, websites, newsletters, workshops, tours, etc.).~~

- a. *best management practices*;
- b. *reforestation and afforestation*;
- c. *visual quality management*;
- d. *conservation of critical wildlife habitat elements, biodiversity, threatened and endangered species, and Forests with Exceptional Conservation Value*;
- e. management of harvest residue (e.g. slash, limbs, tops) considers economic, social, environmental factors (e.g. organic and nutrient value to future forests) and other utilization needs;
- f. control of *invasive exotic plants and animals*;
- g. characteristics of *special sites*, and

~~g.~~ h. reduction of wildfire risk

~~3.~~ Support for the development of regional, state or provincial information materials that provide forest landowners with practical approaches for addressing ~~special sites and biological diversity issues, such as invasive exotic plants and animals, specific wildlife habitat, Forests with Exceptional Conservation Value, and threatened and endangered species.~~

~~3~~ 4. Participation in efforts to support or promote *conservation* of managed forests through voluntary market-based incentive *programs* such as current-use taxation *programs*, Forest Legacy Program<sup>4</sup> or *conservation* easements.

~~4~~ 5. *Certified Program Participants* are knowledgeable about credible regional *conservation* planning and priority-setting efforts that include Indigenous Peoples and a broad range of stakeholders and have a *program* to take into account the results of these efforts in planning.

Performance Measure ~~18~~ 7.2. *Certified Program Participants* shall support and promote, at the state, provincial or other appropriate levels, mechanisms for public outreach, education and involvement related to sustainable forest management.

Indicator:

- 1. Periodic educational opportunities promoting *sustainable forestry*, such as
  - a. field tours, seminars, websites, webinars or workshops;
  - b. educational trips;
  - c. self-guided forest management trails;
  - d. publication of articles, educational pamphlets or newsletters; or

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Comment [GM15]: Moved from 2010-2014 indicator 8.1.1 a. – g. and inserted here

- e. support for state, provincial, and local *forestry* organizations and soil and water *conservation* districts.

2. Encourage forest landowners to participate in forest management certification *programs*.

Comment [GM16]: Moved from 2010-2014 indicator 8.1.3. and inserted here

Performance Measure ~~18~~7.3. *Certified Program Participants* shall establish, at the state, provincial, or other appropriate levels, procedures to address concerns raised by loggers, consulting foresters, employees, unions, the public or other *Certified Program Participants* regarding practices that appear inconsistent with the *SFI Standard principles* and *objectives*.

Indicators:

1. Support for *SFI Implementation Committees* (e.g. toll-free numbers and other efforts) to address concerns about apparent nonconforming practices.
2. Process to receive and respond to public inquiries. *SFI Implementation Committees* shall submit data annually to *SFI Inc.* regarding concerns received and responses.

**Objective 198: Public Land Management Responsibilities.** To promote and implement sustainable forest management on public lands.

Performance Measure ~~19~~8.1. *Certified Program Participants* with forest *management responsibilities on public lands* shall participate in the development of *public land* planning and management processes.

Indicators:

1. Involvement in *public land* planning and management activities with appropriate governmental entities and the public.
2. Appropriate contact with local stakeholders over forest management issues through state, provincial, federal or independent collaboration.

~~Performance Measure 18.2. *Certified Program Participants* with forest *management responsibilities on public lands* shall confer with affected indigenous peoples.~~

Comment [GM17]: Moved to Objective 8.2.1.

~~Indicator:~~

- ~~1. *Program* that includes communicating with affected indigenous peoples to enable *Certified Program Participants* to:
  - a. understand and respect *traditional forest related knowledge*;
  - b. identify and protect spiritually, historically, or *culturally important sites*; and
  - c. address the use of non timber forest products of value to indigenous peoples in areas where *Certified Program Participants* have management responsibilities on public lands~~

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**Objective ~~2019~~. Communications and Public Reporting.** To broaden the practice of sustainable forestry by documenting progress and opportunities for improvement.

Performance Measure ~~2019~~.1. A *Certified Program Participant* shall provide a summary audit report, prepared by the *certification body*, to *SFI Inc.* after the successful completion of a certification, recertification or surveillance audit to the *SFI ~~2010-2014~~2015-2019 Standard*.

Indicator:

1. The summary audit report submitted by the *Certified Program Participant* (one copy must be in English), shall include, at a minimum,
  - a. a description of the audit process, *objectives* and scope;
  - b. a description of substitute *indicators*, if any, used in the audit and a rationale for each;
  - c. the name of *Certified Program Participant* that was audited, including its *SFI* representative;
  - d. a general description of the *Certified Program Participant's* forestland and manufacturing operations included in the audit;
  - e. the name of the *certification body* and *lead auditor* (names of the *audit team* members, including *technical experts* may be included at the discretion of the *audit team* and *Certified Program Participant*);
  - f. the dates the certification was conducted and completed;
  - g. a summary of the findings, including general descriptions of evidence of conformity and any nonconformities and corrective action plans to address them, opportunities for improvement, and exceptional practices; and
  - h. the certification decision.

The summary audit report will be posted on the *SFI Inc.* website ([www.sfiprogram.org](http://www.sfiprogram.org)) for public review.

Performance Measure ~~2019~~.2. *Certified Program Participants* shall report annually to *SFI Inc.* on their conformance with the *SFI ~~2010-2014~~2015-2019 Standard*.

Indicators:

1. Prompt response to the *SFI* annual progress report.
2. Recordkeeping for all the categories of information needed for *SFI* annual progress reports.
3. Maintenance of copies of past reports to document progress and improvements to demonstrate conformance to the *SFI ~~2010-2014~~2015-2019 Standard*.

**Objective ~~219~~. Management Review and Continual Improvement.** To promote continual improvement in the practice of sustainable forestry, and to monitor, measure and report performance in achieving the commitment to sustainable forestry

Performance Measure ~~210~~<sup>9</sup>.1. *Certified Program Participants* shall establish a management review system to examine findings and progress in implementing the *SFI Standard*, to make appropriate improvements in *programs*, and to inform their employees of changes.

Indicators:

1. System to review commitments, *programs* and procedures to evaluate effectiveness.
2. System for collecting, reviewing, and reporting information to management regarding progress in achieving *SFI* ~~2010-2014~~<sup>2015-2019</sup> *Standard objectives* and *performance measures*.
3. Annual review of progress by management and determination of changes and improvements necessary to continually improve conformance to the *SFI* ~~2010-2014~~<sup>2015-2019</sup> *Standard*.



## Section 6. Guidance to SFI 2015-2019 Standard January 6, 2014

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## Section 6

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## Guidance to SFI 201~~5~~<sup>0</sup>-201~~9~~<sup>4</sup> Standard

1. Introduction
2. Objective 4: *Forests with Exceptional Conservation Value*
  - 2.1 NatureServe Resources for Global and Occurrence Ranks
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3. Objective 4: *Wildlife Habitats Diversity and Invasive Exotic Plants and Animals*
  - 3.1 *Wildlife Habitats Diversity*
  - 3.2 *Invasive Exotic Plants and Animals*
- ~~4. Objective 9: *Certified Logging Professionals and Use of Trained Loggers*~~
  - ~~4.1 *Certified Logging Professionals*~~
  - ~~4.2 *Use of Trained Loggers*~~
- ~~4~~<sup>5</sup>. Objective 10: *Best Management Practices Monitoring*
- ~~5~~<sup>6</sup>. Objective ~~12~~<sup>1</sup>: *Biodiversity Hotspots and High-Biodiversity Wilderness Areas*
  - ~~5~~<sup>6</sup>.1 *Biodiversity Hotspots and High-Biodiversity Wilderness Areas*
    - ~~5~~<sup>6</sup>.1. a *Biodiversity Hotspots*
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  - ~~5~~<sup>6</sup>.2 *Resources for the Conservation of Biological Diversity*
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  - 6.2 *Use of Trained Loggers*
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  - ~~7.1 *Bioenergy Markets*~~
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- ~~7~~<sup>8</sup>. ILO Core Conventions
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- ~~9~~<sup>10</sup>. Transition to the *SFI 201~~5~~<sup>0</sup>-201~~9~~<sup>4</sup> Standard*

## 1. Introduction

*SFI Inc.* completes a review of its standard and supporting documents every five years, which is consistent with international protocols for forest certification standard revision cycles. The ~~fourth~~ ~~third~~ public review, conducted in 2001~~38~~<sup>138</sup>-2014~~09~~<sup>09</sup>, led to the *SFI 2015~~0~~-2019<sup>4</sup> Standard* and supporting documents.

This guidance document is intended to assist *SFI ~~Program-Participants~~Certified Program Participants* and *certification bodies* in interpreting and implementing new and existing provisions in the *SFI 2015~~0~~-2019<sup>4</sup> Standard*.

This document provides additional information that may help *~~Program Participants~~Certified Program Participants* make management decisions to meet *SFI Standard* requirements. *SFI Inc.* routinely researches ways to improve the functionality of the *SFI* program; thus this document may be updated over time.

## 2. Objective 4: Forests with Exceptional *Conservation* Value

Objective 4 of the 2014~~0~~-2019<sup>4</sup> *SFI Standard* extends the *biodiversity* requirements to *Forests with Exceptional Conservation Value* (FECV).

Objective 4. *Conservation of Biological Diversity* including *Forests with Exceptional Conservation Value*. To manage the quality and distribution of *wildlife habitats* and contribute to the *conservation of biological diversity* by developing and implementing *stand-* and *landscape-level* measures that promote a diversity of types of *habitat* and successional stages, and *conservation* of forest plants and animals, including *aquatic* species.

Definition of *Forests with Exceptional Conservation Value*: *critically imperiled* (G1) and *imperiled* (G2) species and ecological communities.

*Critically imperiled*: A plant or animal or community, often referred to as G1, that is globally extremely rare or, because of some factor(s), especially vulnerable to extinction. Typically, five or fewer occurrences or populations remain, or very few individuals (<1,000), acres (<2,000 acres or 809 hectares), or linear miles (<10 miles or 16 kilometers) exist.

*imperiled*: A plant or animal or community, often referred to as G2, that is globally rare or, because of some factor(s), is very vulnerable to extinction or elimination. Typically, six to 20 occurrences, or few remaining individuals (1,000 to 3,000), or acres (2,000 to 10,000 acres or 809 to 4047 hectares), or linear miles (10 to 50 miles or 16 to 80.5 kilometers) exist.

In the United States and Canada, *SFI ~~Program-Participants~~Certified Program*  
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[Participants](#) can use the NatureServe database to identify species and communities for protection. Learn more about NatureServe *Conservation Status Assessments* at [www.natureserve.org/publications/ConsStatusAssess\\_StatusFactors.jsp](http://www.natureserve.org/publications/ConsStatusAssess_StatusFactors.jsp).

## 2.1 NatureServe Resources for Global and Occurrence Ranks

Identification and protection of *critically imperiled* and *imperiled species* and communities is a step-wise process. First, NatureServe determines the global rank, which reflects the rarity/imperilment of the species or community. Then it assesses the estimated viability, or probability of persistence, of particular occurrences of *critically imperiled* and *imperiled species* and communities. A viable species or community is one that is of sufficient quality to likely survive long-term. Clearly, little *conservation* benefit is gained unless protected occurrences have a good likelihood of long-term survival.

NatureServe inventory and *conservation* activities focus on locating, maintaining records on, and working with partners to conserve viable occurrences of *conservation* elements. NatureServe/ Natural Heritage Programs rank viability of element occurrences (community or species) using standard methodologies to yield an element occurrence ranking. A standard set of Element Occurrence Rank Specifications is developed and maintained for each element, and then applied against individual occurrences of the element.

The basic element occurrence ranks are:

- A: Excellent estimated viability
- B: Good estimated viability
- C: Fair estimated viability
- D: Poor estimated viability
- E: Verified extant (viability not assessed)
- H: Historical
- F: Failed to find
- X: Extirpated

The *SFI Standard* requires that ~~Program Participants~~[Certified Program Participants](#) have “plans to locate and protect known sites associated with viable occurrences of *critically imperiled* and *imperiled species* and communities.”

Under the *SFI 20150-20194 Standard*, occurrences of *critically imperiled* and *imperiled species* and communities ranked as A and B are to be protected. C-ranked occurrences should be reviewed and addressed on a case-by-case basis. If they have greater potential to be viable (C+), they should be protected. If there is less potential for viability (C-), they are to be managed at the [Certified Program Participant's](#) discretion.

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Element occurrences with poor estimated viability (D) would not be protected under the *SFI Standard*. A D rank might result because the acreage of a community or the population of a species is too small, the quality is very low, and/or the ecological processes required to maintain the occurrence are fundamentally altered and un-restorable. E-ranked occurrences (viability not assessed) should be presumed viable and protected until assessed and determined to be of C- or D quality. Occurrences ranked F are not covered under the *SFI Standard* since only known occurrences are included. Historical (H) and extirpated (X) occurrences are clearly nonviable, and no protection activity is warranted.

In determining the viability and potential to protect occurrences, *Program Participants* *Certified Program Participants* are encouraged to seek additional information on occurrence ranking from NatureServe ([www.natureserve.org/prodServices/eodraft/5.pdf](http://www.natureserve.org/prodServices/eodraft/5.pdf)) and/or collaborate with qualified *conservation* experts.

## 2.2 Occurrence Quality

The following material provides additional information on the standards and methodologies employed by NatureServe in determining the quality or viability of occurrences.

For an ecological assessment, scientists and managers want to know if each occurrence is of sufficient quality, or feasibly restorable, before including it in management planning. With adequate information, ecologists evaluate and rate the quality of element occurrences using criteria grouped into three categories: size, condition, and landscape context.

Characterizing the quality of an occurrence provides the basis for assessing stresses – the degradation or impairment – of element occurrences at a given site. To assess the quality of element occurrences, ecologists must identify the key ecological factors (ecological processes, population abundance, disturbance regimes, composition and structure, etc.) that support them. Once these are identified, it is possible to describe their expected ranges of variation and assess whether the on-site factors are within those ranges or requires significant effort to be maintained or restored to its desired status.

Key ecological factors vary by element type, but all are grouped into three categories of size, condition and landscape context. Each of these three categories is reviewed and ranked for each occurrence as A (excellent), B (good), C (fair) and D (poor). The break between C and D establishes a minimum quality threshold for occurrences. Occurrences ranked D are typically

presumed to be beyond practical consideration for ecological restoration. In subsequent management planning, these ranks and underlying criteria aid in focusing *conservation* activities and measure progress toward local *conservation* objectives.

Definitions of these categories are:

**Size** is a measure of the area or abundance of the *conservation* element's occurrence. It may simply be a measure of the occurrence's patch size or geographic coverage, and it may also include an estimate of sub-population size or density. Minimum dynamic area, one aspect of size, is the area needed to ensure survival or re-establishment of a population or community after natural disturbance.

**Condition** is an integrated measure of the composition, structure and biotic interactions that characterize the occurrence. This includes factors such as reproduction, age structure, biological composition (e.g. presence of native versus *invasive exotic plants and animals*; presence of characteristic patch types), physical and spatial structure (e.g. canopy, understory and groundcover; spatial distribution and juxtaposition of patch types or seral stages in an ecological system), and biotic interactions that directly involve the element (e.g. competition and disease).

**Landscape context** measures two factors: the dominant environmental regimes and processes that establish and maintain the element occurrence, and connectivity. Dominant environmental regimes include hydrologic and water chemistry regimes (surface and groundwater), geomorphic processes, climatic regimes (temperature and precipitation), fire regimes, and natural disturbances. Connectivity includes such factors as species elements having access to habitats and resources needed for lifecycle completion, fragmentation of ecological communities and systems, and the ability of any element to respond to environmental change through dispersal, migration, or re-colonization. Criteria for ranking ecological communities vary by type. In many instances, criteria are developed for ecological systems, then modified (mostly with size attributes) for application to occurrences of individual rare plant associations that may occur among the more broadly defined ecological system.

### 3. Objective 4: *Wildlife Habitats Diversity and Invasive Exotic Plants and Animals*

Objective 4 includes performance measures and indicators for *conservation of biological diversity*. Additional information is provided here for *wildlife habitats* diversity and *invasive exotic plants and animals*.

### 3.1 *Wildlife Habitats* Diversity

Programs to promote *conservation of biological diversity* should recognize the value of a diversity of habitats to support fish and *wildlife habitats*. Early successional forest stages, for example, are particularly lacking in certain regions of the U.S. and Canada, and managing for them can aid in preventing the decline of species dependent on them (e.g. ruffed grouse). Historically, fires and other natural disturbances created forest openings and the types of habitat needed by these early succession forest dependent species. As forests across the landscape mature, this type of habitat declines in abundance. However, it can easily be created by proper selection of harvesting methods including clearcutting and the use of prescribed fire.

### 3.2 *Invasive Exotic Plants and Animals*

According to the U.S. Department of Agriculture Animal and Plant Health Inspection Service, *invasive exotic plants and animals* are “any species, including its seeds, eggs, spores, or other biological material capable of propagating that species, that is not native to that ecosystem, whose introduction does or is likely to cause economic or environmental harm or harm to human health.” Examples would include gypsy moth and kudzu, but not the barred owl.

~~SFI Program-Participants~~Certified Program Participants should become knowledgeable about invasive exotic plants and animals within their area of operation. The expectation is that they will participate in cooperative efforts by others (e.g. government agencies or non-government environmental organizations) and work proactively within their own programs (e.g. erosion control or seed selection for wildlife plots) to limit the introduction, impact and spread of invasive exotic plants and animals. Indicator 4.1.~~6~~7 does not require an ~~SFI~~ Certified Program Participant to eliminate *invasive exotic plants and animals* on their land. In some places *invasive exotic plants and animals* are well established and eradication by the ~~SFI Program-Participants~~Certified Program Participants is unrealistic.

Experts in this area believe the most effective means of addressing *invasive exotic plants and animals* include:

- a. awareness building,
- b. monitoring,
- c. preventing new introductions, and
- d. eliminating new occurrences.



~~SFI Program Participants~~*Certified Program Participants* should emphasize these as priorities in their programs. Forest practices that reduce the abundance of *invasive exotic plants and animals* are preferred if they can be addressed within the context of the *SFI Certified Program Participant's* overall management objectives.

## ~~4. Objective 9: Certified Logging Professionals and Use of Trained Loggers~~

### ~~4.1 Certified Logging Professionals~~

~~SFI Inc.~~ recognizes the potential and value in promoting the use of *certified logging professionals*, and the ~~SFI 2010-2014 Standard~~ encourages their use with revisions made to indicators under performance measure 9.1:

~~"9.1.1 Program to promote the use of certified logging professionals (where available), qualified resource professionals and qualified logging professionals."~~

~~"9.1.2 List of certified logging professionals and qualified logging professionals maintained by Program Participant, state or provincial agency, loggers' association or other organization."~~

~~Certified logging professional programs~~ are in their infancy in terms of their development and are not in widespread use. The ~~SFI 2010-2014 Standard~~ recognizes these limitations while encouraging their use by *Program Participants* where they are available and after consideration of other factors involved in developing contractual relationships. *Certified logging professionals* are those professionals who have completed *SFI Implementation Committee* approved training programs and who have also successfully completed and are members in good standing of a credible *certified logging professional* program recognized by the *SFI Implementation Committee*.

~~SFI Implementation Committees~~ will review, when requested, *certified logging professional programs* to determine if they meet the criteria in indicator 16.2.2. This process is identical to the one currently in use by *SFI Implementation Committees* for evaluating credible logger training programs.

~~16.2.2 Participation in or support of SFI Implementation Committees to establish criteria for recognition of logger certification programs, where they exist, that include:~~

- ~~a. completion of *SFI Implementation Committee*-recognized logger training *programs* and meeting continuing education requirements of the training *program*;~~
- ~~a. independent in the forest verification of conformance with the logger certification *program* standards;~~
- ~~b. compliance with all applicable laws and regulations including responsibilities under the U.S. Endangered Species Act, the Canadian Species at Risk Act and other measures to protect *wildlife habitat*;~~
- ~~c. use of *best management practices* to protect of water quality;~~
- ~~d. logging safety;~~
- ~~e. compliance with acceptable *silviculture* and utilization standards;~~
- ~~f. aesthetic management techniques employed where applicable;~~
- ~~and~~
- ~~g. adherence to a management or harvest plan that is site specific and agreed to by the forest landowner.~~

#### ~~4.2 Use of Trained Loggers~~

Logger training is a very effective tool in promoting sustainable forest management, and has been a key component of the *SFI Standard* since its inception. The *SFI 2010-2014 Standard* strengthened requirements for logger training with revisions to 10.1.1 and 16.1.5:

~~"10.1.1 *Program* for the purchase of raw material from *certified logging professionals* (where available) and from *wood producers* that have completed training *programs* and are recognized as *qualified logging professionals*."~~

~~"16.1.5. *Forestry enterprises* shall have a *program* for the use of *certified logging professionals* (where available) and *qualified logging professionals*."~~

*Program* is defined in the *SFI 2010-2014 Standard* as an organized system, process or set of activities to achieve an *objective* or *performance measure*. Indicators 10.1.1 and 16.1.5 requires *Program Participants* to develop a *program* for the purchase of their raw material from logging professionals who have completed training programs. They should strive to obtain the vast majority of their raw material from logging professionals who have completed training programs, with allowances for de minimis amounts, turnover in the logging workforce, availability, timing and length of training programs, *other wood suppliers* (defined as a person or organization who infrequently supplies wood fiber on a small scale, such as farmers and small scale land clearing operators), and availability of trained logging professionals locally.

## **45. Objective 10: Best Management Practices Monitoring**

Objective 10 of the *SFI 2015-2019 Standard* calls for adherence to *Best Management Practices*: "To broaden the practice of *sustainable forestry* through the use of *best management practices* to protect water quality."

The use of *best management practices* to protect water quality is a critical component of sustainable forest management and is emphasized in the *SFI Standard* with requirements for on-the-ground management, monitoring, training and research. The *SFI 2015-2019 Standard* strengthened requirements for *best management practices* application with a new indicator:

"10.1.23 Use of written agreements for the purchase of raw material source directly from the forest is required and must include provisions requiring the use of best management practices."

~~Contracts for the purchase of raw material include provisions requiring the use of best management practices."~~

While it is not practical to have auditing requirements that go beyond reviewing ~~Program Participants~~ Certified Program Participants' contracts for purchasing raw material from their suppliers to ensure they do require the use of *best management practices*, this new indicator will further highlight the importance of *best management practices* and their use by all suppliers throughout the supply stream.

## **56. Objective 124: Biodiversity Hotspots and High-biodiversity Wilderness Areas**

Objective 124 of the *SFI 2015-2019 Standard* calls for *fiber sourcing policies* that promote *conservation* of forests and *biodiversity* in areas outside of the United States and Canada identified as *biodiversity hotspots* and *high-biodiversity wilderness areas*.

**Objective 124.** Promote *Conservation of Biological Diversity, Biodiversity Hotspots* and *High-biodiversity wilderness areas*. To broaden the practice of *sustainable forestry* by conserving *biological diversity, biodiversity hotspots* and *high-biodiversity wilderness areas*.

**Performance Measure 124.1.** ~~Program Participants~~ Certified Program Participants shall ensure that their *fiber sourcing programs* support the *principles*

*of sustainable forestry*, including efforts to promote *conservation of biological diversity*.

**Indicator:**

1. *Fiber sourcing* from areas outside the United States and Canada promotes *conservation of*:
  - a. *biodiversity hotspots* and *high-biodiversity wilderness areas* utilizing information from Conservation International; and
  - b. *biological diversity* utilizing information from organizations such as the [World Resources Institute](#), the *Alliance for Zero Extinction*, World Wildlife Fund, ~~World Resources Institute~~ and International Union for Conservation of Nature.

This document provides additional information drawn from Conservation International, the *Alliance for Zero Extinction*, World Wildlife Fund, World Resources Institute and the International Union for Conservation of Nature to aid ~~SFI Program Participants~~ [Certified Program Participants](#) in implementing these requirements.

Areas identified by any of these organizations may be wholly or partially within the United States and Canada. For the purposes of the *SFI Standard*, these areas are addressed by NatureServe or equivalent processes to identify *critically imperiled* and *imperiled* species and communities in North America (see earlier section regarding Objective 4: *Forests with Exceptional Conservation Value*).

Compliance with the *SFI 2015-2019 Standard* does not mean that that ~~Program Participants~~ [Certified Program Participants](#) must cease all raw material or procurement activities from all unmanaged forests within these areas. Rather, the emphasis is on seeking assurance that fiber and logs are secured from areas harvested legally, and avoiding actions that serve to cause or encourage further destruction of remaining original primary vegetation. Working to increasingly meet fiber and wood production needs from plantations and managed forests enhances efforts to protect remaining biologically diverse habitats. ~~Program Participants~~ [Certified Program Participants](#) can work with *conservation* organizations, government entities and others to provide additional guidance on aligning business and *conservation* objectives within these regions.

#### **[5.6.1 Biodiversity Hotspots and High-Biodiversity Wilderness Areas](#)**

Since 2002, the *SFI program* has relied on Conservation International's definitions of *biodiversity hotspots* and *high-biodiversity wilderness areas* (formerly major tropical wilderness areas) to identify areas of potential concern for ~~Program Participants~~ [Certified Program Participants](#) who source fiber from overseas. Conservation International ([www.conservation.org](http://www.conservation.org)) seeks to empower

societies to responsibly and sustainably care for nature for the well-being of humanity through a strong foundation of science, partnership and field demonstration. Conservation International maintains a list of global priority areas with exceptional biological value, and works to protect them.

#### **56.1.a Biodiversity Hotspots**

The *biodiversity hotspots* hold especially high numbers of endemic species, yet their combined area of remaining habitat covers only 2.3 percent of the Earth's land surface. Each hotspot faces extreme threats and has already lost at least 70 percent of its original natural vegetation. Over 50 percent of the world's plant species and 42 percent of all terrestrial vertebrate species are endemic to the 34 *biodiversity hotspots*.

##### Africa and Madagascar

([http://www.conservation.org/explore/africa\\_madagascar/pages/priorities.aspx](http://www.conservation.org/explore/africa_madagascar/pages/priorities.aspx))

##### CAPE FLORISTIC REGION

Evergreen fire-dependent shrublands characterize the landscape of the Cape Floristic Region.

##### COASTAL FORESTS OF EASTERN AFRICA

Though tiny and fragmented, the forest remnants that make up the Coastal Forests of Eastern Africa contain remarkable levels of *biodiversity*.

##### EASTERN AFROMONTANE

The mountains of the Eastern Afromontane hotspot are scattered along the eastern edge of Africa, from Saudi Arabia in the north to Zimbabwe in the south.

##### GUINEAN FORESTS OF WESTERN AFRICA

The lowland forests of West Africa are home to more than a quarter of Africa's mammals, including more than 20 species of primates.

##### HORN OF AFRICA

The arid Horn of Africa has been a renowned source of biological resources for thousands of years.

##### MADAGASCAR & THE INDIAN OCEAN ISLANDS

Madagascar and its neighboring island groups have an astounding total of eight plant families, four bird families, and five primate families that live nowhere else on Earth.

#### MAPUTALAND-PONDOLAND-ALBANY

Maputaland-Pondoland-Albany, which stretches along the east coast of southern Africa below the Great Escarpment, is an important center of plant endemism.

#### SUCCULENT KAROO

The Succulent Karoo of South Africa and Namibia boasts the richest succulent flora on earth, as well as remarkable endemism in plants.

Asia-Pacific ([http://www.conservation.org/explore/priority\\_areas/hotspots/asia-pacific/Pages/asia-pacific.aspx](http://www.conservation.org/explore/priority_areas/hotspots/asia-pacific/Pages/asia-pacific.aspx))

#### EAST MELANESIAN ISLANDS

Once largely intact, the 1,600 East Melanesian Islands are now a hotspot due, sadly, to accelerating levels of habitat loss.

#### HIMALAYA

The Himalaya Hotspot is home to the world's highest mountains, including Mount Everest.

#### INDO-BURMA

Encompassing more than two million square kilometers of tropical Asia, Indo-Burma is still revealing its biological treasures.

#### JAPAN

The islands that make up the Japanese Archipelago stretch from the humid subtropics in the south to the boreal zone in the north, resulting in a wide variety of climates and ecosystems.

#### MOUNTAINS OF SOUTHWEST CHINA

With dramatic variations in climate and topography, the Mountains of Southwest China support a wide array of habitats including the most endemic-rich temperate flora in the world.

#### NEW CALEDONIA

An island the size of New Jersey in the South Pacific Ocean, New Caledonia is the home of no less than five endemic plant families.

#### NEW ZEALAND

A mountainous archipelago once dominated by temperate rainforests, New Zealand harbors extraordinary levels of endemic species.

#### PHILIPPINES



More than 7,100 islands fall within the borders of the Philippines hotspot, identified as one of the world's biologically richest countries.

#### POLYNESIA-MICRONESIA

Comprising 4,500 islands stretched across the southern Pacific Ocean, the Polynesia-Micronesia hotspot is the epicenter of the current global extinction crisis.

#### SOUTHWEST AUSTRALIA

The forest, woodlands, shrublands and heath of Southwest Australia are characterized by high endemism among plants and reptiles.

#### SUNDALAND

The spectacular flora and fauna of the Sundaland Hotspot are succumbing to the explosive growth of industrial forestry in these islands.

#### WALLACEA

The flora and fauna of Wallacea are so varied that every island in this hotspot needs secure protected areas to preserve the region's *biodiversity*.

#### WESTERN GHATS & SRI LANKA

Faced with tremendous population pressure, the forests of the Western Ghats and Sri Lanka have been dramatically impacted by the demands for timber and agricultural land.

#### Europe and Central Asia

([http://www.conservation.org/explore/europe\\_central\\_asia/pages/priorities.aspx](http://www.conservation.org/explore/europe_central_asia/pages/priorities.aspx))

#### CAUCASUS

The deserts, savannas, arid woodlands and forests that comprise the Caucasus hotspot contain a large number of endemic plant species.

#### IRANO-ANATOLIAN

Forming a natural barrier between the Mediterranean Basin and the dry plateaus of Western Asia, the mountains and basins that make up the Irano-Anatolian Hotspot contain many centers of local endemism.

#### MEDITERRANEAN BASIN

The flora of the Mediterranean Basin is dramatic. Its 22,500 endemic vascular plant species are more than four times the number found in all the rest of Europe.

#### MOUNTAINS OF CENTRAL ASIA

Comprising two of Asia's major mountain ranges, the Mountains of Central Asia were known to early Persians as the "roof of the world."

#### North and Central America

([http://www.conservation.org/explore/priority\\_areas/hotspots/north\\_central\\_america/Pages/north\\_central\\_america.aspx](http://www.conservation.org/explore/priority_areas/hotspots/north_central_america/Pages/north_central_america.aspx))

#### CALIFORNIA FLORISTIC PROVINCE

The California Floristic Province is a zone of Mediterranean-type climate and has the high levels of plant endemism characteristic of these regions.

#### CARIBBEAN ISLANDS

The Caribbean Islands support exceptionally diverse ecosystems, ranging from montane cloud forests to cactus scrublands, which have been devastated by deforestation and encroachment.

#### MADREAN PINE-OAK WOODLANDS

Encompassing Mexico's main mountain chains, and isolated mountaintop islands in Baja California and the southern United States, the Madrean Pine-Oak Woodlands is an area of rugged mountainous terrain, high relief and deep canyons.

#### MESOAMERICA

The Mesoamerican forests are the third largest among the world's hotspots. Their spectacular endemic species include quetzals, howler monkeys and 17,000 plant species.

#### South America

([http://www.conservation.org/explore/priority\\_areas/hotspots/south\\_america/Pages/south\\_america.aspx](http://www.conservation.org/explore/priority_areas/hotspots/south_america/Pages/south_america.aspx))

#### ATLANTIC FOREST

The Atlantic Forest of tropical South America boasts 20,000 plant species, 40 percent of which are endemic.

#### CERRADO

The Cerrado region of Brazil, comprising 21 percent of the country, is the most extensive woodland-savanna in South America.

#### CHILEAN WINTER RAINFALL-VALDIVIAN FOREST

A virtual continental island bounded by the Pacific Ocean, the Andes Mountains and the Atacama Desert, the Chilean Winter Rainfall-Valdivian Forest harbors richly endemic flora and fauna.

## TROPICAL ANDES

The richest and most diverse region on Earth, the Tropical Andes region contains about a sixth of all plant life in less than one percent of the world's land area.

## TUMBES-CHOCÓ-MAGDALENA

Tumbes-Chocó-Magdalena is bordered by two other hotspots: Mesoamerica to the north and the Tropical Andes to the east.

### **56.1.b High-Biodiversity Wilderness Areas**

([http://www.conservation.org/explore/priority\\_areas/wilderness/Pages/default.aspx](http://www.conservation.org/explore/priority_areas/wilderness/Pages/default.aspx))

*High-biodiversity wilderness areas* are areas where the vegetation is still over 70 percent intact.

#### Amazonia

Spanning nine South American countries, the Amazonia wilderness is unlike any other, supporting more than 40,000 species of plants, with three-quarters of them found nowhere else.

#### Congo Basin

Seven African nations share the second-largest expanse of tropical wilderness in the world. Unlike other landscapes in the region, a great portion of the remote Congo Basin forests have remained intact.

#### New Guinea

The world's biggest tropical island and its outlying islands contain the largest remaining wilderness in the entire Asia-Pacific. New Guinea and its neighbors are home to thousands of species known to science, and possibly many yet to be discovered.

#### North American Deserts

This arid, mostly desert region covering northern Mexico and the southwestern United States contains more unique species than any other desert on the planet, including the majority of all known cactus species.

#### Miombo-Mopane Woodlands and Savannas of Southern Africa

Quite possibly the single largest block of dry woodlands in the world, this wilderness region stretches across 10 countries, supporting large numbers of wildlife and people who depend on its natural resources.

## 56.2 Resources for the *Conservation of Biological Diversity*

The following table provides information on each organization referenced in Indicator 12<sup>1</sup>.1.b in the *SFI Standard*. This information is intended to provide background information on each resource and internet links are provided for further details.

Organization & Website	Overview of Organization & Goals	How Sites are Classified	For More Information
<p><i>Alliance for Zero Extinction (AZE)</i> (<a href="http://www.zeroextinction.org/index.htm">http://www.zeroextinction.org/index.htm</a>)</p>	<p><i>AZE</i> is a joint global initiative of 52 <i>biodiversity conservation</i> organizations, aimed to prevent extinctions by identifying and safeguarding key sites where species are in imminent danger of disappearing. Its goal is to create a front line of defense against extinction by eliminating threats and restoring habitat to allow species populations to rebound. The purpose of the Alliance is to identify sites in most urgent need of <i>conservation</i>, and to act together to prevent species extinctions.</p>	<p><i>AZE</i> has identified the last remaining sites for the world's most highly threatened species, 93 percent of which are threatened primarily by habitat destruction.</p> <p>The data gathering process was performed over a period of many months with input from regional experts, as well as experts in the five <i>AZE</i> taxa (mammals, birds, reptiles, amphibians and conifers) from around the world. The data was verified using existing databases such as the IUCN Red List, BirdLife International's global database, and the Global Amphibian Assessment. <i>AZE</i> scientists, working in collaboration with an international network of experts, have so far identified 595 such sites that must be effectively protected to prevent the extinction of 794 of the world's most threatened species including mammals, birds, some reptiles (crocodilians, iguanas, turtles and tortoises), amphibians and conifers (many sites have more than one <i>AZE</i> "trigger species" confined to them). Additionally, <i>AZE</i> uses the following criteria to identify priority sites (a site must meet all three to qualify): Endangerment, Irreplaceability, and Discreteness.</p>	<p><a href="#">The Alliance for Zero Extinction has released an updated set of sites, coinciding with the 2010 meeting of the parties on the Convention on Biological Diversity in Nagoya, Japan. Read the <i>AZE</i> report: Pinpointing and Preventing Imminent Extinction</a> <a href="http://www.zeroextinction.org/AZE_report.pdf">http://www.zeroextinction.org/AZE_report.pdf</a> <a href="http://www.zeroextinction.org/sitespecies.htm">http://www.zeroextinction.org/sitespecies.htm</a></p>
<p>International Union for the <i>Conservation of Biodiversity</i> (IUCN) (<a href="http://www.iucn.org/what/biodiversity/">http://www.iucn.org/what/biodiversity/</a>)</p>	<p>IUCN's work on <i>biodiversity</i> includes comprehensive research on the status of <i>biodiversity</i> and thousands of individual animal and plant species; action to protect specific species; managing and restoring natural areas, national parks and other protected areas; and promoting the sustainable use of natural resources. IUCN also provides the knowledge, standards and</p>	<p>The IUCN Red List of Threatened Species™ provides taxonomic, <i>conservation</i> status and distribution information on plants and animals that have been globally evaluated using the IUCN Red List Categories and Criteria. The main purpose of the IUCN Red List is to catalogue and highlight those plants and animals that are facing a higher</p>	<p>Access the <i>conservation</i> status of species here: <a href="http://www.iucnredlist.org/">http://www.iucnredlist.org/</a></p> <p>A how-to guide to the IUCN Red List: <a href="http://www.iucnredlist.org/documents/redlist_web_site_users_guide.pdf">http://www.iucnredlist.org/documents/redlist_web_site_users_guide.pdf</a></p>

Organization & Website	Overview of Organization & Goals	How Sites are Classified	For More Information
	tools for <i>biodiversity conservation</i> for governments, community organizations, the United Nations and business. The IUCN Species Programme, working with the IUCN Species Survival Commission, has for more than four decades been assessing the <i>conservation</i> status of species, subspecies, varieties and even selected subpopulations on a global scale in order to highlight taxa threatened with extinction, and therefore promote their <i>conservation</i> .	risk of global extinction (i.e. those listed as Critically Endangered, Endangered and Vulnerable). The IUCN Red List also includes information on plants and animals that are categorized as Extinct or Extinct in the Wild; on taxa that cannot be evaluated because of insufficient information (i.e. are Data Deficient); and on plants and animals that are either close to meeting the threatened thresholds or that would be threatened were it not for an ongoing taxon-specific <i>conservation</i> programme (i.e. are Near Threatened).	<del>Classification process for the IUCN Red List:</del> <del><a href="http://www.iucnredlist.org/documents/redlist_cats_crit_en_v1223290226.pdf">http://www.iucnredlist.org/documents/redlist_cats_crit_en_v1223290226.pdf</a></del>
World Resources Institute (WRI) Intact Forest Landscapes ( <a href="http://www.intactforests.org/">http://www.intactforests.org/</a> )	An Intact Forest Landscape (IFL) is an unbroken expanse of natural ecosystems within the zone of current forest extent, showing no signs of significant human activity, and large enough that all native <i>biodiversity</i> , including viable populations of wide-ranging species, could be maintained. The IFL concept and its technical definition were introduced to help create, implement and monitor policies concerning the human impact on forest landscapes at the regional or country levels. The essence of the approach is to use high spatial resolution satellite information to establish the boundaries of large undeveloped forest areas, and use these boundaries as a baseline for monitoring. Developed by a group of non-governmental environmental organizations (Greenpeace, World Resources Institute, Global Forest Watch, Biodiversity Conservation Center, International Socio-Ecological Union, and Transparent World), the IFL concept, mapping and monitoring algorithms have been used both in regional and global forest monitoring projects and in scientific research.	An IFL is an unbroken expanse of natural ecosystems within the zone of current forest extent, showing no signs of significant human activity and large enough that all native <i>biodiversity</i> , including viable populations of wide-ranging species, could be maintained. Although all IFL are within the forest zone, some may contain extensive naturally tree-less areas, including grasslands, wetlands, lakes, alpine areas and ice. This definition builds on the definition of Frontier Forest developed by WRI (Bryant et al., 1997). Technically, an IFL is defined as a territory within today's global extent of forest cover which contains forest and non-forest ecosystems minimally influenced by human economic activity, with an area of at least 500 km <sup>2</sup> (50,000 ha) and a minimal width of 10 km (measured as the diameter of a circle that is entirely inscribed within the boundaries of the territory). Areas with evidence of certain types of human influence are considered disturbed, and consequently not eligible for inclusion, e.g. settlements, transportation infrastructure such as roads, railways, pipeline and power transmission lines; agriculture and timber production; industrial activities during the last 30 to 70 years, such as logging,	The global IFL map can be found here: <a href="http://www.intactforests.org/world.map.html">http://www.intactforests.org/world.map.html</a>

Organization & Website	Overview of Organization & Goals	How Sites are Classified	For More Information
		mining, oil and gas exploration and extraction and peat extraction.	
World Wildlife Fund (WWF) ( <a href="http://www.worldwildlife.org/science/ecoregions/global200.html">http://www.worldwildlife.org/science/ecoregions/global200.html</a> )	<p>WWF uses the best available scientific knowledge to preserve the diversity and abundance of life on Earth and the health of ecological systems, by:</p> <ul style="list-style-type: none"> <li>protecting natural areas and wild populations of plants and animals, including endangered species;</li> <li>promoting sustainable approaches to the use of renewable natural resources; and</li> <li>promoting more efficient use of resources and energy and the maximum reduction of pollution</li> </ul> <p>WWF's Global 200 attempts to identify a set of ecoregions whose <i>conservation</i> would achieve the goal of saving a broad diversity of the Earth's ecosystems.</p> <p>These ecoregions include those with exceptional levels of <i>biodiversity</i>, such as high species richness or endemism, or those with unusual ecological or evolutionary phenomena.</p> <p>WWF, in collaboration with the National Geographic Society developed an interactive map and descriptions of the Global 200 available through a Wild World website.</p>	<p>WWF researchers analyzed global patterns of <i>biodiversity</i> to identify a set of the Earth's terrestrial, freshwater and marine ecoregions that harbor exceptional <i>biodiversity</i> and are representative of its ecosystems. They placed each of the Earth's ecoregions within a system of 30 biomes and biogeographic realms to facilitate a representation analysis.</p> <p><i>Biodiversity</i> features were compared among ecoregions to assess their irreplaceability or distinctiveness. These features included species richness, endemic species, unusual higher taxa, unusual ecological or evolutionary phenomena, and the global rarity of habitats. This process yielded 238 ecoregions – the Global 200 – comprising 142 terrestrial, 53 freshwater and 43 marine priority ecoregions. Ecoregions were also assigned a conservation status, with those most at-risk assigned “critical” or “endangered”.</p>	<p>Global 200 maps can be found at (<a href="http://www.nationalgeographic.com/wildworld/">http://www.nationalgeographic.com/wildworld/</a>)</p> <p><a href="http://www.nationalgeographic.com/wildworld/profiles/g200_index.html">Descriptions of each Global 200 ecoregion:</a> <a href="http://www.nationalgeographic.com/wildworld/profiles/g200_index.html">http://www.nationalgeographic.com/wildworld/profiles/g200_index.html</a></p> <p><a href="http://www.worldwildlife.org/science/data/item1872.html">WWF Wildfinder Tool:</a> <del>Downloadable GIS data:</del> <a href="http://www.worldwildlife.org/science/data/item1872.html">http://www.worldwildlife.org/science/data/item1872.html</a> <a href="http://worldwildlife.org/science/wildfinder/">http://worldwildlife.org/science/wildfinder/</a></p>



## 6. Objectives 11 and 17: Certified Logging Professionals and Use of Trained Loggers

### 6.1 Certified Logging Professionals

SFI Inc. recognizes the potential and value in promoting the use of *certified logging professionals*, and the *SFI 2015-2019 Standard* encourages their use with revisions made to indicators under performance measure 11.1 and performance measure 17.1.

"11.1.2 List of *certified logging professionals* and *qualified logging professionals* maintained by *Certified Program Participant*, state or provincial agency, loggers' association or other organization."

"17.1.5 Program to promote the use of *certified logging professionals* (where available), *qualified resource professionals* and *qualified logging professionals*."

*Certified logging professional programs* are in their infancy in terms of their development and are not in widespread use. The *SFI 2015-2019 Standard* recognizes these limitations while encouraging their use by *Certified program participants* where they are available and after consideration of other factors involved in developing contractual relationships. *Certified logging professionals* are those professionals who have completed *SFI Implementation Committee* approved training programs and who have also successfully completed and are members in good standing of a credible *certified logging professional* program recognized by the *SFI Implementation Committee*.

*SFI Implementation Committees* will review, when requested, *certified logging professional programs* to determine if they meet the criteria in indicator 17.2.3. This process is identical to the one currently in use by *SFI Implementation Committees* for evaluating credible logger training programs.

17.2.3 Participation in or support of *SFI Implementation Committees* to establish criteria for recognition of logger certification *programs*, where they exist, that include:

- a. completion of *SFI Implementation Committee* recognized logger training *programs* and meeting continuing education requirements of the training *program*;
- b. independent in-the-forest verification of conformance with the logger certification *program* standards;
- c. compliance with all applicable laws and regulations including responsibilities under the U.S. Endangered Species Act, the Canadian Species at Risk Act and other measures to protect *wildlife habitat*;
- d. use of *best management practices* to protect of water quality;
- e. logging safety;
- f. compliance with acceptable *silviculture* and utilization standards;
- g. aesthetic management techniques employed where applicable; and
- h. adherence to a management or harvest plan that is site specific and agreed to by the forest landowner.

### 6.2 Use of Trained Loggers

Logger training is a very effective tool in promoting sustainable forest management, and has been a key component of the *SFI Standard* since its inception. The *SFI 2015-2019 Standard* strengthened requirements for logger training with revisions to 11.1.1, 17.1.5, 17.2.1 and 17.2.2

"11.1.1. *Program to promote the use of certified logging professionals (where available), qualified resource professionals and qualified logging professionals.*"

"17.1.5. *Certified Program Participants* shall have written agreements for the use of certified logging professionals (where available) or wood producers that have completed training programs and are recognized as qualified logging professionals. "

"17.2.1. Participation in or support of *SFI Implementation Committees* to establish criteria and identify delivery mechanisms for *wood producers'* training courses and periodic continuing education that address:

- a. awareness of *sustainable forestry principles* and the *SFI* program;
- b. *best management practices*, including streamside management and road construction, maintenance and retirement;
- c. *reforestation, invasive exotic plants and animals, forest resource conservation, aesthetics, and special sites*;
- d. awareness of responsibilities under the U.S. Endangered Species Act, the Canadian Species at Risk Act, and other measures to protect *wildlife habitat* (e.g. *Forests with Exceptional Conservation Value*);
- e. Awareness of rare forested natural communities as identified by provincial or state agencies, or by credible organizations such as NatureServe, The Nature Conservancy, etc.
- f. logging safety;
- g. U.S. Occupational Safety and Health Administration (OSHA) and Canadian Centre for Occupational Health and Safety (COHS) regulations, wage and hour rules, and other provincial, state and local employment laws;
- h. transportation issues;
- i. business management;
- j. public *policy* and outreach; and
- k. awareness of emerging technologies.

"17.2.2 The SIC-approved wood producer's training programs shall have a continuing education component with coursework that supports the current logger training programs, safety and the principles of sustainable forestry."

*Program* is defined in the *SFI 2010-2014 Standard* as an organized system, process or set of activities to achieve an *objective* or *performance measure*. Indicators 11.1.1 and 17.1.5 requires *Certified program participants* to develop a *program* for the purchase of their raw material from logging professionals who have completed training programs. They should strive to limit their deliveries from untrained loggers to no more than 5% with allowances for turnover in the logging workforce, availability, timing and length of training programs, *other wood suppliers* (defined as a person or organization who infrequently supplies wood fiber on a small scale, such as farmers and small-scale land-clearing operators), and availability of trained logging professionals locally. This cap on deliveries by untrained loggers also needs to recognize that catastrophic events (severe storms,

wildlife, beetle epidemics) can result in large-scale salvage efforts over comparatively short periods of time which can result in increased deliveries by untrained loggers.

## ~~7. SFI Certification and Alternative Markets~~

### ~~7.1 Bioenergy Markets~~

~~The *SFI 2010-2014 Standard* is a research and science-based standard that also takes careful consideration of social, economic and environmental issues related to forest management as well as the interests in the marketplace. Through its continual improvement process, the *SFI program* often builds new requirements into its standard that reflect new information and science as it becomes available.~~

~~*Bioenergy feedstocks* are not new products from managed forests; however, there is growing interest in such products given government policies and positions to promote renewable energy. The *SFI Standard* provides the same assurances regardless of the final product, whether it is solid wood building products, paper products, or feedstocks for bioenergy. In addition, the requirements for forest management and *fiber sourcing* are the same regardless of whether the end-user is a traditional forest or paper product company or emerging bioenergy production company.~~

~~The *SFI 2010-2014 Standard* applies to management of forests throughout North America where management intensities are characterized by managed natural forests and plantation forestry, regardless of the forest products derived from management of such forests. Short rotation woody crop operations and other high intensity forestry operations, while they may serve a role in the production of *bioenergy feedstocks*, are beyond the scope of the *SFI 2010-2014 Standard*.~~

~~The *SFI Standard* applies to *bioenergy feedstock* removal in a manner consistent with “conventional” harvest activity. This includes the area of Figure 1 circled in green (on the left). The area in the red circle (to the right) falls outside of the scope of the *SFI Standard*. Conventional is defined as management of natural forests or plantation forestry as described by Burger 2002<sup>4</sup>.~~

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<sup>4</sup> Burger, J.A. 2002. Soil and Long Term Site Productivity Values. In: Richardson, J.; Bjorheden, R.; Hakkila, P.; Lowe, A. T.; and Smith, C. T. Bioenergy from Sustainable Forestry: Guiding Principles and Practice. Dord

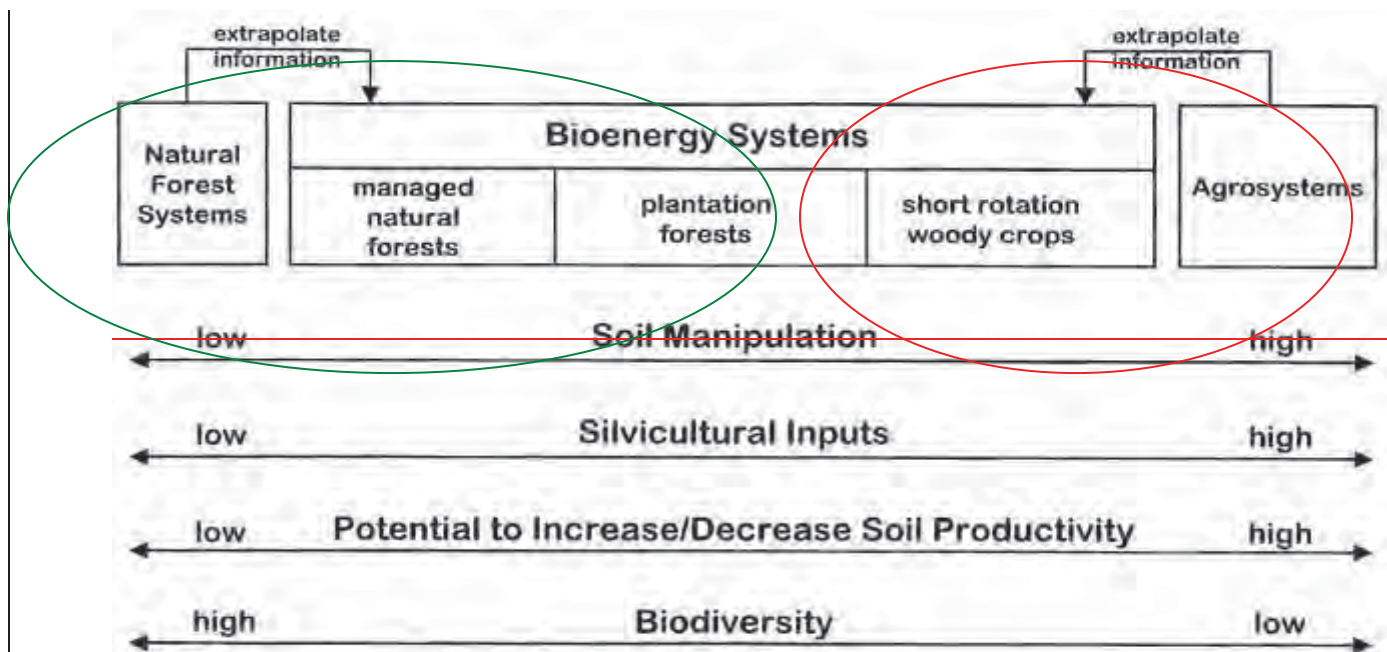


Figure 1. Spectrum of forest management systems that may produce *bioenergy feedstocks*, and associated gradients in silvicultural inputs and effects on soil productivity and *biodiversity* (Burger, 2002).

In the *SFI 2010-2014 Standard*, *bioenergy feedstock* is defined as follows:

*bioenergy feedstock*: Biomass used for the production of renewable energy. Biomass includes any organic products and byproducts derived from trees, plants and other biological organic matter, including limbs, bark and other cellulosic material, organic byproducts from wood pulping, and other biologically derived materials.

Use of the term *bioenergy feedstock*, although a cumbersome phrase, is technically correct and appropriate. *Bioenergy feedstock* is used to restrict the definition to biomass intended for production of renewable energy from organic matter as opposed to biomass collected/produced at smaller scales for limited markets (e.g. pine straw for landscaping). *Bioenergy* may either be used directly as fuel, processed into liquids or gasses, or be a residual of the processing or conversion mechanisms. Use of the term "feedstock" implies that biomass is being used as input to some desired end use, as in a manufacturing or energy conversion process. Finally, qualifying the term feedstock with *bioenergy* distinguishes feedstocks that are inputs to renewable energy production systems from feedstocks that are for any end use.

Use of the term biomass would be too broad because biomass is any organic matter including forest and mill residues, agricultural crops and wastes, wood and wood wastes, animal wastes, livestock operation residues, aquatic plants, and municipal and industrial wastes.

Use of the term woody would be too limiting because it would preclude non-woody material produced in the forest such as grasses.

## 7.2 Climate Change and Carbon Sequestration Markets

While climate change and the role that managed forests can play in its mitigation are at the forefront of current environmental issues, climate change science has not advanced far enough to direct *Program Participants* to participate in carbon offset markets, adaptation and other mitigation activities. Therefore, the *SFI 2010-2014 Standard* appropriately includes these activities in the suite of options for research activities.

Additionally, *SFI Inc.* worked with experts to provide guidance regarding the *SFI program* and its role in carbon markets and climate change mitigation. The result of the work was specific guidance to *SFI Inc.* on the following areas of opportunity:

- *SFI Inc.* as a carbon information source:  
With there still being much to learn regarding how climate change will affect forests and the role managed forests can play in mitigating climate change, many forest managers are in the early stages of attempting to understand what opportunities are available. *SFI Inc.* will seek to work with its partners to provide access to the information and data *Program Participants* need. *SFI Inc.* provides links and information on various carbon markets and outlets for more information on its website ([www.sfiprogram.org](http://www.sfiprogram.org)).
- *SFI* messaging in relation to the role of forests in climate change and carbon markets:  
*SFI Inc.* has developed messaging on the role of certified forests in climate change to aid *Program Participants* when communicating with the public. These are available on the *SFI program* website ([www.sfiprogram.org](http://www.sfiprogram.org)).
- *SFI* certification as a market entry tool and opportunities to align certification processes with carbon verification: *SFI Inc.* will maintain its focus on forest certification and responsible forest management. However, opportunities may exist for *SFI* certified companies, such as gaining market entry into carbon accounting verification processes or aligning verification procedures to minimize costs. *SFI Inc.* will explore these opportunities and provide guidance to *Program Participants* interested in participating in carbon markets.

Even though there is still much to learn about climate change, *sustainable forestry* makes an important contribution to mitigating climate change and adapting to changing ecosystems. Notwithstanding the fact that policy solutions have not been solidified regarding the role of managed forests in a regulatory framework, the process of carbon sequestration is a natural byproduct of tree growth and therefore an important component of climate change mitigation. As a result, *Program Participants* have an opportunity to monitor information generated from regional climate models and consider how well managed forests contribute to resilient ecosystems as an adaptation to a changing climate.

The *SFI 2010-2014 Standard* addresses these opportunities through Performance Measure 15.3:

*Program Participants* shall individually and/or through cooperative efforts involving *SFI Implementation Committees*, associations or other partners broaden the awareness of climate change impacts on forests, *wildlife* and *biological diversity*.

Indicators:

1. ~~Where available, monitor information generated from regional climate models on long-term forest health, productivity and economic viability.~~
2. ~~Program Participants are knowledgeable about climate change impacts on wildlife, wildlife habitats and conservation of biological diversity through international, national, regional or local programs.~~

~~The efforts of SFI Program Participants in researching, monitoring and promoting awareness of the effects of climate change will inform future versions of the SFI Standard.~~

## 78. ILO Core Conventions

Performance measure 154.23 was added to address differences in U.S. labor law and the ILO core conventions. Additional guidance is provided here for application of 154.23 for independent contractors and for ~~Program Participants~~ Certified Program Participants.

Application of 154.23 for independent contractors operating on lands owned or controlled by ~~Program Participants~~ Certified Program Participants.

- *Certification bodies* at the time of the audit will collect and review information the Certified Program Participant has received from outside stakeholders with regards to concerns or conformance pertaining to independent contractor actions related to ILO Core conventions 87, 98 and 111.
- Any information collected by the *certification bodies* during normal auditing times will be promptly submitted without contractor identifying information to the Certified Program Participant, *SFI Inc.* and the *SFI ILO Task Force*. Information received will be reviewed every 6 months by the *SFI ILO Task Force* which will develop recommendations to the *SFI Inc.* Board of Directors for resolution of any significant problems identified.
- Indicator 154.23 shall only apply to the core conventions not fully covered by existing U.S. or Canadian law.
  - Right to Organise (No. 87)
  - Right to Organise and Collective Bargaining (No. 98)
  - Discrimination (111).
- In addition, any ILO related issue that is being addressed through a formal grievance process or before any of the agencies established by the U.S. National Labor Relations Act (NLRA), the appropriate Provincial Labour Code or Act, or the courts until those processes are completed, and will not be subject to review, consideration or recommendations by the *SFI ILO Task Force* nor by the *SFI Inc.* Board of Directors.

Application of 154.23 for ~~Program Participants~~ Certified Program Participants with respect to their employees operating on lands owned or controlled by ~~Program Participants~~ Certified Program Participants.

- *Certification bodies* at the time of the audit will collect and review information the Certified Program Participant has received from outside stakeholders with regards to concerns or conformance pertaining to their employee relations with regards to ILO Core conventions 87, 98 and 111.



- Stakeholders may raise issues regarding conformance to indicator 154.23 through the inconsistent practices procedures outlined in the *SFI* Public Inquires and Official Complaints (Section 11) requirements, item 3.
- All information collected through the inconsistent practices process will be reviewed every 6 months by the *SFI ILO* Task Force which will develop recommendations to the *SFI Inc.* Board of Directors for resolution of any significant problems identified.
- Indicator 154.23 shall only apply to the core conventions not fully covered by existing U.S. or Canadian law.
  - Right to Organise (No. 87)
  - Right to Organise and Collective Bargaining (No. 98)
  - Discrimination (111).
- In addition, any ILO related issue that is being addressed through a formal grievance process or before any of the agencies established by the U.S. National Labor Relations Act (NLRA), the appropriate Provincial Labour Code or Act, or the courts until those processes are completed will not be subject to review, consideration or recommendations by the *SFI ILO* Task Force nor by the *SFI Inc.* Board of Directors.

Public forest landowners in states (Alabama, North Carolina and Virginia) that currently have laws prohibiting bargaining with their public employees shall be “grandfathered in” as meeting the requirements in indicator 154.23 but must still participate in the information gathering process with their *certification bodies* (for independent contractors) and the inconsistent practices process in item 8.4 of the *SFI* Public Inquires and Official Complaints (Section 11) requirements to aid in resolution of any issues that may be identified.

## 89. *SFI Implementation Committees*

~~*SFI Program Participants*~~*Certified Program Participants* established state *SFI Implementation Committees* in 1995 and the first provincial *SFI Implementation Committee* in 2001. *SFI Implementation Committees* provide a strong foundation for the *SFI program* and make important contributions in assuring *SFI Standard* conformance and *SFI program* recognition. The state, provincial and regional *SFI Implementation Committees* are semi-autonomous committees reflecting significant geographic and organizational diversity. This flexible, grassroots infrastructure is a fundamental strength of the *SFI program* and its goal to promote responsible forestry across all forest ownerships.

The definition of *SFI Implementation Committee (SIC)* in the *SFI 20150-20194 Standard* is: A state, provincial, or regional committee organized by ~~*SFI Program Participants*~~*Certified Program Participants* to facilitate or manage the *programs* and alliances that support the growth of the *SFI program*, including sustainable forest management.”

In 2009, *SFI Inc.* developed an ad-hoc committee to review the *SFI Implementation Committee* governance document for relevance to the current *SFI program*, and to ensure consistency with the *SFI 2010-2014 Standard*. This committee reinforced the need for this governance document to ensure consistency with the current *SFI Standard*. The *SFI Implementation Committee* governance document will be updated in conjunction with future *SFI Standard* revisions, and may also be reviewed between scheduled revisions if there are significant *SFI program* changes.

Some key elements from the governance document and how they relate to the *SFI 20150-20194 Standard* are included here.

### Vision Statement

*SFI Implementation Committees (SICs)* are an integral part of the *SFI program* and play a vital role in promoting training and landowner outreach, maintaining integrity of the *SFI program* and supporting and promoting responsible forestry and the *SFI program* at local levels.

### Mission Statement

The Memorandum of Understanding (MOU) defines the *SIC Mission*, ensuring *SIC* goals and priorities are based on recommendations from the *SIC Governance Review Ad-hoc Committee*. The MOU clarifies both the *SIC mission* and supports obligations for *SFI Program Participants Certified Program Participants* as follows:

- I. Overall *SIC Mission* – Effectively facilitate or manage at a state, provincial or regional level the programs and alliances which support the growth of sustainable forest management through the *SFI program*.
- II. Core *SIC Mission* – Priorities for all *SICs*:
  - A. Training & Education – Establish criteria and identify delivery mechanisms for logging professional, forest resource professional and wood producer training, and defining what it means to be “*SFI trained*”.<sup>2</sup> Establish criteria for recognition of *certified logging professional* programs, where they exist.<sup>3</sup>
  - B. Inconsistent Practices – Establish protocols for addressing, investigating, and responding to *SFI Standard* non-conformity allegations and inconsistent practices, and allegations regarding non-*Certified Program Participant* forest management practices.<sup>4</sup>
  - C. Landowner Outreach – Focus landowner outreach efforts on education and technical assistance.<sup>5</sup>
  - D. Informational Resources -- Focus informational resource efforts on increasing *SFI* program recognition, awareness and support with groups, such as local opinion leaders and forestry resource professionals.<sup>6</sup>
  - E. Annual Reporting -- Submit the *SIC Annual Progress Report* to *SFI Inc.*
  - F. *SFI Program Integrity*<sup>7</sup> -- Protect the integrity of the *SFI program* by:
    - a) ensuring proper *SIC* service mark usage;
    - b) alerting *SFI Inc.* when improper communications or misleading claims are observed;
    - c) avoiding the appearance of participation or compliance by non-*SFI Program*

<sup>2</sup> *SFI 20150-20194 Standard* Indicator 176.2.1.

<sup>3</sup> *SFI 20150-20194 Standard* Indicator 176.2.32.

<sup>4</sup> *SFI 20150-20194 Standard* Performance Measure 187.3

<sup>5</sup> *SFI 20150-20194 Standard* Indicators 187.1.1. – 187.1.23.

<sup>6</sup> *SFI 20150-20194 Standard* Performance Measure 187.2.

<sup>7</sup> *SFI 20150-20149 Standard* Indicators 187.3.1. and 187.3.2.

~~Participants~~Certified Program Participants; and  
d) avoiding appearance of third-party certification by non-certified ~~SFI Program~~  
~~Participants~~Certified Program Participants.

- III. Secondary *SIC* Mission – Below are priorities which may be determined by each *SIC*; however, individual participants may choose not to participate or support these objectives.
- A. Training & Education -- Provide delivery mechanisms for logging professional, and forest resource professional, and wood producer training to address *SFI* program needs not adequately provided by other programs.
  - B. Market Outreach – Sponsor active market outreach efforts in local communities that may include paid advertising.
  - C. Recruitment – Encourage large landowners and all forest products facilities to enroll as ~~*SFI Program Participants*~~Certified Program Participants; encourage family forest owners to participate in American Tree Farm System or similar programs recognized by the *SFI* program, as appropriate.
  - D. Forest Management Statistics – Encourage government agencies to provide accessible timely, accurate harvest and regeneration statistics, in support of a Certified Program Participant's sustainable forestry programs.<sup>8</sup>
  - E. Research – Promote forestry research, science, and technology, upon which sustainable forest management decisions are based.<sup>9</sup>

#### SIC Organization

*SICs* are semi-autonomous committees reflecting significant geographic and organizational diversity. This flexible, grassroots infrastructure is a fundamental strength of the *SFI* program and our goal to promote sustainable forestry across all ownerships. The following is intended to clarify support expectations and provide guidance to ensure consistency, while still maintaining *SIC* flexibility.

#### **910. Transition to the *SFI 20150-20194 Standard***

Changes adopted by the *SFI Inc.* Board of Directors to the *SFI Standard* must be incorporated into a Certified Program Participant's policies, plans, and management activities within one year of adoption and publication. Similarly, changes to certification procedures and qualifications for *certification bodies* must be accomplished within one year of adoption and publication.

It is the Certified Program Participant's responsibility to work with the *certification body* to establish a surveillance audit schedule that meets the requirements outlined in the Section 9 SFI 20150-20194 Audit Procedures and Auditor Qualifications and Accreditation-document. Additional guidance regarding the transition is included below:

- The *SFI 20150-20194 Standard* replaces the *SFI 201005-201409 Standard*, which is the current standard implemented by organizations within their forest operations in United States and Canada.

<sup>8</sup> *SFI 20150-20194 Standard* Performance Measure 165.2.

<sup>9</sup> *SFI 20150-20194 Standard* Objective 165.

- *SFI Inc.* developed the *SFI 20150-20194 Standard*, but does not conduct auditing and certification. All certification, recertification and surveillance audits to the *SFI 20150-20194 Standard* shall be conducted by *certification bodies* accredited by [the ANSI-ASQ National Accreditation Board \(ANAB\)](#) or the Standards Council of Canada (SCC) ~~or the ANSI-ASQ National Accreditation Board (ANAB)~~ to conduct *SFI certification*.
- Accredited *certification bodies* are required to maintain audit processes consistent with the requirements of International Organization for Standardization (ISO) 17021:201106 conformity assessment – requirements for bodies providing audit and certification of management systems; and conduct audits in accordance with the principles of auditing contained in the ISO 19011:201102 Guidelines for [Auditing Quality and/or Environmental Management Systems Auditing](#).
- ANAB- and SCC-accredited certification to *the SFI 20150-20194 Standard* shall not be granted until it is published as a standard.
- ~~*SFI Program Participants*~~ *Certified Program Participants* have one year from the time the *SFI 20150-20194 Standard* takes effect on January 1, 20150 to implement all new and revised requirements, and *Certified Program Participants* must demonstrate conformance to the new requirements at their first surveillance audit following the implementation period. Earlier adoption is encouraged.
- Initial [certification](#) ~~registration~~ audits in 20150 must be conducted against the *SFI 20150-20194 Standard*.
- After March 31, 20150 all re-~~certifications~~ ~~registrations~~ must be conducted against the *SFI 20150-20194 Standard*. For re-~~certifications~~ ~~registrations~~ against the *SFI 20150-20194 Standard* *nonconformities* against changes made in the revised *SFI 20150-20194 Standard* shall be reported but will not adversely affect re-[certification](#) ~~registration~~ until after December 31, 20150.
- Surveillance audits through December 31, 20150 may be conducted against either the *SFI201005-201409 Standard* or *SFI 20150-20194 Standard* at the [Certified Program Participant's](#) ~~auditee's~~ choice. For surveillance audits after March 31, 20150, *nonconformities* against changes made in the revised *SFI 20150-20194 Standard* shall be reported but will not adversely affect certification status until December 31, 20150; these audits shall also include an assessment of action plans to fully transition to the *SFI 20150-20194 Standard* by December 31, 20150.
- After December 31, 20150 all surveillance audits must be conducted against the *SFI 20150-20194 Standard*.



**Section 7. SFI Policies ~~Legality Requirements and~~  
~~Policies for Avoidance of Illegal Logging~~  
January 6, 2014**

**Section 7**

**SFI Program Legality Requirements**~~**and Policies for Avoidance of Illegal Logging**~~...~~**3133**~~**3136**

**SFI Policy on Illegal Logging**.....~~**8136**~~**8136**

**SFI Program Forest Tree Biotechnology Requirements** ..... **xxx**

**SFI Policy on Forest Tree Biotechnology** .....**XXX**



## SFI Program Legality Requirements ~~and Policies for Avoidance of Illegal Logging~~

*Certified Program Participants* must comply with federal, provincial, state and local laws that cover a broad range of issues, and protect the environment, workers and people who live in the communities where they operate. They include federal, state, provincial or local *forestry*-related environmental laws and regulations found in the United States and Canada such as The Clean Water Act, The Endangered Species Act, The Species at Risk Act, and state or provincial forest practice laws. The social laws of the United States and Canada cover civil rights, equal employment opportunities, anti-discrimination and anti-harassment measures, workers' compensation, measures to protect indigenous peoples' rights, workers' and communities' right to know, wages and working hours, and occupational health and safety. Antitrust, business competition and other laws in the United States and Canada outline business procedures that must be followed.

The *SFI* program does not try to duplicate the comprehensive *sustainable forestry* laws and processes already mandatory in the United States and Canada. Both countries have mature legal systems that consistently discourage and punish illegal behavior. Given the wide range of due process and compliance mechanisms that ensure conformance with applicable laws, the *SFI Standard* purposefully focuses on continual improvement of the practice of *sustainable forestry*, forest *productivity*, environmental performance processes and community outreach that complements the existing legal framework.

When an *SFI Certified Program Participant* procures wood offshore (beyond North America), the *SFI 20150-20194 Standard* stipulates the need to avoid *controversial sources* of supply, including *illegal logging* and *fiber sourced from countries without effective social laws*.

**SFI Principle 9. Legal Compliance.** To comply with applicable federal, provincial, state, and local *forestry* and related environmental laws, statutes, and regulations.

**SFI Objective 132. Avoidance of *Controversial Sources* including *Illegal Logging*.** To broaden the practice of *sustainable forestry* by avoidance of *illegal logging*.

Performance Measure 132.1. *Certified Program Participants* shall ensure that their *fiber sourcing programs* support the *principles* of *sustainable forestry*, including efforts to reduce the risk of ~~thwart~~ *illegal logging*.

Indicators:

1. Process to assess the risk that the *Certified Program Participant's fiber sourcing program* could acquire material from *illegal logging* such as consulting information from the World Resources Institute Risk Information Tool, the World Bank, or Transparency International.
2. *Program* to address any significant risk identified under 132.1.1.
3. *Program* with *direct suppliers* to promote the *principles* of *sustainable forestry*.

4. Documented information that includes knowledge about *direct suppliers'* application of the *principles of sustainable forestry*.

**SFI Objective 143. Avoidance of *Controversial Sources* including *Fiber Sourced from Areas without Effective Social Laws*.** To broaden the practice of *sustainable forestry* by avoiding *controversial sources*.

Performance Measure 143.1. Certified Program Participants shall avoid *controversial sources* and encourage socially sound practices.

Indicators:

1. Process to assess the risk that the Certified Program Participant's fiber sourcing could take place in countries without effective laws addressing the following:
  - a. workers' health and safety;
  - b. fair labor practices;
  - c. indigenous peoples' rights;
  - d. anti-discrimination and anti-harassment measures;
  - e. prevailing wages; and
  - f. workers' right to organize.
2. Program to address any significant risk identified under 143.1.1.

**SFI Objective 154. Legal and Regulatory Compliance.** Compliance with applicable federal, provincial, state and local laws and regulations.

Performance Measure 154.1. Certified Program Participants shall take appropriate steps to avoid illegally harvested wood and to comply with applicable federal, provincial, state and local *forestry* and related social and environmental laws and regulations.

Indicators:

1. Access to relevant laws and regulations in appropriate locations.
2. System to achieve compliance with applicable federal, provincial, state or local laws and regulations.
3. Demonstration of commitment to legal compliance through *available regulatory action information*.
4. Process to assess the risk that the Certified Program Participants fiber sourcing program could acquire material from illegal logging by considering some of the following:
  - a. communications with suppliers
  - b. independent research
  - c. contract documentation
  - d. maintain records

## 5. Program to address any significant risk identified under 15.1.4

Performance Measure 15.2. *Certified Program Participants* shall take appropriate steps to comply with all applicable social laws at the federal, provincial, state and local levels in the country in which the *Certified Program Participant* operates.

Indicator:

1. Written *policy* demonstrating commitment to comply with social laws, such as those covering civil rights, equal employment opportunities, anti-discrimination and anti-harassment measures, workers' compensation, indigenous peoples' rights, workers' and communities' right to know, prevailing wages, workers' right to organize, and occupational health and safety.
2. *Forestry enterprises* will respect the rights of workers and labor representatives in a manner that encompasses the intent of the ILO core conventions.

**SFI definition of controversial sources:** ~~Use of controversial sources are not allowed in SFI-labeled products. Controversial sources include illegal logging and fiber sourced from areas without effective social laws.~~

- a) Forest activities which are not in compliance with applicable state, provincial or federal laws, particularly as they may relate to:
  - legally required protection of threatened and endangered species,
  - requirements of CITES (The Convention on International Trade in Endangered Species of Wild Fauna and Flora)
  - legally required management of areas with designated high environmental and cultural values,
  - labor regulations relating to forest workers,
  - indigenous peoples' property, tenure and use rights
- b) fiber sourced from illegal logging.
- c) fiber sourced from areas without effective social laws

Note: Conversion sources cannot be included when calculating certified forest content

**illegal logging:** ~~The theft of timber or logs and cutting in parks, reserves or other similar areas where otherwise precluded by laws such as the United States Lacey Act, as amended in 2008<sup>†</sup>. The Act combats trafficking in "illegal" wildlife, fish, and plants. As of May 22, 2008, the~~

<sup>†</sup> ~~The Food, Conservation, and Energy Act of 2008 (Pub.L. 110-234, 122 Stat. 923, enacted May 22, 2008, H.R. 2419, Section 8204. Prevention of Illegal Logging Practices, also known as the 2008 U.S. Farm Bill). The Lacey Act also makes it unlawful to conduct these activities with respect to any plant (1) without payment of appropriate royalties, taxes, or stumpage fees required for the plant by any law or regulations of any State or any foreign country and (2) in violation of any limitation under any law or regulation of any State, or under any foreign law, governing the export or transshipment of plants. SFI has not included these prohibitions in its definition of illegal logging because they are covered by the requirement to comply with all applicable laws.~~

~~Lacey Act makes it unlawful to import, export, transport, sell, receive, acquire, or purchase in interstate or foreign commerce any plant, with some limited exceptions, taken, possessed, transported or sold in violation of the laws of the United States, a State, an Indian tribe, or any foreign law that protects plants. In addition, see Section 7 in the SFI requirements document, SFI Legality Requirements and Policies for Avoidance of Illegal Logging, for SFI Inc.'s Policy on Illegal Logging.~~

The theft of timber or logs and cutting in parks, reserves or other similar areas where otherwise precluded by laws such as the United States Lacey Act, as amended in 2008, the European Union Timber Regulation (EUTR), or other relevant state, provincial, or federal legislation. The Lacey Act <sup>1</sup> makes it unlawful to import, export, transport, sell, receive, acquire, or purchase in interstate or foreign commerce any plant, with some limited exceptions, taken, possessed, transported or sold in violation of the laws of the United States, a State, an Indian tribe, or any foreign law that protects plants. The EUTR<sup>2</sup> prohibits illegally harvested timber or products derived from such timber to be brought into the EU, and creates obligations for operators who place timber and timber products on the EU market. In addition, see Section 7 in the SFI requirements document, SFI Legality Requirements and Policies for Avoidance of Illegal Logging, for SFI Inc's Policy on Illegal Logging.

1 The Food, Conservation, and Energy Act of 2008 (Pub.L. 110-234, 122 Stat. 923, enacted May 22, 2008, H.R. 2419, Section 8204. Prevention of Illegal Logging Practices, also known as the 2008 U.S. Farm Bill).

2 Regulation EU No 995/2010 of the European Parliament and of the Council of 20 October 2010.

**fiber sourced from areas without effective social laws:** The United States and Canada have a strong legal framework. Fiber from countries without effective laws addressing the following will need a risk assessment:

1. workers' health and safety;
2. fair labor practices;
3. indigenous peoples' rights;
4. anti-discrimination and anti-harassment measures;
5. prevailing wages; and
6. workers' right to organize.

## SFI Policy on Illegal Logging<sup>2</sup>

The SFI program has strong existing measures in the *SFI 2015~~0~~-2019<sup>4</sup> Standard*, *SFI Certified Sourcing* label Standard and the *SFI Chain-of-Custody Standard* to avoid illegal sources of supply. This appendix covers the issue as to whether an organization can certify one operation to SFI's *Certified Sourcing* label Standard (Section 4) or SFI's *Chain-of-Custody Standard* (Section 3) in the *SFI requirements document*, while another operation controlled by the company is engaged in *illegal logging*. This is an evolving issue and as international laws, regulations, agreements, treaties and definitions of *illegal logging* change, *SFI Inc.* will review and update the language as necessary.

<sup>2</sup> As Approved by the SFI Board of Directors September 23, 2008.

- (a) *SFI Inc.* will not license any person or entity to use SFI's trademarks or labels, and *SFI* may revoke any licence previously granted, if **the proposed licensee or an Affiliate of the licensee has been found to have engaged in *Illegal Logging* by a government authority in the jurisdiction where the logging occurred<sup>3</sup>**, unless the evidence available to *SFI* supports a conclusion that, in the business judgment of the *SFI Inc.* Board, any incidents of *Illegal Logging* by the entity are followed by prompt corrective action and do not show a pattern of *Illegal Logging*.
- (b) *SFI Inc.* will not license any person or entity to use SFI's trademarks or labels, and *SFI* may revoke any licence previously granted, if **the evidence available to *SFI* supports a conclusion that, in the business judgment of the *SFI Inc.* Board, the proposed licensee or an Affiliate of the licensee has engaged in a pattern of *Illegal Logging*.<sup>4</sup>**
- (c) Any person or entity whose application for a *SFI* licence has been denied or whose license has been revoked pursuant to this section may reapply for a licence upon a showing that any past *Illegal Logging* has been stopped, that appropriate actions have been taken to prevent it from recurring, and that the proposed licensee and its Affiliates do not knowingly engage in *Illegal Logging*. Such showing shall be supported by a third party audit conducted by an *SFI certification body* accredited to conduct 2015~~0~~-2019~~4~~ *SFI Standard* certifications and shall include local expertise as part of the audit team.<sup>5</sup>
- (d) As used in this section,
- "*Illegal Logging*" means logging on land where the entity conducting the logging has no legal right to harvest.<sup>6</sup>
  - "Affiliate" means any person or entity that directly or indirectly controls, is controlled by, or is under common control with the proposed licensee.
  - "Control" means owning a majority of the stock, appointing a majority of the directors, or otherwise having the practical or legal power to direct the operations of a person or entity.

<sup>3</sup> This enables SFI to take action that is based on a government finding (conviction, court decision, regulatory decision, fine etc.) of *Illegal Logging*. SFI would not make any factual determinations of *illegal logging*; they would be made by the government. No audit of overseas operations is required unless and until such a finding is made.

<sup>4</sup> This enables SFI to take action against a company that is known to engage in a pattern of *Illegal Logging*, but that has NOT been subject to government enforcement actions (perhaps because the local government is corrupt or ineffective). The SFI Board would need to make the factual determinations based on the best evidence available to it. No audit of overseas operations is required unless and until such a finding is made.

<sup>5</sup> The audit shall cover all operations in all jurisdictions where the *illegal logging* occurred.

<sup>6</sup> This definition does not cover most environmental law violations. It is intended to be limited to timber theft.

## **SFI Program Forest Tree Biotechnology Requirements**

**SFI Principle 9. Legal Compliance.** To comply with applicable federal, provincial, state, and local *forestry* and related environmental laws, statutes, and regulations.

**Objective 15.4. Legal and Regulatory Compliance.** Compliance with applicable federal, provincial, state and local laws and regulations.

Performance Measure 15.4.1. *Certified Program Participants* shall take appropriate steps to avoid illegally harvested wood and to comply with applicable federal, provincial, state and local *forestry* and related social and environmental laws and regulations.

Indicators:

1. Access to relevant laws and regulations in appropriate locations.
2. System to achieve compliance with applicable federal, provincial, state or local laws and regulations.
3. Demonstration of commitment to legal compliance through *available regulatory action information*.

**Objective 16.5. Forestry Research, Science, and Technology.** To support forestry research, science, and technology, upon which sustainable forest management decisions are based.

Performance Measure 16.5.1. *Certified Program Participants* shall individually and/or through cooperative efforts involving *SFI Implementation Committees*, associations or other partners provide in-kind support or funding for forest research to improve *forest health, productivity*, and sustainable management of forest resources, and the environmental benefits and performance of forest products.

Indicator:

2. Research on genetically engineered trees via *forest tree biotechnology* shall adhere to all applicable federal, state, and provincial regulations and international protocols ratified by the US and/or Canada depending on jurisdiction of management.

**forest tree biotechnology:** As commonly used, *forest tree biotechnology* encompasses structural and functional studies of genes and genomes (including development and application of genetic markers); various methods of vegetative reproduction such as micropropagation, tissue culture, and somatic embryogenesis; and genetic engineering (GE), which is the physical manipulation and asexual insertion of genes into organisms.



## SFI Policy on Forest Tree Biotechnology<sup>7</sup>

The SFI program has strong existing measures in the *SFI 2010-2014 Standard* regarding research on genetically engineered trees via *forest tree biotechnology*<sup>8</sup>. The use of genetically modified organisms is an evolving issue and as federal and international laws, regulations, agreements, treaties and market place recognition of the use of genetically engineered trees via *forest tree biotechnology* change, SFI Inc. will proactively review and update the SFI Standard language and this policy as necessary.

- (a) SFI Inc. recognizes that *forest tree biotechnology* offers the potential to prevent the loss of tree species like the American Chestnut due to devastating diseases and to further improve the quality and productivity of trees, their resistance to insects and disease and to grow trees with characteristics that allow them to be more efficiently manufactured into building products, paper and to provide feedstock for bioenergy.
- (b) SFI Inc. recognizes that genetically engineered forest trees are not approved for commercial plantings in the United States and Canada and, even if approved in the future, it will take many years for fiber from genetically engineered forest trees to reach manufacturing facilities.
- (c) SFI Inc. realizes that much research is still being conducted to study the ecological cost benefits of genetically engineered trees and regulations concerning forest biotechnology continue to evolve. As such research and regulations develop; SFI Inc. will review to understand the impacts of genetically engineered trees from an ecological perspective.
- (d) SFI Inc. is endorsed by the Program for the Endorsement of Forest Certification ([www.pefc.org](http://www.pefc.org)) which has restrictions on the use of genetically engineered trees until December 31, 2015:

*"Genetically-modified trees shall not be used".*

*Note: The restriction on the usage of genetically-modified trees has been adopted based on the Precautionary Principle. Until enough scientific data on genetically-modified trees indicates that impacts on human and animal health and the environment are equivalent to, or more positive than, those presented by trees genetically improved by traditional methods, no genetically-modified trees will be used."*

*Note: The policy on the exclusion of material from genetically modified forest based organisms remains in force until 31 December 2015."*

- (e) Given the issues identified in item (b) regarding legal approval and lack of commercialization and in item (d) regarding PEFC requirements for endorsement of the SFI program, the use of fiber from genetically engineered trees via *forest biotechnology* is not approved for use in SFI labeled products.

<sup>7</sup> As Approved by the SFI Board of Directors December 5, 2013.

<sup>8</sup> 15.1.2. Research on genetically engineered trees via *forest tree biotechnology* shall adhere to all applicable federal, state, and provincial regulations and international protocols.

Definition: As commonly used, *forest tree biotechnology* encompasses structural and functional studies of genes and genomes (including development and application of genetic markers); various methods of vegetative reproduction such as micropropagation, tissue culture, and somatic embryogenesis; and genetic engineering (GE), which is the physical manipulation and asexual insertion of genes into organisms.

<sup>9</sup> PEFC ST 1003:2010, Sustainable Forest Management-Requirements, 5.4.7

(f) The SFI Standard requirements regarding research on genetically engineered trees via forest tree biotechnology will remain in place.

(g) SFI Inc. will proactively review and update the SFI Standard language and this policy as necessary.



Section 13. SFI Definitions  
January 6, 2014

## SFI Definitions

The following definitions apply to *italicized* words in the *Requirements for the SFI 2015-2019 Program: Standards, Rules for Label Use, Procedures and Guidance*.

**afforestation:** The establishment of a forest or *stand* in an area where the preceding vegetation or land use was not forest.

**Alliance for Zero Extinction:** A global initiative of *biodiversity conservation* organizations, which aims to prevent extinctions by identifying and safeguarding key sites where species are in imminent danger of disappearing. The goal of the Alliance is to create a front line of defense against extinction by eliminating threats and restoring *habitat* to allow species populations to rebound.

**American Tree Farm System®:** A national program that promotes the sustainable management of forests through education and outreach to private forest landowners.

**aquatic habitat:** An area where water is the principal medium and that provides the resources and environmental conditions to support occupancy, survival and reproduction by individuals of a given species.

**aquatic species:** Animals that live on or within water during some stage of their development.

**auditor:** A person with the competence to conduct an audit (ISO 19011:2002, 3.8).

**audit team:** One or more *auditors* conducting an audit, supported if needed by *technical experts* (ISO 19011:2002, 3.9).

**available regulatory action information:** Statistics or regulatory compliance data collected by a federal, state, provincial, or local government agency. Note: Although conformance with laws is the intent, *certification bodies* are directed to look for a spirit and general record of compliance rather than isolated or unusual instances of deviation.

**best management practices (BMPs):** A practice or combination of practices for *protection* of water quality that is determined by a federal, provincial, state, or local government or other responsible entity, after problem assessment, examination of alternative practices, and appropriate public participation, to be the most effective and practicable (including technological, economic, and institutional considerations) means of conducting a forest management operation while addressing any environmental considerations.

**best scientific information:** Available factual information that is generally accepted by the broad scientific community. It includes but is not limited to peer-reviewed scientific information obtainable from any source, including government and non-governmental sources, that has been verified by field testing to the maximum extent feasible.

**biodiversity hotspots:** A biogeographic *conservation* region with more than 1,500 endemic plant species and less than 30 percent of its historical extent (Further information can be found under

Descriptions of *Biodiversity Hotspots* and *High-Biodiversity Wilderness Areas* in section 6 of the SFI requirements document).

**bioenergy feedstock:** Biomass used for the production of renewable energy. Biomass includes any organic products and byproducts derived from trees, plants and other biological organic matter, including limbs, bark and other cellulosic material, organic byproducts from wood pulping, and other biologically derived materials.

**biological diversity, biodiversity:** The variety and abundance of life forms, processes, functions, and structures of plants, animals and other living organisms, including the relative complexity of species, communities, gene pools and ecosystems at spatial scales that range from local to regional to global.

**certification body:** An independent *third party* that is accredited by:

- ANSI-ASQ National Accreditation Board (ANAB) as being competent to conduct certifications to the *SFI 2015-2019 Standard*.
- American National Standards Institute (ANSI) as being competent to conduct certifications to the *SFI Chain-of-Custody Standard*.
- Standards Council of Canada (SCC) as being competent to conduct certifications to the *SFI 2015-2019 Standard* and the *SFI Chain-of-Custody Standard*.

**certified content:** Raw material that can count towards the calculation of *certified content* percentages in chain-of-custody tracking. Below are the acceptable *certified content* sources.

**certified forest content:** Raw material from lands third-party certified to *acceptable forest management standards*.

**acceptable forest management standards:** These standards are all endorsed in North America by the Program for the Endorsement of Forest Certification schemes (PEFC).

*SFI 2015-2019 Standard* (objectives for land management)

Canadian Standards Association (CAN/CSA-Z809)

[Canadian Standards Association \(CAN/CSA-Z804\)](#)

American Tree Farm System (ATFS) individual and group certification

**post-consumer recycled content:** Material generated by households or by commercial, industrial and institutional facilities in their role as end-users of the product, which can no longer be used for its intended purpose.

*Post-consumer recycled content* can count towards the calculation of *certified content* percentages but must always be communicated as *post-consumer recycled content* and not *certified forest content*.

Any claims about *post-consumer recycled content* by ~~Program Participant~~[Certified Program Participants](#) and *label users* shall be accurate and consistent with applicable law. ~~Program~~

~~Participant~~Certified Program Participants and *label users* are encouraged to consult the U.S. Federal Trade Commission's guidelines on environmental claims in product advertising and communication and the guidelines on environmental labeling and advertising issued by the Fair Business Practices Branch of Industry Canada's Competition Bureau, as appropriate, and to seek additional information and direction from national accreditation bodies, national standards bodies, and national, state and provincial consumer protection and competition laws.

- Pre-Consumer Recycled Content: Material diverted from the waste stream during a manufacturing process. It does not include materials such as rework, regrind or scrap generated in a process and capable of being reclaimed within the same process.

Any claims about *pre-consumer recycled content* by Certified Program Participants or *label users* shall be accurate and consistent with applicable law. Certified Program Participants and *label users* are encouraged to consult the U.S. Federal Trade Commission's guidelines on environmental claims in product advertising and communication and the guidelines on environmental labeling and advertising issued by the Fair Business Practices Branch of Industry Canada's Competition Bureau, as appropriate, and to seek additional information and direction from national accreditation bodies, national standards bodies and national, state and provincial consumer protection and competition laws.

**certified logging professional:** A *qualified logging professional* who has successfully completed and is a member in good standing, of a credible logger certification *program* recognized by the *SFI Implementation Committee*.

**certified program participant:** 1. A forest landowner, forest land manager, *primary* or *secondary forest products producer* operating in the United States or Canada who participates in the *SFI* program through a contractual agreement to abide by the *SFI 2015-2019 Standard*, and who has been certified by an accredited *SFI certification body* to be in conformance with the *SFI 2015-2019 Standard*. 2. An organization that has been certified by an accredited *SFI certification body* to be in conformance with the *SFI Chain-of Custody Standard* and associated labels (Sections 3 and 4).

**certified sourcing:** is defined as raw material sourced from the following sources confirmed by a *certification body*:

- Fiber that conforms with objectives ~~8-209-21~~ of Section 2 - *SFI 2015-2019 Standard's fiber sourcing requirements*, and/or;
- *Pre-Consumer Recycled Content*: Material diverted from the waste stream during a manufacturing process. It does not include materials such as rework, regrind or scrap generated in a process and capable of being reclaimed within the same process;

Any claims about *pre-consumer recycled content* by ~~Program Participant~~Certified Program Participants or *label users* shall be accurate and consistent with applicable law. ~~Program Participant~~Certified Program Participants and *label users* are encouraged to consult the U.S. Federal Trade Commission's guidelines on environmental claims in product advertising and communication and the guidelines on environmental labeling and advertising issued by the Fair



Business Practices Branch of Industry Canada's Competition Bureau, as appropriate, and to seek additional information and direction from national accreditation bodies, national standards bodies and national, state and provincial consumer protection and competition laws, ~~and/or:~~

- *Post-consumer recycled content:* Material generated by households or by commercial, industrial and institutional facilities in their role as end-users of the product, which can no longer be used for its intended purpose.

Any claims about *post-consumer recycled content* by ~~Program Participant~~*Certified Program Participants* and *label users* shall be accurate and consistent with applicable law. ~~Program Participant~~*Certified Program Participants* and *label users* are encouraged to consult the U.S. Federal Trade Commission's guidelines on environmental claims in product advertising and communication and the guidelines on environmental labeling and advertising issued by the Fair Business Practices Branch of Industry Canada's Competition Bureau, as appropriate, and to seek additional information and direction from national accreditation bodies, national standards bodies, and national, state and provincial consumer protection and competition laws, ~~and/or:~~

- *Certified forest content*, which includes content from specific forest tracts that are third-party certified to conform with the SFI ~~2015-2019~~ Standard's forest land management requirements (Objectives ~~1-7~~*1-8* and ~~14-20~~*16-21*) or other acceptable forest management standards (e.g. CAN/CSA-Z809, ~~CAN/CSA-Z804~~, and ATFS)..
- *Non-controversial sources:* If the raw material is sourced from outside of the United States and Canada, the organization shall establish adequate measures to ensure that the labeled products do not come from *controversial sources*. See Section 3, ~~3.6~~*3.7* and Section 4, 6.1 on the process to avoid *controversial sources*. Up to one third of the supply for *secondary producers* can come from *non-controversial sources* for use of the certified sourcing label; the other two-thirds must come from the sources defined under the *certified sourcing* definition—fiber that conforms with objectives ~~8-20~~*9-21* of Section 2, ~~and/or pre consumer recycled content~~*fiber*, ~~and/or post consumer recycled content~~*fiber*, and/or *certified forest content*.

**claim period:** Time period for which the chain of custody claim applies.

**climate change:** A change in the state of the climate that can be identified (e.g. by using statistical tests) by changes in the mean and/or the variability of its properties and that persists for an extended period typically decades or longer. Climate change may be due to natural internal processes or external forcings or to persistent anthropogenic changes in the composition of the atmosphere or in land use. *Note: taken from the Intergovernmental Panel on Climate Change (IPPC)*

**conservation:** 1. *Protection* of plant and animal *habitat*. 2. The management of a renewable natural resource with the *objective* of sustaining its *productivity* in perpetuity while providing for human use compatible with sustainability of the resource.

**controversial sources:**

- a) Forest activities which are not in compliance with applicable state, provincial or federal laws, particularly as they may relate to:
- legally required protection of threatened and endangered species,
  - requirements of CITES (The Convention on International Trade in Endangered Species of Wild Fauna and Flora)
  - legally required management of areas with designated high environmental and cultural values,
  - labor regulations relating to forest workers,
  - indigenous peoples' property, tenure and use rights
- b) fiber sourced from *illegal logging*.
- c) fiber sourced from *areas without effective social laws*

Note: *Conversion sources* cannot be included when calculating *certified forest content*

~~*Use of controversial sources are not allowed in SFI-labeled products. Controversial sources include illegal logging and fiber sourced from areas without effective social laws.*~~

**illegal logging:** The theft of timber or logs and cutting in parks, reserves or other similar areas where otherwise precluded by laws such as the United States Lacey Act, as amended in 2008, the European Union Timber Regulation (EUTR), or other relevant state, provincial, or federal legislation. The Lacey Act <sup>1</sup> makes it unlawful to import, export, transport, sell, receive, acquire, or purchase in interstate or foreign commerce any plant, with some limited exceptions, taken, possessed, transported or sold in violation of the laws of the United States, a State, an Indian tribe, or any foreign law that protects plants. The EUTR<sup>2</sup> prohibits illegally harvested timber or products derived from such timber to be brought into the EU, and creates obligations for operators who place timber and timber products on the EU market. In addition, see Section 7 in the SFI requirements document, SFI Legality Requirements and Policies for Avoidance of Illegal Logging, for SFI Inc's Policy on Illegal Logging.

<sup>1</sup> The Food, Conservation, and Energy Act of 2008 (Pub.L. 110-234, 122 Stat. 923, enacted May 22, 2008, H.R. 2419, Section 8204. Prevention of Illegal Logging Practices, also known as the 2008 U.S. Farm Bill).

<sup>2</sup> Regulation EU No 995/2010 of the European Parliament and of the Council of 20 October 2010.

~~*The theft of timber or logs and cutting in parks, reserves or other similar areas where otherwise precluded by laws such as the United States Lacey Act, as amended in 2008<sup>1</sup>. The Act combats trafficking in "illegal" wildlife, fish, and plants. As of May 22, 2008, the Lacey Act makes it unlawful to import, export, transport, sell, receive, acquire, or purchase in interstate or foreign commerce any plant, with some limited exceptions, taken, possessed, transported*~~

<sup>1</sup> ~~*The Food, Conservation, and Energy Act of 2008 (Pub.L. 110-234, 122 Stat. 923, enacted May 22, 2008, H.R. 2419, Section 8204. Prevention of Illegal Logging Practices, also known as the 2008 U.S. Farm Bill). The Lacey Act also makes it unlawful to conduct these activities with respect to any plant (1) without payment of appropriate royalties, taxes, or stumpage fees required for the plant by any law or regulations of any State or any foreign country and (2) in violation of any limitation under any law or regulation of any State, or under any foreign law, governing the export or transshipment of plants. SFI has not included these prohibitions in its definition of illegal logging because they are covered by the requirement to comply with all applicable laws.*~~

~~or sold in violation of the laws of the United States, a State, an Indian tribe, or any foreign law that protects plants. In addition, see Section 7 in the SFI requirements document for SFI Inc.'s Policy on Illegal Logging.~~

**fiber sourced from areas without effective social laws:** The United States and Canada have a strong legal framework. Fiber from countries without effective laws addressing the following will need a risk assessment:

1. workers' health and safety;
2. fair labor practices;
3. indigenous peoples' rights;
4. anti-discrimination and anti-harassment measures;
5. prevailing wages; and
6. workers' right to organize.

**conversion sources:** Roundwood and/or chips produced from conversion of forestland to other land uses. Manufacturers can use this wood to avoid wasting it but cannot include it when calculating *certified forest content* component.

**critically imperiled:** A plant or animal or community, often referred to as G1, that is globally extremely rare or, because of some factor(s), especially vulnerable to extinction. Typically, five or fewer occurrences or populations remain, or very few individuals (<1,000), acres (<2,000 acres or 809 hectares), or linear miles (<10 miles or 16 kilometers) exist (Further information can be found under *Forests with Exceptional Conservation Value* in section 6 of the SFI requirements document).

**culturally important:** having significance for or being representative of human activities or beliefs (e.g. documented areas such as cemeteries, sacred sites).

**degree:** A professional academic degree (e.g. bachelor's) or equivalent.

**direct supplier:** An individual or organization with whom a ~~Program Participant~~Certified Program Participant has a direct contractual relationship for *fiber sourcing*.

**economic viability:** The economic incentive necessary to keep forest ownerships profitable and competitive, and to keep people gainfully employed.

**ecosystem services:** Components of nature, directly enjoyed, consumed, or used to yield human well-being.

**exotic tree species:** A tree species introduced from outside its natural range. This does not include species that have become naturalized in an area and have a naturally reproducing population. (Note: Hybrids of *native* species or *native* plants that have been derived from genetic tree improvement and biotechnology *programs* are not considered exotic species.)

**fiber sourcing:** Acquisition of roundwood (e.g. sawlogs or pulpwood) and field-manufactured or primary-mill residual chips, pulp and veneer to support a forest products facility.

**forest health:** The perceived condition of a forest derived from concerns about such factors as its age, structure, composition, function, vigor, presence of unusual levels of insects or disease, and resilience to disturbance.

**forest type:** Classification of a forest stand by the dominant tree species or combination of tree species present (examples include pine, oak-hickory, maple-beech-birch, spruce-fir, douglas fir, etc.).

**forest inventory:** 1. A set of *objective* sampling methods that quantify the spatial distribution, composition and rates of change of forest parameters within specified levels of precision for management purposes. 2. The listing of data from such a survey.

**forestry:** The profession embracing the science, art and practice of creating, managing, using and conserving forests and associated resources for human benefit and in a sustainable manner to meet desired goals, needs and values.

**forestry enterprise:** A business engaged in the management of forestland, having its own functions and administration and comprising one or more operating units (this does not include independent contractors).

**Forests with Exceptional Conservation Value:** *critically imperiled (G1)* and *imperiled (G2)* species and ecological communities.

**critically imperiled:** A plant or animal or community, often referred to as G1, that is globally extremely rare or, because of some factor(s), especially vulnerable to extinction. Typically, five or fewer occurrences or populations remain, or very few individuals (<1,000), acres (<2,000 acres or 809 hectares), or linear miles (<10 miles or 16 kilometers) exist (Further information can be found under *Forests with Exceptional Conservation Value* in section 6 of the SFI requirements document).

**imperiled:** A plant or animal or community, often referred to as G2, that is globally rare or, because of some factor(s), is very vulnerable to extinction or elimination. Typically, six to 20 occurrences, or few remaining individuals (1,000 to 3,000), or acres (2,000 to 10,000 acres or 809 to 4047 hectares), or linear miles (10 to 50 miles or 16 to 80.5 kilometers) exist (Further information can be found under *Forests with Exceptional Conservation Value* in section 6 of the SFI requirements document).

**forest tree biotechnology:** As commonly used, *forest tree biotechnology* encompasses structural and functional studies of genes and genomes (including development and application of genetic markers); various methods of vegetative reproduction such as micropropagation, tissue culture, and somatic embryogenesis; and genetic engineering (GE), which is the physical manipulation and asexual insertion of genes into organisms.

**geographic information system (GIS):** An organized collection of computer systems, personnel, knowledge and procedures designed to capture, store, update, manipulate, analyze, report and display forms of geographically referenced information and descriptive information.

**green-up requirement:** Previously clearcut harvest areas must have trees at least 3 years old or 5 feet (1.5 meters) high at the desired level of stocking before adjacent areas are clearcut.

**growing stock:** All the trees growing in a forest or in a specified part of it that meet specified standards of size, quality and vigor; generally expressed in terms of number or volume.

**growth-and-yield model:** A set of relationships, usually expressed as equations and embodied in a computer program or tables, that provides estimates of future *stand* development given initial *stand* conditions and a specified management regime.

**growth and drain:** The average annual net increase in the volume of trees during the period between inventories (including the increment in net volume of trees at the beginning of the specific year surviving to its end, plus the net volume of trees reaching the minimum size class during the year, minus the volume of trees that died during the year, and minus the net volume of trees that became cull trees during the year) minus the net volume of *growing stock* trees removed from the *forest inventory* during a specified year by harvesting, cultural operations such as timber *stand* improvement, or land clearing.

**habitat:** 1. A unit area of environment. 2. The place, natural or otherwise (including climate, food, cover and water) where an individual or population of animals or plants naturally or normally lives and develops.

**high-biodiversity wilderness areas:** The world's largest-remaining tracts of tropical forest that are more than 75 percent intact. These areas are characterized by extraordinary biological richness, including exceptional concentrations of endemic species, and are also of crucial importance to climate regulation, watershed *protection*, and maintenance of traditional indigenous lifestyles (Further information can be found under Descriptions of *Biodiversity Hotspots* and *High-Biodiversity Wilderness Areas* in section 6 of the SFI requirements document).

**illegal logging:** [The theft of timber or logs and cutting in parks, reserves or other similar areas where otherwise precluded by laws such as the United States Lacey Act, as amended in 2008, the European Union Timber Regulation \(EUTR\), or other relevant state, provincial, or federal legislation. The Lacey Act <sup>1</sup> makes it unlawful to import, export, transport, sell, receive, acquire, or purchase in interstate or foreign commerce any plant, with some limited exceptions, taken, possessed, transported or sold in violation of the laws of the United States, a State, an Indian tribe, or any foreign law that protects plants. The EUTR<sup>2</sup> prohibits illegally harvested timber or products derived from such timber to be brought into the EU, and creates obligations for operators who place timber and timber products on the EU market. In addition, see Section 7 in the SFI requirements document, SFI Legality Requirements and Policies for Avoidance of Illegal Logging, for SFI Inc's Policy on Illegal Logging.](#)

<sup>1</sup> The Food, Conservation, and Energy Act of 2008 (Pub.L. 110-234, 122 Stat. 923, enacted May 22, 2008, H.R. 2419, Section 8204. Prevention of Illegal Logging Practices, also known as the 2008 U.S. Farm Bill).

<sup>2</sup> Regulation EU No 995/2010 of the European Parliament and of the Council of 20 October 2010.



~~The theft of timber or logs and cutting in parks, reserves, or similar areas where otherwise precluded by laws such as the United States Lacey Act, as amended in 2008<sup>2</sup>. The Act combats trafficking in "illegal" wildlife, fish, and plants. The Food, Conservation, and Energy Act of 2008, effective May 22, 2008, amended As of May 22, 2008, the Lacey Act makes it unlawful to import, export, transport, sell, receive, acquire, or purchase in interstate or foreign commerce any plant, with some limited exceptions, taken, possessed, transported or sold in violation of the laws of the United States, a State, an Indian tribe, or any foreign law that protects plants. In addition, see Section 7 for SFI Inc.'s Policy on Illegal Logging.~~

**imperiled:** A plant or animal or community, often referred to as G2, that is globally rare or, because of some factor(s), is very vulnerable to extinction or elimination. Typically, six to 20 occurrences, or few remaining individuals (1,000 to 3,000), or acres (2,000 to 10,000 acres or 809 to 4047 hectares), or linear miles (10 to 50 miles or 16 to 80.5 kilometers) exist (Further information can be found under *Forests with Exceptional Conservation Value* in section 6 of the SFI requirements document).

**improved planting stock:** Products of tree improvement *programs* in which the parent trees were selected through Mendelian crosses for increased growth, pest resistance, or other desirable characteristics.

**indicator:** In the *SFI* program, a specific metric that provides information about an organization's *forestry* and environmental performance, and that is integral to assessing conformance to the *SFI 2015-2019 Standard objectives and performance measures*.

**integrated pest management:** The maintenance of destructive agents, including insects at tolerable levels, by the planned use of a variety of preventive, suppressive or regulatory tactics and strategies that are ecologically and economically efficient and socially acceptable.

**invasive exotic plants and animals:** Species introduced from another country or geographic region outside its natural range that may have fewer natural population controls in the new environment, becoming a pest or nuisance species.

**label users:** Any *certified Program Participant*, label licensee, secondary manufacturer, publisher, printer, retailer or distributor who has obtained a license to use the label; met [Section 3 SFI Chain-of-Custody Standard and /or Section 4 - Rules For Use Of SFI On-Product Labels](#) or the ~~SFI Chain-of-Custody Standard~~ and Associated Labels ~~(Sections 3 and 4)~~; and obtained approval from the *SFI Office of Label Use and Licensing* to use the *SFI* on-product label for at least one product or manufacturing unit.

**land classification:** The process of designating areas of land into classes or strata that are sufficiently homogeneous in their physical, vegetative and development attributes.

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<sup>2</sup> ~~-The Food, Conservation, and Energy Act of 2008 (Pub.L. 110-234, 122 Stat. 923, enacted May 22, 2008, H.R. 2419, (Section 8204. Prevention of Illegal Logging Practices, also known as the 2008 U.S. Farm Bill). The Lacey Act also makes it unlawful to conduct these activities with respect to any plant (1) without payment of appropriate royalties, taxes, or stumpage fees required for the plant by any law or regulations of any State or any foreign country and (2) in violation of any limitation under any law or regulation of any State, or under any foreign law, governing the export or transshipment of plants. SFI has not included these prohibitions in its definition of illegal logging because they are covered by the requirement to comply with all applicable laws.~~



**landscape:** 1. A spatial mosaic of several ecosystems, landforms, and plant communities across a defined area irrespective of ownership or other artificial boundaries and repeated in similar form throughout. 2. An area of land characterized by

- similar biogeoclimatic conditions that influence site potential;
- similar historical disturbance regimes that influence vegetation structure and species composition; and
- sufficient size to provide the range of *habitat* conditions for naturally occurring communities (except for a few megafauna with large spatial needs, e.g. wolves).

**lead auditor:** An *auditor* appointed to lead an *audit team*. Also referred to as an *audit team leader* (ISO 19011:2002, 3.9, note 1).

**least-toxic and narrowest-spectrum pesticide:** A chemical preparation used to control site-specific pests that *minimizes* impact to non-target organisms and causes the least impact to while meeting management objectives. The management objectives should consider the target pest, the degree of control needed, cost, and other issues, such as season and timing of application, rates and methods, terrain, forest conditions, and the presence or absence of water bodies.

**long-term:** Extending over a relatively long time period – for the *SFI 2015-2019 Standard*, this means the length of one forest management rotation.

**management responsibilities on public lands:** Accountability for developing plans and translating public agencies' missions, goals, and *objectives* to an organized set of actions.

**major nonconformity:** One or more of the *SFI 2015-2019 Standard performance measures* or *indicators* has not been addressed or has not been implemented to the extent that a systematic failure of a ~~Program Participant~~ *Certified Program Participant's SFI system* to meet an *SFI objective, performance measure* or *indicator* occurs.

**minimize:** To do only that which is necessary and appropriate to accomplish the task or *objective* described.

**minor nonconformity:** An isolated lapse in *SFI 2015-2019 Standard program* implementation which does not indicate a systematic failure to consistently meet an *SFI objective, performance measure* or *indicator*.

**native:** Species of ecological communities occurring naturally in an area, as neither a direct or indirect consequence of recent human activity.

**natural regeneration:** Establishment of a plant or a plant age class from natural seeding, sprouting, suckering or layering.

**neutral sources:** Raw material that is not counted towards or against the calculation of the *certified content* percentages in chain-of-custody tracking or *certified sourcing* tracking in *SFI* Sections 3 and 4. Below are the acceptable *neutral sources*.

Agricultural products (e.g. cotton or other non-wood fibers and biomass from wood fiber legally classified as agricultural by state, provincial or local government) and agricultural residues.

*Post-consumer recycled content* [and Pre-consumer recycled content](#) may be tracked as a *neutral source* when not making post-consumer [or pre-consumer](#) claims about the product.

**non-forested wetland:** A transitional area between aquatic and terrestrial ecosystems that does not support tree cover and is inundated or saturated for periods long enough to produce hydric soils and support hydrophytic vegetation.

**objective:** In the *SFI* program, a fundamental goal of sustainable forest management as embodied in *objectives* 1–210 of the *SFI* [2015-2019 Standard](#).

**office of label use and licensing:** Provides administrative support and oversight of the *SFI* on-product labeling program, and serves as the depository for *SFI* [2015-2019 Standard](#) certificates, *SFI* Section 3 certificates, *SFI* Section 4 certificates in the *SFI* requirements document and PEFC [ST 2002:2013 Chain of Custody of Forest Based Products – Requirements, May 24 2013](#) ~~U.S. chain-of-custody Annex 4~~ certificates, and other documents that must be submitted to receive approval for use of the *SFI* on-product labels and claims.

**old-growth forests:** A forested ecosystem distinguished by old trees and related structural attributes, such as tree size, down woody debris, canopy levels, and species composition. ~~Program Participant~~ [Certified Program Participants](#) should utilize a definition specific to their region and particular forest types.

**origin:** The attributes of the raw material used in the product. This can be *certified forest content*, *certified sourcing* or [pre-consumer or post-consumer recycled content](#).

**other credible chain-of-custody standards:** Standards capable of tracking fiber back to a forest certified to the *SFI* [2015-2019 Standard](#) or other acceptable standards recognized by the *SFI* program. They include:

- [PEFC ST 2002:2013 Chain of Custody of Forest Based Products - Requirements, May 24 2013](#)
  - ~~Program for the Endorsement of Forest Certification schemes (PEFC) Chain of Custody of Forest Based Products Requirements, Normative Document, Annex 4, dated June 17, 2005 including normative amendments of Oct. 27, 2006 and Oct. 5, 2007~~

Additional programs may apply for similar recognition or be recognized by the *SFI* program in the future. The criteria used to assess other chain-of-custody standards can be found in *SFI* Section 3 (Appendix 3).

**other wood supplier:** A person or organization who infrequently supplies wood fiber on a small scale, such as farmers and small-scale land-clearing operators.

**performance measure:** In the *SFI* program, a means of judging whether an *objective* has been fulfilled.

**planting:** The establishment of a group or *stand* of young trees created by direct seeding or by *planting* seedlings or plantlets.

**policy:** A written statement of commitment to meet an *objective* or to implement a defined *program* or plan to achieve an *objective* or outcome.

**primary producers:** Manufacturing units that manufacture forest products and source 50% or more (by weight) of their wood-based raw materials directly from *primary sources*. *Primary producers* can include companies that manufacture roundwood, wood chips, and/or composite products.

**primary sources:** Roundwood (logs or pulpwood) and wood chips. Wood chips include:

Field Manufactured Chips - chips produced from roundwood in the forest.

Primary Chips - chips produced from roundwood other than in the forest or as residuals from production of other wood products.

Mill Residual Chips - chips produced from slabs or other residuals from a primary operation.

**principle:** In the *SFI* program, the vision and direction for sustainable forest management as embodied in principles 1–14 of the *SFI 2015-2019 Standard*.

**product group:** set of products manufactured or traded in the specified processes which are covered by the organization's chain of custody.

**productivity:** The inherent capacity of a particular site or ecosystem to produce a crop or tree stand, often measured in volume or height.

**program:** An organized system, process or set of activities to achieve an *objective* or *performance measure*.

~~**program participant:** A forest landowner, forest land manager, primary or secondary forest products producer operating in the United States or Canada who participates in the *SFI* program through a contractual agreement to abide by the *SFI 2010-2014 Standard*. *Certified Program Participants* cannot use the *SFI* on-product label or make claims their products are certified.~~

**protection:** Maintenance of the status or integrity, over the *long term*, of identified attributes or values including management where appropriate and giving consideration to historical disturbance patterns, fire risk and *forest health* when determining appropriate conservation strategies.

**public land:** Land enrolled in the *SFI* program that is owned or administratively managed by a government entity (federal, state, provincial, county or local), excluding easements or other encumbrances held by a government entity on private land.

**purchased stumpage:** standing timber under a contractual agreement that gives the ~~*Program Participant*~~ *Certified Program Participant* the right and obligation to harvest the timber.

**qualified logging professional:** A person with specialized skills in timber harvesting gained through experience or formal training who has successfully completed *wood producer training programs* and continuing education requirements recognized by *SFI Implementation Committees* as meeting the spirit and intent of *performance measure* under Objective 17~~6~~ of the *SFI 2015-2019 Standard*.

- a. For a logging crew to be considered trained, each crew must operate under the direction of a qualified logging professional~~n individual~~, ~~that is with~~ on-site working as a member of the crew~~responsibility~~, who has completed the *SFI Implementation Committee* approved state or provincial logger training *program*.
- b. All of the components of a training *program* could take several years to carry out, determining the point at which a logger is considered a *qualified logging professional* should be based on the individual's commitment to the *program*. That is, if a logger completes all the components or modules offered in a given year, that logger should be considered as a *qualified logging professional*. If all available components or modules are not completed, then the logger is no longer considered trained until all available components are completed.

**qualified resource professional:** A person who by training and experience can make forest management recommendations. Examples include foresters, soil scientists, hydrologists, forest engineers, forest ecologists, fishery and *wildlife* biologists or technically trained specialists in such fields.

**recycled content:** recycled content is defined as *pre-consumer recycled content* and *post-consumer recycled content*.

**reforestation:** The reestablishment of forest cover either naturally or by seeding or *planting* of seedlings.

**riparian area:** *transition zone characterized by vegetation or geomorphology adjacent to rivers, streams, lakes, wetlands, and other water bodies.*

**secondary producers:** Manufacturing units that produce forest products and source 50% or more (by weight) of their wood-based raw materials from *secondary sources*. *Secondary producers* can include manufacturers of finished forest products, such as plywood, furniture, windows, magazines, printers or catalogs, and manufacturers using market pulp.

**Secondary Sources:** Semi-finished solid wood, paper, market pulp, recycled wood fiber, or composite products obtained from a *primary producer* and/or a *secondary producer*.

**SFI certification:** A systematic and documented verification process to obtain and evaluate evidence objectively to determine whether a ~~Program Participant~~Certified Program Participant's *SFI* program conforms to the *SFI 2015-2019 Standard*.

**SFI Implementation Committee (SIC):** A state, provincial, or regional committee organized by *SFI* ~~Program Participant~~Certified Program Participants to facilitate or manage the *programs* and alliances that support the growth of the *SFI* program, including sustainable forest management.

**silviculture:** The art and science of controlling the establishment, growth, composition, health, and quality of forests and woodlands to meet the diverse needs and values of landowners and society on a sustainable basis.

**skid trail:** A temporary path through the woods to transport felled trees or logs to a collection area for further transportation.

**special sites:** Sites that include ecologically or geologically unique or *culturally important* features.

**stand:** A contiguous group of trees sufficiently uniform in age, composition, and structure, and growing on a site of sufficiently uniform quality, to be a distinguishable unit.

**sustainable forestry:** To meet the needs of the present without compromising the ability of future generations to meet their own needs by practicing a land stewardship ethic that integrates *reforestation* and the managing, growing, nurturing, and harvesting of trees for useful products and ecosystem services such as the *conservation* of soil, air and water quality, carbon, *biological diversity*, *wildlife* and *aquatic habitat*, recreation, and aesthetics.

**Sustainable Forestry Initiative Inc.:** *SFI Inc.* is a 501c(3) non-profit charitable organization, and is solely responsible for maintaining, overseeing and improving the Sustainable Forestry Initiative *program*. *SFI Inc.* directs all elements of the Sustainable Forestry Initiative *program* including the *SFI Standard*, chain-of-custody certification, *fiber sourcing* requirements, labeling and marketing. *SFI Inc.* is overseen by a three-chamber board of directors representing social, environmental and economic sectors.

**Sustainable Forestry Initiative 2015-2019 Standard (*SFI Standard*):** The *principles, policies, objectives, performance measures, and indicators* that detail specific requirements for *Program Participant*Certified Program Participants. The *SFI 2015-2019 Standard* is the ~~fourth~~fifth revised standard since 1998.

**Sustainable Forestry Initiative Standard Audit Procedures and Auditor Qualifications and Accreditation:** The *principles* and guidelines that detail specific requirements to *Program Participant*Certified Program Participants and *Certification bodies* for conducting audits to the *SFI 2015-2019 Standard*.

**technical expert:** A person who provides specific knowledge or expertise to the *audit team* (ISO 19011 2002, 3.10).

**third-party certification:** An assessment of conformance to the *SFI 2015-2019 Standard* conducted according to the standards of the *SFI Audit Procedures and Qualifications* and ISO 19011 by a qualified *certification body*.

**threatened and endangered:** Listed under The U.S. Endangered Species Act or The Canadian Species at Risk Act and listed under applicable state or provincial laws requiring *protection*.

**traditional forest-related knowledge:** Forest-related knowledge owned and maintained by indigenous peoples as a result of their traditional use of or tenure on forestland.

**varietal seedlings:** Genetically identical individuals produced through vegetative reproduction methods, such as micropropagation, tissue culture or somatic embryogenesis.

**vernal pool:** a seasonal wetland with sufficient water present during amphibian breeding season, absence of fish, and presence of wetland obligate fauna.

**verifiable monitoring system:** A system capable of being audited by a *third party* that includes:

- a. a means to characterize the ~~Program-Participant~~Certified Program Participant's *wood and fiber supply area*, which may include sources certified to a standard that requires conformance with *best management practices*, including those sources from *certified logging professionals*;
- b. a process to identify and use sources of available data (e.g., state or provincial monitoring *programs*, certification status of suppliers) in the use of *best management practices*; and
- c. a method to assess supplier performance, if needed, to supplement available data.

**visual quality:** The seen aspects of both the land and the activities that occur upon it.

**visual quality management:** Minimization of the adverse visual effects of forest management activities.

**wetland:** (1) seasonally or permanently water-logged areas characterized by vegetation adapted for life in saturated /flooded conditions; (2) wetlands can be treed, shrubby or open and include bogs, fens, swamps, marshes and shallow open water areas; (3) wetlands may be stagnant systems (e.g. bogs), slow flowing (e.g. fens, swamps) or have fluctuating water levels (e.g. marshes, shallow open water).

**wildlife:** Aquatic (marine and freshwater) and terrestrial fauna.

**wood and fiber supply area:** The geographic area from which a ~~Program-Participant~~Certified Program Participant procures, over time, most of its wood and fiber from *wood producers*.

**wood producer:** A person or organization, including loggers and wood dealers, involved in harvesting or regularly supplying wood fiber directly from the forest for commercial purposes.



## Briefing Note - SFI 2015-2019 Standard Revision May 27, 2014

This Briefing Note is to summarize the decisions taken at the April 30, 2014 Board of Directors Meeting, and to present the outcomes from the May 1, 2014 Steering Committee meeting and the May 14, 2014 All-Task Group Conference call. Recommendations will be presented to the Board for their June 26<sup>th</sup> call.

### I. Restructuring the SFI Program Into Three Stand Alone Standards

#### 1. **Three Stand-Alone Standards: Forest Management, Fiber Sourcing, and Chain of Custody:**

As per the Board's direction from the April 30<sup>th</sup> meeting, SFI Staff have commenced restructuring the requirements for the *SFI 2015-2019 SFI Program: Standards and Rules* into three separate standards – Forest Management, Fiber Sourcing, and Chain of Custody. This will require separating out the forest management objectives (1-8) from the fiber sourcing objectives (9-14). Because there are some objectives that overlap (15-21), there may be identical objectives in the forest management and fiber sourcing standards. Furthermore, because the SFI "certified sourcing" label is tied to the fiber sourcing objectives, the Board accepted the Resources Committee recommendation to incorporate those elements of Section 4, "SFI On-Product Label Use Rules", in the stand-alone fiber sourcing standard.

An annotated Table of Contents illustrating the structure for the new SFI program is attached.

#### Discussion Item:

- Potential next step is to conduct a brief survey with brandowners to determine if this separation would be beneficial to them.

### II. SFI Section 4 – Chain of Custody

Below is a summary of some the major enhancements proposed for the SFI Chain of Custody Standard that have been focus areas for the Chain of Custody Task Group.

- Pre-consumer recycled content is now considered under the definition of certified content. This change will require revised labels as the labels currently only reference post-consumer content.
- A revised set of standardized SFI Claims for input materials was developed to clarify communications between chain of custody users.
- A requirement for a due diligence system has been introduced to ensure that Certified Program Participants assess the risk of sourcing from controversial sources. Additionally, fiber supplied from outside the United States and Canada, with a valid PEFC chain of custody and claim, can be accepted as being free of controversial sources.

#### 2. **SFI Labels and Threshold Percentages**

During the Board's April 30<sup>th</sup> meeting, they directed staff to ensure any changes to label use should incent more certified content. With this in mind SFI Staff and the Chain of Custody Task Group continue to review the SFI labels, claims and thresholds. SFI Staff have completed an initial analysis of the PEFC and FSC approaches to thresholds for chain of custody claims and for label use. The Chain of Custody Task Group discussed various options on May 23<sup>rd</sup>, and will provide recommendations for the Resources Committee to consider.

The label threshold analysis is attached to this update.

#### Discussion Item:

- Does the Resources Committee have direction regarding the proposed threshold levels of certified content for SFI on-product label use?

#### 3. **Due Diligence System**

The Chain of Custody task group has developed a due diligence system (DDS) for assessing the risk of sourcing from controversial sources. The due diligence process would require an organization to obtain and verify the scope of a SFI Section 2 (2015-2019 SFI Standard), Section 3 (SFI Chain of Custody Standard), or *other credible chain of custody* standard certificate. Verification shall ensure that the facility and the purchased product(s) ar

directly associated with the certification.

Where inspection of the certificate and other supporting evidence can demonstrate that the facility and product groups are within scope of the certificate, then the organization purchasing that *product group* can credibly conclude that the products being sourced are low risk of coming from *controversial sources*.

The proposed DDS language is attached to this update.

**Discussion Item:**

- *Does the Resources Committee have direction regarding the proposed due diligence system?*

**4. Global Sourcing Label**

The Board reviewed and approved the Resources Committee recommendation to explore the development of a “Global Chain of Custody Certified” label. Just as a SFI certified program participant can use the PEFC label to access markets in the European Union and Asia, this label would allow any global secondary producer<sup>1</sup> to access this proposed SFI “Global Chain of Custody Certified” label for US and Canadian markets. Below is an example of the proposed label.

Proposed “Global Chain of Custody Certified” Label



There is an increasing supply of, and demand for, sustainable, internationally sourced fiber in North America, much of which is sourced from lands managed in accordance with PEFC-endorsed forest certification standards. Currently, SFI’s COC label only accepts fiber from PEFC North American endorsed standards SFI, ATFS and CSA; thus, fiber and forestry products sourced from lands managed in accordance to international, PEFC-endorsed forest certification standards may not be marketed under the SFI brand in North America.

Creating a “Global Chain of Custody Certified” has the potential to:

- Mitigate the adoption of FSC by international suppliers marketing product into North America;
- Enable North American manufacturers to market products which contain sustainable, internationally-sourced fiber under the SFI brand;
- Contribute to an increase in the amount of sustainably sourced product in North America with the SFI label; and,
- Create an additional revenue stream from international fiber and forest product suppliers.

There are also other considerations.

- Recognition of other PEFC endorsed standards, that may not be as rigorous as North American PEFC standards, could impact the SFI brand
- SFI has started to build a new platform as the “low risk” North American fiber. Accepting other global standards under the SFI label could dilute this message.
- SFI North American landowners take pride in their forest management, and accepting other standards could put a divide with some participants.

**Discussion Item:**

- *Potential next step is to have discussion with representatives from Brazil, Finland and /or Sweden and Australia to get a sense of interest.*

**5. PEFC Endorsement of the SFI Chain of Custody**

Endorsement by PEFC would assist with greater market access in Europe and Asia, as well as assist with market

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<sup>1</sup> A secondary producer is defined as: Manufacturing units that produce forest products and source 50% or more (by weight) of their wood-based raw materials from secondary sources. Secondary producers can include manufacturers of finished forest products, such as plywood, furniture, windows, magazines, printers or catalogs, and manufacturers using market pulp.

efficiency by unifying the chain of custody (CoC) standards. However, if the SFI CoC is endorsed under PEFC, SFI would have less flexibility in regards to the requirements in our own CoC standard, and would be required to align to PEFC's requirements. Therefore, PEFC endorsement of the SFI CoC standard brings about market efficiencies, but reduces the options for SFI to adapt in the future.

To ensure informed discussion regarding possible endorsement of the SFI CoC by PEFC, the Board directed SFI Staff to continue monitoring of developments of the PEFC chain of custody requirements and associated guidance. SFI Staff are in frequent communication with the PEFC Technical Unit and will update the Resources Committee regarding developments with the PEFC CoC. As part of this process SFI Staff will assess the potential impact to SFI CoC certificate holders of these changes.

**Discussion Item:**

- *Potential next step is to conduct a survey of SFI certified program participants who do not export to Europe, as well as those who do export to Europe to understand their preference on the path forward.*

### **III. New SFI Section 3 – Fiber Sourcing Standard**

Below is a summary of the major enhancements of the fiber sourcing requirements that have been focus areas for the Fiber Sourcing Task Group.

- A new Objective "Biodiversity in Fiber Sourcing" has been added. The intent of this Objective is to enhance the existing requirements for conservation of biological diversity within a Certified Program Participant's wood and fiber supply area.
- New Indicator 10.1.2 requires the use of written agreements for the purchase of all raw material sourced directly from the forest not just from purchased stumpage. These written agreements must include provisions requiring the use of best management practices.
- Revised Indicators 13.1.1 and 15.1.4 require a process for assessing the risk of acquiring fiber from illegal logging.

#### **6. Illegal logging Definition**

The Forest Management and Fiber Sourcing task groups reviewed comments proposing a revised definition for illegal logging. Comments received via the survey and workshops indicated that the current definition lacks alignment with international regulations like the EU Timber Regulation (EUTR) and US Lacey Act. The task groups are proposing a modified definition. The new definition is in a separate attachment to this update. Guidance was also developed to ensure unintentional consequences such as crossing of a boundary line or violation of highway laws does not result in illegal logging.

**Discussion Item:**

- *Does the Resources Committee have any specific questions or concerns regarding the new proposed illegal logging definition or guidance?*

#### **7. Requirements for Secondary Producers Using the "Certified Sourcing" Label**

The Board of Directors reviewed and approved the Resources Committee recommendation to strengthen the requirements for Secondary Producers who currently are certified to the "Certified Sourcing" Label Use Rules. The Board concurs with the Resources Committee rationale that by requiring additional requirements, such as those found in SFI's Chain of Custody Standard around minimum management systems (Section 3 - clause 4) and avoidance of controversial sources (Section 3 – clause 3), more rigor and credibility will be obtained by Secondary Producers who use the Certified Sourcing label. The incorporation of these additional requirements will be addressed as part of the process of restructuring the SFI program into three stand-alone standards.

**Discussion Item:**

- *Does the Resources Committee know of any specific items that need evaluation regarding enhancing requirements for Secondary Producers using the Certified Sourcing Label?*

### **IV. SFI Section 2 – Forest Management Standard**

Below is a summary of the major enhancements to the SFI forest management requirements that have been focus areas for the Forest Management Task Group.

- A new Performance Measure 1.2 addresses conversion of one forest cover type to another forest cover type, incorporating an existing SFI interpretation. This revision aligns SFI forest management requirements with PEFC endorsement requirements.
- A new Performance Measure 1.3 addresses the conversion of forest land to other land uses. This Performance Measure states that forest lands that are converted to another land use are no longer eligible for SFI certification. This revision aligns SFI forest management requirements with PEFC endorsement requirements.
- New Indicators 2.2.4 and 2.2.5 expand existing requirements on chemical use by prohibiting the use of World Health Organization 1A and 1B list of prohibited chemicals and chemicals listed by the Stockholm Convention on Persistent Organic Pesticides. This revision aligns SFI forest management requirements with PEFC endorsement requirements.
- Performance Measure 3.2 was expanded to include requirements for protection of wetlands and riparian areas and now has specific reference to state BMPs, provincial guidelines and other applicable factors.
- Performance Measure 4.1 now requires that *Certified Program Participants* consider credible priority setting efforts such as state wildlife action plans, state forest action plans or provincial wildlife recovery plans. Indicator 4.1.3 was revised and now requires *Certified Program Participants* to work individually or collaboratively to support diversity of native forest cover types, age or size classes that enhance biological diversity at the landscape scale. Finally, a new Indicator 4.1.5 addressing significant species of concern has been added.
- A new Objective (Objective 8) "Recognize and Respect Indigenous Peoples' Rights" has been added. This objective reflects existing SFI forest management requirements regarding respect for Indigenous rights and values on public lands and also has provisions for private lands.
- A revised Indicator 15.1.4 now requires a process for assessing the risk of acquiring fiber from illegal logging.
- A revised Indicator 17.1.5 now requires the use of written agreements stipulating the use of certified logging professionals (where available) or wood producers that have completed training programs and are recognized as qualified logging professionals.
- Performance Measure 17.2 was strengthened with the addition of a continuing education requirement for Qualified Logging Professionals (QLP) and Qualified Resource Professionals (QRP).

## 8. Sustainable Harvest Levels at the Watershed Scale

At the Board meeting April 30, the topic of sustainable harvest levels at the watershed scale was discussed. The Board concluded the discussion with direction to the Standard Revision Steering Committee to review the need for additional normative language concerning sustainable harvest levels at the watershed scale. During the May 1 Steering Committee meeting the following edits in red were proposed to Indicators 1.1.1.d and 4.1.3:

### a) Performance Measure 1.1

Indicator 1. Forest management planning at a level appropriate to the size and scale of the operation, including:

- a *long-term* resources analysis;
- a periodic or ongoing *forest inventory*;
- a *land classification* system;
- biodiversity at landscape scales*;
- soils inventory and maps, where available;
- access to *growth-and-yield modeling* capabilities;
- up-to-date maps or a *geographic information system (GIS)*;
- recommended sustainable harvest levels for areas available for harvest; and
- a review of non-timber issues (e.g. recreation, tourism, pilot projects and economic incentive *programs* to promote water *protection*, carbon storage, *bioenergy feedstock* production, or *biological diversity conservation*, or to address climate-induced ecosystem change).

### b) Performance Measure 4.1.3

Document diversity of *forest cover types*, *and* age or size classes at the individual ownership or forest tenure level, and where credible data are available, at the *landscape* scale. Work individually or collaboratively to support diversity of native *forest cover types*, age or size classes that enhance *biological diversity* at the *landscape* scale.

## 9. Conversion

- a) Performance Measure 1.2 (conversion one forest cover type to another): As per the Resources Committee's direction, the Forest Management Task Group has developed guidance for the implementation of the requirements for Performance Measure 1.2.
- b) Performance Measure 1.3 – conversion of forest land to another land use: The Forest Management Task Group has developed guidance for the implementation of the requirements for Performance Measure 1.3.

The guidance for implementing the requirements of PM 1.2 and 1.3 is attached.

### Discussion Item:

- Does the Resources Committee have any concerns with the proposed Performance Measures 1.2 and 1.3?
- From a stylistic standpoint, how should existing interpretations be captured in Guidance? With a historical viewpoint by taking existing interpretations word for word with the Q & A, or forward looking to incorporate key language and intent of the interpretation?

## 10. Biodiversity

The Forest Management Task Group has proposed a new Indicator 4.1.5:

*Program to address conservation of known sites with viable occurrences of significant species of concern.*

To assist with the implementation of Indicator 4.1.5 the Forest Management Task Group has developed guidance which is in a separate attachment.

### Discussion Item:

- Does the Resources Committee have any concerns with the proposed Indicator 4.1.5
- Does the Resources Committee have concerns with the guidance for Indicator 4.1.5, specifically the use of a table with illustrative species?

## 11. Deliveries by Untrained Loggers and Qualified Logging Professional Definition

With the revision to Indicator 17.1.5 requiring written agreements for all fiber delivered direct from the forest, and with these agreements stipulating use of trained loggers (*qualified logging professionals* or *certified logging professionals*), the expectation is that all deliveries to SFI facilities will be from trained loggers. In view of this requirement, the Resources Committee directed that the Logger Forum review and discuss the existing guidance language regarding deliveries from untrained loggers. The Logger Forum was also directed to review the proposed the definition of a *qualified logging professional*.

The recommended guidance language and the revised definition of a *qualified logging professional* are provided in a separate attachment.

### Discussion Item:

- Does the Resources Committee have any concerns with the proposed Qualified Logging Professional definition or the guidance for deliveries from untrained loggers?

## V. Overview of Remaining Section Edits

### 12. SFI Section 9:

Section 9 (Audit Procedures and Auditor Qualifications and Accreditation) has had extensive revision reflecting the evolution in accreditation requirements since the release of SFI 2010-2014. Revisions to key documents like the International Organization for Standardization (ISO) 17021:2011 (Conformity assessment – Requirements for bodies providing audit and certification of management systems); ISO TS 17021-2 (Part 2: Competence requirements for auditing and certification of environmental management systems) and ISO 17065:2012 (Conformity assessment – Requirements for bodies certifying products, processes and services) requires that SFI

ensures that Section 9 is current with the latest accreditation requirements. To assist with this process SFI engaged an external consultant experienced with accreditation requirements for certification bodies.

Other revisions include:

- The scope of Section 9 has been expanded to include SFI Chain of Custody;
- *Appendix 1: Audits of Multi-site Organizations* has been revised to better reflect International Accreditation Forum Mandatory Document 01 (audits of multi-site organizations) and Mandatory Document 05 (audit duration); and
- PEFC endorsement of the SFI forest management requirements have resulted in more detail regarding group certifications.

### **13. SFI Sections 5, 7, 8, 10, 11, and 12:**

- SFI Section 5: SFI Staff will review and revise *SFI Section 5 – Rules for Use of SFI Off-Product Labels*.
- SFI Section 7: *Section 7 – SFI Policies* has been updated to reflect the inclusion of the SFI Forest Tree Biotechnology. This section has also been revised to include just the SFI Policies removing the background information that is in the current Section 7.
- SFI Section 8: *SFI Section 8 - Standards Development and Interpretations Process* has been revised to reflect the SFI 2015-2019 standards development process and clarifying language to support PEFC endorsement of the SFI standard setting process. The interpretations process has not been revised.
- SFI Section 10: *SFI Section 10 - Communications and Public Reporting* has had minor editorial changes.
- SFI Section 11: *SFI Section 11 – Public Inquiries and Official Complaints* has been revised to further clarify the difference between a claim of an inconsistent practice and an official complaint and the two processes for handling them.
- SFI Section 12: *SFI Section 12 – Optional Modules* has had minor editorial changes

### **Next Steps:**

The recommendations coming from the June 3<sup>rd</sup> meeting will then be presented to the Board of Directors during a two hour conference call June 26<sup>th</sup>. The purpose of this call is to update the Board on any discussions to date. The Board will seek approval of the 2015-2019 SFI Standard during their September meeting.

*Prepared by: Gregor Macintosh, Senior Director Standards*



## Briefing Note - SFI 2015-2019 Standard Revision May 27, 2014

This Briefing Note is to summarize the decisions taken at the April 30, 2014 Board of Directors Meeting, and to present the outcomes from the May 1, 2014 Steering Committee meeting and the May 14, 2014 All-Task Group Conference call. Recommendations will be presented to the Board for their June 26<sup>th</sup> call.

### I. **Restructuring the SFI Program Into Three Stand Alone Standards**

#### 1. **Three Stand-Alone Standards: Forest Management, Fiber Sourcing, and Chain of Custody:**

As per the Board's direction from the April 30<sup>th</sup> meeting, SFI Staff have commenced restructuring the requirements for the *SFI 2015-2019 SFI Program: Standards and Rules* into three separate standards – Forest Management, Fiber Sourcing, and Chain of Custody. This will require separating out the forest management objectives (1-8) from the fiber sourcing objectives (9-14). Because there are some objectives that overlap (15-21), there may be identical objectives in the forest management and fiber sourcing standards. Furthermore, because the SFI “certified sourcing” label is tied to the fiber sourcing objectives, the Board accepted the Resources Committee recommendation to incorporate those elements of Section 4, “SFI On-Product Label Use Rules”, in the stand-alone fiber sourcing standard.

An annotated Table of Contents illustrating the structure for the new SFI program is attached.

#### **Discussion Item:**

- *Potential next step is to conduct a brief survey with brandowners to determine if this separation would be beneficial to them.*

### II. **SFI Section 4 – Chain of Custody**

Below is a summary of some of the major enhancements proposed for the SFI Chain of Custody Standard that have been focus areas for the Chain of Custody Task Group.

- Pre-consumer recycled content is now considered under the definition of certified content. This change will require revised labels as the labels currently only reference post-consumer content.
- A revised set of standardized SFI Claims for input materials was developed to clarify communications between chain of custody users.
- A requirement for a due diligence system has been introduced to ensure that Certified Program Participants assess the risk of sourcing from controversial sources. Additionally, fiber supplied from outside the United States and Canada, with a valid PEFC chain of custody and claim, can be accepted as being free of controversial sources.

#### 2. **SFI Labels and Threshold Percentages**

During the Board's April 30<sup>th</sup> meeting, they directed staff to ensure any changes to label use should incent more certified content. With this in mind SFI Staff and the Chain of Custody Task Group continue to review the SFI labels, claims and thresholds. SFI Staff have completed an initial analysis of the PEFC and FSC approaches to thresholds for chain of custody claims and for label use. The Chain of Custody Task Group discussed various options on May 23<sup>rd</sup>, and will provide recommendations for the Resources Committee to consider.

The label threshold analysis is attached to this update.

#### **Discussion Item:**

- *Does the Resources Committee have direction regarding the proposed threshold levels of certified content for SFI on-product label use?*

#### 3. **Due Diligence System**

The Chain of Custody task group has developed a due diligence system (DDS) for assessing the risk of sourcing from controversial sources. The due diligence process would require an organization to obtain and verify the scope of a SFI Section 2 (2015-2019 SFI Standard), Section 3 (SFI Chain of Custody Standard), or *other credible chain of custody* standard certificate. Verification shall ensure that the facility and the purchased product(s) are

directly associated with the certification.

Where inspection of the certificate and other supporting evidence can demonstrate that the facility and product groups are within scope of the certificate, then the organization purchasing that *product group* can credibly conclude that the products being sourced are low risk of coming from *controversial sources*.

The proposed DDS language is attached to this update.

**Discussion Item:**

- *Does the Resources Committee have direction regarding the proposed due diligence system?*

### **III. New SFI Section 3 – Fiber Sourcing Standard**

Below is a summary of the major enhancements of the fiber sourcing requirements that have been focus areas for the Fiber Sourcing Task Group.

- A new Objective “Biodiversity in Fiber Sourcing” has been added. The intent of this Objective is to enhance the existing requirements for conservation of biological diversity within a Certified Program Participant’s wood and fiber supply area.
- New Indicator 10.1.2 requires the use of written agreements for the purchase of all raw material sourced directly from the forest not just from purchased stumpage. These written agreements must include provisions requiring the use of best management practices.
- Revised Indicators 13.1.1 and 15.1.4 require a process for assessing the risk of acquiring fiber from illegal logging.

#### **4. Illegal logging Definition**

The Forest Management and Fiber Sourcing task groups reviewed comments proposing a revised definition for illegal logging. Comments received via the survey and workshops indicated that the current definition lacks alignment with international regulations like the EU Timber Regulation (EUTR) and US Lacey Act. The task groups are proposing a modified definition. The new definition is in a separate attachment to this update. Guidance was also developed to ensure unintentional consequences such as crossing of a boundary line or violation of highway laws does not result in illegal logging.

**Discussion Item:**

- *Does the Resources Committee have any specific questions or concerns regarding the new proposed illegal logging definition or guidance?*

#### **5. Requirements for Secondary Producers Using the “Certified Sourcing” Label**

The Board of Directors reviewed and approved the Resources Committee recommendation to strengthen the requirements for Secondary Producers who currently are certified to the “Certified Sourcing” Label Use Rules. The Board concurs with the Resources Committee rationale that by requiring additional requirements, such as those found in SFI’s Chain of Custody Standard around minimum management systems (Section 3 - clause 4) and avoidance of controversial sources (Section 3 – clause 3), more rigor and credibility will be obtained by Secondary Producers who use the Certified Sourcing label. The incorporation of these additional requirements will be addressed as part of the process of restructuring the SFI program into three stand-alone standards.

**Discussion Item:**

- *Does the Resources Committee know of any specific items that need evaluation regarding enhancing requirements for Secondary Producers using the Certified Sourcing Label?*

### **IV. SFI Section 2 – Forest Management Standard**

Below is a summary of the major enhancements to the SFI forest management requirements that have been focus areas for the Forest Management Task Group.

- A new Performance Measure 1.2 addresses conversion of one forest cover type to another forest cover type, incorporating an existing SFI interpretation. This revision aligns SFI forest management requirements with PEFC endorsement requirements.
- A new Performance Measure 1.3 addresses the conversion of forest land to other land uses. This Performance Measure states that forest lands that are converted to another land use are no longer eligible for SFI certification. This revision aligns SFI forest management requirements with PEFC endorsement requirements.
- New Indicators 2.2.4 and 2.2.5 expand existing requirements on chemical use by prohibiting the use of World Health Organization 1A and 1B list of prohibited chemicals and chemicals listed by the Stockholm Convention on Persistent Organic Pesticides. This revision aligns SFI forest management requirements with PEFC endorsement requirements.
- Performance Measure 3.2 was expanded to include requirements for protection of wetlands and riparian areas and now has specific reference to state BMPs, provincial guidelines and other applicable factors.
- Performance Measure 4.1 now requires that *Certified Program Participants* consider credible priority setting efforts such as state wildlife action plans, state forest action plans or provincial wildlife recovery plans. Indicator 4.1.3 was revised and now requires *Certified Program Participants* to work individually or collaboratively to support diversity of native forest cover types, age or size classes that enhance biological diversity at the landscape scale. Finally, a new Indicator 4.1.5 addressing significant species of concern has been added.
- A new Objective (Objective 8) “Recognize and Respect Indigenous Peoples’ Rights” has been added. This objective reflects existing SFI forest management requirements regarding respect for Indigenous rights and values on public lands and also has provisions for private lands.
- A revised Indicator 15.1.4 now requires a process for assessing the risk of acquiring fiber from illegal logging.
- A revised Indicator 17.1.5 now requires the use of written agreements stipulating the use of certified logging professionals (where available) or wood producers that have completed training programs and are recognized as qualified logging professionals.
- Performance Measure 17.2 was strengthened with the addition of a continuing education requirement for Qualified Logging Professionals (QLP) and Qualified Resource Professionals (QRP).

## 6. Sustainable Harvest Levels at the Watershed Scale

At the Board meeting April 30, the topic of sustainable harvest levels at the watershed scale was discussed. The Board concluded the discussion with direction to the Standard Revision Steering Committee to review the need for additional normative language concerning sustainable harvest levels at the watershed scale. During the May 1 Steering Committee meeting the following edits in red were proposed to Indicators 1.1.1.d and 4.1.3:

### a) Performance Measure 1.1

Indicator 1. Forest management planning at a level appropriate to the size and scale of the operation, including:

- a *long-term* resources analysis;
- a periodic or ongoing *forest inventory*;
- a *land classification* system;
- biodiversity at landscape scales*;
- soils inventory and maps, where available;
- access to *growth-and-yield modeling* capabilities;
- up-to-date maps or a *geographic information system (GIS)*;
- recommended sustainable harvest levels for areas available for harvest; and
- a review of non-timber issues (e.g. recreation, tourism, pilot projects and economic incentive *programs* to promote water *protection*, carbon storage, *bioenergy feedstock* production, or *biological diversity conservation*, or to address climate-induced ecosystem change).

### b) Performance Measure 4.1.3

Document diversity of *forest cover types*, *and* age or size classes at the individual ownership or forest tenure level, and where credible data are available, at the *landscape* scale. Work individually or collaboratively to support diversity of native *forest cover types*, age or size classes that enhance *biological diversity* at the *landscape* scale.

## 7. Conversion

- a) Performance Measure 1.2 (conversion one forest cover type to another): As per the Resources Committee's direction, the Forest Management Task Group has developed guidance for the implementation of the requirements for Performance Measure 1.2.
- b) Performance Measure 1.3 – conversion of forest land to another land use: The Forest Management Task Group has developed guidance for the implementation of the requirements for Performance Measure 1.3.

The guidance for implementing the requirements of PM 1.2 and 1.3 is attached.

### Discussion Item:

- Does the Resources Committee have any concerns with the proposed Performance Measures 1.2 and 1.3?
- From a stylistic standpoint, how should existing interpretations be captured in Guidance? With a historical viewpoint by taking existing interpretations word for word with the Q & A, or forward looking to incorporate key language and intent of the interpretation?

## 8. Biodiversity

The Forest Management Task Group has proposed a new Indicator 4.1.5:

*Program to address conservation of known sites with viable occurrences of significant species of concern.*

To assist with the implementation of Indicator 4.1.5 the Forest Management Task Group has developed guidance which is in a separate attachment.

### Discussion Item:

- Does the Resources Committee have any concerns with the proposed Indicator 4.1.5
- Does the Resources Committee have concerns with the guidance for Indicator 4.1.5, specifically the use of a table with illustrative species?

## 9. Deliveries by Untrained Loggers and Qualified Logging Professional Definition

With the revision to Indicator 17.1.5 requiring written agreements for all fiber delivered direct from the forest, and with these agreements stipulating use of trained loggers (*qualified logging professionals* or *certified logging professionals*), the expectation is that all deliveries to SFI facilities will be from trained loggers. In view of this requirement, the Resources Committee directed that the Logger Forum review and discuss the existing guidance language regarding deliveries from untrained loggers. The Logger Forum was also directed to review the proposed definition of a *qualified logging professional*.

The recommended guidance language and the revised definition of a *qualified logging professional* are provided in a separate attachment.

### Discussion Item:

- Does the Resources Committee have any concerns with the proposed Qualified Logging Professional definition or the guidance for deliveries from untrained loggers?

## V. Overview of Remaining Section Edits

### 10. SFI Section 9:

Section 9 (Audit Procedures and Auditor Qualifications and Accreditation) has had extensive revision reflecting the evolution in accreditation requirements since the release of SFI 2010-2014. Revisions to key documents like the International Organization for Standardization (ISO) 17021:2011 (Conformity assessment – Requirements for bodies providing audit and certification of management systems); ISO TS 17021-2 (Part 2: Competence requirements for auditing and certification of environmental management systems) and ISO 17065:2012 (Conformity assessment – Requirements for bodies certifying products, processes and services) requires that SFI ensures that Section 9 is current with the latest accreditation requirements. To assist with this process SFI engaged an external consultant experienced with accreditation requirements for certification bodies.

Other revisions include:

- The scope of Section 9 has been expanded to include SFI Chain of Custody;
- *Appendix 1: Audits of Multi-site Organizations* has been revised to better reflect International Accreditation Forum Mandatory Document 01 (audits of multi-site organizations) and Mandatory Document 05 (audit duration); and
- PEFC endorsement of the SFI forest management requirements have resulted in more detail regarding group certifications.

**11. SFI Sections 5, 7, 8, 10, 11, and 12:**

- SFI Section 5: SFI Staff will review and revise *SFI Section 5 – Rules for Use of SFI Off-Product Labels*.
- SFI Section 7: *Section 7 – SFI Policies* has been updated to reflect the inclusion of the SFI Forest Tree Biotechnology. This section has also been revised to include just the SFI Policies removing the background information that is in the current Section 7.
- SFI Section 8: *SFI Section 8 - Standards Development and Interpretations Process* has been revised to reflect the SFI 2015-2019 standards development process and clarifying language to support PEFC endorsement of the SFI standard setting process. The interpretations process has not been revised.
- SFI Section 10: *SFI Section 10 - Communications and Public Reporting* has had minor editorial changes.
- SFI Section 11: *SFI Section 11 – Public Inquiries and Official Complaints* has been revised to further clarify the difference between a claim of an inconsistent practice and an official complaint and the two processes for handling them.
- SFI Section 12: *SFI Section 12 – Optional Modules* has had minor editorial changes

**Next Steps:**

The recommendations coming from the June 3<sup>rd</sup> meeting will then be presented to the Board of Directors during a two hour conference call June 26th. The purpose of this call is to update the Board on any discussions to date. The Board will seek approval of the 2015-2019 SFI Standard during their September meeting.

*Prepared by: Gregor Macintosh, Senior Director Standards*

## Briefing Note: SFI 2015 - 2019 Program Requirements Revision Process - October 16, 2013

### **Background:**

During the months of September and October the Forest Management, Fiber Sourcing and Chain of Custody task groups have been reviewing the public comments submitted during the first comment period. These task groups met face-to-face the weeks of October 7 and 14 to continue to develop recommendations for changes to the SFI 2015-2019 Program Requirements. The sections below outline the major issues and questions these task groups will be discussing. Staff will compile the results of these meetings to further inform our discussions during the October 23 Resources Committee meeting.

### **Chain of Custody and Certified Sourcing Task Group report to the Resources Committee**

Following the Chain of Custody and Certified Sourcing Task Group face-to-face meeting October 11<sup>th</sup> the task group wants to make the Resources Committee aware of the following key items.

#### **Discussion Item 1 - Recycled Content and Label Changes**

Pre- and post-consumer materials: The task group reached the conclusion that pre- and post-consumer materials should be eligible as certified content under the average percent and volume credit methods. Currently the SFI CoC standard does not recognize pre-consumer as certified content, but does recognize post-consumer. Pre-consumer is counted under the definition of certified sourcing. In comparison, PEFC counts both pre and post-consumer under certified content and FSC only counts post-consumer but is currently reviewing their policy to include pre-consumer. This policy change would further align SFI with PEFC.

Acceptance of pre-consumer materials as SFI certified content will require changes to existing SFI CoC labels to ensure full transparency of the fiber makeup of the product. The following claims are being proposed for the SFI CoC label:

- Change to Volume Credit Label - Promoting Sustainable Forestry and Pre and Post Recycled (currently reads "Promoting Sustainable Forestry")
- New Volume Credit Label – If a company uses volume credit to account for 100% recycled content, a new label would be added with a claim that would read "Promoting Pre and Post-Consumer Recycled"
- Change to Average Percent Label – add a X% Pre-Consumer Recycled line. (Currently has a X% Certified Forest Content, X% Certified Sourcing and X% Post-Consumer Recycled)
- ***Question: Should SFI allow for the inclusion of pre-consumer content under certified content calculations?***

#### **Discussion Item 2 – SFI Chain of Custody and Certified Sourcing**

SFI CoC to use the Certified Sourcing Label (or claim): The group discussed requiring program participants to get certified to the SFI CoC in order use the Certified Sourcing label or make a claim of Certified Sourcing. This could further strengthen the Certified Sourcing claim, and further tie this statement to the good work SFI does around addressing the non-certified forest content.

- Issues associated with this change:



- Added audit costs and staff time for those companies only certified to the Certified Sourcing label requirements.
- If organizations aren't willing to go through the additional audit, organizations could potentially drop out of SFI.
- By bringing Certified Sourcing claims under a CoC label, would we need to explore additional issues related to controversial sources (conversion, GMOs, etc.)
- Label questions to consider
  - Could a 100% Certified Sourcing claim be made using a SFI CoC Label? SFI's rules currently do not allow this even if a company is SFI CoC certified. Currently an organization who wishes to make a 100% Certified Sourcing statement must use the Certified Sourcing label.
  - Or should a new label be created with a proposed claim of SFI CoC Certified, and then underneath "From Responsible Forest Sources and Recycled Sources."
- *Question: Should SFI require SFI CoC for Certified Sourcing Label / Claim use?*

### **Discussion Item 3 – SFI Risk Assessment Process for Fiber Supply from United States and Canada**

The task group discussed the need for a process to assess the risk of SFI program participants sourcing fiber from illegal logging and controversial sources within the United States and Canada. Note that a similar requirement is required for the PEFC Chain of Custody standard. This process could be conducted at the national level (one for Canada and one for the United States) or individual program participants could develop a risk assessment for their own fiber supply region. The definition of controversial sources would potentially need to address GMO fiber, fiber from areas with exceptional biodiversity values and fiber from lands converted to non-forest use to align with PEFC's definition. This could potentially strengthen SFI's recognition by PEFC, customers and detractors.

#### ***Questions:***

- *Does the Resources Committee think that some form of SFI risk assessment is required for sourcing within the United States and Canada?*
- *Should this risk assessment process be conducted at the national level or should each program participant develop their own process for their fiber supply region?*
- *If conducted at the program participant level could this result in varying levels of risk being assessed for a fiber supply region?*
- *Should the risk assessment process address just illegal logging or should it consider the risk of sourcing from controversial sources?*
- *If the risk assessment is to be developed at the national level should SFI use a third party to develop these assessments?*
- *Is there language currently SFI could use to enhance the definition of controversial sources to be more prescriptive (i.e. converted wood can be utilized, but not count towards the SFI certified content label. Or, avoidance of GMO fiber until PEFC's revisits their policy in December 31, 2015.)*

#### **Discussion Item 4 – Volume Credit Claims at less than 100%**

During task group discussion it became apparent that some SFI CoC certificate users are issuing claims under the Volume Credit method at less than 100%. Section 3.4.2.2 in the SFI COC standard states that *the volume credit shall be distributed to the output products from the volume credit account in a way that all products sold as certified are sold as 100% certified*. An example of this is if an organization knows they have 50% certified content coming into their facility, they can sell 50% of the output at 100% certified under the volume credit method.

However, in section 3.5.2 (d) it states: *Volume credit users – percentage of transferred certified forest content per 3.4.2.2. If 100%, then the claim should be “100% certified as calculated under the volume credit method”*. The text at 3.5.2 would appear to allow making claims using the Volume Credit method at less than 100% because of the word “If”. An example of this is if an organization knows they have 50% certified forest content coming into their facility, they can sell 35% of the output at 70% certified under the volume credit method, and then the other 15% of the output at 30% certified under the volume credit method.

The Task Group was divided on this issue with some strongly arguing that a claim could be less than 100% under volume credit, while others argued the claim had to be 100%. Note, the volume credit label does not disclose the percent amount. The percent claim is only disclosed on invoices or other forms of communications.

- ***Question: Should SFI permit SFI CoC certificate holders to issue claims under the Volume Credit method at less than 100%?***

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#### **Fiber Sourcing and Conversion Task Group Report to the Resources Committee**

Following the Fiber Sourcing and Conversion face-to-face meeting on October 9, the Task Group wants to make the Resources Committee aware of the following key items.

#### **Discussion Item 5 – Fiber Sourcing Enhancements for the US and Canada**

The Task Group recommends that the fiber sourcing objectives should be enhanced, with increased focus on addressing conservation of biological diversity within North America, mandatory use of contracts, and requirements that speak to illegal logging within open market procurement. To this end, the group is proposing that a new Objective 8 be introduced with additional requirements for conservation of biodiversity for fiber sourcing. The revised Objective 9 now calls for the use of contracts for all purchases of fiber direct from the forest. The revised Objective 14 now has additional requirements to address illegal logging within Performance Measure 14.1

The group did not recommend open market fiber purchase contracts having to manage for G1/G2 species, and instead wants direction from the Resources Committee on this issue.

- ***Question: Does the Resources Committee believe that open market procurements should require the use of contracts?***
- ***Question: Should open market fiber purchase contracts have a requirement to manage for G1/G2 species?***
- ***Question: Does the Resources Committee agree with the addition of illegal logging language to Objective 14?***

### **Discussion Item 6 – Fiber Sourcing Enhancements for Off-shore Fiber**

The task group discussed measures to better assess the risk of sourcing fiber from controversial sources and illegal logging from sources outside of the United States and Canada. The task group suggests consulting information tools from the World Bank, Transparency International, or the World Resources Institute Risk Information Tool.

- ***Question: Does the Resources Committee know of additional sources that could be used to assess the risk of sourcing from controversial sources or illegal logging?***
- 

### **Forest Management Task Group Update**

The Forest Management Task Group meets face to face on October 16-17 to continue to developing recommendations for changes to the SFI 2015-2019 Standard Forest Management Objectives. Below outlines the major issues and questions the Forest Management task group is discussing.

#### **Biodiversity**

- How do we strengthen Forest with Exceptional Conservation Value (FECV)?
  - Tools for assessing impact of including G3 species in FECV (ask NCASI / Nature Serve to do an analysis?)
  - Use of State Wildlife Actions Plans (and Canadian equivalent) to identify species for consideration under FECV?

#### **Sustainable Harvest Rates**

- Is there a way to make the current intent (for sustainable harvest rates) more clear?

#### **Conversion of forests to other land uses:**

- What are the PEFC requirements?
- What are the FSC requirements?
- What does SFI interpretation say?
  - Would incorporating some of the language from Interpretation No. 12 Pt. 2 of SFI Interpretations address the issue of conversion to other land uses?
  - Can standard language be added that clearly states that land being converted to other uses cannot be in the SFI program and fiber from these lands cannot be certified?

#### **Riparian Protection**

- What additional measures can we consider for enhancing water quality and water quantity?
- What additional measures do we need to consider for addressing degraded wetlands?
- Are there significant issues with forested wetlands currently on program participants lands?

#### **Logger Training**

- Should continuing education requirements for loggers be added to the standard? What should they be? Should there be a minimum number of hours specified?
- Should we call for a Logger Forum (SIC, American Loggers Council, Forest Resources Association and Program Participants – procurement reps.) to examine needs for logger education into the future?

**Commercial deployment of Exotics Species**

- What additional requirements could we consider to address deployment of Exotic Species?
- Can we introduce some of the normative language from Interpretation 2.2 Part 1 of SFI Interpretation to address concerns regarding Exotic Species? Add specific examples of when exotic species cannot be used (e.g. special sites)?

**PEFC Endorsement Requirements**

- Review of Nov 2012 SFI Extraordinary Assessment Submission to confirm readiness and new SFI standard requirements.

**Next Steps:**

Based on Task Group meetings during the week of October 7 and 14, SFI Inc. staff will develop recommendations for changes to the SFI 2015-2019 Program Requirements. A draft *Redlined SFI 2015-2019 Program Requirements, Section 3 and 4* are included for your review. A redlined draft *SFI 2015-2019 Program Requirements, Section 2* document will be sent to Resources Committee members on October 21, in advance of the October 23 meeting. Resources Committee members will review and provide input on the first draft of the SFI 2015-2019 requirements, which will be reviewed by the Board of Directors during their December 5th conference call.

*Prepared by: Gregor Macintosh Senior Director, Standards*

**Attachment(s):**

- *Redlined Draft SFI 2015-2019 Program Requirements, Section 3 and 4 included herein.*
- *Redlined Draft SFI 2015-2019 Program Requirements, Section 2 will be sent on October 21st.*



**SFI Standard Review Workshop  
Vancouver, BC Canada  
January 22 2014**

**Welcome and Introductions and Standard Review Process**

Gregor Macintosh, SFI Inc., provided background information on the SFI Standard review process and the proposed changes. In his introduction Gregor reviewed the SFI Anti-trust statement. Jody Erikson, The Keystone Center, provided facilitation and asked participants to provide their concerns and their proposals to address those concerns. The following summary records the key questions and concerns and proposals raised during the workshop.

Discussion Item	Concern from Attendee	Proposal from Attendee
1.2	Conversion maybe too limiting and preclude changing one forest type for a more ecologically suitable forest type. Also in some circumstances there are efforts to planting alternate species to allow for climate change adaptation.	Revise language to allow for species suitable to the site not just address the forest type.  Also allow for species plantings that may allow for climate change adaptation.
1.2	Conversion doesn't take into account the age of the stand.	Add language to allow flexibility based on the age of the stand.
1.2.1 and 1.2.2	These two indicators are inconsistent.	Revise language to use "ecologically suitable" and not just "forest type".
1.2.2 - "rare and ecologically significant"	Terms are not clear; who decides what is and isn't; is this different from "threatened and endangered"?	Use the same terms as in Objective 4 AND/OR define the baseline.  If we are referencing state/provincial or federal legislation we should state that.  Define beyond G1/G2.  Consider the role of seral stage or stand age.
1.2.3 - "significantly long term impact":	Terms is unclear – who decides, what is the baseline?  This seems inconsistent; the rest of the standard wouldn't allow it.	Define the terms or baseline OR delete it because it is redundant.
2.1.2 – "two years or two planting seasons"	These numbers are artificial; Canadian legislation sets the number of years for regeneration.	Remove the specific years and planting seasons OR add "or otherwise specified/consistent with legislation".
2.2.4 – "World Health organization (WHO) type 1A and 1B pesticides"	It is difficult to locate or access the WHO 1A and 1B list.	Provide the list on the SFI website.
2.3.2 – "excessive"	Unclear what this means; what is the	Define the term.

soil disturbance"	baseline.	
3.1.1. – "best management practices (BMPs)"	British Columbia's Forest Range Practices Act is put forward as provincial water quality standard but doesn't apply to private lands.	Use "provincial water quality guidelines" instead of "provincial water quality BMPs".
3.2 – "state BMPs, provincial guidelines"	This is obvious and unneeded.	Remove "state BMPs, provincial guidelines".
3.1.3 – examples	The examples are confusing; people often ask for them to be explained.	Remove the examples.
4.1.3 – "spatial and temporal assessments"	Unclear terms; unclear how this indicator will be met.	Add more specificity on "spatial and temporal assessments" – what are they? AND, change "and where" to "or where credible data are available". AND clarify intent.
4.1.4 – "that include Indigenous peoples"	Confusing; can be read as two-track process for planning and priority-setting – one with state, provincial and regional and one Indigenous people.	Reword the indicator to read as one track OR move this to new indicator 8.2.1.
4.1.8 – "Program to use"	The term implies prescribed or natural fire must be used.	Use current wording from 2010-2014 Standard – "Program to incorporate the role of..."
8.1.1 – "written policy"	"Policy" has specific meaning to some and unclear to others; also, "policy" can be a target for advocacy groups or public.	Remove "written policy" and leave "...will acknowledge a commitment..."
8.3.1	There may be more than the "such as" examples given.  Use of "acknowledge" is unclear – does it mean admit or demonstrate?	It is not intended to be an inclusive list.  Remove "acknowledge", use "demonstrate".

<b>Changes to Fiber Sourcing Objectives &amp; Associated Definitions (Objectives 9-14)</b>		
<b>Discussion Item</b>	<b>Concern from Attendee</b>	<b>Proposal from Attendee</b>
9.1.1	Other than the obvious, it is unclear who this applies to; who is communicating whom?	Clarify who is communicating expectations to whom using multiple scenarios AND/OR apply to the neutral portion in the Chain of Custody. AND, add "if the source is SFI certified than indicators 9.1.1 and 9.1.2 don't apply. ( <i>Typo "Program" should be in italic</i> )
9.1.1.b	Unclear how to conduct assessment on lands not in your control. And, what about small, two-truck, businesses.	Provide exceptions for small entities.
10.1	This performance measure is out of place with the objective – objective is water quality, measure is fiber sourcing and adherence to the principles.	Move this objective



10.1.2 – “written agreements”	This is not flexible, telling entities how to do business.	Tie this to BMPs OR replace “written agreements” with “demonstrate the process”.
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### **Changes to Forest Management and Fiber Sourcing Objectives & Associated Definitions (Objectives 15-21)**

<b>Discussion Item</b>	<b>Concern from Attendee</b>	<b>Proposal from Attendee</b>
15.1.4 and 15.1.5	Duplicative.	Combine .4 and .5 to read “assess and address”.
17.1.5- “written agreement for use of”	Open to many interpretations and/or interpreting as a monopoly.	Remove “have written agreements for use of” use “promote use of”.
17.2.1 – “training courses” and “continuing education”	Unclear what “continuing education” entails AND “courses” has negative associations.	Clarify what is required for “continuing education” and remove the term “courses”.
18	Community involvement and landowner outreach are two different things with two different goals.	Separate into two objectives.
18.1.2 and .3	These indicators don't apply for non-purchasers.	
21.1 – “systems”	Need consistent use of “system” or “program”.	Use “program” consistently throughout the standard.

### **Changes to Section 3 – SFI Chain of Custody requirements**

<b>Discussion Item</b>	<b>Concern from Attendee</b>	<b>Proposal from Attendee</b>
Overall	<p><b>Question:</b> Why does SFI have a separate CoC; why not use PEFC CoC? A European based system may strengthen SFI. Two CoCs weaken both.</p> <p><b>Response:</b> SFI is looking at what it can do to align aspects of the SFI CoC with those of PEFC CoC. SFI staff are monitoring developments with the PEFC CoC. In lieu of adopting the PEFC CoC, SFI might choose to seek PEFC accreditation of SFI CoC.</p>	
Part 2.4.2.d Official SIF claims, Note	Unclear what “any combination is permissible”.	
Part 3.7.	The format is not consistent with other parts	Reformat to be consistent.
Part 3.7.1.4 and 3.7.1.5	Inconsistent with the Standard; they may set a higher bar than the Standard.	Make consistent language between the standard and CoC.
Definition “controversial sources”	The definition is not flexible, doesn't allow for the reality (i.e., trees from road building).	Broaden the definition to allow for things like trees from road building on certified lands would be considered certified.

### **Changes to Section 4 – SFI On-Product Label Use Rules**

<b>Discussion Item</b>	<b>Concern from Attendee</b>	<b>Proposal from Attendee</b>
------------------------	------------------------------	-------------------------------

Definition of "controversial sources"	(same as concern in CoC; see above).	
---------------------------------------	--------------------------------------	--

<b>Other</b>		
<b>Discussion Item</b>	<b>Concern from Attendee</b>	<b>Proposal from Attendee</b>
	SFI is burying a key difference between SFI and other standards. SFI certifies the holder, others certify the land. This means SFI certification is not impacted from the surrounding uses.	Highlight this benefit explicitly

**Next Steps:**

- Summary of each workshop will be posted following the workshops and included
- Public comment period ended on March 6, 2014
- Completion of the 8 additional workshops (final workshop on March 4)
- Review of the comments and workshop summaries
- Final Draft reviewed by Board September, 2014
- Final Standard launches January 1, 2015



# SFI 2015-2019 - Standard Review Webinar

March 6, 2014



*Writing the Next Chapter*

- Kathy Abusow - President & CEO
- Gregor Macintosh - Senior Director, Standards
- Jason Metnick - SVP, Customer Affairs<sup>6</sup>



# Webinar Guidelines & Antitrust



# Agenda

- Introduction – Kathy Abusow
- SFI Standard Review Process – Gregor Macintosh
- Overview of Enhancements to Section 2 - Gregor Macintosh
- Overview of Enhancements to Section 3 & 4 – Jason Metnic





**We're SFI. We  
Stand for the  
Future of Our  
Forests.**



SFI-00001





# Diverse Independent Board

SFI Board diversity reflects the variety of interests in the forestry community

## Environmental Sector

THE CONSERVATION FUND



BIRD STUDIES CANADA  
ÉTUDES D'OISEAUX CANADA



RESOURCES  
FOR THE FUTURE



Ducks Unlimited Canada  
Conserving Canada's Wetlands

THE WILDLIFE SOCIETY

## Social Sector



## Economic Sector



Weyerhaeuser



Making Life's Simple Necessities.®

# SFL: A Gateway to 1/4 Billion Acres and Beyond

Forests certified to the SFA standard in Canada and the U.S.

248 million acres  
100 million hectares



# SFI's Unique and Proactive Fiber Sourcing Program



- SFI was developed with landowner patterns in mind
  - 60% of the fiber in U.S. comes from family forest landowners
  - 30% of the fiber in Eastern Canada comes from small woodlots
- Fiber Sourcing Requirements.
  - Landowner outreach to promote sustainable forestry
  - Logger training (over 100,000 trained since 1995)
  - Support for forest research (\$1 billion since 1995)
  - Best Management Practices to Protect Water Quality





# Conservation Grant Awards





SFI and SLC's are proud to work with Habitat for Humanity on a number of build across North America.



## Leveraging the "I" in Initiative

- Community Partnerships
- XX number Builds Since 2008



# Educating the Next Generation of Future Forest Leaders





# SFI Forest Partners<sup>SM</sup> Program Growing SFI Certified Lands

Time Inc.

PEARSON



MACMILLAN



NATIONAL  
GEOGRAPHIC

In 2012, these  
market leaders  
stepped forward  
as founding SFI  
Forest Partners.

# Demonstrating Value in the Supply Chain



- SFI Forest Partners Program brings together forest landowners, manufacturers, customers, and government agencies across the U.S.
- Shows landowners and mill operators the direct connection to the customer.
- Helps corporations deliver on their procurement policies (certified forest content/certified sourcing)
- Gives customers/buyers an active role to claim and first hand knowledge of forest certification – moving beyond just a paper policy, and putting words to action.

**End of 2014**      **End of 2017**

↑ 5 million acres      ↑ 10 million acres



# SFI Standard Review Process To Date





# Transparent Standard Review

- The SFI Standard is revised every five years.
- Updated to reflect latest science, information, market needs and PEFC endorsement requirements.
- Active feedback for the Future of Forests.



**SFI 2015-2019 Standard Review**

Inviting nearly 10,000 stakeholders to submit comments, the Sustainable Forestry Initiative® has opened up its second public 60-day comment period for the proposed SFI 2015-2019 standard.

This working draft is the result of input from comments submitted during the first 60-day public comment period which ran from June 5 – August 6, 2013. The draft new Standard includes new performance measures to conserve biodiversity in fiber sourcing; limit conversion of one forest type to another; bolster protection for indigenous peoples on private lands; and expand the definition of “controversial sources,” which are not allowed in SFI-labeled products. This is the second 60 day public comment period and will end March 6, 2014 at midnight PDT.

**Click Here** to Submit Comments on the Draft SFI 2015-2019 Requirements

**Click Here** to View the Drafts of Sections in the SFI 2015-2019 Requirements

**Click Here** to View a Summary of Major Enhancements to the Draft SFI 2015-2019 Requirements

**Click Here** for Information on the SFI Standard Revision Workshops and to Register

**Documents:**  
Responses to Comments  
Revised Drafts Part 40 (July - August 2013)  
August 2013

**Click here** pour voir la version française  
Experiences of Nations on programmes SFI 2015-2014  
La Sustainable Forestry Initiative (SFI) invite des milliers d'intervenants à contribuer à l'amélioration de sa norme de certification standard à la fin janvier 2014

**Questions?**  
About the Standard Review, contact Gregor MacIntosh, standard@sfiprogram.org  
About the Workshops, contact Amy Doby, Tel: 202-296-3458, Amy.Doby@sfiprogram.org

**cliquez ici** pour examiner ou projet de norme SFI 2015-2019 en français

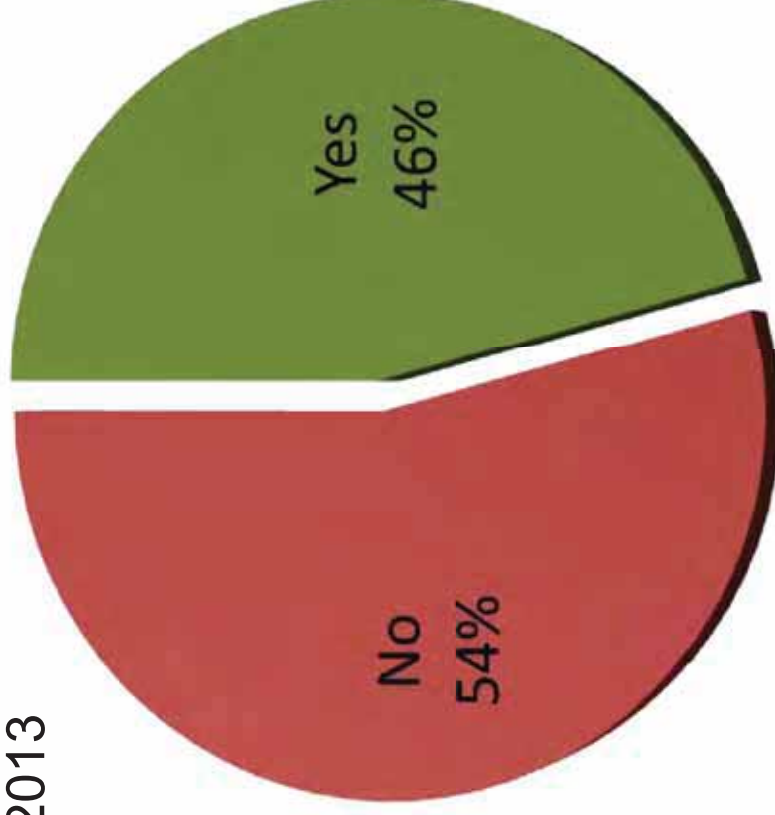
# Expanding our Engagement



## New to the Process

From first comment period in Summer 2013  
- we asked stakeholders:

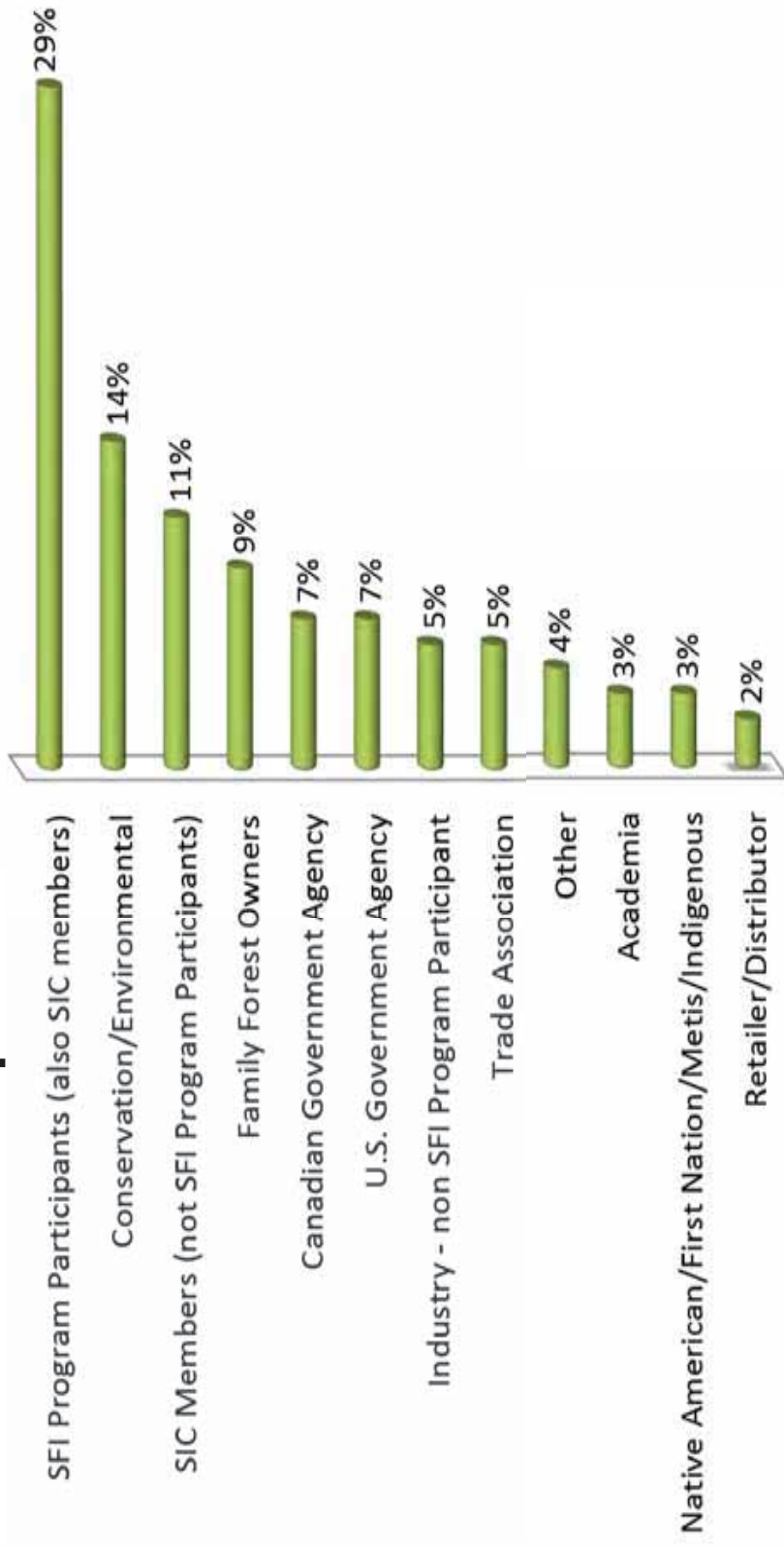
*“Did you participate in the 2009 public  
comment period for the  
SFI 2010-2014 Standard?”*



# Diverse Engagement



## Breakdown of stakeholders from the summer 2013 public comment period.





# Task Groups Developed for Focus Areas



## **Forest Management**

- Focus Areas: SFI 2010-2014 Section 2 Objectives 1-7 and 14 – 20 and Sections 6 and 13

## **Fiber Sourcing**

- Focus Areas: SFI 2010-2014 Section 2 Objectives 8-13; Section 6 and Section 13

## **Chain of Custody and Certified Sourcing**

- Focus Areas: SFI 2010-2014 Section 3 CoC; Section 4 Rules for Use of SFI On-Product Labels and Section 13

## **Bioenergy and Climate Change**

- Focus Areas: SFI 2010-2014 Section 1; Section 2 Objective 15 and Forest Tree Biotechnology

# Experts Assigned in the Task Groups



Task group members represent a cross-section from conservation, social and economic organizations. Sample of members:

- World Business Council for Sustainable Development
- World Resources Institute
- Ducks Unlimited (Canada)
- Tribal (US) & First Nations (Canada)
- Manomet Center for Conservation Sciences
- State forest management agencies
- Academics
- Small Landowners

# Special Forums Conducted on Issues



## Loggers Forum

- SLCs, Program Participants, American Loggers Council and Logger representatives
- Loggers Forum Focus Areas
  - SFI 2010-2014 Section 2 - Objective 16 (QLP and QRP education)
  - SFI 2010-2014 Section 6 – de minimis deliveries by untrained loggers
  - SFI 2010-2014 Section 13 - QLP definition

## Indigenous Workshop

- Tribal (US) and First Nations (CDN) certified Program Participants
  - Representatives of 26 Tribes and First Nations participated
- Workshop Focus Areas:
  - All SFI 2010-2014 Section 2 requirements related to Indigenous peoples

# Transparent In Comment Review



## External Review Panel

- Independent 15 member volunteer advisory panel to the SFI Inc. Board and Resources Committee
- Representatives from social, environmental, academic and public agencies
- Reviews all comments, task force analysis, and proposed revisions to the SFI Standard
- Ensures the SFI standard development process (Section 8) is being respected

# Feedback Across North America



## Workshops

- Stakeholders can submit comments online regarding the working draft of the SFI 2015-2019 Standard and participate in person at one of the 9 public Standards Review workshops across the U.S. and Canada.

– Vancouver, BC	January 22	– Montreal, QC	February 25
– Edmonton, AB	January 23	– Portland, ME	February 27
– Portland, OR	January 28	– Minneapolis, MN	March 4
– Charlotte, NC	February 4	– Webinar Workshop	March 6
– Memphis, TN	February 5		



# Forest Management: Key Enhancements





# Forest Management - Objective 1

NEW



## **CONVERSION OF FOREST TYPES**

### **Performance Measure 1.2 (new):**

- PEFC endorsement ✓
- addresses conversion of one forest type to another forest type.
- incorporates the existing SFI interpretation:
  - i) compliance with relevant national and regional policy and legislation related to land use and forest management;
  - ii) prohibits conversion of native forest types that are rare and ecologically significant at the landscape level or
  - iii) cannot put any native forest types at risk of becoming rare.

# Forest Management – Objective 1

NEW

## CONVERSION TO NON-FOREST

- **Performance Measure 1.3 (new):**
  - PEFC endorsement ✓
  - addresses the conversion of forest land to other land uses.
  - states that forest lands that are converted to another land use are no longer eligible for SFI certification.

# Forest Management – Objectives 2 & 3

NEW

## CHEMICALS

### Indicator 2.2.4 (new):

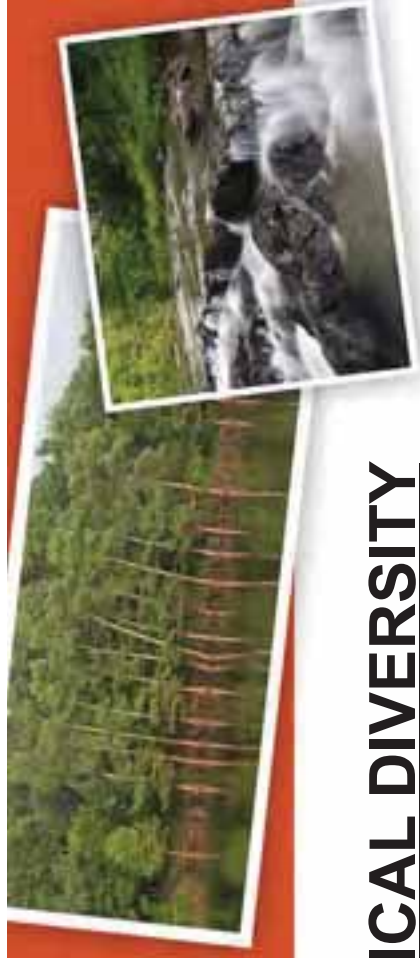
- PEFC endorsement ✓
- expanded existing requirements on chemical use by prohibiting the use of World Health Organization 1A and 1B list of prohibited chemicals.

## WATER QUALITY

### Performance Measure 3.2 (revised):

- expanded to include requirements for protection of wetlands and riparian areas and now has specific reference to state BMPs, provincial guidelines and other applicable factors.

# Forest Management – Objective 4



## CONSERVATION OF BIOLOGICAL DIVERSITY

### Indicator 4.1.3 (revised):

- take into account spatial and temporal assessment at the ownership or management unit level and where available at the landscape level.

### Indicator 4.1.4 (revised):

- knowledgeable about credible state, provincial, or regional *conservation* planning and priority-setting efforts that include Indigenous peoples, to conserve biological diversity and consideration of these efforts in forest management planning. Examples of credible priority-setting efforts could be state wildlife action plans, state forest action plans, relevant habitat conservation plans or provincial<sup>1341</sup> wildlife recovery plans.



# Forest Management – Objective 8



## INDIGENOUS PEOPLES

**Objective 8 (new) - Recognize and Respect Indigenous Peoples' Rights - To recognize and respect Indigenous Peoples' rights and traditional knowledge.**

- objective incorporates existing SFI requirements regarding respect for Indigenous rights and values on public lands, and has provisions for private lands.
- **Performance Measure 8.1 (revised):** policy requirement commitment to recognize and respect rights of indigenous peoples. (Currently in Objective 14.2.1)
- **Performance Measure 8.2:** existing requirement for managers of public lands to confer with Indigenous Peoples
- **Performance Measure 8.3 (new):** communication with local Indigenous Peoples regarding SFM practices on private lands.



# Fiber Sourcing: Key Enhancements





# Fiber Sourcing – Objective 9

NEW



## **BIODIVERSITY IN FIBER SOURCING**

**Objective 9 (new) – *Biodiversity in Fiber Sourcing - To broaden the practice of sustainable forestry by conserving biological diversity.***

- The intent of objective is to enhance existing requirements for conservation of biological diversity within a Certified Program Participant's wood and fiber supply area.
- Performance Measure 9.1 – requires a program to address conservation of biodiversity, individually or collaboratively for fiber sourcing from lands within the United States and Canada.

# Fiber Sourcing – Objectives 10 & 13

NEW



- **BEST MANAGEMENT PRACTICES IN FIBER SOURCING**

**Indicator 10.1.2 (new):**

- requires the use of written agreements for the purchase of all raw material sourced directly from the forest not just from purchased stumpage. These written agreements must include provisions requiring the use of best management practices.

- **AVOIDANCE OF CONTROVERSIAL SOURCES INCLUDING ILLEGAL LOGGING**

**Indicator 13.1.1 (revised):**

- requires a process for assessing risk of acquiring fiber from illegal logging and encourages the use of tools such as the World Resources Institute Risk Information Tool.

# Forest Management and Fiber Sourcing: Key Enhancements



# Forest Management and Fiber Sourcing – Objective 15



- **LEGAL AND REGULATORY COMPLIANCE**

## Indicator 15.1.4 (new):

- requirements for assessing the potential of sourcing from *illegal logging* from within the United States and Canada.
- requires a process to assess risk of acquiring material from illegal logging by considering some of the following:
  - i) communications with suppliers;
  - ii) independent research;
  - iii) contract documentation; and
  - iv) records.





# Forest Management and Fiber Sourcing – Objective 16



- **FORESTRY RESEARCH, SCIENCE, AND TECHNOLOGY**



## Forest Tree Biotechnology Policy (new):

- PEFC endorsement ✓
- approved by the SFI Board of Directors on December 5, 2013 -incorporated in *Section 7 – SFI Policies*.
- policy builds upon SFI’s existing measures regarding research on genetically engineered trees via *forest tree biotechnology*.
- SFI Inc. will proactively review and update the SFI Standard language and this policy<sup>1248</sup> as necessary.

# Forest Management and Fiber Sourcing – Objective 17



- **LOGGER TRAINING**

## Indicator 17.1.5 (revised):

- requirement for use of written agreements which stipulate:
  - i. use of certified logging professionals (where available) or
  - ii. wood producers that have completed training programs and are recognized as qualified logging professionals.

## Performance Measure 17.2 (revised):

- addition of a continuing education requirement for Qualified Logging Professionals (QLP) and Qualified Resource Professionals (QRP).



# SFI Section 6 – Guidance



- **DELIVERIES BY TRAINED LOGGERS**
  - Guidance revised to establish a limit of 5% for de minimis deliveries by untrained loggers to SFI certified program participants.
  - Certified program participants should strive to limit their deliveries from untrained loggers to no more than 5% of their raw material with allowances for turnover in the logging workforce, availability, timing and length of training programs, other wood suppliers and availability of trained logging professionals locally.

# SFI Chain of Custody: Key Enhancements



# SFI CoC – General Enhancements



- PEFC alignment ✓
- *Certified content* currently is defined as *post-consumer recycled content* and *certified forest content*.
- To align with PEFC, pre-consumer recycled content now counts under the definition of *certified content*.



**Note:** *Certified forest content* is defined as raw material from lands 3rd party certified to acceptable forest managements standards.

# SFI CoC – General Enhancements



- This alignment with PEFC CoC (pre-consumer recycled content) will require revised labels as the labels currently reference post-consumer content.
- **Labels for Average Percent Method:**

## Existing Label



## Revised Labels





# SFI CoC – General Enhancements



- This alignment with PEFC CoC (pre-consumer recycled content) will require revised labels as the labels currently reference post-consumer content.
- **Labels for Vol. Credit Method:**

Existing  
Label



Revised  
Label





# SFI CoC – SFI Claims



- SFI Official Claims: standardized Claims to clarify communications between chain of custody users when selling/transferring products.

- SFI claims under 2.4.2 and 3.2.1:
  - **SFI Certified Forest Content**
  - **SFI Recycled Content**
  - **SFI Pre-consumer recycled**
  - **SFI Post-consumer recycled**
  - **SFI Certified Sourcing**
    - (Note: Percentages of any combination of the above are permissible.)
  - **SFI at Least X% <sup>235</sup>Certified Forest Content (2.4.2 only)**

# SFI CoC – SFI Claims



- SFI claims under 3.6.2

- *SFI Certified Content - 100% as calculated under the volume credit method.*
- *SFI Recycled Content - 100% as calculated under the volume credit method.*



# SFI CoC



## 3.7 - Process to Avoid Controversial Sources:



- PEFC CoC alignment
- Definition of controversial sources expanded to include:
  - forest activities not in compliance with legal protection of threatened and endangered species;
  - Convention on International Trade in Endangered Species;
  - management of areas with designated high environmental and cultural values;
  - labor regulations relating to forest workers, and indigenous peoples' property, tenure and use rights.
- Fiber from outside the United States and Canada with a valid PEFC chain of custody and claim can be accepted as being free of controversial sources.



# Next Steps

- Comments close March 7, 2014
- Using comments from the Second Comment Period the Task Groups will reconvene in the March / April to consider comments.
- Final draft of the SFI 2015-2019 Standard and Program Requirements will be presented to the SFI Board of Directors for their approval during the summer / fall of 2014.

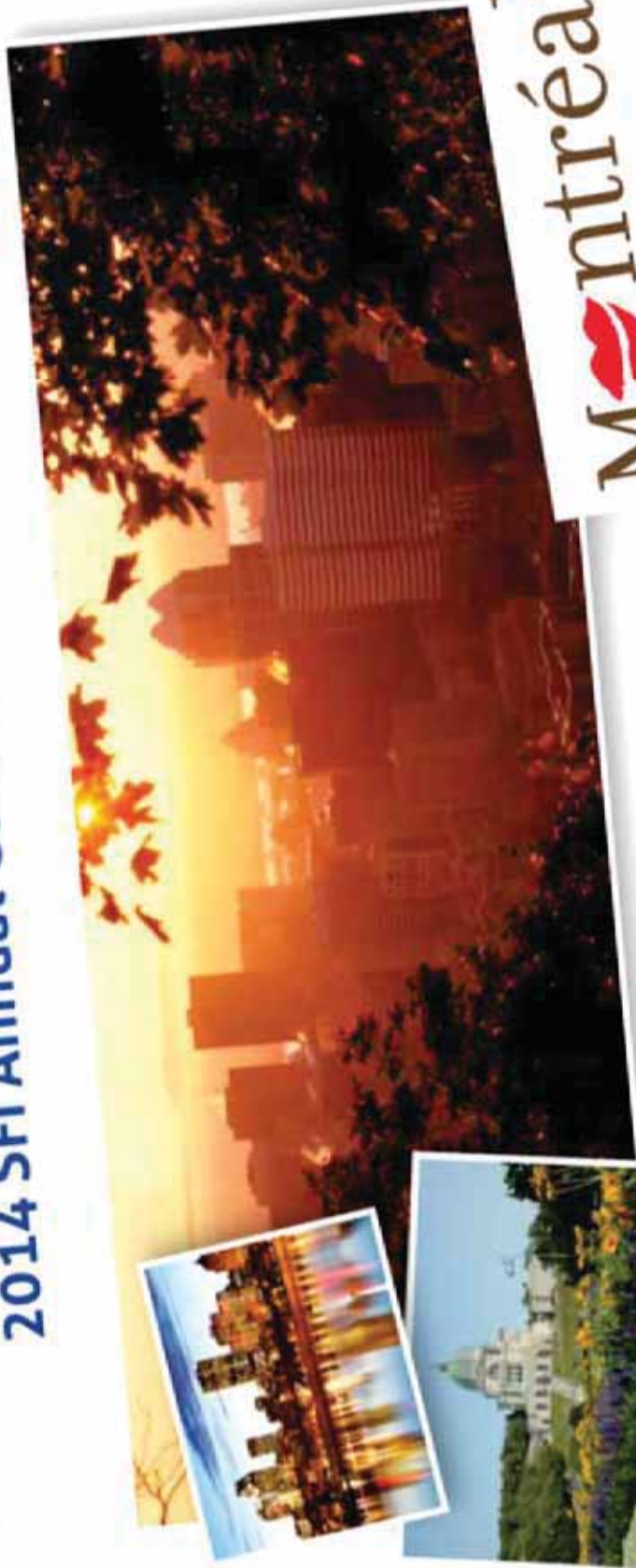


- [www.SFIprogram.org](http://www.SFIprogram.org)





# Save the Date 2014 SFI Annual Conference



# M<sup>ont</sup>tréal

Learn More:  
[www.sfiprogram.org](http://www.sfiprogram.org)

September 16-18, 2014  
Le Centre Sheraton Montreal Hotel  
Montreal, Quebec, Canada

© Tourisme Montréal





Thank you!



SUSTAINABLE FORESTRY INITIATIVE  
SFI-00011

Writing the Next Chapter

## What's New for 2015-2019

The SFI Standards are revised and updated every five years to incorporate the latest scientific information and to respond to emerging issues. As part of this process for the 2015-2019 Standards, comments were received during two 60-day public comment periods in 2013 and 2014, and input was received from 12 public workshops across the United States and Canada. About 10,000 stakeholders were invited to submit comments.

The SFI 2015-2019 Standards took effect on January 1, 2015. A major enhancement was the separation of the fiber sourcing requirements into their own auditable standard, the SFI 2015-2019 Fiber Sourcing Standard. This new standard distinguishes SFI from all other forest certification programs in that it governs how SFI Program Participants procure fiber from non-certified forestland.

SFI now has three standalone standards – for 1) Forest Management, 2) Fiber Sourcing and 3) Chain-of-Custody. Now, at every point in the supply chain, SFI has a relevant standard to support responsible forestry.

The review process also resulted in a number of revisions that strengthen the standards. The new SFI 2015-2019 Standards and Rules build on SFIs work over the past 20 years through a strengthened commitment to sustainability. In addition to the protection of water resources and attention to sustainable growth, it includes new requirements supporting the diversity of forest types and the conservation of sites with significant species of concern. It also prohibits the conversion of forest types, except in justified circumstances, and limits the use of chemicals.

SFI works to ensure the health and future of our forests, because forests are a part of our everyday lives. The future of our forests depends on credible, transparent and auditable standards to ensure a sustainable resource for today and generations to come. The new SFI 2015-2019 Standards and Rules delivers on this promise by further enhancing the vital link that exists between healthy forests, responsible purchasing and sustainable communities.

- Major Enhancements to the SFI 2015-2019 Standards and Rules
- Major Enhancements to the SFI 2015-2019 Standards and Rules (français)
- SFI 2015-2019 Standard and Rules at a Glance
- SFI 2015-2019 Standard and Rules at a Glance (français)
- SFI 2015-2019 Standards and Rules — full package
- SFI 2015-2019 Standards and Rules — full package (français)

## Documents:

Major Enhancements to the SFI 2015-2019 Standards and Rules

Major Enhancements to the SFI 2015-2019 Standards and Rules (français)

SFI 2015-2019 Standard and Rules at a Glance

SFI 2015-2019 Standard and Rules at a Glance (français)

SFI 2015-2019 Standards and Rules — full package

SFI 2015-2019 Standards and Rules — full package (français)

## Questions?

About the SFI 2015-2019 Standards, contact **Gregor Macintosh**:

Tel: 778-351-3358

Gregor.Macintosh@  
sfiprogram.org

About the Workshops, contact **Amy Doty**:

Tel: 202-596-3458

Amy.Doty@sfiprogram.org



# SUSTAINABLE FORESTRY INITIATIVE

## MINUTES OF THE

### Sustainable Forestry Initiative Inc. Board of Directors Conference Call

November 5, 2014

Submitted to Counsel 11/05/2014; Approved by Counsel 11/05/2014  
Submitted to SFI Board of Directors 11/05/2014; Approved by Board of Directors 12/11/2014

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This document will serve as the record of the proceedings of the November 5, 2014 conference call of the Sustainable Forestry Initiative, Inc. (SFI Inc.) Board of Directors.

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Prepared by SFI Inc. for the Board of Directors

Confidentiality. Each Director shall maintain the confidentiality of all discussions and deliberations of the SFI Board of Directors, including agendas, minutes and materials presented at or distributed for meetings of the Board. Such information may be disclosed only as authorized by the Board, or by the President.

## Minutes – November 5, 2014 SFI Inc. Board of Directors

ACTION #	Action Item Description	Responsible	Deliver by:
#01-NOV-14-BOD	Board members are asked to share ideas with Kathy Abusow regarding any specific media opportunities, other Boards on which they serve, or speaking engagements relevant to the SFI program, providing opportunity to further communicate about the <i>SFI 2015-2019 Standards and Rules</i> .	Kathy Abusow	December 5, 2014

Prepared by SFI Inc. for the Board of Directors

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## Minutes – November 5, 2014 SFI Inc. Board of Directors

### PARTICIPANTS

	<i>Board members</i>	<i>Organization</i>		<i>Resources Committee Members</i>	<i>Organization</i>
1.	Larry Selzer (Chair)	President and CEO, The Conservation Fund	16.	Jimmy Bullock	Senior Vice President, Forest Sustainability Resource Management Service, LLC
2.	Craig Blair	President & CEO, Resource Management Service LLC	17.	Brian Kernohan	Director, Policy & Environmental Advocacy Hancock Natural Resource Group
3.	Dick Brinker	Dean Emeritus, School of Forestry and Wildlife Sciences, Auburn University			
4.	Dan Christensen	CEO, Hancock Natural Resource Group			
5.	Jonathan Haufler	President, The Wildlife Society		<b>SFI Inc. Staff</b>	<b>Title</b>
6.	Bob Luoto	Representing independent professional loggers and American Loggers Council	18.	Kathy Abusow	President & CEO
7.	Mark Rodgers, PhD	President and CEO Habitat for Humanity Canada	19.	Nadine Block	Vice President, Government Affairs and COO
8.	Bob Matters	President, United Steelworkers – Wood Council of Canada	20.	Jason Metnick	Senior Vice President, Customer Affairs
9.	Tat Smith	Former Dean and Professor, Faculty of Forestry, University of Toronto	21.	Paul Trianosky	Vice President, Conservation and External Affairs
10.	Chief David Walkem	Chief of the Cooks Ferry Indian Band, and President, Stuwix Resources Joint Venture	22.	Gregor Macintosh	Senior Director, Standards
11.	John Hagan, PhD	President, Manomet Center for Conservation Sciences	23.	Amy Doty	Manager, Community Outreach
12.	Skeet Burris	Family Forest Landowner	24.	Mickey Raup	SFI Inc. Counsel, Polsinelli PC
13.	Jim Hannan	CEO and President, Georgia-Pacific LLC			
14.	Greg Siekaniec	CEO, Ducks Unlimited Canada			
15.	George Finney, PhD	President, Bird Studies Canada			

Prepared by SFI Inc. for the Board of Directors

Confidentiality. Each Director shall maintain the confidentiality of all discussions and deliberations of the SFI Board of Directors, including agendas, minutes and materials presented at or distributed for meetings of the Board. Such information may be disclosed only as authorized by the Board, or by the President.

## Minutes – November 5, 2014 SFI Inc. Board of Directors

AGENDA ITEM	DISCUSSION	ACTION ITEM
<b>Introductions, Confidentiality and Antitrust Reminder</b>	Chairman Larry Selzer called the meeting to order at 1:00 PM and welcomed participants. Nadine Block provided a roll call. Mickey Raup provided an antitrust reminder.	
<b>SFI 2015-2019 Standards and Rules Approval</b>	<b>Board Decision:</b> The meeting minutes from the September 16, 2014 meeting were approved without revision. Brian Kernohan provided a brief overview of the process leading to the draft <i>SFI 2015-2019 Standards and Rules</i> . Kernohan noted numerous comments were received during the 18-month review process, including two 60-day public comment periods and 9 review workshops, and incorporated into the final draft standards and rules. The SFI External Review Panel provided oversight of the review process. The Draft <i>SFI 2015-2019 Standards and Rules</i> were provided to the Board via email on Sept. 22 for the 45-day review period.	
<b>Standards Launch Plan Update</b>	<b>Board Decision:</b> The <i>SFI 2015-2019 Standards and Rules</i> were approved without objection. Kathy Abusow provided an overview of the communications plan related to the launch of the <i>SFI 2015-2019 Standards and Rules</i> . Abusow noted SFI Inc. will publish the <i>SFI 2015-2019 Standards and Rules</i> to SFI's website and announce the new <i>SFI 2015-2019 Standards and Rules</i> broadly via e-mails and press releases during the week of January 5, 2015. A more detailed communications plan, which is being developed with input from the SFI Communications Committee, will provide a platform for national and regional media outreach and enable SFI to create business and industry buzz. Abusow also suggested various opportunities for Board member engagement throughout launch of the Standards, including Board members serving as surrogate voices in targeted media outreach. Abusow noted that SFI staff will follow up with Board members individually in November and December to discuss specific opportunities. <b>ACTION:</b> Board members are asked to share ideas with Kathy Abusow regarding any specific media opportunities, other Boards on which they serve, or speaking engagements relevant to the SFI program, providing opportunity to further communicate about the <i>SFI 2015-2019 Standards and Rules</i> .  Abusow noted collaborative 2015 initiatives with GreenBiz and Treehugger to further elevate the SFI program, using the <i>SFI 2015-2019 Standards and Rules</i> as the launching point. SFI will also host regional workshops and webinars to review the Standard requirements with interested stakeholders.	<b>#01-NOV-14-BOD</b>
<b>Other Business and Adjourn</b>	Larry Selzer called attention to the final 2014 Board conference on December 11, as well as referenced the 2015 meeting dates.  <b>2015 SFI Board of Directors meeting dates:</b> <b>April 9</b> – face to face meeting; 8:30 a.m. – 3:30 p.m.; Washington DC <b>June 17</b> – conference call; 1:00 p.m. – 3:00 p.m. eastern <b>October 6</b> – face to face meeting, in conjunction with SFI Annual Conference; 8:00 a.m. – 1:00 p.m. pacific (Note: SFI annual conference is October 6-8 in Lake Tahoe, CA. Board Members are encouraged to participate as fully as possible)	

Prepared by SFI Inc. for the Board of Directors

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Minutes – November 5, 2014 SFI Inc. Board of Directors

AGENDA ITEM	DISCUSSION	ACTION ITEM
	<b>December 9</b> – conference call; 1:00 p.m. – 3:00 p.m. eastern The meeting adjourned at 1:20 pm.	

Prepared by SFI Inc. for the Board of Directors

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# SUSTAINABLE FORESTRY INITIATIVE

*Good for you. Good for our forests.®*

SFI-00001

## Sustainable Forestry Initiative Inc. Board of Directors Conference Call AGENDA

**Wednesday, November 5, 2014**

1:00 p.m. to 2:00 p.m. eastern

ACCESS (Dial-In) NUMBERS:

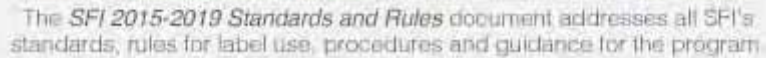
Call-in toll-free number (US/Canada): 866-740-1260

Call-in toll number (US/Canada): 303-248-0285

Attendee access code: 5963458#

<b>1:00 p.m. – 2:00 p.m.</b>	<b>Agenda</b>	<b>Page</b>
<i>1:00 p.m. – 1:10 p.m.</i>	<b>I. Welcome, Roll Call, Antitrust Reminder, Approve Minutes</b> (Larry Selzer) <i>Action: Approve minutes from September 16, 2014 meeting.</i>	
<i>1:10 p.m. – 1:30 p.m.</i>	<b>II. SFI 2015-2019 Standards and Rules Approval</b> (Brian Kernohan) <i>Action: Approve the SFI 2015-2019 Standards and Rules.</i>	
<i>1:30 p.m. – 1:50 p.m.</i>	<b>III. Standards Launch Plan Update</b> (Kathy Abusow) <i>Objective: Provide verbal update on the communications plan related to the launch of the SFI 2015-2019 Standards and Rules.</i>	
<i>1:50 p.m. – 2:00 p.m.</i>	<b>IV. Other Business and Adjourn</b>	
<b>2:00 p.m.</b>	<b>Adjourn</b>	
<b>Remaining 2014 Board Conference Calls</b>	<b>December 11 – Conference call; 1:00 p.m. – 3:00 p.m. eastern</b>	
<b>2015 Board Meetings and/or Conference Calls</b>	<b>April 9</b> – face to face meeting; 8:30 a.m. – 3:30 p.m.; Washington DC <b>June 17</b> – conference call; 1:00 p.m. – 3:00 p.m. eastern <b>October 6</b> – face to face meeting, in conjunction with SFI Annual Conference; Time TBD (Note: SFI annual conference is October 6-8 in Lake Tahoe, CA. Board Members are encouraged to participate as fully as possible) <b>December 9</b> – conference call; 1:00 p.m. – 3:00 p.m. eastern	
<b>Remaining 2014 Resources Conference Calls</b>	<b>December 3 – conference call; 2:00 p.m. – 3:30 p.m. eastern</b>	

The Requirements for the SFI 2015-2019 Program address all of SFI's standards, rules for label use, procedures, and guidance for the program.





- SFI 2015-2019 Standards and Rules – full package
  - Section 1. Introduction
  - Section 2. SFI 2015-2019 Forest Management Standard
  - Section 3. SFI 2015-2019 Fiber Sourcing Standard
  - Section 4. SFI 2015-2019 Chain-of-Custody Standard
  - Section 5. Rules for Use of SFI On-Product Labels and Off-Product Marks
  - Section 6. Guidance to SFI 2015-2019 Standards and Rules
  - Section 7. SFI Policies
  - Section 8. SFI Standard Development and Interpretations Process
  - Section 9. SFI 2015-2019 Audit Procedures and Auditor Qualifications and Accreditation
  - Section 10. Communications and Public Reporting
  - Section 11. Public Inquiries and Official Complaints
  - Section 12. Optional Modules
  - Section 13. SFI Definitions
- Interpretations for SFI 2015-2019 Standards and Rules
- SFI 2015-2019 Standards and Rules — full package (français)
- Major Enhancements to the SFI 2015-2019 Standards and Rules
- Major Enhancements to the SFI 2015-2019 Standards and Rules (français)
- SFI 2015-2019 Standard and Rules at a Glance
- SFI 2015-2019 Standard and Rules at a Glance (français)
- SFI Standard: Frequently Asked Questions

A major change to the structure of the *SFI 2015-2019 Standards and Rules* was to separate the fibre sourcing requirements into their own auditable standard. There are now three standalone standards:

**The SFI 2015-2019 Forest Management Standard** promotes sustainable forestry practices based on 13 Principles, 15 Objectives, 37 Performance Measures and 101 Indicators. These requirements include measures to protect water quality, biodiversity, wildlife habitat, species at risk and forests with exceptional conservation value.

- Section 2, SFI 2015-2019 Standards and Rules

**The SFI 2015-2019 Fiber Sourcing Standard** promotes responsible forestry practices through 14 Principles, 13 Objectives, 21 Performance Measures and 55 Indicators that address 90 percent of the world's forests that are not certified. These fiber-sourcing requirements include measures to broaden the practice of biodiversity, use best management practices to protect water quality, and use the services of forest management and harvesting professionals. Because it governs how SFI Program Participants procure fiber from non-certified land, the standard is encouraging the spread of responsible forest practices. The SFI 2015-2019 Fiber Sourcing Standard distinguishes SFI from all other forest certification programs in that it requires the responsible procurement of fiber from non-certified forestlands.

- Section 3, SFI 2015-2019 Standards and Rules
- Fact Sheet - Fiber Sourcing

**The SFI 2015-2019 Chain-of-Custody Standard** is an accounting system that tracks forest fiber content (certified forest content, certified sourcing and recycled content) through production and manufacturing to the end product. Companies can use chain-of-custody certification to track and communicate forest fiber content using one of three approaches for chain of custody: physical separation, average percentage or volume credit method. The standard is for any organization globally that sources, processes, manufactures, handles, trades, converts or prints forest-based products.

- Section 4, SFI 2015-2019 Standards and Rules

The SFI 2015-2019 Standards and Rules require third-party independent certification audits by competent and accredited certification bodies for all three certifications - forest management, fiber sourcing and chain-of-custody. All certification bodies must be accredited by a member of the International Accreditation Forum.

- SFI Certification Bodies
- Accreditation bodies

## Documents:

Major Enhancements to the SFI 2015-2019 Standards and Rules

Major Enhancements to the SFI 2015-2019 Standards and Rules (français)

SFI 2015-2019 Standard and Rules at a Glance

SFI 2015-2019 Standard and Rules at a Glance (français)

SFI 2015-2019 Standards and Rules — full package

SFI 2015-2019 Standards and Rules — full package (français)

## Questions?

About the SFI 2015-2019 Standards, contact **Gregor Macintosh**:

Tel: 778-351-3358

Gregor.Macintosh@  
sfiprogram.org

About the Workshops, contact **Amy Doty**:

Tel: 202-596-3458

Amy.Doty@sfiprogram.org

**FOR IMMEDIATE RELEASE**  
**January 7, 2015**

**SFI® Works to Ensure the Health and Future of Our Forests with the Launch of the New SFI 2015-2019 Standards and Rules**

**WASHINGTON, D.C. —** The decisions we make every day directly affect the health and future of our forests. The launch of the new [Sustainable Forestry Initiative® \(SFI\) 2015-2019 Standards and Rules](#) marks an important advancement to support better decision making all along the supply chain and to promote sustainable forest management. When a Fortune 500 company sources forest products, a landowner makes a forest management plan or a consumer buys copy paper, they can all make the right choice for our forests by choosing SFI.

"The future of our forests depends on credible, transparent and auditable standards to enable sustainable resource use for today and generations to come. Our work starts with the SFI standards, but SFI is so much more — it's a community that stands together for the health and future of forests," said Kathy Abusow, President and CEO of SFI Inc. "SFI plays a central role in strengthening the vital link between healthy forests, responsible purchasing and sustainable communities."

A major change to the structure of the SFI 2015-2019 Standards and Rules is the establishment of three stand-alone standards:

- **The SFI 2015-2019 Forest Management Standard** promotes sustainable forestry practices based on 13 Principles, 15 Objectives, 37 Performance Measures and 101 Indicators. These requirements include measures to protect water quality, biodiversity, wildlife habitat, species at risk and forests with exceptional conservation value.
- **The SFI 2015-2019 Fiber Sourcing Standard** promotes responsible forestry practices based on 14 Principles, 13 Objectives, 21 Performance Measures and 55 Indicators that address the 90 percent of the world's forests that are not certified. These fiber sourcing requirements include measures to broaden the conservation of biodiversity, use forestry best management practices to protect water quality, provide outreach to landowners and utilize the services of forest management and harvesting professionals. Because it directs how SFI Program Participants procure fiber from non-certified land, this standard encourages the use of responsible forestry practices.
- **The SFI 2015-2019 Chain of Custody Standard** tracks the percentage of fiber from certified forests, certified sourcing and recycled content through production and manufacturing to the end product. Organizations can use physical separation, average percentage or volume credit methods to track and communicate their chain of custody claims. The SFI Chain of Custody standard is applied globally.

"The revised SFI standards will continue to serve as a proof point for responsible forestry in North America," said Lawrence Selzer, Chair of the SFI Board of Directors and President and CEO of The Conservation Fund. "These standards are shaped by the people and communities who put them into practice every day."

Forests certified to the SFI Forest Management Standard cover more than a quarter billion acres/100 million hectares, stretching from Canada's boreal forest to the U.S. South. This scale means that the new standard is set to have an ever-growing impact on forestry practices in

communities across North America. Endorsement by the Programme for the Endorsement of Forest Certification (PEFC) increases SFI's international recognition.

The SFI standards are updated every five years to incorporate the latest scientific information and to respond to emerging issues. As part of this update, comments were received during two 60-day public comment periods and input was gathered from 12 public workshops across the United States and Canada. Approximately 10,000 stakeholders were invited to submit comments. Participants included public and private landowners, forest sector representatives, indigenous communities, conservation groups, industry representatives, academics and government officials. The responses to comments are posted on the [SFI website](#).

Independent oversight was provided at each stage of the revision process by the SFI External Review Panel, a distinguished group of independent experts representing conservation, professional, academic and public organizations, operating at arm's length from SFI.

"The SFI External Review Panel's role was to ensure the standard revision process was transparent, objective and credible. We reviewed the responses to every public comment that was submitted. This focus on transparency is a major strength of the SFI program," said Robin Morgan, Chair of the SFI External Review Panel and Deputy Director of Recreation, Heritage and Volunteer Resources at the USDA Forest Service.

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#### **About Sustainable Forestry Initiative Inc. (SFI)**

SFI Inc. is an independent, nonprofit organization that is solely responsible for maintaining, overseeing and improving the internationally-recognized Sustainable Forestry Initiative (SFI) program. Across the United States and Canada, more than a quarter billion acres/100 million hectares are certified to the SFI Forest Management Standard. In addition, the SFI Fiber Sourcing Standard directs how SFI Program Participants procure fiber from non-certified land, encouraging the use of responsible forestry practices. SFI Chain-of-Custody Standard tracks the percentage of fiber from certified forests, certified sourcing and recycled content through production and manufacturing to the end product. SFI on-product labels help consumers make responsible purchasing decisions. SFI Inc. is governed by a three-chamber [board of directors](#) representing environmental, social and economic sectors equally. Learn more about SFI at [www.sfiprogram.org](http://www.sfiprogram.org) and [www.sfiprogram.org/Buy-SFI](http://www.sfiprogram.org/Buy-SFI).

#### **Media Contact:**

Elizabeth Woodworth

Vice President, Communications and Community Engagement  
Sustainable Forestry Initiative Inc.

Tel: 202-596-3452

[media@sfiprogram.org](mailto:media@sfiprogram.org)



## PEFC Chain of Custody Notification Fee Overview one-pager

Updated: September 30, 2015

Created by: Julia Hershberger & Rachel Dierolf For Internal Use Only

*Saved on Sharepoint under: Administration/Procedures/Administration Operations Manual*

### Background

Companies certified to the PEFC Chain of Custody Standard are required to pay notification fees and logo use fees to their national governing body. As the PEFC US National Governing Body (PEFC US NGB), SFI receives the fees for those PEFC-certified companies with a main company HQ address and locations in the United States, as per scope of their PEFC COC certificate. SFI also collects PEFC COC fees from SFI primary program participants located in Canada. Additionally, if a multi-site certificate is situated in both the US and Canada, the PEFC NGB in the country where more than half the locations are located charge the notification fees. In the case where exactly half are in Canada and the other half in the US, the company HQ address on the certificate determines the PEFC NGB.

In general, certified companies pay these fees to their certification body, and the certification bodies pass the fees along to SFI (see below for exceptions).

### Annual Administrative Action Items & Timing

Action	Timing	"R"
Execute contracts with Certification Bodies to re-establish all aspects of the contractual relationship. This contract also includes any updated references and relevant standard documentation.	January	Rachel Dierolf
Invoice CBs for PEFC certified companies based on current certificate data.	June	Rachel Dierolf for data, Julia Hershberger for invoicing and follow up.
Invoice CBs for any new PEFC certified companies that were not captured in the June invoicing.	December	Rachel Dierolf for data, Julia Hershberger for invoicing and follow up.
Calculate ATFS Revenue Sharing based on total fees collected.	January of the following year, or whenever all funds have been collected from the CBs.	Julia sends report of all funds collected to Rachel D. Rachel calculates revenue sharing amount. Julia issues payment to ATFS.

### Exceptions and Special Circumstances

PwC collects these fees a bit differently. They ask the certified companies to make the fee check payable to SFI, but ask that the fee checks be mailed to PwC. Once PwC records the payment, they forward the check along to SFI. These checks trickle in throughout the year and do not follow the June/December invoicing schedule. Rachel Dierolf works with PwC each December to reconcile records and ensure all companies have paid.

## ***“PEFC Logo Usage Contract***

Between

**(1) The Sustainable Forestry Initiative, Inc. (hereafter “SFI”)** located at  
900 17<sup>th</sup> Street, NW; Suite 700, Washington, DC 20006

And

**(2) Global Paper Solutions, Inc. (hereafter “logo user”)** located at Suite  
900, 222 S. Harbor Blvd., Anaheim, CA 92805 USA

Whereas Global Paper Solutions, Inc. is a logo user under the logo user group Forest Industry, *Trade, Distributors, Printers* as defined in the PEFC Logo Use Rules;

Whereas the PEFC Council is owner and has the copyright on the PEFC logo which is a registered trademark;

Whereas the PEFC Council has granted the SFI, as the US National Governing Body, a license for the PEFC logo and to be allowed under the conditions set out in this agreement to act on behalf of the PEFC Council;

Whereas the logo user is to be granted a license for the PEFC logo with registration number **PEFC/29-31-285** and to be allowed to use the PEFC logo according to the PEFC Logo Use Rules;

Now, therefore the above said parties agree to the following:

### **Article 1**

#### **Definitions:**

1. The PEFC Logo Use Rules -  
This is PEFC ST 2001:2008 v2, which forms part of the contractual documentation and is found in the annex of this contract.

### **Article 2: Copyrights to the PEFC logo**

1. For the avoidance of any doubt, the PEFC logo is copyright material and is a registered trademark owned by the PEFC Council. The initials “PEFC” are covered by copyright and are registered. Unauthorised use of this copyright material is prohibited and may lead to legal action. In the United States, as agreed to by the PEFC Council and the SFI, the use of the PEFC logo is regulated and governed by the SFI.

### **Article 3: Responsibilities of the Logo User**

1. The logo user is obliged to use the PEFC logo in accordance with the PEFC Logo Use Rules, graphical guidelines specified in the PEFC Logo Reproduction Tool Kit, and together with a

registration number issued by the SFI so as to ensure that the logo user is identifiable on its basis.

2. The logo user is obliged to inform the SFI immediately and truthfully on any changes concerning logo user's identification data and certified status, the latter in case of logo user group B or C.

#### **Article 4: Responsibilities of the SFI**

1. The SFI is obliged to provide the logo user with access to the PEFC labels and PEFC Logo Reproduction Tool Kit within 2 weeks following the signing the contract.
2. The SFI is obliged to inform the logo user on any changes of the SFI regulations and documentation concerning the PEFC logo usage which affect this contract.

#### **Article 5: Penalty**

1. The SFI may impose, in case of user group B or C, a contractual penalty of a dollar amount being one-fifth the market value of the products to which unauthorised on- or off-product logo use relates, unless the logo user proves that such unauthorised use was unintentional. In the latter case the penalty will be limited to 10,000 dollars.
2. The SFI has the right to alter the amount of penalty demanded for use of the PEFC logo in contravention of the contract. If such a change is made, it shall come into effect in the contract between the SFI and the logo user three months and five days after the former has informed the latter, in writing, of the change.

#### **Article 6: Contract Termination**

1. Either party may terminate the contract with three-month prior notice by registered letter.
2. The SFI may revoke the contract temporarily with immediate effect while a suspicion of contravention of the contract or the PEFC Logo Use Rules is being investigated. In case of suspicion, the SFI shall send the logo user a written request for an explanation and notification of the temporary revocation of the contract. The temporary revocation shall remain in effect for a maximum period of one (1) month after the logo user has provided an explanation concerning the suspected misuse to the SFI, which will examine the matter. The SFI may reverse a decision on the temporary revocation of the contract when the logo user has implemented corrective measures approved by the SFI and given the SFI notification that this has been done.
3. The SFI may terminate the contract with the immediate effect if there are reasons to believe that any of the terms of the contract or the PEFC Logo Use Rules are not being adhered to.
4. Withdrawal, suspension or the end of the validity of the chain of custody certificate recognised by the SFI, in case of the group B or C logo user, will result in automatic termination of the contract with effect on the same date as the withdrawal, suspension or the end of the validity of the chain of custody certificate.
5. No PEFC logo fee is refunded to the logo user in case of temporary revocation or termination of

the contract according to the Article 6, bullet 2, 3, and 4.

6. SFI is not obliged to pay compensation for any costs or other damages which the temporary revocation or termination causes to the logo user.
7. In the event that the PEFC Council withdraws the logo license contract with the SFI, all logo use contracts issued by the SFI will be automatically withdrawn.

#### **Article 7: Reporting and Presentation**

1. SFI is permitted to present publicly logo user's identification data and information concerning the certification status provided by the logo user.
2. The logo user, in case of user group B or C, shall undertake to provide, immediately after each chain of custody (C-o-C) or forest management certification audit, the SFI with a notification, verified by the certification body, of the on-product use of the PEFC logo, e.g. broken down by product, product category, production unit or similar, to the degree of accuracy that the C-o-C or forest management system used by the logo user permits. In the same conjunction, the logo user shall supply the SFI with a detailed, free form account of any off-product use of the PEFC logo.
3. The logo user, in case of user group D, shall give the SFI an annual report containing an itemised, free form account of the PEFC Logo's off-product usage.

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#### **Article 8: Validity of the Contract**

1. The contract enters into force when it has been signed by both parties.

#### **Article 9: Other terms of the contract**

1. The SFI reserves the right to carry out (by itself or to commission a third party to act on its behalf) an on-site inspection of logo user's operations if it has received a complaint by third party or if the SFI has reasons to believe that the contract is being contravened. The logo user shall bear responsibility for the costs of said inspection and any other detrimental effects.
2. The logo user, in case of the group B or C, undertakes to enter an agreement with the certification body within three months of signing this contract (a copy to be sent to the SFI) to the effect that, in conjunction with the audits conducted subsequent to signing this contract, certification body will examine the system by means of which the logo user keeps records of the production volumes marked with the PEFC logo and how the Logo is used on them. The certification body shall have a right to inform the SFI of changes of which it is aware, without consulting the logo user.

#### **Article 10: Arbitration**

This contract is subject to the law of the District of Columbia, USA. Any disputes, or lawsuits concerning this contract may be brought before the courts in the District of Columbia, USA.

Signed in duplicate.

In Washington, DC on

in \_\_\_\_\_

For and on behalf of  
the SFI

For and on behalf of  
Global Paper Solutions, Inc.



Nadine Block, SFI VP and COO  
Date February 3, 2015



PARBH PATIL  
PRODUCT SALES ENGINEER  
DATE: Feb 05. 2015



## **Canadian Legal References on Forest Management**

1. British Columbia Forest Management Links
  - I. BC Forest and Range Practices Act and Regulation  
<http://www.for.gov.bc.ca/tasb/legsregs/frpa/frparegs/>
  - II. [http://www.bclaws.ca/Recon/document/ID/freeside/00\\_02069\\_01](http://www.bclaws.ca/Recon/document/ID/freeside/00_02069_01)  
BC Forest Practice Board  
<http://www.fpb.gov.bc.ca/>
2. Alberta Forest Management Links  
<http://srd.alberta.ca/LandsForests/Default.aspx>  
<http://srd.alberta.ca/LandsForests/ForestManagement/Default.aspx>
3. Saskatchewan Forest Management Links
  - I. Forest Management Planning Document  
<http://www.environment.gov.sk.ca/adx/asp/adxGetMedia.aspx?DocID=891,897,878,862,244,94,88,Documents&MediaID=1093&Filename=Forest+Management+Planning+Document+2007.p df&l=English>
4. Manitoba Forest Management Links
  - I. Manitoba's Submission Guidelines for Twenty Year Forest Management Plans  
[http://www.gov.mb.ca/conservation/forestry/pdf/practices/20\\_year\\_forest\\_plan\\_2007.pdf](http://www.gov.mb.ca/conservation/forestry/pdf/practices/20_year_forest_plan_2007.pdf)
5. Ontario Forest Management Links
  - I. Forest Management Planning Manual  
[http://www.mnr.gov.on.ca/en/Business/Forests/Publication/MNR\\_E000215P.html](http://www.mnr.gov.on.ca/en/Business/Forests/Publication/MNR_E000215P.html)
  - II. Ontario Crown Forest Sustainability Act  
[http://www.e-laws.gov.on.ca/html/statutes/english/elaws\\_statutes\\_94c25\\_e.htm](http://www.e-laws.gov.on.ca/html/statutes/english/elaws_statutes_94c25_e.htm)
6. Québec Forest Management Links
  - I. Forest Resource Protection and Development Objectives - General Forest Management Plans 2007-2012 Implementation Document  
<http://www.mrnf.gouv.qc.ca/english/publications/forest/consultation/implementation.pdf>
7. New Brunswick Forest Management Links
  - I. Forest Management Manual for NB Crown Land <http://www2.gnb.ca/content/dam/gnb/Departments/nr-rn/pdf/en/Publications/ForestManagementManual.pdf>
  - II. Forest Operations Compliance Audit Performance Indicators  
<http://www2.gnb.ca/content/dam/gnb/Departments/nr-rn/pdf/en/ForestsCrownLands/AuditPerformanceIndicators.pdf>
8. Nova Scotia Forest Management Links
  - I. Nova Scotia's Code of Forest Practice  
<http://www.gov.ns.ca/natr/forestry/reports/Code-of-Forest-Practice.pdf>

## Sustainable Forestry Initiative Program

### Compilation of examples of laws and regulations related to forest management in various states in the U.S.<sup>1</sup>

#### L. Louisiana

##### Property rights and land tenure arrangements

*RS 14:67.12*

<http://www.legis.state.la.us/lss/lss.asp?doc=78609>

Theft of timber is the misappropriation or taking of timber belonging to another, or proceeds derived from the sale of such timber, either taken without the consent of the owner, or by means of fraudulent conduct, practices, or representations, with the intent to deprive the owner permanently of the timber or proceeds derived therefrom.

B.(1) Whoever commits the crime of theft of timber when the misappropriation or taking amounts to a value of twenty-five thousand dollars or more shall be fined not more than ten thousand dollars and imprisoned at hard labor for not more than ten years.

(2) When the misappropriation or taking amounts to a value of less than twenty-five thousand dollars, the offender shall be imprisoned, with or without hard labor, for not more than five years, fined not more than five thousand dollars, or both.

C. The enforcement division of the office of forestry within the Department of Agriculture and Forestry shall have primary responsibility for collection, preparation, and central registry of information relating to theft of timber and shall assist all law enforcement agencies in investigations of violations of the provisions of this Section.

##### Water quantity

*Louisiana Water Control law.*

See page 8 at <http://www.nasda.org/nasda/nasda/Foundation/state/Louisiana.pdf>

There are activity specific prohibitions found in the Louisiana code as well. These include

<sup>1</sup> Approximately 20% of the total SFI certified land base in the United States is in the states selected; As of June 30, 2011, approximately 70% of the SFI certified land base is in Canada and 30% of the SFI certified land base is in the United States.

logging discharges, such as tree tops and limbs; discharge of brine from salt domes; and byproduct gypsum discharge from the phosphoric acid or fertilizer manufacturing industry.<sup>6</sup>

There is also a prohibition against discharging any hazardous waste into any underground water of Louisiana, unless a proper permit is strictly adhered to.<sup>7</sup>

#### *1. LPDES permits are required for the following discharges:*

- The construction of any new facility or undertaking any new activity that would result in a discharge of pollutants into the waters of the state
- The construction, installation, operation, extension, or alteration of any facility or activity that would increase the discharge quantity or the degradation of quality of pollutants into the waters of the state, or activity

*Louisiana Natural and Scenic River Act*

See requirements beginning on page 50 <http://www.ldaf.state.la.us/portal/Portals/0/FOR/for%20mgmt/BMP.pdf>

**Activities requiring permit** — Any other activity that may have a direct, significant ecological impact on the river must be permitted by the Louisiana Department of Wildlife and Fisheries. In addition, four other agencies — the Department of Environmental Quality, Department of Agriculture and Forestry, Department of Culture, Recreation and Tourism, and the Office of State Planning — review permit applications. **Activities which must be permitted**, for example, include, but are not limited to:

Bridge, pipeline and powerline crossings Bulkheads, piers, docks and ramps Waste water discharges  
Land development adjacent to the river  
Aerial application of pesticides and fertilizers to fields adjacent to scenic streams.  
Water withdrawals

*Contact the Louisiana Department of Wildlife & Fisheries for permitting information under the Louisiana Natural & Scenic Rivers System.*

House Bill No. 388 is now Act No. 225, signed into law in 2005  
<http://www.legis.state.la.us/billdata/streamdocument.asp?did=321019>

Existing law requires the commissioner, through the office of conservation, to administer all matters related to the management of the state's ground water resources by providing for the most "advantageous use" of the resource consistent with the protection, conservation, and replenishment thereof.

Prior law defined a "critical ground water area" as an area in which, under current usage and normal environmental conditions, sustainability of an aquifer is not being maintained due to either movement of a salt water front, water level decline, or subsidence, which results in unacceptable environmental, economic, social, or health impact, or which causes serious adverse impact to an aquifer, considering the areal and temporal extent of all such impacts.

New law retains the definition in prior law but changes the term defined from a "critical ground water area" to an "area of ground water concern". New law provides that when the sustainability of an area of ground water concern cannot be maintained without withdrawal restrictions, the commissioner shall designate the area a "critical area of ground water concern."

New law generally retains existing provisions relative to areas where ground water is threatened, including provisions relative to the authority of the commissioner to identify such areas and the procedures by which well owners apply to have such areas designated. New law, however, in accordance with terminology change, makes these authorities and procedures applicable to areas of concern rather than critical areas. Existing law provides that if the commissioner does identify an area where the ground water is threatened, he must establish a plan to manage the resource, which plan may include educational and conservation programs, incentives to reduce ground water use, and restrictions on withdrawals. New law provides that restrictions on withdrawals may only be imposed if the area is declared critical.

## **II. Washington**

### **Property rights and land tenure arrangements**

*RCW 76.09.067*

<http://apps.leg.wa.gov/RCW/default.aspx?cite=76.09.067>

Application for forest practices — Owner of perpetual timber rights.

Notwithstanding any other provision of this chapter to the contrary, for the purposes of RCW 76.09.050(1) and 76.09.060, where timber rights have been transferred by deed to a perpetual owner who is different from the forest landowner, the owner of perpetual timber rights may sign the forest practices application or notification. The forest practices application is not complete until the holder of perpetual timber rights has submitted evidence to the department that the signed forest practices application or notification has been received by the forest landowner.

[2007 c 106 § 5; 1998 c 100 § 1.]

*RCW 79.02.320*

<http://apps.leg.wa.gov/RCW/default.aspx?cite=79.02.320>

Removal of timber — Treble damages.

Every person who shall cut or remove, or cause to be cut or removed, any timber growing or being upon any public lands of the state, including a Christmas tree as defined in \*RCW 76.48.020, or who shall manufacture the same into logs, bolts, shingles, lumber or other articles of use or commerce, unless expressly authorized so to do by a bill of sale from the state, or by a lease or contract from the state under which he or she holds possession of such lands, or by provisions of law under which the bill of sale, lease or contract was issued, shall be liable to the state for treble the

value of the timber or other articles cut, removed, or manufactured, to be recovered in a civil action, and shall forfeit to the state all interest in any article into which the timber is manufactured.

[2009 c 349 § 3; 1927 c 255 § 199; RRS § 7797-199. Prior: 1897 c 89 § 66; 1895 c 178 § 101. Formerly RCW 79.01.756, 79.40.030.] Notes:

\*Reviser's note: RCW 76.48.020 was recodified as RCW 76.48.021 pursuant to 2009 c 245 § 29. Firewood on state lands: Chapter 79.15 RCW.

Injunction to prevent waste on public land: RCW 64.12.050. Injury to or removing trees, etc. -- Damages: RCW 64.12.030. Penalty for destroying native flora: RCW 47.40.080.

### **Water quantity**

*RCW 90.22.010*

<http://apps.leg.wa.gov/RCW/default.aspx?cite=90.22.010>

Establishment of minimum water flows or levels — Authorized — Purposes.

The department of ecology may establish minimum water flows or levels for streams, lakes or other public waters for the purposes of protecting fish, game, birds or other wildlife resources, or recreational or aesthetic values of said public waters whenever it appears to be in the public interest to establish the same. In addition, the department of ecology shall, when requested by the department of fish and wildlife to protect fish, game or other wildlife resources under the jurisdiction of the requesting state agency, or if the department of ecology finds it necessary to preserve water quality, establish such minimum flows or levels as are required to protect the resource or preserve the water quality described in the request or determination. Any request submitted by the department of fish and wildlife shall include a statement setting forth the need for establishing a minimum flow or level. When the department acts to preserve water quality, it shall include a similar statement with the proposed rule filed with the code reviser. This section shall not apply to waters artificially stored in reservoirs, provided that in the granting of storage permits by the department of ecology in the future, full recognition shall be given to downstream minimum flows, if any there may be, which have theretofore been established hereunder.

[1997 c 32 § 4; 1994 c 264 § 86; 1988 c 47 § 6. Prior: 1987 c 506 § 96; 1987 c 109 § 103; 1969 ex.s. c 284 § 3.]

## **III. Arkansas**

### **Property rights and land tenure arrangements**

*Act 1178 of 2003 (amendment of 5-39-304: notice to cease entering – further entrance)*

<http://www.arkleg.state.ar.us/assembly/2003/R/Acts/Act1178.pdf>

The owner, agent, lessee, or assign of any lands including farm, timber, or otherwise may notify any person by registered letter certified mail, deliver to addressee only, by notice served by any official authorized to serve process, or by personal oral notification to cease any trespass, or to stay off the premises of any property belonging to the owner, his agent, or assigns.

### **Water quantity**

Act 749 Arkansas

AN ACT TO PROMOTE THE EFFICIENT USE OF WATER FOR THE BENEFIT OF THE PEOPLE AND WILDLIFE OF ARKANSAS.

<http://www.arkansashouse.org/bill/2011R/HB1903>

(a) It is in the best interest of the people of the State of Arkansas to have a water policy that recognizes the vital importance of water to the prosperity and health of both people and their natural surroundings.

(b) Preserving water of a sufficient quality and *quantity* will allow Arkansas to be known both as a natural state and a land of opportunity where agriculture, industry, tourism, and recreation will remain strong for future generations.

## **IV. Michigan**

### **Water quantity**

*Michigan natural resources and environmental protection act, Safe water drinking act*

New laws that became effective on February 28, 2006, will help Michigan better manage the tremendous water resources that support our economy, environment, and quality of life. These laws amend Parts 327 and 328 of the Natural Resources and Environmental Protection Act, and the Safe Drinking Water Act. These amendments address reporting, registering, environmental protection standards, and permitting requirements for large quantity withdrawals from groundwater and

surface water. This summary provides an overview of these new provisions. For detailed information, review the specific terms of

Parts 327 and 328.

[http://www.michigan.gov/documents/deq-wd-WithdrawalLaw-Summary\\_160468\\_7.pdf](http://www.michigan.gov/documents/deq-wd-WithdrawalLaw-Summary_160468_7.pdf)

The Wild and Scenic Rivers Act, (Pub. L. 90-542 as amended; 16 U.S.C. 1271-1287) is legislation enacted by Congress and establishes federal protection for designated free-flowing rivers throughout the country. They are designated as "Wild and Scenic Rivers." This designation regulates the management and control of development on these river systems.

In Michigan, there are 16 Wild and Scenic River systems. The management and regulations for these river systems occur strictly within the administrative boundaries of Michigan's three National Forests. Each component of the Wild and Scenic rivers system is administered to protect and enhance a variety of values, and certain uses of a designated river are limited. Emphasis is given to protecting its aesthetic, scenic, historic, archaeological, and scientific features and values.

For more information, such as the listing and location of those river systems within Michigan, visit the website:

<http://www.nps.gov/nrcr/portals/rivers/index.htm>.

### **Sustainable Soil and Water Quality Practices on Forest Land**

[http://www.michigan.gov/documents/dnr/IC4011\\_SustainableSoilAndWaterQualityPracticesOnForestLand\\_268417\\_7.pdf](http://www.michigan.gov/documents/dnr/IC4011_SustainableSoilAndWaterQualityPracticesOnForestLand_268417_7.pdf)

Selected Text. There are numerous other examples.

#### **Vernal Pools, Seeps, and Intermittent Streams**

Vernal pools are small (usually less than an acre), temporary bodies of water in depressions that lack perennial inlet or outlet streams and have no permanent fish populations. They appear after snow melt and gradually dry up as the summer progresses. During the wettest seasons of the year, vernal pools are small bodies of water, while in dry seasons they may only be recognizable as an isolated depression on the forest floor. This unique forest feature provides habitat for a variety of aquatic invertebrates, a breeding and feeding site for many amphibians and reptiles, an attractive feeding and resting spot for songbirds, a source of food and water for many mammals, and unique microhabitats for plants.

Some animals will live their entire life cycle in a vernal pool. Fairy shrimp and clam shrimp are suited to a watery environment that varies widely in temperature and dries up annually. They produce thick shelled eggs that survive in the dried up pool until the next spring's thaw when they hatch in the newly hydrated pool. Therefore, when harvesting occurs, there should be no disturbance to the vernal pool depression. All equipment, trees and tops should be kept out of this area. Within 100 feet or at least one tree length of the pool, it is especially important to avoid deep ruts which can interfere with the movement of salamanders to and from the pools. Equipment should generally only be used when the soil is in a dry or frozen condition to keep rutting to a minimum in this area. Timber harvesting can occur in the area, but the canopy closure should not be reduced to less than 70% to minimize the affect of sun and wind.

A seep, also called a spring seep or just a spring, is a permanent or intermittent discharge of water that emerges from the ground and flows across the soil surface without defined bed and banks. The limits of the seep are demarked by the extent of surface water, water-stained leaves, or other signs of hydrology. Avoid soil and leaf litter disturbance within the known area of the surface water. Limit harvest activity to dry or frozen conditions, when possible.

Other Michigan laws related to water quantity issues.

### **Part 17, Michigan Environmental Protection Act, of the Natural Resources and Environmental Protection Act, 1994 PA 451, as amended (NREPA).**

This Act provides for the protection of air, water, and other natural resources, and the public trust associated with those resources. It provides the right to any person to bring an action against another person, agency, corporation, and political subdivision for conduct that may pollute, impair or destroy air, water, or other natural resources.

### **Part 31, (Section 3108) Water Resource Protection (Floodplain Regulatory Authority), of the Natural Resources and Environmental Protection Act, 1994 PA 451, as amended (NREPA).**

A Part 31 permit (Section 3108) is required for any occupation, construction, filling, or grade change within the 100-year floodplain of a river, stream, drain, or lake. Bridges and culverts are considered an occupation of the floodplain, as are activities that involve storage of materials in the floodplain. A 100-year flood has a 1% chance of occurring or being exceeded in any given year. These activities are regulated by a permit system with the purpose of ensuring that the channels and floodways are kept clear and uninhabited and that



structures placed outside the floodway are properly protected from flood damage. The floodway includes the stream channel and that portion of the floodplain that is required to convey the flow of floodwater. Structures that are placed outside of the floodway portion of the floodplain must be properly protected from flood damage. This can be accomplished by elevating structures above the 100-year floodplain elevation or by designing the structures to be water tight without human intervention.

**Part 31, (Section 3109) Water Resource Protection (Discharge into state waters), of the Natural Resources and Environmental Protection Act, 1994 PA 451, as amended (NREPA).**

Section 3109 of Part 31 is the statute used in the State of Michigan to address direct or indirect discharges of a substance that is or may become injurious to any of the following: a) public health, safety, or welfare, b) waters used for domestic, commercial, industrial, recreational or other uses, c) value and utility of riparian lands, d) livestock, wild animals, birds, fish aquatic life, or plants or to their growth and propagation, and the value of fish or game. Pursuant to the Part

31 statute, specific rules have been promulgated to address pollutants or substances such as excess sediment that can become injurious to waters of the State and aquatic life and its productivity.

**Part 91, Soil Erosion and Sedimentation Control (SESC), of the Natural Resources and Environmental Protection Act, 1994 PA 451, as amended (NREPA).**

The purpose of Part 91 is to prevent soil erosion and to protect the waters of the State from sedimentation. A permit is required for any earth change that disturbs one or more acres of land OR that is within 500 feet of a lake or stream. Plowing and tilling for crop production and integral activities associated with logging and mining do not require permits. Access roads leading to or from a logging area, and ancillary and support activities associated with logging and mining, are subject to permits. A SESC permit is obtained by contacting your local county or municipal enforcing agency, CEA or MEA. For more information on the SESC program, please visit [www.mi.gov/deqland](http://www.mi.gov/deqland) and select "Soil Erosion and Sedimentation Control."

**Whether a permit is required or not, the landowner is responsible for preventing off-site sedimentation.**

Activities that result in sedimentation to the waters of the State are a violation of Part 91 and are subject to enforcement actions by either the County Enforcing Agency or the State of Michigan. The counties are primarily responsible for issuing Part 91 permits. Prior to obtaining a permit, the landowner, or his/her designated agent, must submit an application and comprehensive soil erosion and sedimentation control plan to the appropriate county agency.

**Part 301, Inland Lakes and Streams, of the Natural Resources and Environmental Protection Act, 1994 PA 451, as amended (NREPA).**

The intent of the Inland Lake and Stream Protection Program is to protect the integrity of the land/water interface, the correlative rights of other riparian owners, and public trust in the inland waters of the State. Crossing a permanent or intermittent stream while skidding forest products or transporting them to the mill requires a Part 301 permit. Road and pedestrian crossings, as well as utility crossings, that disturb land below the ordinary high water mark, are examples of common projects that require a Part 301 permit. A storm water outfall, with or without stream bank or streambed protection (riprap), stream relocations and enclosures are also examples of projects requiring a permit.

**Part 303, Wetlands Protection, of the Natural Resources and Environmental Protection Act, 1994 PA 451, as amended (NREPA).**

Part 303 defines a wetland as "land characterized by the presence of water at a frequency and duration sufficient to support, and that under normal circumstances does support, wetland vegetation, or aquatic life, and is commonly referred to as a bog, swamp, or marsh."

The following construction activities are prohibited in wetlands, unless a Part 303 permit has been obtained from the DEQ:

Deposit or permit the placing of fill material in a wetland.

Dredge, remove, or permit the removal of soil or minerals from a wetland. Construct, operate, or maintain any use or development from a wetland. Drain surface water from a wetland.

Regulated wetlands are defined in Part 303 and associated administrative rules. However, silvicultural and timber harvesting activities, such as the building of roads for wood transport, are exempt from obtaining a Part 303 permit, as long as adverse effects on the wetland are minimized and the roads are built solely for logging or forestry purposes.

**Part 305, Natural Rivers Act, of the Natural Resources and Environmental Protection Act, 1994 PA 451, as amended (NREPA).**

This statute regulates all development and land uses, including timber harvesting and stream crossings, on both public and private lands, that are within 400 feet of a designated stream. Part 305 requires DNR approval of plans for the location and construction of any utility or

publicly provided facility, including roads, bridges and culverts, within a designated Natural River

Area. Each designated river system is managed according to a long-range management plan. This plan outlines the specific manner in which lands and water are to be managed to protect the unique river values of a designated Natural River system. Both mainstream and tributaries are regulated under Part 305.

**Part 323, Shorelands Protection and Management, of the Natural Resources and Environmental Protection Act, 1994 PA 451, as amended (NREPA).**

This program provides for the designation and proper management of environmental areas, high-risk erosion areas and flood risk areas along the Great Lakes shoreline. These areas include coastal wetlands and the adjacent uplands that provide habitat and nursery for fish and wildlife. A Part 323 permit is required for certain activities in a designated environmental area.

**Part 353, Sand Dunes Protection and Management, of the Natural Resources and Environmental Protection Act, 1994 PA 451, as amended (NREPA).**

The designated critical dune areas along the Great Lakes shoreline are areas where the most unique and fragile sand dunes are found. This program minimizes the impact of development on these critical dune areas. A permit is required for all proposed new uses in designated critical dune areas mapped in the "Atlas of Critical Dune Areas", prepared by the DEQ.

**Part 365, Endangered Species Protection, of the Natural Resources and Environmental Protection Act, 1994 PA 451, as amended (NREPA).**

This statute protects threatened and endangered species from being taken or harmed during project development activities, unless a permit is issued by the DNR. Where threatened and endangered species are thought to exist, the landowner or responsible party is required to request an environmental review by the DNR to determine whether or not threatened or endangered species may be impacted by planned activities.

**Part 515, Forest Protection and Forest Fires Act, of the Natural Resources and Environmental Protection Act, 1994 PA 451, as amended (NREPA).**

This establishes the machinery to protect the forest from fires. It applies to all forest land; timbered, potential timber producing, cutover or burned timber land or grasslands, not including farmland. It requires a permit for burning on or adjacent to forestland, except for domestic purposes, and when the ground is snow covered.

**National Pollutant Discharge Elimination System (NPDES) – Michigan Environmental Protection Act, of the Natural Resources and Environmental Protection Act, 1994 PA 451, as amended (NREPA).**

A NPDES permit is required for fixed forestry activities such as permanent log storage areas maintained by paper mills or saw mills. Discharge to a storm sewer does not go to a municipal treatment facility, and is considered a direct discharge. Discharge to a municipal treatment facility may require a permit from the municipality under the Industrial Pretreatment Program.

**MI Property rights**

<http://www.legislature.mi.gov/%28S%28dis0cmmvkiwdpdmtrv0nv45%29%29/documents/mcl/pdf/mcl-328-1931-LXXXV.pdf>

**THE MICHIGAN PENAL CODE (EXCERPT) Act 328 of 1931**

**CHAPTER LXXXV TRESPASS**

**750.546 Wilful trespass; by cutting or destroying property.**

Sec. 546. Wilful trespass by cutting or destroying wood, gravel, grain, etc.—Any person who shall wilfully commit any trespass, by cutting down or destroying any timber or wood, standing or growing on the land of another, or by carrying away any kind of timber or wood, cut down or lying on such land, or by digging up or carrying away any stone, ore, gravel, clay, sand, turf or mould from such land, or any roots, fruit or plant there being, or by cutting down or carrying away any grass, hay, or any kind of grain standing, growing or being on such land, or by carrying away from any wharf or landing place, railroad depot or warehouse, any goods whatever in which he has no interest or property, without the license of the owner, of the value of 5 dollars or more, shall be guilty of a misdemeanor.

**History:**

**Former law:** See section 51 of Ch. 154 of R.S. 1846, being CL 1857, § 5795; CL 1871, § 7602; How., § 9173; CL 1897, § 11587; CL 1915, § 15332; and CL 1929, § 16928.

***NATURAL RESOURCES AND ENVIRONMENTAL PROTECTION ACT (EXCERPT)***

Act 451 of 1994

324.2155 "Damages" defined.

Sec. 2155.

As used in this subpart, "damages" means the fair market value on the stump or at the mill, whichever is greater of a forest product cut or removed, or the fair and actual value of any other property removed or damaged in trespass, plus any other damages caused before, during, or after the cutting or removal.

History: Add. 1995, Act 60, Imd. Eff. May 24, 1995

Popular Name: Act 451

Popular Name: NREPA

<http://www.legislature.mi.gov/%28S%28symtqwldrc3or45oy505d55%29%29/mileg.aspx?page=getobject&objectname=mcl-324-2155&query=on&highlight=forest%20AND%20property%20AND%20trespass>

**Water quantity**

Conservation and use of conserved water (pg 63)

[http://www.oregon.gov/OWRD/LAW/docs/Water\\_Vol\\_I\\_All\\_2009.pdf](http://www.oregon.gov/OWRD/LAW/docs/Water_Vol_I_All_2009.pdf)

Example: **537.143 Limited license to use or store surface or ground water or to use stored water; rules.**

(1) Notwithstanding the provisions of ORS 537.130, the Water Resources Commission may establish by rule a procedure to allow a person to obtain a limited license to use or store ground water not otherwise exempt under ORS 537.545, to use or store surface water, to use stored water or to use stored water for purposes for which the stored water is authorized and in accordance with a contract with a local, state or federal government after the person complies with the notice provisions set forth in ORS 537.144. Uses eligible for a limited license shall be for a short-term or fixed duration and may include but are not limited to road construction and maintenance, general construction and forestland or rangeland management. Except as provided in subsections (4) to (6) and (9) of this section, the use of water for a purpose specifically prohibited by a basin program or for irrigation is not eligible for a limited license.

Page 67 (11) All activities in the state that affect the quality or quantity of ground water shall be consistent with the goal set forth in ORS 468B.155. [1955 c.708 §2; 1985 c.673 §46; 1989 c.201 §2; 1989 c.833 §56]

**Property rights**

<http://www.leg.state.or.us/ors/164.htm/>

*164.813 & 164.825*

164.813 Unlawful cutting and transport of special forest products. (1) It is unlawful for any person to cut or split wood into special forest products or to harvest or remove special forest products from a place unless the person has in possession a written permit to do so from the owner of the land from which the wood is cut or the products taken.

164.825 Cutting and transport of coniferous trees without permit or bill of sale. (1) It is unlawful for any person to cut more than five coniferous trees unless the person has in possession written permission to do so from the owner of the land from which the trees are cut

<http://www.leg.state.or.us/99orlaws/sess0900.dir/0933ses.html>

*Chapter 933 Oregon Laws 1999*

*Session Law*

*AN ACT HB 2801*

Relating to trespass.

Be It Enacted by the People of the State of Oregon:

**SECTION 1.** (1) In addition to and not in lieu of any other damages that may be claimed, a plaintiff who is a landowner shall receive liquidated damages in an amount not to exceed \$1,000 in any action in which the plaintiff establishes that:

- (a) The plaintiff closed the land of the plaintiff as provided in subsection (2) of this section; and
- (b) The defendant entered and remained upon the land of the plaintiff without the permission of the plaintiff.

(2) A landowner or an agent of the landowner may close the privately owned land of the landowner by posting notice as follows:

(a) For land through which the public has no right of way, the landowner or agent must place a notice at each outer gate and normal point of access to the land, including both sides of a body of water that crosses the land wherever the body of water intersects an outer boundary line. The notice must be placed on a post, structure or natural object in the form of a sign or a blaze of paint. If a blaze of paint is used, it must consist of at least 50 square inches of fluorescent orange paint, except that when metal fence posts are used, approximately the top six inches of the fence post must be painted. If a sign is used, the sign:

(A) Must be no smaller than eight inches in height and 11 inches in width;

(B) Must contain the words "Closed to Entry" or words to that effect in letters no less than one inch in height; and

(C) Must display the name, business address and phone number, if any, of the landowner or agent of the landowner.

(b) For land through which or along which the public has an unfenced right of way by means of a public road, the landowner or agent must place:

(A) A conspicuous sign no closer than 30 feet from the center line of the roadway where it enters the land, containing words substantially similar to "PRIVATE PROPERTY, NO TRESPASSING OFF ROAD NEXT \_\_\_\_\_ MILES"; or

(B) A sign or blaze of paint, as described in paragraph (a) of this subsection, no closer than 30 feet from the center line of the roadway at regular intervals of not less than one-fourth mile along the roadway where it borders the land, except that a blaze of paint may not be placed on posts where the public road enters the land.

(3) Nothing contained in this section prevents emergency or law enforcement vehicles from entering upon the posted land.

(4) An award of liquidated damages under this section is not subject to ORS 18.535, 18.537 or 18.540.

(5) Nothing in this section affects any other remedy, civil or criminal, that may be available for a trespass described in this section.

Approved by the Governor August 4, 1999

Filed in the office of Secretary of State August 4, 1999

Effective date October 23, 1999

## **VI. Alabama**

### **Water quantity**

<http://www.jsu.edu/depart/epic/Water3a.pdf>

Much of the state's current plan for managing the quantity of water flowing through Alabama is contained in the Alabama Water Resources Act passed in 1993. This law created the Office of Water Resources and the Alabama Water Resources Commission. They are charged with ensuring sufficient water for all users in the State of Alabama and to work with other state and federal agencies to reach these ends.

[http://jointforestryteam.org/Websites/jointforestryteam/Images/al\\_joint\\_forestry\\_mou.pdf](http://jointforestryteam.org/Websites/jointforestryteam/Images/al_joint_forestry_mou.pdf)

This Memorandum of Understanding (MOU) is made and entered into by and between the Alabama Forestry Commission (AFC); the Alabama Association of Conservation Districts (AACD); the Alabama Soil and Water Conservation Committee; and the United States Department of Agriculture, Natural Resources Conservation Service (NRCS) in Alabama.

### **I. PURPOSE**

The purpose of this MOU is to strengthen cooperation among the Parties that will result in coordinated interagency delivery of forestry-related conservation assistance to private landowners in order to sustain the health, diversity, and productivity of Alabama's private working lands – forestland, cropland, pasture, and rangeland. The Parties have a long-term commitment to the conservation and stewardship of the Alabama's natural resources that will endure beyond the life of this MOU.

### **II. BACKGROUND**

#### **Importance of Private Forestlands to the Alabama's Welfare**

The Parties recognize that healthy forests are a critical component of Alabama's landscape. Forestlands, as well as trees and forests on other working lands, provide clean air, carbon sequestration; flood protection; wildlife habitat; recreation and aesthetic enjoyment. Healthy forests are also vital to clean and abundant supplies of water. Water quantity and quality are threatened by population, and land use. Wildfires, insect and disease outbreaks, and invasive species also affect the ability of forests to store and filter the water we drink. Forests and forest products also provide economic, energy, and other benefits. The Parties recognize that privately owned forests make up a substantial share of the forest resource base and that these forests are increasingly being divided into smaller ownership parcels.

<http://law.onecle.com/alabama/conservation-and-natural-resources/9-10B-2.html>

Section 9-10B-2 - Legislative findings; exemptions.

The Legislature of the State of Alabama hereby finds and declares that:

(1) All waters of the state, whether found on the surface of the ground or underneath the surface of the ground, are among the basic resources of the State of Alabama;

(2) The use of waters of the state for human consumption is recognized as a priority use of the state and it is the intent of this chapter that no limitation upon the use of water for human consumption shall be imposed except in emergency situations after the Office of Water Resources has considered all feasible alternatives to such limitations;

(3) The use of such waters should be conserved and managed to enable the people of this state to realize the full beneficial use thereof and to maintain such water resources for use in the future;

(4) The general welfare of the people of this state is dependent upon the dedication of the water resources of the State of Alabama to beneficial use to the fullest extent to which they are capable through the development and implementation of plans and programs to manage such quantitative water resources;

(5) It is the purpose of this chapter to establish the Office of Water Resources and the Water Resources Commission and to vest said office and commission with the power and responsibility to develop plans and strategies for the management of the waters of the state as well as the other goals and policies of this chapter;

(6) No person's beneficial use of the quantitative waters of the state shall be restricted by the Office of Water Resources or the Water Resources Commission except where such beneficial use is within an area of the state designated as a capacity stress area pursuant to this chapter.

[http://www.forestry.alabama.gov/PDFs/Forests\\_at\\_the\\_Crossroads-AL-State\\_Assessment.pdf](http://www.forestry.alabama.gov/PDFs/Forests_at_the_Crossroads-AL-State_Assessment.pdf)

#### **Alabama NFS Land and Resource Management Plan**

*The 2005 Revised Land and Resource Management Plan guides all natural resource management activities and sets management standards for the National Forests in Alabama for the following 10 to 15 years.*

#### **Opportunities for Collaboration**

**Goal 3** – Manage existing forest communities to reduce risks from insects and diseases

**Goal 4** – Watersheds are managed and/or restored to provide salient and stable conditions to support the quality and quantity of water necessary to protect ecological functions and support intended beneficial water users

#### **Property rights**

<http://alisondb.legislature.state.al.us/acas/ACASLoginFire.asp>

#### **Alabama code 9-13-60**

Unauthorized cutting, removal, transportation, etc., of timber or other forest products. (a) It is unlawful for any person or persons to do any of the following:

(1) Willfully and knowingly cut, kill, destroy, girdle, chop, chip, saw or otherwise damage timber or forest products not his own or without authority of the legal owner.

(2) Willfully and knowingly remove timber or other forest products other than his own or without authority of the legal owner.

(3) Willfully and knowingly transport timber or other forest products which have been severed or removed in violation of subdivisions (1) or (2) of this section.

(4) Willfully and knowingly purchase or contract to purchase or otherwise obtain timber or forest products severed, removed or transported in violation of subdivisions (1), (2) or (3) of this section.

(5) Willfully and knowingly sell, contract to sell or otherwise dispose of logs, poles, piling, crossties, pulpwood, veneer bolts, staves or other unmanufactured or semimanufactured forest products not his or her own or without authority of the legal owner.

(6) Alter or by any means cause a weight measuring device to give a false reading as to the actual or true weight of any forest products for the purpose of deceiving or defrauding any person, firm, or corporation.



(b) A violation of subsection (a) is a Class A misdemeanor and shall be punished as provided by law. (c) This section

shall not apply to any utility or corporation engaged in providing electric service. Nor

shall it apply to the employees, contractors, agents, or representatives of a utility or corporation

engaged in providing electric service where such employees, contractors, agents, or representatives are acting within the course and scope of their employment, contract, or agency.

(Acts 1939, No. 626, p. 993, §1; Code 1940, T. 8, §218(1); Act 2010-704, p. 1706, §1.)

<http://www.foia.org/PDF/n091026b.pdf>

#### **ALABAMA FORESTRY COMMISSION RULE 390-X-9-.01**

##### **TIMBER TRESPASS**

##### **390-X-9-.01 TIMBER TRESPASS**

(1) It shall be unlawful for any person, firm, or corporation:

(a) To cross a visibly marked property boundary line during any timber harvesting operation or harvests or attempts to harvest any timber or other forest products without the permission of the landowner.

(b) Any person violating the provisions of this regulation shall be guilty of a misdemeanor and shall be punished as provided by law.

(2) Definition of visibly marked property boundary line:

Any boundary line marked by a landowner, agent of the landowner or surveyor with paint

on trees, signs, or flagging placed no more than an average of 100 feet apart or a well maintained fence (fence that will hold livestock) or other identifiable markings readily visible placed no more than 100 feet apart that would put a prudent person on notice that it is a landline. It is the intent of this regulation that all landowners should mark their property lines and that the person(s) engaging in these type harvesting activities ascertain from the landowner the whereabouts of the property boundary lines of the property before harvesting any forest products. The burden of placing the markings described in

this regulation shall be on the property owner on whose property the timber is being harvested. The placement of such markings is voluntary and is not required by this regulation.

Author: Charles T. Conway

Statutory authority: Code of Ala. 1975, § 9-3-9.

#### **ALABAMA FORESTRY COMMISSION RULE 390-X-10-.01**

##### **390-X-10-.01 FAILURE TO REMIT PAYMENT TO OWNER AFTER PURCHASE OF FOREST PRODUCTS**

(1) It shall be unlawful for any person, firm, or corporation:

(a) Who acquires, with the consent of an owner, any forest product from that owner and who receives payment for the forest product to fail to make payment to the owner within a total of 60 (sixty) days of such receipt.

(b) Any person, firm, or corporation violating the provisions of this regulation shall be guilty of a misdemeanor and shall be punished as provided by law.

(2) If the owner has not received payment within thirty days of the conclusion of the harvesting operation, the owner shall notify the purchaser of his demand for payment at the purchaser's last known address by certified mail or by personal delivery of the written notice to the purchaser. The purchaser's failure to make payment in full within 30 (thirty) days after the mailing or personal delivery shall be presumptive evidence of the offender's intent to violate this regulation.

(3) A written agreement signed by the owner providing for a means of payment contrary to this regulation shall constitute an affirmative defense.

(4) As used in this regulation:

(a) "Forest Products" include, but are not limited to, timber, trees, logs, lumber, or pine straw or any other products in the forest, whether merchantable or nonmerchantable, chips and woody biomass and which are located on any land in this State, whether publicly or privately owned.

(b) "Owner" means any person, partnership, corporation, unincorporated association, or other legal entity having any interest in any forest product, or the land upon which a forest product is growing, or any land from which a forest product has been removed. Author: Charles T. Conway

Statutory authority: Code of Ala. 1975, § 9-3-9.

#### **VII. Wisconsin**

Water quantity <http://legis.wisconsin.gov/2003/data/acts/03Act310.pdf>

##### ***Wisconsin act 310 of 2003***

##### ***Wisconsin Water Law***

<http://www.glwi.uwm.edu/ourwaters/documents/WIWaterLawC.pdf>

#### **Governing Doctrines**

Public Trust Doctrine - Wisconsin, under the State's constitution, holds navigable waters in trust for the public.

Rights of the public include navigation, water quality and quantity, fishing and swimming, and scenic beauty.

Riparian Rights Doctrine - Rights of riparian landowners (people who own land adjacent to water) include consumptive use, trapping and fishing, and exclusive use of shoreland property above the high water mark. Riparian rights are limited by the rights of the public under the public trust doctrine. Water Quantity

With global water shortages, growing water demands across the U.S., and mismanagement of deep ground water in regions of Wisconsin, the state may need to strengthen programs that protect our abundant waters. Regulations the state could target to improve conservation include:

The Ground Water Protection Act - Current legislation does not require conservation plans for high-capacity wells (pumping more than 100,000 mgd).

Wisconsin's Wellhead Protection Program - This program requires communities to develop conservation plans for new wells, but does not require implementation or offer financial incentives.

The 2005 Great Lakes Water Resources Compact - This drafted legislation will require states to manage new or increased water withdrawals and consumptive uses within the Great Lakes basin above certain trigger levels. Each state has the opportunity to adopt more protective standards than those in the Compact, including stronger conservation measures.

The Public Service Commission (PSC) - The PSC sets the rate structure that Wisconsin utilities use to charge customers. It is currently a "declining block rate" structure so the price of water decreases with greater use, which hampers stronger water conservation practices.

#### Property rights

<http://legis.wisconsin.gov/statutes/Stat0026.pdf>

2009-10 Wisconsin Statutes & Annotations

As updated through 2011 Wis. Act 27 and June 20, 2011

Protection of forest lands and forest productivity

**26.05 Timber theft. (1) DEFINITION.** In this section, "raw forest products" means forest products not altered by a manufacturing process off the land from which they are taken and includes seedlings, saplings, shrubs, whole-tree chips, boughs, logs, pilings, posts, poles, cordwood products, pulpwood, fuel wood and Christmas trees.

**(2) CONSENT OF OWNER REQUIRED.** No person may cut, remove or transport raw forest products or direct the cutting, removal or transportation of raw forest products without the consent of the owner.

**(3) PENALTIES.** (a) A person who violates this section or a rule promulgated under this section is subject to a forfeiture of not less than \$100 nor more than \$10,000.

(b) Instead of the forfeiture provided under par. (a), a person who intentionally violates this section, or a rule promulgated under this section, may be punished under s. 943.20 for theft. (c) In addition to any other penalty, a person who violates this section, or a rule promulgated under this section, is liable for the reasonable costs incurred to establish the volume and value of the raw forest products cut, removed or transported.

**History:** 1981 c. 67; 1999 a. 190.

#### **VIII. Maine**

##### Water quantity

<http://www.mainelegislature.org/legis/statutes/38/title38ch3sec0.html>

Protection and Improvement of Waters

[http://www.mwua.org/sustainable\\_water\\_use\\_in\\_maine.htm](http://www.mwua.org/sustainable_water_use_in_maine.htm)

Sustainable Water Use

Maine, recognizing the value of its natural resources, was a leader in environmental protection efforts. Many of the statutes that have been enacted by the Maine Legislature over the last 30 – 40 years acknowledge the importance of drinking water supplies. A sample of legislative actions are listed below:

The Legislature has classified the surface waters of the state, stating in each classification that the waters "are suitable for the designated uses of drinking water supply after disinfection (or treatment)" (Title 38, Chapter 3, § 465... 1985).

The Legislature has found that "*an adequate supply of safe drinking water is the matter of the highest priority and that it is the policy of the State to protect, conserve, and maintain ground water supplies in the State*" (Title 38 §

401... 1979). The Legislature has classified all ground waters in the state to class GW-A, stating that they "be of such quality that it can be used for public water supplies". (Title 38 Chapter 3, § 465-C & 470... 1985; 1985)

In 1999 the Legislature also promulgated law in Title 22, including Chapter 601, § 2601-A: "This chapter establishes a system designed to help ensure public health; to allow the State, municipalities and public water systems to identify significant public water supplies and strive for a higher degree of protection around source water areas or areas that are used as public drinking water supplies; and to allow the State, municipalities and water systems to pursue watershed or wellhead protection activities around significant public water supplies."

<http://www.mainelegislature.org/ros/LOM/LOM120th/4Pub601-650/Pub601-650-18.htm>

#### *LD 1488 WATER WITHDRAWAL REPORTING PROGRAM*

##### §470-E. Water use standards

The board shall adopt rules by January 1, 2005 that establish water use standards for maintaining in- stream flows and GPA lake or pond water levels that are protective of aquatic life and other uses and that establish criteria for designating watersheds most at risk from cumulative water use. Standards adopted under this section must be based on the natural variation of flows and water levels, allowing variances if use will still be protective of water quality within that classification. Rules adopted under this section are major substantive rules as defined in Title 5, chapter 375, subchapter II-A. Those rules must be provisionally adopted by January 1, 2005 and submitted for consideration to the joint standing committee of the Legislature having jurisdiction over natural resources matters in the First Regular Session of the 122nd Legislature. This section is repealed 90 days after adjournment of the First Regular Session of the 122nd Legislature.

#### **Property Rights**

*Title 14: COURT PROCEDURE -- CIVIL Part 7: PARTICULAR PROCEEDINGS*

*Chapter 739: WASTE AND TRESPASS TO REAL ESTATE Subchapter 2: TRESPASS*

*§7552. Injury to land, forest products or agricultural products*

2. Prohibitions. Without permission of the owner a person may not:

A. Cut down, destroy, damage or carry away any forest product, ornamental or fruit tree, agricultural product, stones, gravel, ore, goods or property of any kind from land not that person's own; or [1995, c. 585, §3 (AMD).]

B. [1995, c. 585, §3 (RP).]

C. Disturb, remove or destroy any lawfully established transit point, reference point, stake, plug, hub, guardstake, bench mark, pipe, iron, concrete post, stone post or other monument of any railroad, highway, public utility or other engineering location or survey or any such monument marking the bounds of public or private property. [1995, c. 450, §2 (NEW).] [ 1995, c. 585, §3 (AMD) .]

<http://www.mainelegislature.org/legis/statutes/14/title14sec7552.html>

Title 12: CONSERVATION Part 11: FORESTRY

Chapter 805: COOPERATIVE FORESTRY MANAGEMENT

Subchapter 3-A: FOREST PRACTICES HEADING: PL 1989, C. 555, §10 (NEW)

§8867-B. Regulation of timber harvesting activities in areas adjacent to rivers, streams, ponds, wetlands and tidal waters

In accordance with the purposes of chapter 206-A and Title 38, chapter 3 and no later than October 1, 2003, the Commissioner of Conservation shall adopt rules in accordance with Title 5, chapter 375 to establish performance standards for timber harvesting activities in areas adjacent to rivers, streams, ponds, wetlands and tidal waters. The rules must provide the maximum opportunity for flexibility that achieves the goal of protecting the public resources while minimizing the impact on private resources. The initial rules adopted pursuant to this section are routine technical rules as defined in Title 5, chapter

375, subchapter 2-A. Subsequent amendments to those rules are major substantive rules as defined in

Title 5, chapter 375, subchapter 2-A. [2003, c. 335, §2 (AMD).] SECTION HISTORY

1999, c. 695, §1 (NEW). 2001, c. 566, §1 (AMD). 2003, c. 335, §2 (AMD).

#### **IX. Minnesota**

##### **Water quantity**

<https://www.revisor.mn.gov/statutes/?id=89a&view=chapter>

#### **89A.05 TIMBER HARVESTING AND FOREST MANAGEMENT GUIDELINES.**

Subdivision 1. **Development.** The council shall coordinate the development of comprehensive timber harvesting and forest management guidelines. The guidelines must address the water, air, soil, biotic, recreational, and aesthetic resources found in forest ecosystems by focusing on those impacts commonly associated with applying site-level forestry practices. The guidelines must reflect a range of practical and sound practices based on the best available scientific information, and be integrated to minimize conflicting recommendations while being easy to understand and implement. By June 30, 2003, the council shall review the guidelines and identify potential revisions. If deemed necessary, the council shall update the guidelines by June 30, 2005. Changes to the guidelines shall be peer reviewed prior to final adoption by the council. By December 1999, the council must undertake a peer review of the recommendations in the forest management guidelines adopted in December 1998 for protecting forest riparian areas and seasonal ponds.

#### **Subd. 4. Monitoring riparian forests.**

The commissioner, with program advice from the council, shall accelerate monitoring the extent and condition of riparian forests, the extent to which harvesting occurs within riparian management zones and seasonal ponds, and the use and effectiveness of timber harvesting and forest management guidelines applied in riparian management zones and seasonal ponds. This information shall, to the extent possible, be consistent with the monitoring programs identified in section [89A.07](#). Information gathered on riparian forests and timber harvesting in riparian management zones and seasonal ponds as specified in this subdivision shall be presented to the legislature by February 2001 and in subsequent reports required in section [89A.03, subdivision 6](#).

***Minnesota statute 103F.801 of 2010 COUNTY LAKE IMPROVEMENT PROGRAM*** Subdivision 1. Lake

improvement program established. <https://www.revisor.mn.gov/statutes/?id=103F.801>

To preserve and protect lakes and to increase and enhance the use and enjoyment of lakes, a statewide lake improvement program is established to:

- (1) preserve the natural character of lakes and their shoreland environment as feasible and practical; (2) improve the quality of water in lakes;
- (3) provide for reasonable assurance of water quantity in lakes, where feasible and practicable; and
- (4) assure protection of the lakes from the detrimental effects of human activities and certain natural processes.

***Minnesota Statute 103F.305 of 2010 SCENIC RIVER PROTECTION POLICY.***

<https://www.revisor.mn.gov/statutes/?id=103F.305>

The legislature finds that certain of Minnesota's rivers and their adjacent lands possess outstanding scenic, recreational, natural, historical, scientific and similar values. It is in the interest of present and future generations to retain these values, and a policy of the state, and an authorized public purpose to preserve and protect these rivers

#### **Timber Trespass**

<https://www.revisor.mn.gov/statutes/?id=90.301&year=2010>

***90.301 TIMBER TRESPASS ON STATE LANDS; UNLAWFUL POSSESSION AND SALE; REWARDS; RECORDS.***

#### **Subdivision 1. Trespass on public lands, damages.**

Whoever without valid permit shall cut any timber upon lands owned by this state, or held in trust by the state for the counties, or remove or carry away any such timber, or any other property appertaining to these lands, or shall commit any other trespass upon these lands, or shall induce or assist another to do so, shall be liable to the state for treble damages if the trespass is adjudged to have been willful but liable for double damages only if the trespass is adjudged to have been casual and involuntary. Any person found to have acquired possession in any manner of any timber unlawfully cut on lands owned by this state or held in trust by the state for the counties, shall be liable to the state for twice the stumpage value thereof. It shall be no defense to plead or claim a purchase of any state timber from any one other than the commissioner, or a purchase of any timber held in trust by the state for the counties from anyone other than the county auditor, nor may it be claimed that any other person should be joined as defendant; nor may any claim be made for remuneration or allowance for labor or expenses incurred in preparing such timber for market or transporting the same to or toward market. Every such trespass willfully committed shall be a gross misdemeanor.

#### **Subd. 2. Seizure of unlawfully cut timber.**

The commissioner may take possession of any timber hereafter unlawfully cut upon or taken from any land owned by the state wherever found and may sell the same informally or at public auction after giving such notice as the commissioner deems reasonable and after deducting all the expenses of such sale the proceeds thereof shall be paid into the state treasury to the credit of the proper fund; and when any timber so unlawfully cut has been intermingled with any other timber or property so that it cannot be identified or plainly separated therefrom the commissioner may so seize and sell the whole quantity so intermingled and, in such case, the whole quantity of such timber shall be conclusively presumed to have been unlawfully taken from state land. When the timber unlawfully cut or removed from state land is so seized and sold the seizure shall not in any manner relieve the trespasser who cut or removed, or caused the cutting or removal of, any such timber from the full liability imposed by this chapter for the trespass so committed, but the net amount realized from such sale shall be credited on whatever judgment is recovered against such trespasser.

#### **Subd. 3.Penalty.**

In addition to any other penalty provided by law, any person who shall remove, transport, carry away, conceal, or convert to personal use any timber unlawfully cut on state lands, knowing the same to have been so cut, shall be guilty of theft of the same and prosecuted and punished accordingly in the county where the property was cut or in any county into or through which the property or any part thereof may be removed; and when any corporation is guilty of the acts herein declared to be theft, each officer of the corporation shall, individually and severally, be guilty of such theft.

#### **Subd. 4.Apprehension of trespassers; reward.**

The commissioner may offer a reward to be paid to a person giving to the proper authorities any information that leads to the conviction of a person violating this chapter. The reward is limited to the greater of \$100 or ten percent of the single stumpage value of any timber unlawfully cut or removed. The commissioner shall pay the reward from funds appropriated for that purpose or from receipts from the sale of state timber. A reward shall not be paid to salaried forest officers, conservation officers, or licensed peace officers.

#### **Subd. 5.Record of trespasses.**

The commissioner shall keep a record of all trespasses reported, with the estimates, appraisals and settlements thereof.

#### **Subd. 6.Ticket for theft violations.**

The commissioner may design and issue a ticket in the form, and having the effect, of a summons and complaint, for use in cases of theft of state timber or other state property, where the value of the property is within the limits established by section [609.52, subdivision 3](#), clause (5). The ticket shall provide for the name and address of the person charged with the violation, the offense charged, the time and place the person is to appear before a court, and any other necessary information.

### **548.05 TREBLE DAMAGES FOR TRESPASS.**

Whoever shall carry away, use or destroy any wood, timber, lumber, hay, grass, or other personal property of another person, without lawful authority, shall be liable to the owner thereof for treble the amount of damages assessed therefor in an action to recover such damages. If upon trial, the defendant proves having probable cause to believe that such property was the defendant's own, or was owned by the person for whom the defendant acted, judgment shall be given for the actual damages only, and for costs.

### **90.311 POSSESSION OF LANDS CONTRARY TO AGREEMENT, REMEDIES.**

If any person holds or continues in possession of any lands mentioned in this chapter contrary to the conditions or covenants of any lease, certificate of sale, permit, or other written agreement, that person shall be liable to an action for the recovery of possession of such lands and damages for the detention of the same. The commission of trespass or waste upon these lands or the destruction or removal of timber or other property therefrom may be restrained, enjoined, or otherwise prohibited by any court of competent jurisdiction at the suit of the state pending final determination of the rights of the state therein, and permanently thereafter, as the facts may warrant. No bond shall ever be required of the state in any such proceeding.



